



**Chaminade University**  
O F H O N O L U L U

**POLICY MANUAL**

**VOLUME II**

**CAMPUS COMMUNITY POLICIES**

**NOVEMBER 2016**

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**Campus Community Policies**

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## Volume II

### CAMPUS COMMUNITY POLICIES

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#### 2.0 General Statement

The policies set forth in this Volume II of the Chaminade University Policy Manual are those that pertain to all members of the campus community. Information is provided in Appendix 2.0 as to Departments to be reached for specific questions.

#### 2.1 General Campus Information

##### 2.1.1 *LIBRARY*

Sullivan Library provides support to curricular programs and extracurricular interests of students. Special collections include the Oceania Collection, the Catholic Authors Collection, the Julius J. Nodel Judaica Collection, and the David L. Carlson Japan Collection. Small collections of non-print materials (tapes, DVDs, etc.) are also available. The library also houses a gallery which spotlights University and local artists as well as other exhibits.

Services offered include book circulation, reference consultation, computerized information retrieval and instruction in library use. Materials can be renewed, providing no other borrower has requested the material. All materials must be returned to the main desk or put in the book drop located in the hallway next to the library.

Members of the Campus Community have access to reference material, inter-library loan (ILL) services, fee- and non-fee based literature searches, and material circulation. The library also provides study and conference areas as well as photocopy services. People outside the Campus Community are also welcome to make use of the library's collection in the library, although other services are not available to them.

Students are encouraged to take an informal tour of the library and ask for library instruction on how to use the many services provided. Inquire at the Reference or Circulation Desk. Fines are imposed for overdue materials.

The cost for lost materials is the replacement cost of the lost materials, plus a processing fee. Note that fees are subject to change. Grade reports may be withheld and transcripts may not be issued until all library materials are returned and all fines are paid.

##### 2.1.2 *OFFICE OF EDUCATIONAL TECHNOLOGY (OET)*

The Office of Educational Technology (OET) provides resources to allow more effective teaching. The office is responsible for the classroom technology (digital projectors, document cameras, computers with internet access, and videotape players) available in each classroom. OET also schedules and maintains the multimedia classroom (H106) which has video capabilities.

It also administers and provides pedagogical assistance in the use of our WebCT course management software. OET trains and certifies instructors to teach online and asynchronous classes, and monitors classes to assure that the technology is being used effectively. The Faculty Instructional Lab provides computer and multimedia resources to assist faculty in incorporating technology into the curriculum.

The multipurpose Audio Visual Media Resource Center provides instructional media technology support to all divisions, student activities, special, cultural, and evening programs, and other events. Although the Center's first priority is to support instructors in the classroom, arrangements can be made for loans of appropriate materials for activities outside of class. The Center is a resource for language audiocassettes, films, slides, and videotapes.

### ***2.1.3 NETWORK AND DESKTOP SERVICES***

Network and Desktop Services (NDS) provides computing and network resources, including email accounts for all members of the Chaminade community. It is also responsible for specifying, ordering, and replacing computers for individual faculty and staff.

NDS services the computer classrooms used by classes that require hands-on computer use, as well as providing a general-use computer lab for students, faculty and staff. A small classroom is also available for classes which need computer facilities for periods less than a semester.

The Chaminade network is maintained by NDS. The network provides access both local and wide-area technology. Most of the campus is wired with 100 MBps data ports, while the residence halls (and some other areas on campus) are served by 10 MBps wireless networks.

### ***2.1.4 RECTOR***

The office of the Rector serves the Chaminade community from a Marianist perspective. Broadly speaking, the office seeks to animate the entire social fabric of our community with the family spirit, which is characteristic of a Marianist institution. The Rector serves as a coordinator for all the Marianists on campus and is also a special advisor to the President and other University administrators. The Rector coordinates all programs introducing the University community to the mission of the University, its Catholicity and the characteristics of Marianist universities.

#### ***2.1.4.1 Campus Ministry***

Through its Campus Ministry Program, Chaminade University seeks to preserve and foster the Catholic Marianist values that are part of our history and tradition. It does this in the ecumenical spirit articulated by the Church in Vatican II.

These values are fostered through the involvement of students, faculty, and staff in its programs. Programs include opportunities for a full liturgical and sacramental life, prayer, social outreach, community service, retreats, spiritual counseling, and a deeper involvement with the issues facing the human community. Through all its programs, Campus Ministry distinctly promotes a spirit of faith and service.

The Campus Ministry Office is located on the ground floor of Henry Hall.

Campus Ministry programs include equal opportunities for a full liturgical and sacramental life, prayer, social outreach, community service, retreats, spiritual counseling, and a deeper involvement with the issues facing the human community.

#### **2.1.4.2 Mass/Liturgical Celebrations**

Roman Catholic Masses are celebrated on Sundays in the Mystical Rose Chapel. Masses are also held on special feast days and some weekdays. All religious denominations are welcome.

#### **2.1.5 BOOKSTORE**

Students may purchase textbooks, school supplies, snacks, and clothing with the Chaminade logo at the bookstore. Copy services, fax services, and local bus pass sales are available. Personal checks, Visa, MasterCard, Discover Card and American Express are accepted.

##### **2.1.5.1 Textbook Ordering Policy**

The procedure helps keep the cost of textbooks lower for our students. The deadlines are as follows

- October 15 for Spring Day semester
- April 15 for Fall Day semester
- Two (2) months prior to the start of the term for AUP and Master's programs

These deadlines are in place because they affect book buy back prices for the subsequent terms. This ultimately affects the price our students will have to pay for books.

Should multiple sections of the same course be required in any given semester and/or when these sections indicate STAFF assignments, the Divisional Dean or Program Coordinator will be responsible for meeting the textbook deadline.

Textbook requests are due immediately for courses scheduled after the two-month prior deadline.

The bookstore will be responsible for reminding the faculty about the deadline and will notify Divisional Deans and Program Coordinators if faculty in their area fail to place an order.

If there are any questions please feel free to contact the Associate Provost at extension 750.

#### **2.1.6 BUSINESS OFFICE**

Students can pay for tuition, parking, transcripts, residence life room and board fees, and other miscellaneous fees at the Business Office window. Students may pick up their financial aid checks at this location. Questions concerning payroll are also handled at this office.

#### **2.1.7 CENTER FOR LIFELONG LEARNING**

The Center for Lifelong Learning has three basic goals: to bring Chaminade's name and a quality product into the community; to bring the expertise of the Chaminade faculty into the community; to bring the community to the Chaminade campus. To accomplish these goals, the Center has four programs; it provides local business with interesting, effective training; it provides full-services training programs on a contract basis for local businesses; it provides a

forum to the community for Chaminade non-credit classes by presenting workshops and conferences on campus; it provides interesting speakers for community organizations.

#### **2.1.7.1 Chaminade's Commitment to Lifelong Learning**

Chaminade University's commitment to the careers of its students is matched by its commitment to their lifelong learning. To ensure that Chaminade plays a part in the continued intellectual growth, after they have graduated from Chaminade, students may return to take any undergraduate course in their major field of study for half the tuition. Some conditions may apply.

#### **2.1.8 LOST AND FOUND**

Lost and found items may be turned in or retrieved at the Security Office. Be prepared to specifically identify items claimed.

#### **2.1.9 MAILROOM**

Located next to the Bookstore, the mailroom distributes campus mail Monday through Friday. Mailboxes are available for students residing in the residence halls.

#### **2.1.10 CARLSON FITNESS CENTER**

The Carlson Fitness Center features an array of universal machines as well as over 2,500 pounds of free weights for fitness enthusiasts in a spacious 4,500 square foot facility. The Center is also used as a training and locker area for student athletes. All students, faculty, staff, as well as Chaminade alumni, are welcome to use the facility during scheduled hours. Proper ID, attire and a towel are required.

#### **2.1.11 RECREATIONAL SPORTS**

The Recreational Sports Program, open to all students, staff, faculty, and alumni, is designed to provide an opportunity for enjoyable, organized recreational activities. Diverse programming is geared to promote healthy lifestyles through physical fitness, social contacts, skill development, and competition. Active participation is encouraged in the hopes that the individual will develop an appreciation of the worthy use of leisure time and a wholesome attitude toward physical activity for recreational purposes later in life. Some examples of recreational activities are: basketball, golf, windsurfing, tennis, billiards, volleyball, horseback riding, paintball, and many more. Additional information regarding student athletics is provided in Appendix 7.1.8 of the Student Handbook.

#### **2.1.12 DINING SERVICES**

There are two locations on the Chaminade University campus to enjoy a meal or a snack. The P.O.D. (Provisions On Demand) at Henry Hall provides hot self-service entrees for breakfast, lunch and dinner and is a place for a quick snack or a grab and go meal. The Silversword, located in Tredtin Hall, has a program designed more for the traditional residential dining program and is open for service seven days a week for breakfast, lunch, brunch on weekends, and dinner. The resident dining program features self-serve fresh salad and sandwich bar, as well as a hot entree line. A variety of meal plans are available to our residents and an off-

campus plan is also available to apartment and commuter students. Visit the Food Service Office in Tredtin Hall for information or to make off-campus plan purchases.

### ***2.1.13 REQUESTING SETUPS***

Setups for University events that require tents, chairs and tables are requested according to the following guidelines:

- Dates are subject to availability and should be requested and confirmed with Facilities well in advance of planning any event. The first step in planning any event that will need a setup is to confirm an available date for that location with the Facilities Department. **Consult the “Tents, Tables and Chairs” Calendar on the University web portal <https://portal.chaminade.edu/resources/calendars/Pages/default.aspx>.**
- All setups must be requested through [www.myschoolbuilding.com](http://www.myschoolbuilding.com) which can also be found on the web portal at the BOOKMARKS tab, under Work Orders and Setup Requests. Requests should be made at least 10 working days prior to the scheduled event date.
- Any requests made with less than 10 working days’ notice are subject to a \$100 fee even if scheduling is still possible.
- All setup requests from clubs will be handled through the Director of Student Activities, who will be the liaison between the clubs and the Facilities Department.
- All essential academic, enrollment, presidential, institutional advancement, etc. events that are integral to the functioning of the University will have priority over all other events. In fact, they may bump other events from time to time. The essential events include graduation, orientation, recruitment tours of campus, presidential functions, major donor gatherings, etc.
- All requests not in the essential category must have signed authorization from the department head. These include, but may not be limited to the, Assistant Dean of Students, Director of Student Activities, Athletic Director, Director of Residential Life, CSGA Advisor and Academic Division Deans.
- Facilities will keep the setup calendar for events. Unless there is confirmation from Facilities there is no firm date.

### ***2.1.14 PARKING POLICIES***

#### **2.1.14.1 Parking Information for Faculty and Staff**

##### **2.1.14.1.1 INFORMATION FOR VEHICLE REGISTRATION**

1. Chaminade University is privately owned property and Chaminade University, by law, has the right to decide who may park motor vehicles and to regulate traffic on campus.
2. To park a vehicle on campus, all vehicles (cars, trucks, motorcycles, mopeds) must be registered. Chaminade Faculty and Staff must register their vehicle with the Personnel Office and comply with the traffic and parking regulations.

3. Granting permission to park on campus should in no way be construed as making the Marianist Center of Hawaii, Chaminade University, St. Louis School or its employees liable for any damage or theft which may occur. Parking on campus is at the owner's risk.
4. If any vehicle or its parts or contents are damaged or stolen, the incident must be immediately reported to the Security Office, located in the Henry Hall Annex Building or call 735-4792. If the Security Office is closed (after 4:00pm and on weekends and holidays), Security may be reached at Ext 626 or 739-4626.
5. If you damage an unoccupied vehicle on campus, report it immediately to the Security Office as outlined above in paragraph #4, leave a note under the windshield wiper of the other car, stating your name, telephone #, license plate # and the name of your insurance carrier. There is no substitute for courtesy and respect for the rights of others.
6. Parking is on a first come basis.

#### **2.1.14.1.2 PROCEDURES FOR REGISTERING VEHICLES**

1. Requirements
  - a. Complete the Vehicle Registration Form.
  - b. Provide the Vehicle Registration.
  - c. Provide a valid Driver's License.
2. Upon presentation of the required documentation the vehicle will be registered and a parking permit issued. Faculty/Staff permits (static cling decal) must be located in lower corner of windshield. Motorcycle/moped permits must be attached to the front fender.
3. Vehicles may be registered at the Personnel Office located in Freitas Hall, room 9B, Monday through Friday, between 8:30 a.m. and 3:00 p.m. except holidays. Special times, dates and places for vehicle registration will be announced in the Campus Report.
4. If the vehicle is sold or otherwise disposed of, it is the responsibility of the employee to remove the permit from the vehicle and return it to the Personnel Office
5. The registered driver is responsible for all citations issued to his/her permit number.
6. Visitors' passes may be issued to persons having appointments during regular business hours on campus. The visitors passes may be obtained from the Switchboard Operator located in the lobby of Freitas Hall.

#### **2.1.14.1.3 TRAFFIC AND PARKING REGULATIONS**

These regulations shall govern parking and operation of all vehicles on campus and shall be in effect 24 hours daily, 365 days per year.

1. All posted signs regarding traffic control and parking must be observed
2. Parking Areas:
  - a. Red lines indicate immediate tow away zones.
  - b. Yellow lines and curbs designate Faculty/Staff parking.

- c. Orange lines and curbs mark visitor parking. Faculty, staff and students are not authorized to park in this area. These spaces are for bona fide visitors only.
  - d. Blue lines indicate reserved parking. If you park in one of these stalls in violation of the signs, your vehicle will be subject to booting or towing.
  - e. When a vehicle is parked, it must be inside the lines on each side of the vehicle.
  - f. There is designated parking area for motorcycles/mopeds, which is located in front of Henry Hall.
  - g. Kaminaka entrance is one-way only. It is not an exit. The entrance will be open Monday through Friday from 6:30 a.m. to 2:00 p.m. during the Fall and Spring semesters. During the summer it is open from 6:30 a.m. to 8:30 a.m. It is closed on weekends and holidays. If you attempt to exit from this location you may be cited with a \$50 dollar citation.
  - h. All traffic must proceed in the designated direction. Failure to comply with these instructions will result in the loss of your parking privileges (all streets are one-way).
3. The campus speed limit is 15 M.P.H. unless posted otherwise.
  4. Upon notice of a violation, the violator will be given seven (7) working days to pay such fines. If not paid in seven (7) working days there is an escalating fee.
  5. All imposed fines are over and beyond vehicle removal and storage charges, if any. The permit holder shall be liable for fines for violations, whether driving or not.
  6. Supervisors will be notified of the tickets that are issued to the employees who fall under their purview.

#### **2.1.14.1.4 APPEALS**

Any person may appeal his/her citation. Appeals must be submitted in writing within three (3) working days after the alleged violation to the Director of Personnel. A decision regarding the appeal shall be made within seven (7) working days from the receipt of the written appeal request.

Notice: If you park in the St. Louis School parking stalls, your vehicle may be ticketed/towed immediately. The St. Louis parking stalls are marked as such on the curb. You may park in the St. Louis stalls after 4:00 p.m.

#### **2.1.14.2 Parking Information for Day and Evening students**

See the current Student Handbook.

### **2.1.14.3 ADA Parking**

Members of the campus community with accessible parking requirements may request a reserved parking space. The request must include a copy of the requestor's Blue Card. A current ADA Parking Permit is required to use the space.

Visitors with accessibility needs should contact Security for parking instructions and assistance. A map of accessibility routes and facilities is available from Security.

## ***2.1.15 GOLF CART POLICY AND PROCEDURES***

### **2.1.15.1 Introduction**

This policy provides guidelines for the use of electric or gas-powered golf carts on the Chaminade campus. The intent is to establish proper safety procedures and practices, as well as to promote and provide for a safer environment for students, faculty and staff.

### **2.1.15.2 Statement Of Policy**

This policy applies to staff, faculty and students of the University as well as contractors/vendors operating on campus.

The safe operation of carts is important. Failure to follow this policy, follow common practices or courtesies or follow rules of the road could result in suspension of the operator's cart driving privileges and/or disciplinary action.

All persons operating a golf cart must pass a cart safety road test administered by Environmental Safety Officer. After passing the test the operator must sign a statement acknowledging that he has read and agrees to follow the Golf Cart Policy and Procedures.

Departments will determine who will be allowed to drive their carts.

### **2.1.15.3 Procedures For Safe Operation**

- Operators must adhere to the speed limit; observe one-way markings and other traffic rules of the University.
- Operators cannot wear headsets while driving the carts.
- Operators must not drive the carts while their judgment is impaired
- (e.g. intoxicated, on medication).
- Operators are prohibited from driving the carts on roadways outside the boundaries of the University.
- Operators should drive slowly over the speed bumps to avoid damages to the cart.
- Operators should pull over to allow automobile traffic to pass.
- Pedestrians have the right-of-way. Carts must yield to pedestrians. Speed must be reduced to a minimum when driving along or crossing the sidewalks as to avoid accidents with pedestrians.

- Carts are not to be overloaded, i.e. carrying more passengers than seating provided or overloading the cart's recommended carrying or load capacity.
- Cart operators are responsible for ignition keys for the period of time in which they are using the vehicle. Keys shall not be left in carts.
- Carts must be secured to avoid unauthorized use or unattended movement.
- Operators must park carts away from heavily traveled pedestrian areas. Carts should not block the path or limit pedestrian access on walkways. Carts should not be parked in restricted parking areas (e.g. handicapped, reserved, etc.)
- University-owned carts are used for University business only.
- Facilities is responsible for making repairs to the carts. The responsible Department is responsible to have their carts charged if battery operated and to ensure that the cart has gas and water if gas operated. All repair and maintenance costs (labor, parts and supplies) will be charged to the Department which has the responsibility assigned for the cart.
- The Director of Administrative Services is responsible for purchasing new and used carts. The cost of the cart will be charged to the Department using the cart.
- Operators with two or more cart driving violations will be prohibited from future use of carts. Operators found to have engaged in serious violations may have driving privileges suspended immediately and permanently removed by the director of the Department responsible for the cart.

**2.2 Moved to Volume III 3.1.1 Equal Opportunity and Non-Discrimination Policy**

**2.3 Moved to Volume III 3.1.9 Institutional Harassment and Discrimination Policy and Operational Procedures**

**2.4 Blank**

**2.5 Health Policies**

***2.5.1 ALCOHOL AND DRUG POLICY***

Respect is the foundation upon which Chaminade University bases its alcohol and drug/illegal substance policy as outlined in the following areas:

1. Respect for oneself. Those who are of legal age and choose to drink must never do so in a manner that puts them at personal risk.
2. Respect for others. Those choosing to drink must not drink to a level or in a situation where the rights and well-being of others might be endangered. Use of illegal substances or alcohol

abuse does not excuse students and employees from inappropriate conduct or neglect of their responsibilities.

3. Respect for property. Research indicates that most campus vandalism and destruction is directly related to alcohol consumption. Each individual will be held responsible for any damage done while under the influence of alcohol or drugs.

#### **2.5.1.1 Alcohol**

In accordance with Hawaii State Law, Chaminade University does not permit the purchase, possession, manufacturing, consumption, or furnishing of alcohol by persons under 21 years of age. Intentionally or knowingly providing alcoholic beverages to persons under the age of 21, or to persons obviously inebriated, is not permitted. This prohibition applies to faculty, staff, and students who are responsible for any University function on or off University property. Public intoxication is strictly prohibited.

For individuals who are 21 year of age or older, the use of alcohol in University-approved areas on campus, including the residence halls, is allowed when done in a responsible, moderate, legal manner and in accordance with established University policies.

Students and/or student organizations seeking permission to serve alcohol at a University sanctioned events on property owned or controlled by the University must review the “Campus Event Alcohol Policy” and complete the procedures requested by the policy. Student and/or organizational fees are not to be used to purchase alcohol. Requests for approval must be in writing two weeks prior to the proposed event. Students are responsible for completing the form, including obtaining all the necessary signatures, and returning the completed form to Director of Student Activities within the timeline indicated on the form and in the Chaminade University Campus Event Alcohol Policy pamphlet. This information is also provided in Section 7.8 of the Student Handbook.

#### **2.5.1.2 Important Additional Information on Alcohol Use**

Federal law mandates that students understand that alcohol consumption causes marked change in behavior. Low doses significantly impair the judgment and coordination required to drive a car safely. Low to moderate doses increase the incidence of a variety of aggressive acts, including date rape, spouse abuse, and child abuse. Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person’s ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the described effects.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs including the brain and liver. Pregnant women who consume alcohol during pregnancy may give birth to infants with fetal alcohol syndrome.

### **2.5.1.3 Drugs/Illegal Substances**

Chaminade University prohibits the possession, manufacture, consumption, sale, and furnishing of illegal substances, including narcotics or controlled substances except as expressly permitted by law, on University owned or controlled property, or at a University sponsored event in compliance with the Drug-Free Schools and Communities Act of 1989.

The Controlled Substance Act (1970, amended 1984) and the Anti-Drug Abuse Act of 1986 provide penalties for unlawful manufacturing, distribution, and dispensing of controlled substances. Other penalties are sanctioned under Hawaii state and local laws.

Suspected violations will constitute grounds for notification of civil authorities. CUH will cooperate fully with federal, state, and local law enforcement authorities to enforce drug and alcohol statutes.

Members of the Chaminade University community who violate federal and state alcohol and drug statutes or University policies as detailed in this Policy Manual on University owned or controlled property, or at University sponsored functions, are subject to institutional judicial process in addition to any criminal prosecutions by civil authority. Internal sanctions may range from reprimand to dismissal from employment or registration at the University.

For purposes of this policy, the campus is defined as any area used for educational, recreational, residence hall or parking purposes, including surrounding sidewalks and exterior areas.

### **2.5.2 SMOKING REGULATIONS**

The purpose of this policy is to provide and maintain a healthful and clean working environment. A mutually comfortable atmosphere for the Chaminade University community is dependent upon the thoughtfulness and cooperation of both smokers and non-smokers. Therefore, in compliance with Hawaii law, there shall be no smoking in any classroom, office building, partially enclosed area, eating area, or in any space within twenty feet of entrances, exits, air intake areas, eating areas, and partially enclosed areas. There are designated smoking areas around campus in order to accommodate the people who do smoke.

### **2.5.3 SERIOUS DISEASE POLICY**

Serious diseases for the purposes of this policy include, but are not limited to, cancer, heart disease, multiple sclerosis, hepatitis, tuberculosis, human immunodeficiency virus (HIV), and acquired immune deficiency syndrome (AIDS). The University will support, where feasible and practical, educational programs to enhance employee and student awareness and understanding of serious diseases.

Employees or students with infectious, long-term, life-threatening, or other serious diseases may continue their work at the University as long as they are physically and mentally able to perform the duties of their job or meet their academic responsibilities without undue risk to their own health or the health of other employees or students. Accommodations for employees or students with such conditions please refer to the Reasonable Accommodation Policy Volume III Section 3.1.6 for details.

Harassment of individuals with or suspected of being infected with any disease is not acceptable behavior at the University and will be strictly censored. The diagnosis of the condition, as any other medical information, is confidential.

### **2.5.3.1 Specific Information Regarding AIDS and HIV Infection**

As an educational institution, Chaminade University's primary response to the epidemic of HIV infection (which can lead to AIDS) is educational. As stated in a report by the American Council on Education, public health officials and the American College Health Association consider education to be the best method of preventing the spread of AIDS.

Individuals infected with the AIDS virus (HIV) are protected under the Rehabilitation Act of 1973. The Rehabilitation Act prohibits discrimination against qualified disabled individuals by institutions receiving federal financial assistance or contracting with the federal government.

Chaminade rests its policies on the assumption that the AIDS virus (HIV) is not transmitted by casual contact and thus does not present a significant risk of transmission in most situations. HIV infection is not transmitted by sharing office space, sitting next to an infected individual, sharing telephones, swimming pools, showers, toilet facilities or eating facilities, nor by sneezing, coughing or nose-blowing. If there is not an exchange of blood or bodily fluid, the activity poses no documented risk of transmission of infection and should not be restricted because of fear of transmission of HIV infection.

Chaminade recognizes that students, faculty or staff who are infected, or are believed to be infected, with HIV should not suffer irrational and scientifically unfounded discrimination on-campus.

## **2.6 Safety Policies**

### **2.6.1 EMERGENCY MANUAL**

See Separate Document

### **2.6.2 HAZARDOUS MATERIALS POLICY**

#### **2.6.2.1 Hazardous Materials Communication Program**

See Separate Document

#### **2.6.2.2 Hazardous Waste Management Program**

See Separate Document

#### **2.6.2.3 Chemical Hygiene Plan**

See Separate Document

#### **2.6.2.4 Policy and Procedures Regarding Exposure to Blood Borne Pathogens**

See appendix 2.6.2.4.1

## **2.7 Protection of Human Rights and Animal Subjects of Research Investigations**

The University is responsible for safeguarding the rights and welfare of human subjects in any research, development, and related activity; and for assuring the proper care of laboratory animals used in research. In determining policy in these matters, the University is guided by

- (a) the “Principles for Use of Human Subjects in Research” and “Principles for Use of Animals in Research” approved by the American Psychological Association, and
- (b) the Code of Federal Regulations (45 CFR 46). It is essential that researchers and applicable academic unit heads be fully familiar with these materials.

The Provost receives proposals from all faculty and administrative staff conducting research involving human or animal subjects, regardless of the form, location, or whether or not it is funded or if other institutional review has been made, e.g., by a hospital institutional review board. If applicable, a copy of that review is to accompany the proposal. Students who carry out research projects involving human or animal subjects must receive approval of the student’s protocol by the faculty member sponsoring and supervising the research in the student’s proposal. The Provost will determine if the proposed research will need an external review by an institutional review board (IRB). If an external review is needed, the University has contracted with *Papa Ola Lokahi* to conduct this review.

## **2.8 Emergency Notification Policy**

## **2.9 Video and Electronic Surveillance Policy**

The purpose of the Video and Electronic Surveillance Policy is to deter crime, protect the safety and the property of the campus community, enforce university policy, and to assist Chaminade University and law enforcement in criminal and civil investigations.

The University respects the privacy of individuals who are using University buildings and grounds. The University will take pragmatic and measured steps to provide a safe and secure environment while avoiding unnecessary intrusions upon academic freedom or individual civil liberties including privacy, freedom of expression, and freedom of assembly.

The approval, installation, operation and use of all video and electronic surveillance systems shall comply with all applicable state and federal laws, and all institutional policies and standards, including but not limited to those laws and policies that prohibit discrimination and harassment and that honor an individual's reasonable expectation of privacy in accordance with accepted social norms.

This policy applies to all video and electronic surveillance systems located on University facilities and grounds. Video and electronic surveillance systems that are used for the following purposes are excluded from the scope of this policy:

- Deliver education;
- Conduct university teaching, research, or creative activity;
- Conduct video conferencing;
- Record public performances, events, or interviews;
- Record practices or rehearsals;

- Record news or press coverage;
- Produce promotional materials; or
- Used for specific criminal surveillance activity.

The University reserves the right to review and approve any use of video surveillance technology on facilities owned, leased or controlled by the University in accordance with this policy.

### **Approval, Installation, and Operation**

Video and electronic surveillance systems shall only be installed and operated following prior review and approval by the Video Surveillance Committee (Committee) and confirmed by the President's Leadership Council (PLC) and only as outlined in this policy. The approval and confirmation must be clearly stated in Committee and PLC written meeting minutes.

Exceptions to the prior review and written approval requirement may be made in the event of an emergency and if there is an imminent threat to the safety or the security of the University community.

Video and electronic surveillance systems shall be installed and operated by a limited number of authorized operators who:

1. Demonstrate a legitimate need for such access consistent with the purposes of this policy;
2. And have signed and submitted the Video Surveillance Confidentiality Agreement.

Video and electronic surveillance systems that exist at the time of this policy's approval shall be brought into compliance with this policy within 3 months.

### **Appropriate and Prohibited Uses**

Video and electronic surveillance systems shall not be installed in or used to monitor or record areas where there is a reasonable expectation of privacy in accordance with accepted social norms. These areas include but are not limited to restrooms, locker rooms, individual residential rooms, changing or dressing rooms, health treatment rooms, and private offices.

Video and electronic surveillance systems shall not be used to record audio unless prior approval is obtained from the President's Leadership Council.

Video surveillance systems shall not be used to monitor or record sensitive institutional or personal information that may be found, for example, in an individual's workspace and on a computer or other electronic display. Video surveillance systems shall not be used to monitor employee attendance and work schedules.

Surveillance information obtained through video and electronic surveillance systems shall not be accessed, used, or disclosed except as outlined in this policy.

Information obtained through video and electronic surveillance systems will be primarily used for security, investigations of university policy violations, and law enforcement purposes. Information may also be used in civil or criminal proceedings against person(s) whose activities are shown on the recording and which are the basis for the proceeding.

## Procedures

1. **Approval and installation.** Video and electronic surveillance systems shall be installed only upon the recommendation of the Video Surveillance Committee and the approval of the President's Leadership Council.
2. **Inventory and documentation.** The Video Surveillance Committee shall maintain a master inventory and associated documentation of all existing and approved video and electronic surveillance systems, equipment, and authorizations. The inventory and documentation shall be maintained in the office of Dean of Information Technologies and Support.
3. **Location.** The location of video and electronic surveillance systems shall be included in a master list maintained by the Environmental Safety Officer.
4. **Management and operation.** Video surveillance systems installation, administration, and management will be centralized and coordinated by the Dean of Information Technologies and Support. Exceptions to the centralized system(s) will be extremely rare, and only with prior approval of the Video Surveillance Committee or the Executive Director for Compliance and Personnel Services.
5. **Operators.** Operators are required to submit a signed Video Surveillance Confidentiality Agreement to the Environmental Safety Officer. The statement includes an acknowledgement that the operator has received and read this policy.

Operators understand that the content of surveillance information is considered confidential and the violation of confidentiality and privacy standards set forth in this policy may result in disciplinary action.

6. **Approval of operator access.** The Video Surveillance Committee will review and approve requests for operator access to video and electronic surveillance systems.
7. **Storage and retention of surveillance information.** Surveillance information must be stored in a secure location and configured to prevent unauthorized access, modification, duplication, or destruction. Surveillance information will be kept for a minimum of fourteen (14) days unless authorized by the Executive Director for Compliance and Personnel Services, and it shall be destroyed in a secure manner and within a reasonable time after the fourteen (14) day retention period expires. If retention is required, it must be in conformance with this policy and shall be less than one year, unless surveillance information retention is required as part of an ongoing investigation.
8. **Release of surveillance information requires authorization.** Surveillance information

shall only be released to non-operators under specific circumstances, and only upon review and approval of the Executive Director for Compliance and Personnel Services or the Dean of Students. Requests for surveillance information must be submitted in writing and documentation will be kept in the Office of Compliance and Personnel Services. Unauthorized access to, inadequate protection of, and inappropriate use, disclosure, and/or disposal of surveillance information must be reported immediately to the Executive Director for Compliance and Personnel Services and the Dean of Students. Exceptions to prior review and written approval requirement may be made in the event of an emergency and/or an imminent threat to the safety and security of the University community that requires immediate non-operator access, e.g., law enforcement requires surveillance footage to locate active shooter on campus. If a situation is not urgent or imminent, e.g., an investigation, the foregoing authorization is required.

9. **Use of surveillance information.** Surveillance information may be accessed or otherwise used by authorized operators only as authorized and in accordance with this policy.
10. **Notice.** Signs may accompany video and electronic surveillance systems. The Video Surveillance Committee will be responsible for approving signage and sign locations. Signage posted should include a statement indicating that the surveillance is not actively monitored.

## **Definitions**

### **Video Camera**

A digital or analog device that captures a single image (still, snapshot, photograph), a number of single images shot per time period (stop action, time lapse), or multiple images (motion, video) that is installed and operated in accordance with this policy.

### **Video Surveillance Committee**

The group responsible for reviewing and approving aspects of video and electronic surveillance systems including related policies and procedures.

### **Electronic Surveillance Device**

A digital or analog device that has the capability to monitor or record audio, video, or photographic images, including but not limited to cameras, microphones, audiocassette recorders and webcams.

### **Facilities**

All buildings and grounds that are owned or controlled, through leases or other contractual arrangements, by Chaminade University. This definition includes but is not limited to, offices,

labs, building exteriors, hallways, parking lots and garages, outdoor areas, common areas, and off campus buildings. University buildings and grounds that are exempt from this policy must be specifically excluded by a lease, contract or other written agreement

### **Operators**

Individuals who have been assigned responsibility by the Video Surveillance Committee for the operation and use of video and electronic surveillance systems.

### **Surveillance Information**

All information captured by an electronic surveillance system. This definition includes system logs, audio, stills, snapshots, stop action, and video images whether transient, displayed, or recorded.

### **Video**

The process of monitoring or recording visual images via stop action, time lapse, or motion cameras.

### **Video and Electronic Surveillance Systems**

Any video or electronic surveillance system deployed by the University, including its officers, administrators, employees, or agents, for purposes including, but not limited to, public safety, security, or operational effectiveness purposes. "Systems" may monitor or record a specific location or activity and covers all electronic surveillance devices, processes, technology, and equipment, including but not limited to microphones, cameras, images, audio, video, snapshots, configuration settings, logs, software, and hardware.

### **Disciplinary Action**

Failure to comply with this policy may result in disciplinary action.

#### ***2.9.1 TECHNOLOGY USE POLICY***

Chaminade University is committed to excellence in teaching. In an effort to support the University community in these endeavors, the institution has assembled a wide variety of technology resources for general use. These resources are for use by persons currently affiliated with the University, including but not limited to, students, faculty, and staff.

The technology resources that are owned by the University are to be used for University-related activities for which they have been assigned. University technologies are not to be used for commercial purposes or non-University-related activities without written authorization from the University.

Access to technology resources at the University is a privilege and must be treated as such by all users. Like any other campus resources, abuse of these privileges can be a cause for campus disciplinary procedures and/or legal action. Furthermore, the University reserves the right to extend, limit, or restrict technology privileges and access to information resources. When an employee or student leaves Chaminade University, unless authorization for continued access is obtained in advance, all University technology privileges will be suspended immediately.

With regard to web pages hosted by the University, Information Services is available to provide stylistic assistance, although its main role is an advisory one, with primary control of content residing within each unit (see 2.9.5.9 Suspension of Individual Privileges for further information). However, Information Services will have the ultimate authority to decide if web content is acceptable and to suspend access to it if it is deemed unacceptable, under the direction of the President's Leadership Council.

The Computer Crime Statute of the Hawai'i Revised Statutes of the Hawai'i penal code, while not reproduced here, shall be considered a part of the University's Acceptable Use Policy. The University's website privacy notice is also important supplemental material to this policy.

The University has the right and responsibility to provide the University community with information technology resources and services. While providing these services is of primary importance, there are other areas of importance aside from physical resources. The following is a general description of the responsibilities, the rights, and the obligations of the users and of the University.

## **2.9.2 INDIVIDUAL RESPONSIBILITIES**

Along with the privilege of using the University's technology resources come responsibilities on the part of the user. Since certain privileges are given to each member of the University community, individuals are held accountable for their actions as a condition of continued membership in this community.

### **2.9.2.1 Precautions Relative to the Misuse of Technology Resources**

It is imperative that all users of the University's technology resources be aware of the risks and dangers that can occur from using these resources for non-academic, non-research or other non-University purposes. We strongly discourage users from using the technology resources for purposes of establishing personal contact with individuals previously unknown to the user. The possibility of the user being put in danger of physical harm, or another type of compromising position, cannot be overstated. Therefore, users are strongly urged not to use technology resources for purposes of pursuing personal relationships. All students, faculty, staff, outside vendors and consultants using the resources of the University must sign the Chaminade University Acceptable Use Policy for Technological Resources.

### **2.9.2.2 Criminal Acts**

No person shall use University technology resources for illegal or criminal activities, including, but not limited to illegally accessing computer systems (this University's or other systems), exploiting security flaws, releasing computer viruses or worms, obstruction or denial of service attacks, and accessing files, including e-mail, without authorization. Any illegal and /or criminal

activities will result in disciplinary action up to and including all provisions of the Computer Crime Statute of the Hawai'i Revised Statutes of the Hawai'i penal code.

### **2.9.2.3 Moral and Ethical Standards**

It is expected that all users of all University technology resources will be guided by the ethics, morals, and Catholic and Marianist values and standards of this institution. Every user must respect the rights and dignity of others by using the technology resources responsibly and in accordance with the highest ethical and moral standards. Therefore, certain behavior not consistent with the ethics, morals, and values of this institution and/or any reasonable person will not be tolerated. Following are some, but not all, uses considered unacceptable:

- Harassment that would cause distress, embarrassment, discomfort or intimidation based on race, national origin, disability, religious belief, gender, sexual orientation or other types of intimidation.
- Offensive, tasteless, sexually explicit materials and images.
- Using the institution's resources as a conduit to attempt unauthorized access to on or off-campus resources.
- Vulgar, abusive, or offensive language.
- Violation of copyright laws by using, copying, distributing or storing copyrighted programs and materials, including downloaded music and/or video data from the Internet.
- Academic dishonesty, including but not limited to plagiarism (copying of the work of others in violation of authorial integrity).
- Behaving in any way that demonstrates a lack of respect for the rights and privacy of others.

If anyone is witness to, or the victim of, any of the above abuses, it is that person's responsibility to report the situation to either the Director of the Office of Educational Technology (OET) or the Director of Management Information Systems (MIS), who may handle the individual situation to a satisfactory conclusion, or refer the action for disciplinary action to appropriate administrators or governing bodies.

### **2.9.2.4 Common Courtesy and Respect for the Rights of Others**

Each person is responsible to all other members of the University community in many ways, including to respect and value the rights of privacy for all, to recognize and respect the diversity of the population and opinion in the community, to behave ethically, and to comply with all legal restrictions regarding the use of information that is the property of others.

### **2.9.2.5 Harassment**

No member of the community may, under any circumstances, use technology to libel, slander, or harass any other person. Persons so doing may come under the University Discipline Procedures in Volume IV, Subsections 4.8.6-8; Volume V, section 5.9.1.4 or the Student Handbook.

Examples of harassment by technology:

- Using to annoy, harass, terrify, intimidate, threaten, offend or bother another person by conveying obscene language, pictures, or other materials or threats of bodily harm.

- Using technology to contact another person repeatedly to harass, or bother, whether or not any actual message is communicated, and/or where no purpose of legitimate communication exists, and where the recipient has expressed a desire for the communication to cease.
- Using technology to contact another person repeatedly regarding a matter for which one does not have legal right to communicate, once the recipient has provided reasonable notice that the recipient desires such communication to cease (such as debt collection).
- Using technology to disrupt or damage the academic, research, administrative, or related pursuits of another.
- Using technology to invade the privacy, academic or otherwise, of another or the threatened invasion of the privacy of another.

This section explicitly prohibits the use of video technology in restrooms, locker rooms or other situations which would not normally be considered public or where users of the facility may reasonably expect privacy.

#### **2.9.2.6 Privacy of Information**

No person should look at, copy, alter or destroy anyone else's personal files without explicit permission (unless authorized or required to do so by law or regulations). The ability to access a file or other information does not imply permission to do so. Similarly, no one should connect to a host on the network without advance permission in some form. People and organizations link computers to the network for various reasons, and many consider unwelcome connections to be attempts to invade their privacy or compromise their security.

#### **2.9.2.7 Intellectual Property**

Each person is responsible for recognizing (attributing) and honoring the intellectual property rights of others. Violation of this is plagiarism. See Subsection 4.12.3 of Volume IV of this Policy Manual.

#### **2.9.2.8 Copyright Respect**

Each person shall be responsible for adhering to copyright laws including, but not limited to, downloading music and video files from the Internet.

#### **2.9.2.9 Game Playing**

Limited recreational game playing, that is not part of an authorized and assigned research or instructional activity, is tolerated within the parameters of each department's rules. Institutional computing and network services are not to be used for extensive or competitive recreational game playing. Recreational game players occupying a seat in a computing facility must give up that seat when others who need to use the facility for academic or research purposes are waiting. Game playing that interferes with the operation of the University's technology resources will not be tolerated.

#### **2.9.2.10 Informational Integrity**

It is the user's responsibility to be aware of the potential for, and possible effects of, manipulating information, especially in electronic form, to understand the changeable nature of

electronically stored information, and to verify the integrity and completeness of information that is compiled or used. The user should not assume that information or communications are correct when it appears contrary to expectations; it should be verified with the person who originated the message or data.

#### **2.9.2.11 Sharing of Access**

Computer accounts, passwords, and other types of authorization are assigned to individual users and must not be shared with others. Each individual is responsible for the use of his or her own account, password or authorization codes. Disciplinary action may be taken against persons using passwords and/or authorization codes assigned to another user(s).

#### **2.9.2.12 Commercial Use**

No person shall use University technology resources for commercial purposes or private gain, including, but not limited to, marketing a home business or hosting a commercial web page.

### **2.9.3 DEPARTMENTAL WEB PAGES ON CHAMINADE SERVERS**

Chaminade University has an official web site, accessible through <http://www.chaminade.edu>. This represents the main marketing and communications thrust of the University and is subject to close editorial scrutiny. All modifications to format or content are the responsibility of the President's Leadership Council, although the Council delegates responsibility for content to the individual campus units. Content and format control is maintained through a combination of pre-formatted templates for adding and changing content and through an approval process administered by the University's Office of Community Relations. Curriculum-related web pages are administered by the Office of Educational Technology as part of course-management software implementation.

The University does, however, recognize that individual units may wish to establish home pages which are more easily modified and which reflect designs that are more closely related to the individual unit's image. Such homepages and associated sub-pages may be established on University servers subject to the following policies.

#### **2.9.3.1 Relationship between University and unit web pages**

As noted above, the web site at [www.chaminade.edu](http://www.chaminade.edu) is the principal University web presence. Creation of a local homepage does not lessen the responsibility of units to contribute to the University site. Units are expected to monitor and update their pages on the main web site regardless of any unit web presence they may maintain.

#### **2.9.3.2 Adherence to University Policies**

All infrastructure usage and web page content must adhere to the University's Acceptable Use Policy, as delineated in section 2.9 of the University Policy Manual, especially the provisions concerning intellectual property rights and plagiarism.

### **2.9.3.3 Resource Utilization**

University computer and network resources are limited. If unit web sites consume a disproportionate amount of resources the unit may be asked to either reduce usage or purchase additional resources for use by the entire University.

### **2.9.3.4 Content**

All unit web pages are expected to present Chaminade University in a favorable light. Accuracy of information, grammatical usage, spelling, maintenance of links, and the general tone of pages all contribute to a positive impression. While no pre-publication screening of web pages is anticipated, it is expected that unit directors will correct errors when they are reported. If a unit fails to properly maintain its home page and associated structure, it may be un-linked from the University web site. In extreme cases the offending web pages may be removed from University equipment.

### **2.9.3.5 Design**

It is expected that unit web pages will reflect the tenor of the unit discipline. While no restrictions are placed on design of unit web pages, units should be aware that creating an attractive and effective web structure is a difficult task, and should employ good design practices, such as those described at <http://hotwired.lycos.com/webmonkey/>. Units are also urged to take advantage of the expertise of IS&L personnel.

### **2.9.3.6 Student Web Pages**

Units with Departmental Web Pages may allow students within their discipline to create web pages for pedagogical purposes or to demonstrate student competence to potential employers. Individual units are responsible for monitoring the content of such web pages (including links) to ensure that they follow these policies.

### **2.9.3.7 Resolution of Disputes**

It is expected that most questions and disagreements concerning content, design, and appropriateness of unit web pages will be resolved in a collegial way within Chaminade's Catholic and Marianist traditions. In unusual cases, should such amicable resolution prove impractical, disputes should be referred to the President's Leadership Council for a final decision.

## ***2.9.4 UNIVERSITY ELECTRONIC MAIL***

The University provides an electronic mail (email) server for use by faculty and staff which is accessible both on and off campus. It is used for both official and unofficial communications. Each employee is issued an email account when they are hired. Official University email will be sent to that account. The account will be deactivated when the employee leaves Chaminade.

### **2.9.4.1 Purpose**

Email is the primary communications conduit for official announcements within the University. It is especially critical for time-sensitive messages, but is also commonly used for general official communication. While the main purpose of the Chaminade email server is for official

communications, employees and students may make use of the service for personal communication as well, so long as such communication falls within the individual responsibilities as described under 2.9.2 of this policy.

#### **2.9.4.2 Responsibility to Monitor Email**

All employees of Chaminade are responsible for accessing their email accounts frequently, since important and time-sensitive materials may be sent at any time.

#### **2.9.4.3 Use of Other Email Servers**

Individuals may prefer to receive official Chaminade email using a service other than that provided by the University. The University does not insist that official email be read using the Chaminade server, however it assumes no responsibility for forwarding email: all official email will be sent to the individual's Chaminade address. Individuals who wish to forward their email should contact the service they wish to use for instructions on how to retrieve their email using that service. Alternatively, the web interface to Chaminade's email system has provision for forwarding email to any address. Help using this feature is available from ISL staff.

### **2.9.5 *INSTITUTION RESPONSIBILITIES AND LIMITATIONS***

The University provides technology to be used in the course of the educational process. Listed below are some of the responsibilities and limitations with regard to the use of technology.

#### **2.9.5.1 Services**

The University has the responsibility to provide, within the overall resource capability of the institution, necessary services to the user through the Office of Educational Technology. These services include, but are not limited to, access to and assistance with technology resources. Problems, questions, and comments on technology resources should be directed to the Office of Educational Technology.

#### **2.9.5.2 Allocation of Resources**

The University has the right and responsibility to allocate its resources in a manner consistent with the achievement of its overall mission.

#### **2.9.5.3 Anti-Harassment Procedures**

The University has the responsibility to develop, implement, maintain, and enforce the appropriate procedures to prevent harassment through the use of its technology resources, and to impose appropriate penalties when such harassment takes place.

#### **2.9.5.4 System Administration Access**

A System Administrator may access others' files for the maintenance of the networks, computer and storage systems, such as to create backup copies. Monitoring of Usage, Inspection of Files

The University may routinely monitor and log usage data such as network session connection times and end-points, computer and disk utilization for each user, security audit trails, network loading, etc. The institution has the right to review data for evidence of violation of law or

policy, and other purposes. Except for monitoring required for system maintenance, requests to monitor usage must come from the dean or director level, in writing (see Section 2.9.5.6, below).

#### **2.9.5.5 Imposition of Sanctions**

The University may impose sanctions and discipline any person who violates the policies of the University regarding the usage of technology resources, up to and including all provisions of the Hawai'i Revised Statutes Computer Crime Statute of the Hawai'i penal code. When necessary, the institution has the right to monitor all the activities and inspect the files of specific users on their computers and networks. Any person who believes such monitoring or inspection is necessary should contact the dean or director of their unit. The dean or director should make a written request to the director of the Personnel Office, who will determine if monitoring is warranted. If so, the Dean of Information Services will be asked to instruct the Director of Network and Desktop Services to perform the monitoring or inspection, if feasible. In all cases, all individuals' privileges and privacy will be preserved to the greatest extent possible.

#### **2.9.5.6 Control of Access to Information**

The University may control access to its information and the devices on which it is stored, manipulated and transmitted in accordance with state, federal and international law, as well as its own standards and policies.

#### **2.9.5.7 Security**

The University has the responsibility to develop, implement, maintain and enforce appropriate security procedures to insure the integrity of individual and institutional information, however stored, and to impose appropriate penalties when privacy is purposefully violated. Although the University uses security precautions, users are cautioned that any computer connected to a network, especially the Internet, is vulnerable to security violations.

#### **2.9.5.8 Suspension of Individual Privileges**

The University has the right to suspend access to technology resources for reasons relating to the safety and well-being of the campus community or University property. Access will be promptly restored when safety and well-being can be assured, unless access is to remain suspended as a result of formal disciplinary action, through appropriate formal process and procedures.

#### **2.9.5.9 Upholding of Copyrights and License Provisions**

The University has the responsibility to uphold all copyrights and licensing of technology resources. The University must also follow all laws governing access and use of information, and rules of organizations supplying resources to members of the community. The University specifically reserves the right to install software inventory programs on servers and workstations to gather information necessary for copyright enforcement.

#### **2.9.5.10 Data Availability**

The University will take reasonable precautions to guard against corruption of data or software or damage of data stored on the University resources. Backups will be taken on a regular basis of all data residing on servers regulated by the University. In the best interest of the user it is

strongly recommended that the user should make backups of critical data. Under no circumstances does the University assume liability for the loss of information.

### **2.9.5.11 University Technology Resources Discipline**

All users of the University's technology resources must remember that access is a privilege and that the individual is responsible for the individual's actions. The user must adhere to the guidelines and act in an effective, ethical, moral, and lawful manner. See paragraph 2.9.2.3.

### **2.9.6 CHANGE POLICY**

Definition: Change management is necessary to minimize risk from changes made to Chaminade systems. The goal of change management is to:

1. Enable changes to be efficiently scheduled and documented.
2. Allow all affected parties to ensure that their operations will not be negatively affected.
3. Provide an audit trail of changes.

Coverage: This policy covers all modifications to computers, servers, network infrastructure, applications, and web pages (excluding web page content). The precise procedures shown below apply to machines using the Windows operating system. They will be adapted for other operating systems (such as Macintosh) on a case-by-case basis.

#### **2.9.6.1 Classrooms (including H121, H37, and H124)**

##### **Policy**

1. All Windows-based computers in classrooms and labs will have the basic Chaminade suite loaded. This will be loaded from a master CD to ensure consistency. Macintosh and other non-Windows machines will have software loaded on a case-by-case basis.
2. All software versions on all machines in a given room will be the same.
3. Software will be loaded once each year (in August).
4. Additional programs may be loaded on machines at the discretion of IS&L, but only if requested one week before needed for single-computer classrooms and three weeks for multi-machine classrooms and labs and providing proof of a valid license is available. This assumes the software is available on campus; if software must be ordered, order and shipping times are in addition to these. Only software known not to conflict with existing applications will be loaded. The requestor is responsible for providing funding for any software requested in this way.
5. Computers will be configured to return to the basic configuration (including changes made under step 4, above) each time a reset occurs.

##### **Procedure**

1. The basic Chaminade software suite will be posted in the web portal.
2. In February of each year a software proposal for Fall will be published to all users (i.e., via the faculty mailing list).

3. Faculty will be given two weeks to comment and propose changes and additions.
4. Recommended changes and additions will be forwarded to all users. These recommendations may be annotated by IS&L.
5. In March, a general meeting will be held of interested parties to finalize the software suite for the following Fall.
6. A final list will be published before April 30. While every attempt will be made to accommodate requests, IS&L will determine the final configuration.
7. All changes and any unexpected results will be recorded in the Chaminade change log.

### **2.9.6.2 Desktop (office) machines**

#### Policy

1. All Windows-based machines will be loaded with the basic Chaminade suite. Macintosh and other non-Windows machines will have software loaded on a case-by-case basis.
2. Users will not be given administrator rights.
3. Additional software may be loaded if requested and providing a valid license is available, but not if it would interfere with Chaminade operations.

#### Procedures

1. The basic Chaminade suite for office machines will be posted on the web.
2. Additions and modifications will be requested through a web form.
3. Once each year the basic suite and instructions for requesting modifications will be sent via email to faculty and staff
4. All changes and any unexpected results will be recorded in the Chaminade change log.

#### ***2.9.6.2.1 PURCHASE OF COMPUTERS***

#### Policy

Computers purchased through IS&L (even if charged to non-IS&L budgets):

- Are added to the university-wide inventory
- Are replaced on a regular basis
- Are loaded with standard software
- Are maintained by IS&L

Computers which are not purchased by IS&L:

- Are not replaced as part of the regular cycle

- May not have the ability to receive the standard software suite
- Cannot be maintained by IS&L
- Must be configured by IS&L before they are connected to the Chaminade network

Modifications and exceptions to this policy are made under certain circumstances. Two common exceptions are:

1. Computers purchased as part of a grant:
  - These computers should be purchased through IS&L whenever possible
  - When required by the grant they may be purchased directly
  - They are not added to the cyclical replacement list
2. Macintosh computers:
  - Macintosh computers (including laptops) may be purchased instead of Windows.
  - Unit funds must be used for any cost over the price of our standard machine (currently \$1,200)
  - They are added to the replacement cycle, but the excess cost rule above applies to replacements
  - Only limited maintenance is available for Macs; AppleCare must be purchased
  - It is recommended that Windows be loaded as well as the Mac operating system

## Rationale

As dependence on our network for all phases of the University's operations increases, it has become essential that all computers which connect to our network (including access to the internet only) be easily identifiable. Past experience with single computers using our entire bandwidth has shown the necessity for being able to pinpoint problems to a specific computer, and to know where it is located. It has always been University policy that information on all computers resides in a single database. Each fall we conduct an inventory of all Chaminade computers and network printers, regardless of the funds used to purchase them or the location of the computer on campus.

Normally all computers purchased with Chaminade University funds are purchased through Information Services and the Library. There are many reasons for this policy: it reduces the number of computer models to promote efficient maintenance practices, allows for a standard software package to be easily installed (installation of non-standard software can also be accomplished on these machines if requested), ensures that the computers have sufficient capacity to perform in Chaminade's environment,

allows IS&L to contact vendors for repairs and parts, and ensures the security of our network. Normally computers ordered this way take about three weeks, from the time the purchase order is signed, to be delivered to the individual or unit.

#### **2.9.6.2.2 ADMINISTRATOR ACCOUNTS ON UNIVERSITY COMPUTERS**

##### Policy

1. Generally only Least-privileged User Accounts (LUAs) are made available to end-users.
2. If a user needs to have software installed on their computer, a service request is made through the help desk. If the software installation falls within the software policy, it will be installed within five working days, assuming the request is for installation on a standard Chaminade PC.
3. Exceptions to this policy are occasionally made when absolutely necessary (e.g., certain federal programs and grants which require frequent downloading of software). In such cases a separate user account with administrative privileges is installed on the PC and the end-user is asked to sign an MOU indicating that he or she will use that account only when necessary.

##### Rationale

Chaminade's policy on Administrator Accounts is based on a number of factors.

We are in the enviable position of not having been the victim of a major computer virus attack in over six years. With the central importance of computers and of network operations, it is essential that this situation continue. A successful attack would mean that, for the period it would take to clean the network and restore operations, no students could be registered, no faxes could be received or sent, no email could be sent or received, no telephone calls could be made, and no invoices could be paid. While there are manual processes which could allow limited access to some of these services, the effects on the University would be severe.

We have put in place several levels of protection, beginning with a robust firewall to prevent direct attack. However, the literature suggests, and experience confirms, that a major source of viruses and other malicious software is accidental infection through users visiting infected websites. Limiting the ability of rogue sites (which often are unaware that they have been hacked) to install malicious software (malware) is a primary tool in preventing infection. This implies using Least-privileged User Accounts (LUAs) for all University computers.

Even if a virus infection does not spread to or through the network, accidentally downloaded malware has the potential to disrupt University operations. A primary tool for hackers is the key logger: software which runs in the background, records all keystrokes (including passwords), and sends this data to the hacker's site. Should a key logger be inserted, the potential exists for a hacker to mimic any legitimate Chaminade employee, with access to any applications that person uses.

Of course, an individual's ability to perform their daily tasks can be affected by such software, even if the downloaded malware is "harmless." The simple fact that many unknown programs are running in the background on a computer is enough to slow that system down and make it unusable.

Finally, when problem software is intentionally or accidentally installed, a service call is necessary to remove the malware and return the system to normal operation. This affects IS&L's ability to perform other maintenance, and slows down service to everyone.

As a result of these well-documented problems and dangers, and based on industry best-practices, Chaminade has a policy of installing LUAs for all end-users.

### **2.9.6.2.3 *INSTALLATION OF SOFTWARE***

#### **Policy**

Both for ethical reasons and to avoid imposition of penalties and fines (with their concomitant negative publicity), Chaminade University strives to ensure that all software installed on University-owned computers (whatever its source) is either owned or licensed to the University. This implies, among other requirements, that multiple installations not be made unless the software is licensed for multiple users. We also are prevented by licensing requirements from installing software licensed to the University on non-Chaminade-owned computers. The way these policies are implemented depends partially on how the hardware and software is obtained.

A careful reading of the above shows that there are at least three variables involved in our policy:

1. Ownership of the computer
2. Source of the software (i.e., ownership of the software or its license)
3. Method of acquisition of the hardware and software

#### **Procedure**

Summaries of procedures for each case are shown below:

1. Hardware purchased through IS&L (including hardware purchased with unit and grant funds):
  - A. Software purchased through IS&L
    - The standard suite will be installed on all machines, unless it is specifically requested that it not be.
    - Any user-requested software purchased through IS&L will be installed.
    - IS&L will retain all disks, CDs, and DVDs (and, in the case of downloaded software, ID numbers, etc.).
  - B. Software purchased directly by the units or by individuals using University funds:

- IS&L will attempt to install the software (not all software can be installed on all machines).
  - If the software is unable to be installed, the disks will be returned to the requestor.
  - If the software is installed, IS&L will retain all the disks, CDs, and DVDs (and, in the case of downloaded software, ID numbers, etc.).
  - In the case of software licensed for multiple installations, IS&L will retain the all disks, CDs, and DVDs (and, in the case of downloaded software, ID numbers, etc.), and maintain a record of the number of installations performed. No installations will be performed beyond that permitted by the license.
- C. Downloadable software not acquired by purchase (e.g., “shareware”, demo software):
- Download and installation will be performed by IS&L upon request, providing that a valid and acceptable license is included.
  - A waiver of liability indicating that the installation conforms to the licensing requirements and accepting responsibility for the use of the software will be signed by the requestor.
- D. Personally-owned software
- Personal software will be installed on University-owned machines only at the request of the unit’s dean or director
  - A waiver of liability stating that the installation does not violate licensing provisions and accepting all responsibility for the installation’s legality will be signed by the user and the dean or director.
2. Hardware purchased directly by the unit:
- A. The provisions above apply.
  - B. While effort will be made to install software within 5 days of a request being received, installation may be delayed until scheduled installations on computers purchased through IS&L is completed.
  - C. In addition, it must be understood there is no guarantee that software can be installed on computers not purchased or recommended by IS&L.
3. Personally-owned hardware:
- A. University owned software is not installed on personally-owned computers, even if they are used for University work.
  - B. While, as a courtesy, IS&L staff may advise or assist individuals with software installation on their personally-owned computers, pressure of University tasks frequently prevents this.

### **2.9.6.3 Administrative Software**

#### **2.9.6.3.1 ERP (COLLEAGUE)**

##### **1. Policy**

###### **a. Upgrades and bug fixes**

- All changes to ERP software will be accomplished by MIS.
- Software changes being considered will be reviewed by IS&L and by affected units before being implemented in production. The final decision on whether to implement a change will be made by IS&L.
- Changes will be tested before being implemented in production.

###### **b. Requests for additional modules and functionality**

- Suggestions for additional modules and functionality may be initiated by IS&L or by users.
- The medium for suggestions will be a web form on the web portal, which will capture the requestor, the suggested software, a description of the improvements anticipated, the source of the software, and a statement of both initial and continuing costs along with an account to charge.
- The suggested upgrade will be posted on the web portal, and a general message will be sent to the Chaminade community giving the URL of the description.
- Comments will be accepted on the advisability of the requested software.
- A decision will be made by IS&L in consultation with the Chaminade community, and that decision will be posted on the web portal.
- Requests which are accepted will be implemented following the procedures below.

##### **2. Procedures**

- a. Upon notification that a change (including regular software upgrades and bug fixes) has been requested and approved, MIS will first install the change in the test database and check that no obvious problems result.
- b. Once the preliminary check has been made by MIS, notice will be sent by email to units which will obviously be affected (e.g., the business office will be informed about changes to the financial module). The purpose and anticipated effects will be described. Users will be instructed to access the test database to ensure that there are no adverse effects from the new software.
- c. The changes (purpose and anticipated effects) will be posted on the web portal for comment by the general Chaminade community.
- d. After their evaluation, each affected unit will respond with a “go” or “no go” email.

- e. Once clearance has been obtained from all affected units, the change will be implemented on the production system and database.
- f. All changes and any unexpected results will be recorded in the Chaminade change log.

#### **2.9.6.3.2 OTHER COMMERCIAL ADMINISTRATIVE SOFTWARE**

1. Policy
  - a. Changes (including upgrades and bug fixes) may be proposed by users or by IS&L
  - b. All changes proposed will be posted on the web portal, and affected users notified.
  - c. Whenever possible changes will be tested in a test environment; in any case full backups will be done before installation in a production environment.
2. Procedure
  - a. Changes may be requested through notice from vendors, by IS&L, or by users.
  - b. All changes will be posted on the web portal, including a description of the anticipated change, and the reason it is needed. An address for comments will be included in the web page.
  - c. Any comments received will be considered by IS&L in consultation with the software users. A decision will be made by IS&L on whether to apply the requested change.
  - d. Whenever possible the change will be made in a test environment and the results reviewed by users and IS&L.
  - e. Before implementing the change in a production system, a full backup will be performed.
  - f. All changes and any unexpected results will be recorded in the Chaminade change log.

#### **2.9.6.3.3 LOCALLY DEVELOPED SOFTWARE (OTHER THAN WEB APPLICATIONS/CONTENT)**

1. Policy
  - a. Changes (including upgrades and bug fixes) may be proposed by developers, by users or by IS&L
  - b. All changes proposed will be posted on the web portal, and affected users notified.
  - c. Whenever possible changes will be tested in a development environment; in any case full backups will be done before installation in a production environment.
2. Procedure
  - a. Changes may be requested by developers, by IS&L or by users.

- b. All changes will be posted on the web portal, including a description of the anticipated change, and the reason it is needed. An address for comments will be included in the web page.
- c. Any comments received will be considered by IS&L in consultation with the software developers. A decision will be made by IS&L on whether to apply the requested change.
- d. Whenever possible the change will be made in a development environment and the results reviewed by developers, users and IS&L.
- e. Before implementing the change in a production system, a full backup will be performed.
- f. All changes and any unexpected results will be recorded in the Chaminade change log.

#### **2.9.6.3.4 WEB APPLICATIONS AND CONTENT**

##### **1. Policy**

- a. This policy does not cover web page content. Web content changes may be requested by users for IS&L to make changes, or, when users are granted update authority, may be made directly to the web page.
- b. Web applications (including changes to structure, scripts, database structure, etc.) may be requested by developers, by IS&L or by users.
  - All changes will be posted on the web portal, including a description of the anticipated change, and the reason it is needed. An address for comments will be included in the web page.
  - Any comments received will be considered by IS&L in consultation with the software developers and users. A decision will be made by IS&L on whether to apply the requested change.
  - The change will be made in a development environment and the results reviewed by developers and IS&L.
  - Before implementing the change in a production system, a full backup will be performed.
  - All changes and any unexpected results will be recorded in the Chaminade change log.

#### **2.10 Van Driver Policies**

##### ***2.10.1 GENERAL INFORMATION***

#### **Chaminade University Van Administration Contact List**

<b>Contact</b>	<b>Office Number</b>	<b>Email</b>	<b>Purpose</b>
Security	(808) 690-2301	<a href="mailto:security@chaminade.edu">security@chaminade.edu</a>	Emergency Van Release
Student Services Coordinator	(808) 735-4733		Van Certification Van Reservation

To view van availability, please visit:

<https://portal.chaminade.edu/resources/calendars/Pages/default.aspx>

Click on 'VANS' to view van reservations/availability.

### **Van Numbers and Color Code on Web Portal Calendar**

<b>Van 1</b>	<b>Blue</b>
<b>Van 3</b>	<b>Green</b>
<b>Van 4</b>	<b>Red</b>
<b>Van 5</b>	<b>Pink</b>

#### ***2.10.2 CHAMINADE UNIVERSITY VAN POLICY GOALS***

- Support the safety of all van users.
- Encourage van users to assist in the preservation of van interiors & exteriors.
- Maintain the administrative process of van use.
- Encourage all University employees and students to be courteous when using University vehicles and when making reservations that might affect other University staff/students.

#### ***2.10.3 ELIGIBILITY***

Employees, students, registered clubs, and organizations of the University who have completed the certification process and have been approved by Chaminade University's Safety Officer may use the vans for University-only business, and University-sponsored functions and activities such as:

- University business conducted by individuals/groups from various departments
- Athletics & recreational sports and off-campus practices/games

- Field trips/classroom-related outings
- Off-campus programs
- Retreats
- Training
- University-related airport drop-off and pick-up
- Volunteer activities

Vans may only be used on the island of Oahu and are subject to the following passenger capacity restrictions:

A **minimum** of six passengers per reservation, with special permission from Student Support Services for reservations of less than six people.

A **maximum** of 12 passengers per reservation.

#### ***2.10.4 DRIVER REQUIREMENTS***

All University departments, clubs, and organizations may have up to three drivers, with the exception of the Athletics department, Facilities, and Residential Life. Departments may have additional faculty members on the list who regularly use the vans for class field trips and activities. This list serves to limit the number of van drivers for liability purposes. The Student Support Services Coordinator maintains the driver list.

#### ***2.10.5 CERTIFICATION PROCEDURE***

##### **1. Review Vehicle Use and Driver Responsibilities Policy**

All employees and students interested in becoming van certified must meet with the Student Support Services Coordinator and review van user policies and certification procedures.

##### **2. Van Fleet Operation: Department Head/Advisor Form**

This form serves as an agreement between the van driver and their department head/advisor. It is important that the department heads and advisors are aware of who is driving on behalf of their department/club/organization, and to ensure that the driver will abide by the regulations of the Chaminade University Van Usage Policy. Failure to adhere to the policy may subject the driver to disciplinary action through the University, and van privileges may be revoked from the individual and/or sponsoring department/club/organization.

##### **3. Driver's Abstract/Annual Renewal**

All University employees and students seeking certification must present:

- A valid driver's license

- An abstract of the driving record from the state of license (requested by Student Support Services Coordinator).
- Driver will be disqualified if he/she has:
  - a) Been convicted of driving under the influence of alcohol in the last seven years.
  - b) Any serious violations within the last three years. Serious violations may include speeding, unsafe lane changes, following too closely, and at-fault auto accidents.

In addition, the following offenses may result in suspension or termination of driving privileges (as determined by the Associate Dean of Students/Dean of Students).

- Operating a vehicle without a valid driver's license.
- Failure of a driver to report suspension or revocation of his/her driver's license.
- Operating a vehicle outside of the scope of the destination or school-related activity.
- Violating any of the safety criteria listed within these policies.
- Operating a vehicle in a reckless or unsafe manner.
- Failure to report an accident involving a University vehicle to CUH Security or to the Student Services Coordinator/Associate Dean, and/or failure to report a traffic violation incurred during use of a University vehicle to the Student Services Coordinator/Associate Dean.

An annual review of all drivers' abstracts will be conducted.

#### **4. Vehicle Safety Video**

All University employees and students seeking certification are required to view a 30-minute video provided by the Christian Brothers Services (Chaminade University's insurance company).

Viewing of this video may be scheduled with the Student Support Services Coordinator.

#### **5. Road Test: Road Test Certification/Driver Approval Form**

A one hour test drive with the Safety Officer (or the person appointed by the Safety Officer) will be conducted. Driver & Safety Officer must complete the Road Test Certification Approval Form to confirm whether or not the driver has passed and has understood the *Van Driver Policies & Agreement*.

The Student Support Services Coordinator will schedule the driving test. Two missed Road Certification appointments by a driver will result in no further appointments by that driver until the following semester.

##### ***2.10.6 RESERVING A VAN***

#### **1. Special Cases**

Use of Chaminade University vans will be on a first come, first served basis, with the exception of reservations for Athletics and for academic classes.

## **2. Van Usage Calendar**

All University employees and students may view van availability in the Van Calendar located under “Vans” in <https://portal.chaminade.edu/resources/calendars/Pages/default.aspx>. Please view this calendar when planning for future events.

Four vans are available to University employees and students: vans 1, 3, 4 & 5. Request for specific vans will not be accepted.

## **3. Van Request Form**

A van request form is available online and accessible from any university computer: <https://portal.chaminade.edu/resources/calendars/Pages/default.aspx>

Click on the Van Request Form (pdf) in the column that says ‘Individual Calendars’. Van Request Forms are also available in the Student Support Services Office.

## **4. Reservation Notifications**

- Reservation on the day of will be accepted, unless vans are unavailable.
- Only the driver(s) indicated on the request form, listed on the web portal calendar, and who have completed the Van Driver Agreement form (given on the day of usage) is (are) allowed to check out, drive, and return the van.
- Should the request be cancelled, the Student Support Services Coordinator must be informed immediately to accommodate other van drivers. In the event of a weekend cancellation, please inform Security – (808) 690-2301.
- Use of vans leaving after 10pm, returning between midnight and 6am, as well as overnight trips, require the approval of the Dean of Students.
- Failure to notify the Student Support Services Coordinator or Security about any changes/cancellations may result in loss of privileges.

## **5. Day of Usage**

- On the day of usage, the driver (i.e. the individual listed on the web portal calendar for that specific reservation) must report to the University Security office to obtain the van keys. He/she will be required to provide both his/her driver’s license and his/her Chaminade ID for identification purposes.
- Should any security officer be absent, you may contact them at (808) 690-2301.
- Complete Van Driver Agreement form. This form must be completed by the approved drivers each time a van is checked out through the Security Office. Only the individual(s) signing this form may operate the van at the approved times.

- Review the condition of the van prior to departure: check glass, tires, etc., and report any discrepancies to the Security office. Security will also ask the driver to sign off on the condition of the van prior to departure.
- Notify Security of any problems prior to departure.
- Check to make sure that the van's insurance and registration are in the glove compartment, and that the emergency procedures are on the driver's side visor.
- Adjust the mirrors before leaving and remind passengers to use seat belts. It is the driver's responsibility to ensure that all passengers are wearing their seat belts.
- The driver must have a "ground guide" (i.e. someone that can guide him/her while reversing the van).
- The driver may not use a cell phone while driving – be it with a hands free device or otherwise. The driver is also not allowed to use headphones or headsets of any kind while driving.

### ***2.10.7 VAN MAINTENANCE***

University vans are maintained on a weekly basis by Chaminade University's Facilities department. Maintenance will take about an hour to clean vans in the morning, during their designated day (see Van calendar located under "Vans").

<https://portal.chaminade.edu/resources/calendars/Pages/default.aspx>

Vans may be suspended for a day or more when maintenance is required. Such a situation is unpredictable. The Student Support Services Coordinator or University Security will notify drivers as promptly as possible.

Please report/make note of any negative conditions with the van's exterior and interior prior to departing, and return the van in clean condition. Trash bags will be provided.

### ***2.10.8 EMERGENCY PROCEDURES***

Please review the following in the event of an emergency:

1. For any problems with the van while in use (flat tire, red light in oil indicator, etc.), please pull over, park immediately, and contact the Security office at (808) 690-2301.
2. In the event of an accident, call the police (dial 911) and:
  - Check for injuries. Do not move an injured individual unless you have to in order to prevent other injuries.
  - Move and keep everyone in a safe location.
  - Obtain the other driver's name, license plate number, address, and telephone number. Obtain the other driver's insurance company and policy number.
  - Take a picture if possible.

- Request a police report number from the police.
- After everything is settled with the other driver and the police, please report the incident and all related information to Chaminade University's Security office upon return.
- Chaminade University is not responsible for any violations and citations caused by the driver.

## **2.11 Institutional Advancement Policies**

### ***2.11.1 GIFT ACCEPTANCE GUIDELINES***

Please see Appendix 2.11.1.

### ***2.11.2 MEDIA MANAGEMENT POLICY AND PROCEDURE***

See the Emergency Manual.

## **2.12 University Business Office Policies**

### ***2.12.1 GRADUATING STUDENTS WITH OUTSTANDING BALANCES***

Students with outstanding balances will not receive a diploma or transcript. The following procedure is followed for graduating students with outstanding balances.

1. In September and February, we circulate flyers to various offices, advising students of this policy and the payment deadline. A sample flyer is attached. Offices include the Bookstore (for students who measure for their cap and gown), Day, and Evening and Graduate program offices, Advising, Registrar and Financial Aid. Flyers are also posted at the Business Office cashier's window, in the Library, and on bulletin boards around campus. A notice is also posted in the On-Campus.
2. Once we receive a list from the Registrar's Office of the students who have petitioned for graduation, we check all account balances and mail letters to those with a balance. This letter is usually mailed at least one month prior to the payment deadline.

To prevent any misunderstandings, it is very important that students clear their accounts with the Business Office and not verify clearance through other offices.

3. One week after the payment deadline, we route a list of the remaining students who have not cleared their accounts to the following offices: Bookstore (students will be stopped from picking up their cap and gown), Advising, Registrar, Financial Aid, Day, Evening and Graduate program offices, Dean of Enrollment.

Note that students who insist on picking up their cap and gown will be allowed to do so, however, they will not be allowed to participate in the graduation ceremony until their balance is cleared.

4. The Business Office is in constant contact with the Records Office regarding the list of non-participating students. The Records Office coordinates the printing of the graduation ceremony program. An effort is made to clear students to allow them to be printed in the program and participate in graduation ceremonies.

There are very few exceptions, if any, to this policy. All payment arrangements are made to accommodate this policy.

### ***2.12.2 CASH RECEIPTS***

All payments to the University should be submitted within two days of receipt to the Business Office cashier's window.

1. Cash, checks and charges should be itemized on a Receipt Transmittal form. There are two types of transmittal forms:
  - Tuition & Fee Receipt Transmittal (Exhibit 1) – This four-part form is used to submit payments on student accounts for tuition, fees, room and board charges, etc.
  - Cash Receipts Transmittal (Exhibit 2) – This two-part form is used to submit all other non-student related payments for example, gifts, grants, etc.
2. If submitting payment via charge card, include the following information on the Transmittal:
  - Name on the charge card
  - Type of card (MasterCard, VISA, American Express, or Discover)
  - Charge card number
  - Expiration date
  - Amount to charge
  - Contact phone number
3. The Receipt Transmittal should be filled out completely and submitted to the Business Office cashier's window with the cash, checks and any supporting documentation. The cashier will acknowledge receipt of the funds by signing the Transmittal and returning one copy to the person submitting the form.

### ***2.12.3 PROCEDURES FOR HANDLING INTER-DEPARTMENTAL CASH RECEIPTS***

- A. Upon receipt of cash from Chaminade's departments, the Cashier counts the cash and verifies the amounts given. If amounts are correct, the Cashier initials and dates the "Cash Receipts Transmittal" and returns the yellow copy to the department. The cashier files the white copy of the transmittal in a separate daily folder.
- B. Cashier prepares one receipt slip for each transmittal. Cashier inputs all the information from the transmittal to the student's account or general ledger account by the end of the day.

### ***2.12.4 PROCEDURES FOR HANDLING CASH RECEIPTS FROM MILITARY BASES***

- A. Upon receipt of cash from Chaminade's military bases, the Cashier counts the cash and verifies the amounts given. If amounts are correct, the Cashier initials and dates the "Tuition & Fee Receipts Transmittal" and returns the goldenrod copy to the military base. The Cashier retains the white copy of the transmittal and files it in a separate daily folder.

- B. Cashier prepares one receipt slip for each transmittal. Cashier inputs all information from the transmittal to the student's account by the end of the day.

## **2.12.5 TRAVEL POLICIES AND PROCEDURES**

### **2.12.5.1 GENERAL INFORMATION**

Personnel required to travel in connection with their responsibilities will be reimbursed for all reasonable costs of such travel. Travel will be authorized for the business of the University and/or for the educational or professional development goals of the University. As a general rule travelers will be expected to utilize a mode of transportation that will result in the most efficient accomplishment of their business from the standpoint of time and expense. This rule applies to the selection of transportation for travel to the individual's destination and to the type of service utilized at the visiting destination, such as car rental or taxi. University employees are not permitted to either pilot their own, borrowed or leased aircraft on University business or to travel as a passenger in a noncommercial aircraft on University business.

### **2.12.5.2 TRAVEL AUTHORIZATION**

All travel must be authorized in advance by a duly authorized budget manager of the University except in cases of emergencies which preclude such action. Approval for such travel is obtained by completing the Travel Authorization form and submitting it to the Division Head. The form must be signed by the duly authorized budget manager who is responsible for ascertaining that sufficient funds remain in the travel budget before authorizing trips. See Appendix 2.12.5.1 for the authorization form. Travel authorization should be requested as far in advance as possible. Emergency travel may be authorized verbally by Executive Vice President or President of the University. When a group of University administrators are traveling to the same location, consideration should be given to the risk of having all of them traveling on the same vehicle.

### **2.12.5.3 TRANSPORTATION**

1. Air Travel  
Any person traveling on University-related business is required to make his/her reservations prior to the trip. It is recommended that airline reservations be made as early as possible to take advantage of discounted rates. The University will pay for coach class airfare that meets the criteria in Section 2.12.5 above for any person traveling on University related business.
2. Rental Car  
When reserving a rental car, ask for the best corporate rate, academic or special rate available. Employees should decline the collision damage waiver and the personal accident insurance because the University has this insurance coverage provided for all employees who use rental cars for domestic travel and will not reimburse for such coverage. An individual must provide receipts for automobile rental expenses and gasoline purchased in connection with the rental in order to be reimbursed.
3. Taxi and Limousine/Shuttle

At times it is more economical and convenient to use taxis and limousines/shuttle than to pay for car rental and parking. Taxi, limousine/shuttle fares resulting from travel for business purposes (example: transportation to/from airport to hotel at destination) will be reimbursed at actual costs. The individual must provide receipts in order to be reimbursed for these expenses.

4. Personal Vehicle

If an individual uses his/her own automobile for University-related business, he/she will reflect the most direct route to the destination. Mileage is reimbursed at the current government rate (IRS guidelines) on actual miles driven. Mileage for reimbursement is not allowed for the distance from the employee's residence to his/her office and back to the residence during normal work hours. Parking fees will be reimbursed if incurred while conducting official University business. To receive mileage reimbursement, the traveler must submit an approved Travel and Entertainment Expense Report showing mileage and destination information. Personal cars used for University-related business for which reimbursement is made, must be insured for the minimum State of Hawaii liability for personal injury and property damage. The University does not provide this coverage for personal automobiles used for University-related business.

#### **2.12.5.4 LODGINGS**

The traveler is required to make their hotel reservations asking for the best corporate, academic or special rate available, avoiding "luxury" type suites or hotels whenever possible (unless it is the site of the conference) to keep lodging expenses at a reasonable level. The University will reimburse for actual lodging expenses incurred during University-related business travel. All lodging claims must be documented by the detailed hotel/motel receipt and attached to the Expense Report before reimbursement will be made. The hotel/motel receipt must have the name, location of the hotel, the dates of the stay and separate amounts for charges such as lodging, meals and telephone. The traveler will be responsible for a no-show bill if hotel reservations are not canceled in a timely manner.

#### **2.12.5.5 MEALS AND INCIDENTALS**

Individuals (except athletic teams) may receive a per diem allowance for meals and incidentals. In cases where meals are included in a conference fee, the per diem will be adjusted accordingly. Obtain the current per diem rate from the finance office. If an advance is received for travel expenses, the per diem option must be used. Travelers using the per diem option are not required to itemize meal expenditures or obtain receipts. Incidentals include tips to airport porter, maid service and bellboy, personal phone calls, etc. This per diem allowance is applicable on a half-day basis with the day being divided as follows:

First Half Midnight to noon

Second Half Noon to midnight

When traveling by plane the departure and arrival times of the flights will be considered as the departure and return time for per diem calculations. In combining business and personal travel, per diem will not be given during the period that the individual is on his/her personal time. The time period for per diem allowances will be based on the departure and arrival times of airline flights which would have been utilized if no personal travel was involved. As an option to the per diem rate, a traveler may submit the receipts for actual costs for reimbursement. See expense reporting below.

### **2.12.5.6 MISCELLANEOUS**

1. Phone

Individuals will be reimbursed for phone calls for University-related business. All phone calls must be identified. For cases where the purpose of the call is not clear from the context, an explanation is required on the documentation submitted to support the phone charges. Employees are encouraged to use phones other than those in their rooms to avoid hotel phone surcharge.

2. Disallowed Expenses

Below is a list of expense items that are the responsibility of the employee and will not be reimbursed:

- Traffic or parking tickets
- Airline life insurance
- Domestic car rental insurance
- Laundry/dry cleaning (unless traveling for more than a week)
- Personal entertainment (including in-room movies)
- Personal purchases not relating to University business
- Toiletries

### **2.12.5.7 EXPENSE REPORTS**

A report with detailed documentation of expenses is required by the University after each trip. All expenses are to be recorded on the Travel and Entertainment Expense Report (Expense Report). The traveler must submit receipts (except for those expenses covered by per diem) to the Business Office along with the authorized Expense Report. Without proper approval and documentation, reimbursement to the traveler will be denied. Miscellaneous expenses such as personal auto mileage should be submitted at least once a month. If a check advance is obtained for travel, the traveler must submit the Expense Report within ten (10) working days of completion of the authorized travel. Failure to file the Travel Expense Report within the specified reporting time will cause a delay in the processing of a check reimbursement and future travel requests or check advance requests may be denied. The University is required to report as compensation travel advances which are not accounted for by the employee. Once this amount is reported to the Internal Revenue Service, it cannot be reversed when the individual does complete the Expense Report. When an individual has received a check advance and has funds remaining upon return from a trip, the traveler should return these funds to the Business Office by cash or check within one week of the completion of the travel. The following documentation must always accompany the Expense Report for reimbursement:

- Airline ticket
- Hotel receipt
- Conference/seminar registration form
- Car rental invoice
- Gasoline receipts
- Business Phone Calls

All charge card requests which accompany a person's Travel Expense form must be on that person's charge card and signed by that person only. For example, a gasoline receipt signed by an employee's spouse will not be accepted. An Expense Report that includes foreign

travel must be submitted in U.S. dollars. It is the responsibility of the traveler to make the proper conversion and be able to substantiate the rate. The duly authorized budget manager will review the traveler's Expense Report. A diligent effort must be made to see that travel expenses are reasonable and accurate and cover only expenses actually incurred in traveling in the interest of the University. The Business Office will audit the Travel Expense Report for adherence to the University's travel policies. Accurate and complete documentation of travel expenses will ensure accurate reimbursement of allowable expenses to the traveler in a timely manner. If any trip is canceled and there were prepayments or the University has advanced funds, the traveler must notify the Business Office in writing of the cancellation of the trip.

#### **2.12.5.8 POLICY EXCEPTIONS**

There are times when a department will reimburse an employee for only a fixed amount, with any expenses incurred beyond this point becoming the responsibility of the individual. This policy is acceptable at the University as long as both the departmental supervisor or the duly authorized budget manager and the employee traveling have a mutual agreement concerning this arrangement. This agreement must be in writing and maintained in the department office. A copy of the agreement must also be filed with the Business Office. An individual who travels under this type of agreement is only required to report the amounts spent up to the agreed upon fixed reimbursed amount.

Exceptions to this policy will be considered on a case-by-case basis between the duly authorized budget manager and Executive Vice President or President.

#### **2.12.6 CAPITAL EXPENDITURES**

The University defines Capital Expenditures as purchases of \$5,000 or more spent on assets with a useful life of one (1) year or more and will be classified as such on the University Balance Sheet. Capital Expenditures also include any furniture and fixtures that are integral to the construction or renovation of University buildings.

Capital Expenditure purchases follow the approval process outlined in Section 2.12.7.10. This includes all such capital items, even if they are to be bought using grant funds, restricted funds or are a part of an approved budget. There are no exceptions to this procedure. There is no guarantee that payment can or will be made for items ordered without approval in advance or that reimbursement will be made for such items purchased personally. Breaking up the purchase of an item that costs over \$1000 in order to circumvent this procedure is unacceptable.

#### **2.12.7 PURCHASING PROCEDURES**

Effective purchasing procedures must follow good business practices while providing the flexibility to accommodate limited resources, restrictive timelines, emergency or compliance issues, life-safety measures, and unique market conditions or funding opportunities. Recognizing that the University requires a wide variety of (simple through complex) products and services, our island location often provides supply-side challenges not faced by our mainland counterparts. Employees are encouraged to participate in cooperative purchasing associations, using discount centers, special government/education pricing programs, joint initiatives with

Saint Louis and the Marianist Center of Hawaii, and association with other Universities & Colleges.

Our purchasing procedures should also provide the operational guidelines for the acquisition of goods and services that reflect the values of the University. Chaminade's values that can most easily transfer to purchasing decisions follow those adopted for placing University investments. Examples include avoiding companies who practice gender, racial or ethnic discrimination, or companies that have a habitual record of injuring employees by violating laws established to protect health, safety, human & civil rights, and the environment; and promoting companies that utilized small businesses, minority-owned firms, or women's business enterprises. When possible, the selection process should favor energy star compliant products and promote sustainability of natural resources. A good purchasing decision includes consideration of these values along with the more common elements of price, quality, quantity and availability.

#### **2.12.7.1 Introduction**

A. Objectives of the purchasing policy and procedures are as follows:

1. Centralized oversight for the procurement of equipment supplies and services for all accounts at the University.
2. Identification of sources of goods and services required by the University and assurance that these goods and services are obtained at the lowest cost considering the quantity, quality and availability of the items or services to be purchased.
3. To assist all members of the Chaminade University faculty and staff to comply with the purchasing procedures set forth in this Section 2.12.

B. The Chaminade University purchasing policy has been developed to insure the following:

1. Goods and services are ordered in accordance with the purchasing policy and procedures with proper authorizations.
2. Quantity and quality of goods and services received are in accordance with the original order.
3. Prices, credit terms, and shipment charges conform to the original agreement.
4. Extensions, footings and deductions for allowed discounts are correct.
5. Vendors receive timely payment for goods and services.
6. Administration has reliable financial information to aid in the control of budgets and for long range planning.

C. Gifts and Gratuities

Employees of the University are prohibited from accepting personal gifts or gratuities in excess of \$100.

D. Conflict of Interest

Employees of the University are prohibited from entering into a purchasing agreement and or contract with other employees of the University, with family members or with

any business in which the employee has an interest. A conflict of interest occurs when an employee or member of the employee's family owns ten percent or more of the assets of a business.

E. Purchases for Personal Use

1. No personal items shall be purchased through the University.
2. Funds of the University will not be used to pay for any personal purchases of the employee or relatives of the employee.

F. Non-compliance with Policies and Procedures

Non-compliance with established purchasing policies could result in the disbursement of an unauthorized payment. Any unauthorized purchase may result in holding the employee personally liable to cover the cost of the expenditure and subject to all remedies and disciplinary actions allowable.

### **2.12.7.2 Basic Policies**

A. Competitive Bidding

The Purchasing Manager in accordance with the following guidelines will solicit competitive quotations or bids. In the event the department making the requisition has obtained quotations this information should accompany the requisition. The Purchasing Manager will evaluate the quotation and decide how to proceed. All quotations (telephone or written) will be documented as to bidder, contact person, dollar quotation amount, date, phone number and terms (if any).

1. Purchases Under \$5,000.
  - a. Each department has the authority to make a single non-repetitive purchase of a good or service in the amount of \$5,000 without competitive quotes.
  - b. Departments are to ensure that prices are reasonable. Reasonable price is defined as a price that does not exceed what would be paid in the conduct of prudent business practice. A reasonable price need not be the lowest price available, but one that offers acceptable value to the University.
  - c. Verbal quotations are acceptable.
2. Purchases between \$5,000 and \$9,999.
  - a. If the estimated amount of the purchase is between \$5,000 and \$9,999, bids must be solicited from at least two qualified vendors.
  - b. Telephone, fax or written bids are acceptable.
  - c. When fax or telephone bids are solicited, a written record of the bidders and amount of the bids must be maintained.
3. Purchases between \$10,000 and \$49,999.
  - a. If the estimated amount of the purchase is between \$10,000 and \$49,999, bids must be solicited from at least three qualified vendors.

- b. Telephone, fax or written bids are acceptable.
  - c. When fax or telephone bids are solicited, a written record of the bidders and amount of the bids must be maintained.
4. Purchases of more than \$50,000.
- a. Formal, written sealed bids must be solicited from at least three vendors.
  - b. The invitation to bid must be mailed at least fourteen days before the date that the bids are scheduled to be open.
  - c. If the actual aggregate total bid by a vendor is less than \$50,000, the University may accept a fax response from the vendor. If the actual aggregate total bid by a vendor exceeds \$50,000, only a written sealed bid is valid. In either situation, the bid must be received prior to the published bid opening date and time.

5. Orders for Services

The formal bid threshold for services is \$25,000. Competition is not required on transactions under \$25,000 unless it is necessary to develop sources, validate prices and for other sound business practices. Informal quotes will be obtained for services under \$25,000 if the project is relatively simple. For more complex projects in this dollar range or when multiple variables are involved or there is special terms and conditions required, written quotes may be required.

6. Construction, Renovation and Repair

Due to the wide range of circumstances and conditions under which construction services are required, more than one method of acquiring those services may be necessitated. The methods (listed in preferential order) for obtaining construction services are

- a. Formal bids
- b. Request for Proposals
- c. Negotiations with a contractor currently mobilized on or near the site
- d. Time, materials and overhead with documentation/inspection agreement
- e. Informal (phone) price quotes.

The chosen method will also be compliant with any unique conditions required by the gift or grant. Contract limits and authorized officials are established under Bylaws of the Board of Regents, Article VIII, Contracts, Checks, Deposits and Gifts.

7. Tie Bids

A tie bid exists when two or more bidders offer products that meet all specifications, terms and conditions at identical prices, including cash discounts offered. In such case a tie bid will be broken by the following methods, in descending order or preference:

- a. In-state business will be given preference.
- b. Small and minority-owned businesses will be given preference.
- c. By lot or coin toss (properly witnessed and documented).

#### B. Source Selection

1. When items of a general nature can be obtained from several sources, the Purchasing Manager will obtain competitive bids to the extent practicable and place the order with the successful vendor.
2. Sole source purchases are made only when items are unique or possess specific characteristics. In the event that a purchase order is awarded on a “sole source” basis, justification for the sole source procurement is required to explain the rationale for the “sole source” decision.
3. Sole source policy for technology hardware and software:

Vendor knowledge of the Chaminade environment, continuity of supply, similarity of functionality, and interoperability are important in the tightly integrated information environment. Given Chaminade's small IT staff, minimizing the variety of maintenance tasks is essential. Therefore for situations in which it is anticipated that a quantity of similar hardware or software will be purchased, sole-source arrangements will be made.

- a. When a sole-source purchase is anticipated, advice will be sought from the Information Services Advisory Committee.
- b. A description of the standard package to be purchased will be generated as a list of specifications.
- c. Written quotes will be obtained from at least three vendors for equipment or software which meets or exceeds the specifications.
- d. Selection of the sole source will be based on the price quoted, and the following:
  - Fiscal soundness of the supplier
  - Past experience with the vendor
  - Current status of the vendor
  - Reviews of the vendor's service performance
  - Availability of local service
  - Delivery time
  - Warrantees offered
- e. All sole-source decisions will be documented, including a description of the factors used to select the successful vendor.

- f. Normal term for a sole-source IT procurement will be two years. Within six months of the end of the two-year period new specifications will be created and the quote process will begin again.
  - g. During the two-year sole-source period Chaminade may modify its specifications and/or go through an additional bid or quotation process in accordance with Chaminade policies to obtain items which do not conform to the standard specifications.
4. Periodic reviews should be made of vendors who provide services and goods on a recurring basis to determine if their pricing remains in the best interest of the University

#### C. Split Invoices

Departments are not allowed to split invoices. A “split” invoice results when a purchase is divided into more than one invoice from the same vendor or from multiple vendors to avoid the necessity of obtaining bids or meeting bid guidelines. The University will not assume responsibility for a “split” invoice.

#### D. Items Exempt from Purchasing Department review and approval

- Relocation reimbursements
- Telecommunication and telecommunications equipment (excluding cell phones)
- Registrations for conferences, non-credit courses and workshops
- Facilities contracts (architects, construction, etc.)
- Advertising placement and services
- Institutional memberships
- Real estate rentals/leases
- Travel
- Items or services with unique characteristics or properties which are essential to the conduct of particular research projects or instructional endeavors.

#### E. Emergency/Telephone Purchase Orders

1. Purchases of materials, supplies, equipment or services may be made in the open market for immediate delivery only to meet emergencies arising from unforeseen events. All emergency purchases must be approved by one of the following: President, Provost or Vice President of Finance and Facilities or a designee. A written report on the circumstances of any emergency purchase will be submitted with the requisition through the normal approval process for a requisition.
2. When it is necessary to provide a purchase order number over the telephone, a properly prepared requisition must be sent to the Purchasing Department. A purchase order number will not be given over the phone unless the requisition is in the Purchasing Department.

#### F. Advance Payments

1. Payments should not normally be made in advance of the receipts of goods. Exceptions are registration fees, payment terms as required by contracts, vendor minimum billing amounts and other similar items.
2. If there is an advance payment required for a purchase order, a check request should be attached to the requisition.

#### G. Reimbursements

1. Reimbursements should only be requested when all other methods of purchasing are unavoidable.
2. Reimbursement requests require an itemization of expenses and original receipts for individual items in excess of \$25.00. Reimbursement will not be made for any item over \$25.00 that is not supported by an original receipt.
3. It is important that original receipts or invoices be provided to support the reimbursements. A valid receipt is the official receipt provided by the vendor and states the name and address of the business establishment. All the pages of receipts/invoices are required to be submitted. A calculator tape is not an acceptable receipt. If the employee fails to provide the receipts or invoices, the University may report the unsupported uses of cash on the employee's W-2 as wages.
4. To receive an expense reimbursement, a signed check request (form available for download at webportal) and supporting invoices/itemized receipts must be submitted to the Business Office as soon as possible.
5. All receipts, invoices and billing statements must indicate proof of payment by the employee requesting reimbursement.
6. The signature of the budget manager or its supervisor (if the employee requesting for reimbursement is the budget manager) must be obtained prior to submitting the check request to the Business Office. See purchasing authorization and approval policy.
7. For meals and entertainment purchases, the purpose of the event and the names of all attendees must be included in the documentation.
8. Travel Reimbursements
  - i. For expenses involving travel, a travel authorization form (available at the webportal) must be submitted along with the check request.
  - ii. Per diem is available to employees traveling on an approved business purpose. CUH uses the per diem rate for meals and hotels provided on the U.S. General Services Administration website ([www.gsa.gov](http://www.gsa.gov)).
  - iii. Tips given to bellmen, hotel housekeeping and waitresses are ordinarily included in travel per diem.
9. A mileage reimbursement form (available at the webportal) must be submitted along with a check request to receive reimbursement for business purpose use of

personal vehicle. The mileage excludes commuting to/from Chaminade and home.

10. For mobile phone expense reimbursements, all the pages of the monthly phone bill statement must be submitted. The accountholder of the billing statement must bear the employee's name.

### 2.12.7.3 Requisition Form

- A. The requisition is used to request purchase orders, petty cash reimbursements and departmental supplies. When possible a requisition should be used to obtain approval prior to purchasing goods and services. The following purchases should always have a requisition: contractual services for more than a year, equipment costing \$1,000 or more or expenditures over \$500. Those who do not obtain prior approval may be held personally liable for their purchases.
- B. Requisition Processing

1. The requisition form consists of four parts and must be filled with the following information:

- |                              |   |
|------------------------------|---|
| a. No.                       | Purchasing Department use only  |
| b. Request For               | Indicate type of request  |
| c. Vendor                    | Name and address of vendor  |
| d. Merchandise               | Indicate delivery instructions  |
| e. Department Head Signature | Signature of budget manager   |
| f. Requested By              | Requestor   |
| g. Date                      | Requisition date  |
| h. Cost Not to Exceed        | Maximum amount of requisition   |
| i. Account No.               | Accounting code to be charged   |
| j. Phone No.                 | Requestor's phone no.   |
| k. Date Desired              | Date item is needed   |
| l. Description               | Detailed description/identification and<br>Catalog number(s) of items requested |
| m. Quantity Ordered          | Quantity of each item requested   |
| n. Unit Price                | Price per unit of each item requested   |
| o. Total Price               | Price of item(s) ordered  |
| p. Tax                       | Estimated sales tax   |
| q. Freight                   | Estimated freight charges   |
| r. Administrative Approval   | 2 <sup>nd</sup> signature required for over \$51,000                            |

2. Any special instructions or additional processing requirements should be noted on the form.
3. The requisition form must be signed by the budget manager for the department. If the amount is greater than \$5,000, a second signature is required.
4. After the requisition is completed and signed, all copies except the yellow (retain in department) should be sent to the Director of Finance.
5. The Director of Finance will review the requisitions for propriety of account numbers, adequacy of budget and properly authorized signatures. Once approved, the requisition will be forwarded to the Purchasing Manager.
6. The Purchasing Department will process the requisition to issue a purchase order or to fill the request for supplies. If a purchase order is issued, the purchase order number will be entered in the "No." block on the requisition. Copies will be distributed as follows:
  - a. White – retained with purchase order
  - b. Blue – returned to requestor
  - c. Pink – sent to Accounts Payable
7. Careful and complete preparation of the requisition is essential so that a completed purchase order can be correctly prepared, to ensure timely receipt of the goods or services and to ensure accurate and prompt payment to the vendor.

#### **2.12.7.4 Purchase Orders**

- A. The purchase order form is prepared by the Purchasing Department upon receipt of an approved requisition. The purchase order when accepted by the vendor becomes a contract which is legally binding on the University.
  1. A purchase order is to be requested for all expenditures over \$1,000. It may also be generated if requested by the vendor.
  2. Only one vendor will be on each purchase order.
  3. Separate items reasonably expected to be delivered within a 15 to 30 day period should be included on the same purchase order. If it is expected that an item will take longer to be delivered, a separate purchase order should be requested.
  4. "Blanket" purchase orders may be requested for expenditures that are anticipated to occur regularly for more than three months. Expiration dates should be clearly identified so that the purchase order is nullified after that date.
- B. Purchase Order Processing
  1. The Purchasing Manager checks the requisition to ensure that the proper authorizations have been made.

2. The Purchasing Clerk prepares the three-part purchase order, enters the information into Colleague to encumber the funds and forwards each copy as follows:
  - a. The original is emailed or faxed (as specified on the requisition) to the vendor to place the order.
  - b. The accounting copy (pink) is sent to Accounts Payable with the budget office copy of the requisition (pink) attached.
  - c. The numerical control copy (yellow) of the P. O. is retained by the Purchasing Department and filed alphabetically by vendor.
3. Purchase orders will be issued within 72 hours of receipt of requisition form. Urgent requests are processed within 24 hours of receipt.

#### C. Changes in Purchase Order

1. Types of changes to a purchase order include the following:
  - Change in vendor.
  - Change in items being purchased (additional, cancellation, etc.).
  - Change in quantity of items being purchased.
  - Change in price of items being purchased.
  - Change in terms (payment, freight, etc.).
  - Change in accounting distribution (ten digit account number) for items or services to be charged against.
2. The Purchasing Manager must be notified of any changes. If the new amount exceeds the amount authorized, evidence of written approval from the budget manager is required from the requestor.

#### D. Vendor Relations

1. Faculty, administration, and staff may contact vendor sales people directly only to obtain pricing/information on products or services. The Purchasing Manager will assist in this endeavor and may be able to provide addresses and phone numbers of vendors.
2. Sales representatives selling certain types of products such as office machines, copiers and telephone services may be prohibited from contacting anyone on campus unless requested through the Purchasing Manager.
3. Approval of the Purchasing Manager must be obtained prior to accepting any item of equipment on loan or as a demonstrator from any vendor. After prior authorization has been granted, the initiator must advise the Purchasing Manager immediately by a written note giving the vendor's name, the salesperson, the make, the model and serial number of the item, selling price, location of the equipment, and length of time the item will be retained. The salesperson should be informed that the loan of equipment incurs no obligation on the part of the University to

accept the item or to purchase the item from that person's company. University insurance does not cover loaned equipment or personal property. Before accepting an item or equipment on loan, be certain that the vendor understands the University does not accept responsibility for such equipment should it become stolen, lost or damaged.

4. Vendors may not expect to receive a share of University business simply because they are alumni, closely related to the University, or indicate past or future favors to the University.
5. Agreements with vendors to return as donations (kickbacks) to the University or to a University employee an amount of funds or services based in any way on a percentage of dollar amounts or volume of orders are strictly prohibited.
6. An approved vendor list should be prepared and periodically revised by the Purchasing Director.
7. Accounts payable will answer inquiries from vendors regarding the status of delinquent invoices. Accounts payable will serve as a liaison when necessary between the campus and the vendor.

#### **2.12.7.5 Petty Cash Reimbursements**

- A. Cash advances should be requested only when all other methods for obtaining goods and services have been exhausted and should be kept to a minimum.
- B. The Business Office will advance a maximum of \$50 based on a properly authorized requisition approved by a department/division head. Once the item(s) are received, the individual who receives the advance will complete the required documentation to "clear" the advance by providing receipts.
- C. It is important that original receipts or invoices be provided to support the reimbursements. If the employee fails to provide the receipts or invoices, the University may report the unsupported uses of cash on the employee's W-2 as wages.
- D. Outstanding advances authorized by a department/division head must be cleared prior to additional advances being issued.

#### **2.12.7.6 Payment of Invoices**

- A. Invoices with Purchase Orders
  1. The vendor should send the invoice directly to the Business Office. If the requestor receives an invoice, it should be approved and sent immediately to the Business Office. Under no circumstances should anyone keep an original invoice as it is the required documentation to make payment and is required for audit purposes.
  2. If the final price on the invoice is over 10% of the amount on the purchase order, Accounts Payable will forward the invoice to the Director of Finance who will notify the requestor and obtain approval for the added expenditure. The Director of Finance will then return the invoice to Accounts Payable for processing.

3. Accounts Payable will account for invoices against blanket purchase orders.

**B. Invoices without Purchase Orders**

1. Invoices should be approved for payment as soon as the goods and/or services are received and accepted in order for the University to maintain satisfactory credit standing with suppliers.
2. A check request (see Appendix 2.13) to authorize payment of an invoice must be completed with the ten-digit account number to be charged and properly approved.
3. Check requests should be sent to the Director of Finance who will review for propriety of account numbers, adequacy of budget and authorized signatures.

**C. Prompt Payment of Invoices**

1. Payments for goods and services should be processed in a timely manner to avoid a disruption of service or finance charges. Any service charges, late fees or lost trade discounts resulting from a department's delay in processing invoices in a timely manner will be charged to the respective department.
2. Adequate time should be allowed to process all payments. Check requests which are properly completed/approved and received by Accounts Payable by Friday noon are processed for payment the following Friday after 2:00 p.m. It is very costly and inefficient to process payments outside of this schedule.

**2.12.7.7 Fiscal Year-End Cut Off**

Even if a P. O. has been processed, only goods and services received on or before June 30 of each year will be expensed in the current year's budget. If the goods or services are received after June 30, the expenditure will be recorded against the following year's budget.

**2.12.7.8 Inter-departmental Sales and Services**

**A. The requisition is also used to request the following:**

1. Books and supplies from the Bookstore and Copy Center.
2. Stationary and other office supplies from the Purchasing Department.
3. Business Cards from the Purchasing Department.

**B. Processing**

1. Prepare requisition with authorized signatures and sent to the Director of Finance. Once approved by the Assistant Director, the requisition will be sent to the Purchasing Department.
2. The Purchasing Department will process the order and send the supplies to the requested department.

3. Inter-departmental sales and services by the Purchasing Department, Bookstore and Mailroom will not be encumbered since the transactions will be posted as journal entries.

#### **2.12.7.9 Corporate Credit Card Policy**

- A. Employees are encouraged to use the corporate credit card to pay vendors that accept this method of payment. Reimbursements should only be requested when all other methods of purchasing are unavoidable.
- B. Processing
  1. No later than 7 business days following the end of each billing cycle, credit card holders must submit to the Business Office their credit card statements accompanied by signed check request and supporting invoices/itemized receipts.
  2. Each credit card charge must be assigned with a general ledger account number for Business Office processing. An FHB credit card expenditure report form is available in the web portal to assist in organizing and reporting the charges.
  3. The signature of the budget manager or its supervisor (if the credit card holder is the budget manager) must be obtained prior to submitting the check request to the Business Office. See purchasing authorization and approval policy for the details authorized signature requirement.
  4. For meals and entertainment purchases, the business purpose of the event and the names of all attendees must be included in the documentation.
  5. Original receipts or invoices must be provided for purchased items in excess of \$25. If the employee fails to provide the receipts or invoices, the University may report the unsupported purchases on the employee's W-2 as wages.
  6. Items for personal use shall not be purchased through the corporate credit card. However, if the charge is an error, the employee shall reimburse the University, as soon as possible.
  7. Failure to comply with the policy will be subject to recapture of corporate credit card privileges.

Paper statements are sent to the credit card holders by mail at the end of each billing cycle. However, statements are available online through First Hawaiian Bank's Centersuite website. Inquire with the Finance Department to obtain online access.

#### **2.12.7.10 Purchasing Approval Process**

- A. Basic Policies
  1. The purpose of this process is to establish sound and efficient business practices to acquire goods and services for the University.

2. All check requests, requisitions and purchase orders should be signed by the budget manager attesting to adequacy of budget and appropriate account number and forwarded (if necessary) to the next signatory for approval. The Business Office will review documents for policy compliance and authorized signatures.

#### B. Approval Authorization

1. A 14-digit account number must be identified on all documents submitted to the Purchasing and Finance departments. This number identifies the appropriate budget and the correct line item within the budget to which the request should be charged.
2. The signatures of the purchaser and the budget manager must appear on all purchasing forms. The budget manager's signature indicates that there are sufficient funds in the budget to pay for the goods and services requested.
3. The budget manager is the individual responsible for the expenditures charged to the budget. The President, Provost, Vice President, deans and department heads are usually assigned the duties of a budget manager.

#### 4. Expenditure Categories and Authorization Levels

- Authorization Level

Budget Manager (BM)

Dean (D)

VPPF (VP)

Provost (PR)

President (P)

- Expenditure Category

Category I: Utility payments

Amount: Actual invoice

Minimum Signatures: 1

Signature(s): Director of Facilities, VP, PR or P.

Category II. Taxes, withholdings, insurance, lease, depositories, investments, inter-depository transfers and financial or legal trustees.

Amount: Actual invoice

Minimum Signatures: 1

Signature(s): Director of Finance or VP or P.

Category III. Expense reimbursement (to self),

Amount: Up to \$1,000.

Minimum Signatures: 1 (*Not including the originator*)

Signature(s): BM or D, or VP, PR or P.

Amount: Over \$1,000

Minimum Signatures: 2

Signature(s): BM and D, VP, PR or P.

Category IV. Honoraria, travel, promotion, entertainment, dues, and professional development.

Amount: Up to \$5,000.  
Minimum Signatures: 1  
Signature(s): BM or D, VP, PR or P.

Amount: Over \$5,000  
Minimum Signatures: 2  
Signature(s): BM and D, VP, PR or P.

Category V. Supplies, equipment, contracted services, and items not covered in Categories I-IV.

Amount: Up to \$5,000.  
Minimum Signatures: 1  
Signature(s): BM or D, VP or P.

Amount: Over \$5,000  
Minimum Signatures: 2  
Signature(s): BM and D, VP, PR or P.

Note: With the exception of expense reimbursements, once the signature of the VP or PR or P level is obtained, no further signature is necessary.

5. The approver must verify the following prior to the approval or payment of an invoice:
  - Receipt of goods and services
  - Purchase approved by proper procurement authority
  - Purchase is appropriate for fund source
  - Goods or services matches order
  - Sufficient funds to make payment are in the indicated account

#### C. Documentation

There must be on file in the Business Office the proper supporting documentation for all expenditures that are incurred by the University. No disbursement to a vendor can be made without the vendor providing documentation which clearly shows what has been purchased, the date of the purchase and the price. Appropriate supporting documentation for expenditures includes the following.

1. Invoices from the vendor: original to the Business Office
2. Order forms, membership applications and renewal and subscription orders and renewal.
3. Support documentation for reimbursable expenses include the following and should be filed with the appropriate petty cash requisition or check request (attach documentation to 8-1/2"x11" paper):
  - Original register tapes, properly annotated

- Original charge card slips, properly annotated. In the event original charge card slips are lost, a charge card statement may be considered.
- Cancelled checks
- Original proof of purchase slips issued by the vendor
- Order forms, membership applications and renewal and subscription orders and renewal.

See also Section 2.12.7.2 Basic Policies regarding Purchasing, Advance Payments, Exempt Items, and Reimbursement; and Section 2.12.5 Travel Policies & Procedures.

### ***2.12.8 INVESTMENT POLICY***

Please see Appendix 2.12.8.

## **2.13 Grants Policies**

### ***2.13.1 GRANT PROPOSALS AND APPROVAL***

Reserved

### ***2.13.2 FEDERAL GRANTS***

The purpose of this policy is to establish procedures governing the reasonableness, allocability, and allowability of costs in accordance with the provisions of applicable federal cost principles and the terms and conditions of federal grants.

Chaminade University of Honolulu has adopted its institutional policy, the policies and procedures outlined in:

- The respective federal programs' grant agreement or handbook, or if there is no designated agreement or handbook, then;
- The Office of Management and Budget (OMB) Circular A-110, Uniform Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations;
- OMB Circular A-21, Cost Principles for Educational Institutions;

for all its federal programs, as it relates to the following:

- Reasonableness, allocability and allowability of costs.

### ***2.13.3 EFFORT REPORTING SYSTEM FOR FEDERALLY FUNDED PROGRAMS***

The purpose of this policy and procedure is to satisfy OMB Circular A-21, Section J, 6.b. which states that for each organizational unit of an institution, the distribution of salaries and wages of professional or professional staff will be based on either a system of monitored workload or a system of personnel activity reports. The latter system will be used for non-professional employees whose costs are charged direct or are required to be distributed to more than one activity for purposes of allocating indirect costs.

Professional employees working partially or wholly on federally funded programs will have their contracts accurately describe their time commitments to these programs and/or indicate their pay from federal grant funds for the time period covered by the contract. Additionally, professional employees will maintain records of the relative effort expended on federally funded programs by using a system of monitored workload or personnel activity reports (i.e., timecards).

Nonprofessional employees will use a system of personnel activity reports to determine the costs to be charged to federally funded programs.

#### ***2.13.4 VERIFYING SALARIED PAYROLL CHARGED TO FEDERAL GRANTS***

The purpose of this policy and procedure is to ensure the payroll for salaried employees charged to federally funded programs are authorized and accurate.

For all salaried employees charged to federally funded programs, the payroll clerk and controller will compare amounts charged to the federal program against payroll authorizations to ensure the amounts are authorized and accurate. This review will be performed at least quarterly (March, June, September and December) and evidenced by initialing the Fixed Distribution Audit Report, which is filed with the payroll register. Any discrepancies will be identified and corrected with the following payroll.

### **2.14 Use of Social Security Numbers**

#### ***2.14.1 GENERAL POLICY***

Chaminade University does not use Social Security Numbers (SSNs) as primary identifiers. All students, faculty, staff, contractors, etc. are assigned Chaminade ID Numbers (CIDs) when they are first entered into the University's administrative data system. This identification number serves as the primary identifier for individuals, replacing, whenever possible, the SSN. The CID is considered publicly accessible information, but remains the property of Chaminade University. Chaminade does, however collect SSNs when required, and may request that they be given voluntarily when their use would introduce efficiency. No service is every denied because an individual refuses to voluntarily divulge their SSN.

#### ***2.14.2 SITUATIONS WHERE SSNS ARE REQUIRED BY THE UNIVERSITY***

- All faculty and staff (including contractors and consultants paid by the University) must supply an SSN upon hire. The University is required by law to supply SSNs when reporting earning to Federal and State agencies
- Students receiving aid, including (but not limited to) grants, student employment, work-study, and honoraria. The university is required by law to supply SSNs when reporting earning to Federal and State agencies
- Students applying to the University. While the CID is assigned at the earliest possible date, SSNs are necessary to link an individual with transcripts, etc.
- SSNs are also required on the instant enrollment Personal Identification Form.

### ***2.14.3 VOLUNTARY COLLECTION OF SSNS***

- Units of Chaminade University may request SSNs in order to provide an additional access point for retrieving records (e.g., to allow the library to locate student records when an ID card is not available)
- When SSNs are requested on a voluntary basis, notice that provision of SSN is not required shall be made in writing: as part of the form requesting the SSN, on a separate document supplied to the individual from whom the SSN is being requested, or via a prominently displayed sign.

### ***2.14.4 THIRD-PARTY REQUESTS FOR SSNS***

Chaminade University may distribute forms which request SSNs on behalf of third parties (e.g., insurance companies). In such cases all responsibility for proper use of SSNs resides in the agency producing the form.

### ***2.14.5 PRE-EXISTING RECORDS WHICH USE SSN AS PRIMARY ACCESS POINT.***

In some cases in the past SSNs have been assigned to Chaminade records as the primary access point. Chaminade will continue to use SSN as primary access point in these cases, but will create new records with CIDs as the primary access point upon request.

### ***2.14.6 DISPOSAL OF DOCUMENTS CONTAINING SSNS***

All documents which link SSNs to individuals will be disposed of in a secure manner, normally by shredding.

### ***2.14.7 DISPLAY OF SSNS***

Care will be taken that computer screens which link SSNs to individuals will not be viewable by third parties. Such screens may, however, be shown to the individual who has been assigned that SSN providing that no other person's SSN is so revealed. Grades or other information may not be publicly displayed with SSNs or partial SSNs.

### ***2.14.8 TRANSMISSION OF SSNS***

All electronic transmission of SSNs will be in a secure fashion such as via Secure Socket Layer or by using encryption.

### ***2.14.9 RELEASE OF SSNS***

Social Security Numbers will not be released by the University except:

- When required by law
- When an external agency (e.g., an insurance company) is acting for the University
- When the individual gives permission for the SSN to be released

## **2.15 Internal Calendar Policy**

To keep the campus community informed and to help prevent scheduling conflicts, several calendars have been created on Chaminade's internal web site. All campus events should appear on the Chaminade internal calendars at the following link:

<https://portal.chaminade.edu/resources/calendars/Pages/default.aspx>

Departmental calendars, such as Athletics and Student Affairs, as well as the Major Events calendar, will be linked into the Main Calendar, so that all of their events will appear on the Main Calendar.

Room and resources calendars, such as the Henry Hall calendar, will not be linked into the Main Calendar. To verify whether a particular room or resource is booked at a specific time, it will be necessary to check the individual calendar.

Each calendar is maintained by a departmental representative. The internal calendars page lists the name and email address of the person responsible for each calendar. To request additions of and/or changes to an event, contact the calendar owner listed.

The Major Events calendar will be maintained by the Institutional Advancement office. This calendar will display all events that have a campus-wide impact. All major event descriptions must be submitted to Caitlin, and she will determine whether they should be displayed on the Major Events calendar, or on a departmental calendar. A listing on the Major Events calendar does not indicate that Institutional Advancement is organizing the event.

The calendars page is maintained on the internal web site by the IS/Webmaster. To request a change to the page of any kind, including (but not limited to): a) changing the name or email of a calendar owner, b) adding a new calendar, or c) deleting an existing calendar, contact the IS/Webmaster. Do not contact the IS/Webmaster about specific events.

From time to time the calendars will be monitored for duplicate events, but all calendar owners should check the main calendar before adding any event.

The Institutional Advancement office will keep the campus community informed of changes to the calendars, and will send out periodic reminders via Campus News to make use of the calendars and keep them updated.

## **Appendix 2.6.2.4.1: Response Procedure for Exposure to Blood Borne Pathogens**

### **Infection Risk Exposure Control Plan**

In accordance with the Occupational Safety and Health Administration's (OSHA) federal standard for Blood Borne Pathogens, employees identified at high risk for the transmission of infectious disease must comply with all segments of this policy. Failure to do so may result in discipline leading up to and including dismissal.

Universal precautions shall be observed to prevent contact with blood or other potentially infectious materials. Under circumstances in which differentiation between body fluid types is difficult or impossible, all body fluids shall be considered potentially infectious materials.

### **Labeling**

- Warning labels shall be attached to containers of regulated waste; refrigerators and freezers containing blood or other potentially infectious material; and other containers used to store, transport or ship blood or other potentially infectious materials.
- Labels required by this section shall include the biohazard legend. Red bags or containers may be substituted for labels where appropriate. Red bags or labeled waste must be disposed of in accordance with applicable regulations.

### **Hazard Control**

- All identified employees must take precautions to prevent injuries caused by needles, scalpels, and other sharp instruments after use in procedures. To prevent needle stick injuries, needles will not be recapped, purposely bent or broken by hand. After they are used, disposable syringes and needles, scalpel blades, and other sharp items must be placed in puncture resistant containers for disposal. The puncture resistant containers should be located as close as practical to the use area. Observe containers regularly and replace when full.
- Eating and drinking is not allowed in areas where there is a reasonable likelihood of occupational exposure to blood or body fluids. Each immediate supervisor should designate work areas and eating areas.

### **Personal Protective Equipment**

- The employer shall clean, launder and dispose of equipment at no cost to the employee.

### **Dispensable Gloves (single use)**

- Replace when torn, punctured or contaminated. Replace when their ability to function as a barrier is compromised. Do not wash or decontaminate for reuse.

### **Masks, Eye Protection and Face Shields**

- Wear combination of masks with eye protection devices whenever splashes, spray, splatters or droplets of blood or other potentially infectious materials may be generated.

### **Gowns, Aprons, Protective Body Clothing**

- Wear in occupational exposure situations. The type and characteristic depends upon the task and degree of exposure anticipated.

### **Cleaning Schedule**

- All equipment and environmental and working surfaces shall be cleaned and decontaminated after contact with blood or other potentially infectious materials.
- Contaminated work surfaces shall be immediately decontaminated with an appropriate disinfectant after completion of procedures, or as soon as feasible when surfaces are overtly contaminated or after any spill of blood or other potentially infectious material and at the end of the work shift if the surface may have been contaminated since the last cleaning.
- All bins, pails, cans and similar receptacles intended for reuse, which have a reasonable likelihood for becoming contaminated with blood or other potentially infectious materials shall be inspected and decontaminated immediately or as soon as feasible upon visible contamination.
- Broken glassware which may be contaminated shall not be picked up directly with the hand. It shall be cleaned up using mechanical means, such as brush and dustpan, tongs or forceps.
- Additional guidelines are set forth as Appendix 2.6.4.3.1.

### **Signs and Labels**

- Warning Labels shall be affixed to containers of infectious waste to assure that employees are aware that hazardous materials are in or near the work area.

### **Post Exposure Procedures**

- Immediate response procedures for Exposure to Blood or Bodily Fluids are set forth as Appendix 2.6.2.4.3.
- The University must establish and maintain confidential, accurate records for each employee with occupational exposure.
- If an employee of the University reports an exposure incident (specific eye, mouth, other mucous membrane, non-intact skin or parenteral contact with blood or other potentially infectious materials that resulted from the performance of job duties), the following are to be provided free of charge: a confidential post-exposure medical evaluation, medical follow-up, including post exposure prophylaxis, and counseling.
- The University must provide for the collection of the blood to establish HBV and HIV serological status from the exposed employee and, if applicable, the source individual. (The employee may not grant the collection of blood for the HIV testing if so desired. This also applies to the source.)
- Documentation of the exposure incident and medical records must be developed.

### **Investigation of the Exposure Incident**

- All exposure incidents must be reported by the employee immediately to the President and the Director of Personnel.
- All exposure incidents will be reported to the supervisor by the investigator at the time of notification.

### **Information that must be obtained**

- Type of exposure (blood, mucus, body fluids, vomit);

- Location of the incident;
- Time and date of incident exposure;
- The person that the employee was exposed to;
- Safety equipment employee was wearing at the time of the exposure;
- Other person(s) who may have been exposed and/or who may have been providing treatment;
- Date and time reported;
- Name of person who documented the report of exposure; and
- Proper disposition of contaminated equipment (laundry or disposal as appropriate).
- A copy of the medical evaluation or the exposure results will be sent to the exposed employee by the Personnel Office within 15 days after the completion of the evaluation.

### **Medical Records Maintenance**

- Medical Records will be established for each identified employee (see Subparagraph 2.6.4.3.1), and the Personnel Office will retain these records for at least the duration of employment plus 30 years. These records must include the following information:
- Employee's name and social security number;
- Record of hepatitis B vaccination status, including dates of vaccination or proof declination; and
- A copy of all results of medical exams, testing, etc. done in connection with post-exposure follow-up.
- The medical record is strictly confidential and cannot be disclosed or reported without the express written consent of the employee.

### **Training Records Maintenance**

- Training records shall be maintained in the Personnel Office for three years from the date on which the training occurred and contain the following information:
- Dates of training sessions;
- A summary outline of the contents of the session;
- The names and qualifications of persons conducting the sessions; and
- The names and job titles of all persons attending.

### **Hepatitis B Vaccine (HBV)**

Hepatitis B Vaccine (HBV) Vaccinations will be offered on a voluntary basis to all identified employees (see Subparagraph 2.6.2.5.1). These vaccinations will be offered free of charge by the University.

Education will be provided to inform identified employees about the Hepatitis B Vaccine and how it can protect their health.

Each employee will be required to sign an informed consent prior to receiving the vaccination.

Identified individuals who refuse the vaccine will be required to sign the declination set forth at the end of Appendix 2.6.2.5

The employee will receive schedule for follow-up injections at one month and six months. A reminder will be sent before each scheduled injection. It is each individual's responsibility to report for the injection.

Additional information regarding the Hepatitis B vaccine is set forth as Appendix 2.6.4.4.

### **Medical Record Keeping**

Medical records shall be kept in accordance with the Personnel Office standards and shall include the following:

- Employee's name;
- Job classification;
- Documentation of employee training; and
- Hepatitis B immunization status.

Medical records should include the following when occupational exposure has occurred:

- Time and place of exposure;
- Circumstances surrounding exposure;
- Medical evaluation and recommendation;
- Follow-up documentation that employee has been told about any medical conditions resulting from exposure to blood or other potentially infectious materials which require further evaluation or treatment.

These records shall be kept the duration of employment plus 30 years; and

All findings shall be confidential and findings unrelated to occupational exposure shall not be included in the medical evaluation report.

Any direct exposure to blood or body fluids occurring at the University must be reported to the Manager of Human Resources who is the infection control coordinator.

High risk employees with cuts, scrapes, wounds, skin rashes, chapped skin, dermatitis, etc. must wear appropriate protective equipment (i.e., occlusive bandages, gloves, gowns, masks, etc.) when performing tasks that may involve exposure to another person's blood or body fluids.

All human blood or body fluids should be considered potentially infectious at all times.

Should a person be known to be infected with a contagious or infectious disease, employees must wear protective clothing when providing treatment to that person.

Should a skin exposure to blood or body fluids occur, the employee should:

- Cease the procedure as soon as it is safe and/or practical to do so;
- Wash the exposed area thoroughly with soap and running water;
- Report the incident to the accident investigator; and
- Fill out and complete an exposure report form.

If the skin exposure involves large amounts of blood or prolonged contact with blood, especially if the exposed skin is chapped or otherwise broken, use alcohol or peroxide as an antiseptic after thorough hand washing, if desired.

Should exposure to blood or body fluids occur to the eyes or mouth, the employee should:

- Flush the exposed area immediately with water;
- If desired, rinse the mouth with peroxide;
- Report the incident to the accident investigator; and

- Fill out and complete an exposure report form.

Should an exposure to blood/body fluids occur from a needle stick, cut from a sharp instrument, or contamination of an open wound or broken skin, the employee should:

- Allow the wound to bleed freely;
- Wash the exposed area with soap and water;
- Apply antiseptic as desired:
- Isopropyl alcohol 70% or
- Hydrogen peroxide 3%.
- Report the incident to the accident investigator; and
- Fill out and complete an exposure report form.
- Cleaning Up Spills or Splashes of Blood or Body Fluids
- Gloves
- Bleach or other approved cleaning solution
- Spray bottle
- Water
- Cloth or paper towels
- Red plastic bag

### **Appendix 2.6.2.5: Hepatitis B Vaccine**

All employees who are at substantial risk of an exposure to blood or body fluids during the performance of their job will be afforded the opportunity to receive the hepatitis B vaccination series, following these guidelines:

1. The University will provide, at no cost to employees, immunization against hepatitis B to those high risk employees who have not previously received the vaccine series or who are not known to be immune to the hepatitis B virus (HBV).
2. Unless specifically requested by the employee's personal physician, employees who have a history of immunosuppressive disorders, receive hemodialysis, or are infected with HIV will not be administered immunization in accordance with this policy.
3. Should an employee's personal physician request that immunization be administered, the employee's physician will be required to monitor the employee and provide the University with appropriate medical information within 15 days of the completion of the employee's evaluation.
4. Employees who are pregnant at the time of immunization must provide the infection control coordinator with written authorization from their obstetrician before the vaccine may be administered.
5. Lactating mothers must provide the infection control coordinator with written authorization from their pediatrician before the vaccine may be administered.
6. All employee will be provided with a fact sheet concerning the hepatitis B vaccine and will be required to sign an affidavit that the employee understands such information and whether or not consent is given to administer the hepatitis B vaccine series. A copy of the signed affidavit will be placed in the employee's medical record.
7. Since the hepatitis B vaccine series will be administered by the University, the infection control coordinator will be responsible for taking these measures:
  - A. Screening employees who suspect they may be immune for anti-HBV prior to initiating the vaccine series;
  - B. Providing the employee counseling if the test returns positive and referring the employee to a personal physician for follow-up;
  - C. Providing the employee with hepatitis B information and explaining the hepatitis B vaccine doses by taking these steps:
    - 1) Asking if the employee is hypersensitive to yeast. (Deferring if yes);
    - 2) Asking female employees if they are pregnant or lactating;
    - 3) Explaining concerns regarding:
      - a. Immunosuppressed persons;
      - b. Persons receiving hemodialysis; and
      - c. Persons with HIV infection.

- D. Informing employees that, by accepting the vaccine they are free from infections and/or conditions outlined above;
  - E. Taking each employee's temperature and asking if the employee had an infection before administering the vaccine. (Note: If the employee's temperature is greater than 100 or if the employee has an infection, immunization will be postponed until the condition has cleared.)
  - F. Obtaining informed consent from the employee using the form set forth at the end of this Appendix.
  - G. Administering the first hepatitis B vaccination (1.0 ml) in the right deltoid muscle as soon as possible before potential exposure to blood;
  - H. Making an appointment for the employee to return in 30 days for the second vaccination;
  - I. Asking about any reactions from the initial dose when the employee returns for the second vaccination;
  - J. Administering the second hepatitis B vaccination (1.0 ml) in the left deltoid muscle if no or minimal side effects occurred from the initial dose;
  - K. Making an appointment for the employee to return in five months for the third vaccine;
  - L. Administering the third hepatitis B vaccination (1.0 ml) in the right deltoid muscle if no or minimal side effects occurred from the second dose.
8. Should the vaccine series be interrupted, it will be resumed when convenient for the employee.
- (Note: The second and third doses of vaccine must be separated by at least three to five months.)
9. Should the employee receive an immunization from the employee's personal physician, the employee will be responsible for providing the infection control coordinator with proof of immunization. A copy of the immunization record must be filed in the employee's personnel records.
10. Should a newly hired employee be receiving the hepatitis B immunization series, the immunization will continue until the series is completed.
11. Should an employee initially decline the vaccination and later decide to accept the vaccination, a vaccination will be provided at that time in accordance with the procedures set forth in this policy.
12. Booster vaccinations will be provided as recommended by current CDC and OSHA guidelines.
13. The hepatitis B vaccination series will be made available to employees after the employee has received information concerning hepatitis B, and within ten days of the employee's initial job assignment which may include a potential occupational exposure.

14. Inquiries concerning hepatitis B immunization should be referred to the infection control coordinator.

**INFORMED CONSENT FOR HEPATITIS B VACCINATION**

I authorize Chaminade University to administer the hepatitis B vaccine to me in an effort to provide immunization against hepatitis B.

I have read all the literature provided outlining possible side effects.

I do not at the present time have any active infection. I am not pregnant, nor am I nursing an infant.

I have no history of having hepatitis B.

I understand that a total of three injections will be required over the next six months to complete the vaccination.

I understand that the vaccination is voluntary and does not insure immunity in all cases. I hold the University harmless if the vaccination does not result in immunity against hepatitis B.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Witness \_\_\_\_\_ Date \_\_\_\_\_

**HEPATITIS B VACCINE DECLINATION**

I have received Hepatitis B vaccine prior to my employment at Chaminade University.

Year Vaccination Received: \_\_\_\_\_

I understand that, due to my occupational exposure to blood or other potentially infectious materials, I may be at risk of acquiring hepatitis B virus (HBV) infection. I have been given the opportunity to be vaccinated with hepatitis B vaccine, at no charge to myself. However, I decline hepatitis B vaccination at this time. I understand that by declining this vaccine, I continue to be at risk of acquiring hepatitis B, a serious disease. If, in the future, I continue to have occupational exposure to blood or other potentially infectious materials and I want to be vaccinated with hepatitis B vaccine, I can receive the vaccination series at no charge to me.

Signature \_\_\_\_\_

Date \_\_\_\_\_

Witness \_\_\_\_\_

Date \_\_\_\_\_

## **Appendix 2.11.1: Gift Acceptance Guidelines**

### **CHAMINADE UNIVERSITY**

#### **GIFT ACCEPTANCE GUIDELINES**

##### **GENERAL PRINCIPLES**

Chaminade University of Honolulu (“University”) accepts gifts for the purpose of furthering its mission. These Gift Acceptance Guidelines define the considerations and processes through which the University assesses the desirability of receiving gifts from potential donors and determines whether or not to accept a gift as offered.

Chaminade University reserves the right not to accept gifts from which it will realize little or no financial gain. It shall refuse gifts that are offered for purposes that are inconsistent with its mission. The University shall not accept gifts with restrictions that violate the University’s ethical standards in any way, or that violate its guidelines on discrimination.

Gifts of liquid assets such as cash, publicly traded securities, etc., will be accepted routinely, so long as the purpose of the gift is appropriate to the University’s mission. Gifts of other kinds of property may pose potential problems if they increase the University’s costs, or engage the University in activities inconsistent with its primary mission. Relatively few gifts will be subjected to scrutiny under the Gift Acceptance Process, but gifts of real estate, personal property or other non-liquid assets that are not immediately useful to the University are subject to the review described below.

Before a gift may be entered into the University’s accounting and gift recording operations, an appropriately charged officer of the institution must officially accept it. If a gift is determined to be consistent with the University’s mission, the criteria for gift acceptance focus primarily on its immediate utility or its liquidity. A proposed gift should either be useful to the University in the short term, or be easily converted to cash.

Except for gifts authorized by these Gift Acceptance Guidelines (e.g., charitable gift annuities), all gifts must be arms-length arrangements in which no financial benefits accrue to the donor. If the donor has some relationship to Chaminade such as employee or trustee, it should be understood that the gift couldn’t be accepted under conditions that permit the donor to direct Chaminade’s use of the gift for a purpose that directly benefits the donor. All gifts must meet the requirements of Chaminade’s Conflict of Interest guidelines.

Gifts made to Chaminade by a vendor are acceptable provided that the gift is independent from contract negotiations. Chaminade University personnel may solicit donations or contributions from vendors in the same manner as all other individuals or entities. However, solicitation may not be introduced into negotiation of vendor contracts. Solicitation for donations may only begin upon the close of all contract negotiations. All contributions and donations received from vendors of any kind must inure to the benefit of the University and will be appropriately reflected in the financial accounting records and donor related publications.

Gifts of property that are likely to have immediate utility might include real property close or contiguous to other University facilities; donated services or gifts of educational, scholarly, scientific or operating supplies. Equipment such as computers, business machines, scientific equipment, or other equipment useful in the operations of the institution may be accepted; however, such equipment is often quickly outdated, and decisions on acceptability must consider

present and future compatibility with standards for hardware and software used by the University and by outside contacts of the University. If the proposed gift is not of utility to the institution in its offered form, the easy sale/disposal of such gifts is essential to the University's decision to accept the gift. If such property cannot be sold, prudence suggests that it not be accepted. If Chaminade is likely to be unable to dispose of assets within a reasonable period of time, the prospective donor should be encouraged to sell the property and donate the proceeds or to consider a gift in an alternative form.

## **RESPONSIBILITIES**

### **General Considerations**

Gift acceptance decisions are a University matter. Although University officials may consult with the appropriate officers of the University or outside experts, gift acceptance remains the final responsibility of the President and the Board of Regents.

The University's goal is to encourage gift opportunities in which both the University and the donor benefit. The University shall conduct its affairs in a way that is ethical and consistent with its status as a tax-exempt organization as defined by the Internal Revenue Service (IRS), a higher education institution as defined by the Council for Advancement and Support for Education (CASE) and a nonprofit organization as defined by the International Association of Fundraising Professionals (AFP).

The University may not provide financial, tax, or legal advice to donors or donor prospects, nor may any Chaminade employee or consultant acting for Chaminade provide such advice or counsel to donors or prospective donors. Donors should always be directed to seek their own independent financial, legal and tax counsel. Development and planned giving staff members may provide donors with non-binding interpretations or information regarding potential financial, tax, and legal implications of gifts or proposed gifts, always accompanied by the instruction to seek independent counsel.

For all gifts (other than cash gifts or gifts of publicly traded securities) exceeding \$5,000 in value, development officers shall contact the Vice President for Institutional Advancement before accepting such gifts.

### **The President**

The President is the principal executive officer of the University, acting pursuant to the general powers delegated to the office by the Board of Regents. Since the President is responsible for all of the business and affairs of the University, Presidential authority encompasses the acceptance of proposed gifts on behalf of the University, and their disposition, subject to limits established by the Board of Regents in the Corporate Resolution and in these Gift Acceptance Guidelines. Under these Gift Acceptance Guidelines, the President has delegated the gift acceptance and disposition power to the Vice President for Finance and Facilities and the Vice President for Institutional Advancement while retaining a residuary right of review.

### **Office of Institutional Advancement**

Development officers are expected to be able to describe to a prospective donor the variety of giving devices available to meet a particular University need and to maximize the attractiveness to the donor of making a gift. This requires that development officers should be up-to-date on forms for acceptable planned gifts, including outright contributions, trust arrangements, deferred

gifts, etc. While it is the development officer's responsibility to encourage donors to seek independent tax, legal, and financial advice prior to making a gift, the development officer should be aware of the benefits or detriments of making a gift, and describe these to donors and prospective donors, as set forth in item A above, always taking care to ensure that donors and donor prospects understand that staff serve as representatives of the University, and cannot simultaneously serve as the advisors or counsel to donors. The University often seeks support for particular purposes, and generally, through its development officers, encourages donors to make the purpose and designation of gifts clear, in writing, at the outset.

### **The Vice President for Finance and Facilities**

The Vice President for Finance and Facilities of the University, by delegation from the President, as described in item B above, is responsible for the acceptance, management and disposition of University property, within the limits of the Corporate Resolution and these Gift Acceptance Guidelines, and subject to the review of the President.

The Vice President for Finance and Facilities in conjunction with the Vice President for Institutional Advancement will consult directly with the President in cases involving gifts of significant magnitude and complexity, or in cases where donor relations are especially sensitive. They in turn will determine the manner of consultation with members of the Board of Regents.

The Vice President for Finance and Facilities, with the advice and counsel of the Committee on Financial Affairs of the Board of Regents (the Financial Affairs Committee), the Gift Acceptance Committee, and other appropriate University officials shall decide whether property accepted as a gift will be sold or retained by the University.

The Vice President for Finance and Facilities is responsible for ensuring that the University's outside financial relationships, whether with donors, prospects, brokers, or other entities, are free of conflicts of interest or the appearance of conflicts of interest.

The Vice President for Finance and Facilities is responsible in most cases for performing necessary reviews to assess the legal and risk elements that affect the acceptability of the cash or property offered as a gift. The Vice President for Institutional Advancement monitors the risk elements for regular donors and the Administrative Services Director and Corporate Secretary maintains the "conflicts of interest" records for the members of Board of Regents and senior management.

### **The Gift Acceptance Committee**

1. The Vice President for Finance and Facilities and the Vice President for Institutional Advancement constitute the Gift Acceptance Committee. The Gift Acceptance Committee is responsible for reviewing gift proposals and addressing the appropriateness of a specific gift in accordance with these Gift Acceptance Guidelines.
2. The Vice President for Finance and Facilities and The Vice President for Institutional Advancement shall establish the practices of the Gift Acceptance Committee, determine the frequency of meetings, designate staff to oversee its operations as needed, ensure that all gifts brought before the Committee are resolved quickly, and inform all concerned University officials of the actions of the Committee.

3. Proposed decisions of the Gift Acceptance Committee shall be submitted to the President and become final when approved by the President.

## **GIFT ACCEPTANCE PROCEDURES**

### **Outright Cash Gifts**

1. Unless it appears to the development officer that the gift is inconsistent with the University's mission or would subject the University to undue risk of loss, any development officer may, without approval of the Gift Acceptance Committee, accept outright gifts of U.S. currency, checks, wire transfers, or payroll deduction. Such gifts are credited as actual cash value.
2. To ensure compliance with donors' wishes and prompt processing, outright gifts should be accompanied by the donors' written statements of purpose, including the University department for which the gift is intended, if any.
3. Checks should be made payable to "Chaminade University of Honolulu." More detailed information on gift processing is available from the Office of Institutional Advancement.

### **Pledges**

1. Pledges should be recorded at face value, in keeping with the gift processing guidelines and procedures current at the time.
2. Pledge commitments to the campaign must be written and include the amount of the pledge, the pledge period, the date of the first payment, and the frequency of payments. In addition, the written pledge must contain a statement of the gift designation and purpose.
3. With few exceptions, every effort should be made to keep pledge periods to five years or less. Pledges longer than five years must be reviewed and approved by the Vice President for Institutional Advancement.

### **Gifts of Foreign Currency**

1. Gifts of foreign currency will be approved after consultation with the institution's finance officer. Every effort will be made to have donors convert the currency to U.S. dollars prior to making the gift.
2. Gifts made in foreign currencies will be valued at the U.S. dollar equivalent on the date the gift is received. This value is determined by the daily currency conversion rates listed in the Wall Street Journal.

### **Gifts Received through Wire Transfer**

1. Gifts should be wired in U.S. currency. If not, the Vice President for Finance and Facilities should convert such gifts to U.S. currency, as stated above.
2. Donors wishing to transfer funds by wire should be instructed to contact the Office of Institutional Advancement for wire transfer instructions.

3. If the donor's wire transfer does not indicate the purpose or designation of the gift, the development officer must make every effort to contact the donor to determine such purpose and designation.

### **Gifts of Life Insurance Guidelines**

1. Development officers who anticipate gifts of life insurance guidelines should inform the Vice President for Institutional Advancement, who is authorized to accept gifts of life insurance guidelines that comply with the requirements of this item E. Except in extraordinary circumstances, life insurance guidelines must have paid up cash value, in order to be accepted. Exceptions must be approved by the Gift Acceptance Committee.
2. For a gift of life insurance to be acceptable to the University as a gift, the following criteria must be met:
  - a. Chaminade University must be designated irrevocable owner and beneficiary of the guidelines in order for life insurance to constitute a present gift.
  - b. Propriety of accepting life insurance gifts must be established under applicable law.
  - c. The guidelines should insure only the life of the donor, the donor's spouse, or another person approximately the same age as the donor. Guidelines insuring children of the donor are not acceptable.
  - d. (If the guidelines are paid up at the date of the gift, the University should report the cash surrender value of the guidelines as of the date of the gift, not the guideline's face value.)
  - e. The Gift Acceptance Committee may approve exceptions to the above requirements if the Committee determines that such exceptions are in the best interest of the University and will not subject the University to undue risk of loss.
3. In those instances where Chaminade University is named only as the beneficiary but is not the owner of the guidelines, Institutional Advancement should track this arrangement in a way similar to that of pledged bequest intentions; death benefits from such guidelines will be received and credited as payments against the previously recorded pledge. Such pledges will be recorded and credited only as the donors meet then-current guidelines for pledged bequests.
4. When the death benefit is paid from guidelines in which Chaminade University is named a beneficiary, but was not previously the owner, the full amount received shall be recorded as an outright bequest.
5. The donor must state the purpose or designations of the gift at the time the guidelines is donated, or execute an agreement governing the gift. In the absence of such written designation, such gifts will be used in the manner appropriate to their value, as directed by the President.

### **Gifts of Securities**

1. Consistent with the University's Long-Term Investment Pool policies, gifts of stock or other securities will be sold promptly upon receipt. The development officer or Vice President for Institutional Advancement will inform donors of this policy.

2. Unless it appears to the development officer that the gift is inconsistent with the University's mission or would subject the University to undue risk of loss, any development officer may, without approval of the Gift Acceptance Committee, accept gifts of publicly traded stocks or bonds, and other publicly traded securities, including shares in mutual funds. The minimum value of securities that will be accepted as a gift is \$200 on the date of delivery. Donors wishing to donate securities valued at less than \$200 should be encouraged to sell the securities and donate the proceeds. Marketable bonds or other securities that will mature are acceptable as gifts regardless of maturity date.
3. The Gift Acceptance Committee shall decide the acceptance of securities that are not publicly traded. In such cases, the development officer shall consult with the Vice President for Institutional Advancement, who will submit a proposal to the Committee as described below.
4. If the donor possesses the certificates and the security is in his or her name:
  - a. The donor should send the unendorsed certificates using Certified Mail to:

Office of Institutional Advancement  
Attn: Appropriate Major Gifts Officer  
Chaminade University of Honolulu  
3140 Waialae Avenue  
Honolulu, Hawaii 96816-1578
  - b. The donor should include a letter of transmittal with the certificates stating the purpose of the gift.
  - c. Under separate cover to the same address, the donor should send an irrevocable stock/bond power ("assignment separate from certificate"), obtainable from the donor's broker or bank. The donor should sign the stock power in blank ensuring that the signature exactly matches the name on the certificate, and have his or her signature guaranteed. The donor may also contact the Office of Institutional Advancement for detailed instructions. The donor should enclose a copy of the letter transmitting the securities with the stock power.
  - d. If the certificates have been endorsed, they should be delivered by courier or by hand to the address above. However, this practice is strongly discouraged.
5. If the securities are in a brokerage account, the donor may authorize an electronic transfer, following these steps:
  - a. The donor should contact his or her broker to authorize the transfer of the securities. The development officer involved shall see that the broker receives transfer instructions.
  - b. The development officer should ask the donor to write a letter stating the purpose and designation of the gift, and the quantity and type of stocks being transferred.
  - c. If the donor is unwilling to write such a letter, the development officer must write to the donor confirming the gift and the designation based upon the conversation with the donor. The donor can then indicate his or her approval of the designation and purpose of the gift by initialing the letter and returning it in an envelope

provided by University Relations. If the donor does not return this letter within 60 days, then the gift will be accepted as an unrestricted gift to the University.

- d. The development officer will coordinate details to determine that the gift has been credited to the proper designation(s).
6. For gifts of securities, the development officer will provide written notification of the gift to Institutional Advancement Gift Processing.
    - a. Full identification of the donor, including name and address, to ensure that the gift is credited to the proper donor.
    - b. Source of notification: donor, broker, or other source.
    - c. Form of gift: stocks, bonds, debentures, warrants, options, etc.
    - d. Description of gift, including the name of the company issuing securities and the number of shares.
    - e. Designation of the gift.
    - f. Valuation of the gift in accordance with IRS regulations.
    - g. Date of valuation and basis for date assigned.
  7. If the donor of a gift of securities received electronically is not identified, Then the following steps shall be taken:
    - a. The Vice President for Finance and Facilities in conjunction with the Office of Institutional Advancement shall make every reasonable effort to trace the transfer to the brokerage firm that sent the securities.
    - b. If the donor of a securities gift cannot be identified within ten working days of the end of the fiscal year in which the gift was received, the gift will be recorded as anonymous and unrestricted.
  8. Certain restricted securities, or other securities whose sale and disposition is delayed by Securities and Exchange Commission (SEC) regulations or other considerations, will be receipted and the donor given gift credit according to applicable IRS regulations. However, in cases where donors designate such gifts for endowment or other special accounts, the designation account may be credited only with the proceeds of sale, net of expenses, rather than the market value measured as of the contribution date. Therefore, donors may be required to make other or additional contributions to meet endowment-funding minimums (see below in section on “Endowment Gifts”).

### **Gifts of Real Property (Real Estate)**

1. Real Property includes improved and unimproved land, residences, condominiums, apartment buildings, rental property, commercial property, farms, and timberland. Gifts of real property also include gifts of future interests in property in which the donor retains a life interest.
2. The minimum estimated value for an acceptable gift of real estate is \$25,000. When real property has an estimated market value of less than \$25,000, the donor should be

encouraged to sell the property and donate the proceeds. The location of property can affect the acceptable minimum.

3. In accordance with the general requirements of these Gift Acceptance Guidelines, the donor should be directed to seek independent counsel to address tax and legal issues.
4. The donor must be informed that the University's general practice is to sell all gifts of real estate as soon as possible.
5. The University retains the right to refuse a gift during negotiations without incurring cost or liability.
6. The donor must understand that the University has the right to dispose of its property as it sees fit from the first day of University ownership and that marketability of the property will be a criterion for acceptance of the gift.
7. The donor shall be told that the University will attempt to sell the property at a reasonable price consistent with current market conditions. The donor also must be told that any sale occurring within three years of the date of gift shall be reported to the IRS, as required by law.
8. To initiate the gift acceptance process for a proposed gift of real estate, the development officer shall consult with the Vice President for Institutional Advancement, who shall submit a proposal to the Gift Acceptance Committee. The proposal shall provide the following information:
  - a. Donor's name, address, Chaminade University degrees, and schools attended, if any:
  - b. Gift designation, if any.
  - c. An appraisal of the property, conducted in accordance with IRS and MAI guidelines, paid for and provided by the donor.
  - d. A Phase I environmental audit performed at the donor's expense.
  - e. The existence and amount of any liens against the property, carrying costs, such as property owners association dues, country club membership dues, taxes and insurance. The property must be free and clear of any liens or encumbrances, either existing or inchoate.
  - f. A title insurance guidelines adequately insuring the University's interest in the property, paid for by the donor.
  - g. A statement of any restrictions requested by the donor concerning the disposition of the property. In order to avoid the risk of fraud, the University may not engage in agreements with donors, written or oral, that are for any purpose other than to serve the University's best interests; in particular, the University must not time sales or sell to anyone or for any price other than as determined best suited to the University's interests, irrespective of the interest of the donor.
9. Prior to Gift Acceptance Committee review of the proposal, the Vice President for Finance and Facilities shall review any documents, deeds, or studies of the proposed gift

property to determine legal sufficiency. The prospective donor of the property shall represent and warrant the following:

- a. Donor is the sole current holder of fee simple absolute title to the property and has the authority and power to convey the property to Chaminade free and clear of the claims of any third party or parties (including, without limitation, any dower, curtesy or community property rights of any spouse) without further authorization of any other person;
- b. There are no pending or threatened disputes over the title to the property, including any boundary disputes or claims of adverse possession, prescriptive easements or other rights of possession or use;
- c. The property currently complies with all applicable subdivision and platting regulations;
- d. No portion of the property is identified as having any archaeological or historic significance or lies within any riparian corridor, wetland or other environmentally sensitive area which prohibits or restricts development or the one hundred (100) year flood plain established by the federal government;
- e. Donor has made no commitments to any governmental authority, or other entity, group or individual which would impose an obligation upon the property or any portion thereof or upon Chaminade or its successors or assigns to make any contribution or dedication of money or land, or to construct, install, or maintain any improvements of a public or private nature on or off the property;
- f. The property is free from poorly or improperly filled ground or other geological or engineering conditions actually known by the donor that may preclude, significantly interfere with, or significantly increase the cost of the development of the property;
- g. There is no impending condemnation, utility moratorium, special assessment, annexation or proposed governmental use or development restriction or dedication requirement affecting the property;
- h. The property is not specially assessed or subject to any real property tax recapture or roll-back tax because of any existing or prior use or classification;
- i. There are no contracts, rights of first refusal, options, leases, or other obligations for the sale, transfer or exchange of any third party or parties, improvement, alteration, lease, repair or encumbrance of the property or any portion thereof;
- j. No underground storage tank has been located on or under the property and no hazardous waste or material or other toxic substance has been produced, used, handled, discharged, disposed of or stored on or from or onto the property, or onto any lot or property adjacent thereto and there is no proceeding or inquiry by any governmental body with respect thereto; and
- k. Donor knows of no other material, adverse condition of the property and is not aware of any other information that, if true, would have a material adverse effect on the value or suitability of the property for Chaminade's purposes.

10. As part of the review, the Vice President for Finance and Facilities shall ascertain the following:
  - a. Environmental status, including a verified copy of a Phase I environmental audit submitted by the donor.
  - b. Possibility of adverse publicity for the University if the gift is accepted.
11. If deemed necessary, the Vice President for Finance and Facilities may suggest that a personal inspection of the property be completed to insure that the property has been accurately represented and that it is accessible by road. Generally, the expenses related to this review, including travel, will be deducted from the proceeds of the sale of the property.
12. After consideration of the acceptability of the property, legal review, and the proposal submitted by the Vice President for Institutional Advancement, the Gift Acceptance Committee will recommend:
  - a. Whether or not to accept the proposed gift.
  - b. Whether or not to accept any of the donor's proposed restrictions on the gift.
13. If the gift is accepted, the gift shall be retained by the Vice President for Finance and Facilities for University use or disposed of in accordance with University guidelines.
14. The development officer shall inform the donor of the actions of the Gift Acceptance Committee and any modifications in the proposed conditions for making the gift. If the gift is accepted, the development officer shall acknowledge the gift in accordance with Institutional Advancement guidelines on gift acknowledgement and stewardship.
15. Chaminade University shall not appraise or assign a value to the gift property on behalf of the donor. It is the donor's responsibility to establish a value for the gift and to provide, at the donor's expense, an independent qualified appraisal as required by the IRS to substantiate any claim the donor makes for an income tax charitable deduction. When property is contributed to fund a life income arrangement, the University must receive such an independent appraisal in order to determine the income payment obligation for the life income trust. The gift will be recorded at the appraisal value of the gift.
16. The Gift Acceptance Committee may approve exceptions to any of the requirements in this item G if the Committee determines that such exceptions are in the best interest of the University and will not subject the University to undue risk of loss. However, the Committee may not waive the requirement of a Phase I environmental audit without the approval of the Finance Committee.

**Gifts of Tangible Personal Property**

1. Tangible personal property includes but is not limited to such items as:
 

Books	Computer equipment
Jewelry	Animals
Automobiles	Furniture
Boats	Works of Art
Firearms	Manuscripts and Archival Materials

2. If proposed gifts of tangible personal property are of use to the University, such gifts shall be retained as part of the University's collection. Gifts of little artistic value or those lacking historical, literary, or scientific significance should be discouraged. Marketability of the gift, should it not be retained for use by the University, is a criterion for gift acceptance.
3. Without the written approval of the Vice President for Finance and Facilities, gifts of tangible property such as paintings or other works of art, jewelry, furniture, or collections should not be accepted if made on the condition or expectation that the items will be permanently exhibited or that the collection will be maintained as such.
4. The minimum value of a gift of tangible personal property intended to be sold is \$5,000. When the estimated value of any proposed gift is less than \$5,000, the donor should be encouraged to sell the property and donate the proceeds.
5. In coordination with the Vice President for Institutional Advancement, Development officer shall contact one of the following University officials to determine whether the property is of value to Chaminade University and should be retained:
  - a. The Director of Major Gifts.
  - b. If the proposed gift of personal property involves archival material on the University, manuscripts, or rare books, contact the library.
  - c. If painting, sculpture, photography, furniture, jewelry, clothing, or decorative art, contact the Dean of Information Services and Library.
  - d. The dean or director of the University program in which the property may be used.
6. If the appropriate University officer states that the proposed items are of interest to the University, then the development officer, with the assistance of the head of the collection involved and the Vice President for Institutional Advancement, will submit a proposal to the Gift Acceptance Committee.
7. This proposal will contain, at least, the following information:
  - a. A description of the proposed gift material, including its physical dimensions.
  - b. An estimate of storage or transportation costs, and any other expenses related to accepting the proposed gift.
  - c. A brief statement of its scholarly or artistic value and endorsed by the head of the University organization that wishes to retain the gift.
  - d. An assessment of the possibility of any adverse publicity for the University if the gift is accepted.
  - e. Any special arrangements or stipulations requested by the donor as a courtesy.
  - f. A qualified independent appraisal supplied by the donor at his or her expense if the value of the gift is estimated to be over \$5,000. If the estimated value is not more than \$5,000, a knowledgeable University official can provide an estimate.

- g. A statement regarding the marketability of the proposed gift and how the gift should be sold to realize its full value.
8. The Gift Acceptance Committee will meet to review the proposal and will decide whether or not to accept the gift. If the gift is accepted, the Director of Major Gifts will prepare a receipt and acknowledgment letter for the donor. The gift will be recorded upon receipt of the property at its appraisal value.
9. The costs of delivery to Chaminade University and related expenses shall be the responsibility of the donor.
10. The donor generally is responsible for filing any required IRS forms.
11. If the proposed gift is not of scholarly or artistic interest to the University, and its estimated value is less than \$5,000, the donor should be encouraged to sell the property and to donate the proceeds to Chaminade University.
12. If the estimated value of the property is greater than \$5,000, and it has been determined not to be of scholarly or artistic value to the University, then the development officer's proposal to the Gift Acceptance Committee will address the issue of why it might be desirable for Chaminade to accept the gift.
13. The Gift Acceptance Committee may approve exceptions to any of the requirements in this item H if the Committee determines that such exceptions are in the best interest of the University and will not subject the University to undue risk of loss.

#### **Gifts of Other Assets**

1. Other assets include but are not limited to such items as:
  - Promissory Notes
  - Patents, royalties, trademarks, and copyrights
  - Professional practices (medical or legal)
  - Interests in limited partnerships or limited liability companies
  - Stock in closely held or private corporations
2. If the proposed gift is estimated to be worth less than \$10,000, the donor should be encouraged to dispose of it and donate the proceeds to Chaminade University. Exceptions, especially for stock and notes, may be granted after review.
3. If a potential donor proposes making a gift of one of the classes of assets listed above, the Director of Major Gifts shall consult with the Vice President for Institutional Advancement, who will prepare a written gift proposal for consideration by the Gift Acceptance Committee. This proposal will provide, at least, the following information:
  - a. Donor's name, address, and schools attended, if any.
  - b. Gift designation, if any.
  - c. Description of the asset.
  - d. An estimate or appraisal of the asset's fair market value and marketability.
  - e. The existence and amount of any carrying costs or liabilities.
  - f. Credit history or financial statement of the donor.

- g. A statement of any special arrangements requested by the donor concerning the disposition of the asset, such as how long it should be held prior to sale, potential buyers, and price considerations. Note, however, the University must and will act in the University's best interest, in selling or disposing of such assets, irrespective of the donor's interests, except as the donor's interests, present and future, may affect the University.
  - h. A statement outlining how the asset should be sold to realize its full value.
  - i. For interests in limited partnerships or limited liability companies, a description of the entity's activities and any liabilities of the entity.
- 4. The Vice President for Finance and Facilities will review the legal ramifications of accepting the proposed gift.
- 5. After careful consideration of the proposal submitted by the Vice President for Institutional Advancement, the Gift Acceptance Committee will recommend:
  - a. Whether or not to accept the proposed gift.
  - b. Whether or not to accept any of the donor's restrictions on the gift.
- 6. If the gift is accepted, the development officer should acknowledge it in accordance with Institutional Advancement guidelines on gift acknowledgment and stewardship.
- 7. Chaminade University will not appraise or assign a value for the gift property. It is the donor's responsibility to establish a value for the gift and to provide, at the donor's expense, an independent qualified appraisal if required by the IRS.
- 8. The Vice President for Finance and Facilities will report the decision to the other members of the Gift Acceptance Committee. If the gift is accepted, Institutional Advancement will record the appraised value of the gift.
- 9. The Gift Acceptance Committee may approve exceptions to any of the requirements in this item I if the Committee determines that such exceptions are in the best interest of the University and will not subject the University to undue risk of loss.

### **Gifts Received through Estates and Trusts**

- 1. The University is authorized to offer current or deferred charitable gift annuities in accordance with applicable state and federal law. Unless otherwise approved by the Gift Acceptance Committee, the rates for all charitable gift annuities shall be the rates set from time to time by the American Council of Gift Annuities. If a charitable gift annuity is funded with cash or publicly traded securities, the development officer may prepare the annuity agreement for the President's signature, without review by the Gift Acceptance Committee. In all other cases, the Committee must approve proposed charitable gift annuities.
- 2. The University is authorized to accept gifts in trust and serve as trustee, or appoint an agent to act on its behalf, of charitable remainder trusts and charitable lead trusts if the University is a significant beneficiary of the trust. Proposed gift agreements for trusts in which the University is to serve as trustee will be evaluated by the Gift Acceptance Committee relative to cost and benefit to the University. Trust documents shall be reviewed by the University's counsel. The Office of Institutional advancement in

consultation with the Vice President for Finance and Facilities will administer approved trust agreements.

3. Expenses of administering trusts, including external management fees and custodial fees, will be charged to the trust, unless the Office of Institutional Advancement, in consultation with the Vice President for Finance and Facilities, determines that it is in the best interest of the University to pay such expenses.
4. The University may not enter into a charitable gift annuity agreement, accept a gift as trustee of a charitable remainder trust or lead trust, or otherwise enter into a deferred gift arrangement with a donor unless the present value of the gift to the University exceeds 20 percent of the value of the property contributed to fund the arrangement.
5. For purposes of gift crediting and acknowledgements, the following applies: property gifted in exchange for charitable gift annuities or gifted to charitable remainder trusts will be credited at the full value of the contributed property. Contributions to charitable lead trusts will be credited an amount equal to the aggregate (undiscounted) amount to be received by Chaminade over the term of the trust, applying guidelines of the Council for Advancement and Support of Education (CASE) in situations where future trust receipts must be estimated.

#### **Review by the Finance or Executive Committees**

The following types of gifts may not be accepted without prior approval of the Finance Committee (or Executive Committee acting on behalf of the Board):

1. Any gift of real property having an estimated value greater than \$200,000.
2. Any gift of real property unless a Phase I environmental audit discloses no material environmental problems.
3. Any property that is encumbered by debt.
4. Bargain sales to the University, i.e., transfers of property in which the University makes a cash payment to the donor in an amount less than the estimated fair market value of the property.
5. General partnership interests or other interests in business entities other than corporate stock, limited partnership interests, or limited liability company interests.
6. Any personal property that is not readily marketable and has an estimated value greater than \$50,000.
7. Any personal property (other than publicly traded securities) contributed to fund a life-income arrangement.

#### **General Procedures Concerning Acceptance of Gifts**

1. If the donor for an established fund-raising effort designates a gift or grant, the gift will be credited to the specific account of the respective program and will only be available as funding for that program.
2. If a gift or grant is designated by the donor or granting agency for a specific purpose (i.e., research) and the institution is accountable to the donor or granting agency for the use of the gift or grant, the gift or grant will be credited to a separate account to which

expenditures related to the activity will be charged. All other gifts designated by a donor for a specific department or program will be deposited into the Annual Fund Unrestricted Account.

3. Funds received by the University which are designated for student organizations, clubs or other campus activities that are not recognized within the University’s financial accounts or operating budget will be deposited into the organization’s accounts, but will not be acknowledged as deductible charitable gifts to the University because the activities of the organizations may not be exempt under the University’s tax-exempt status. Further, such gifts will not be recorded in University Relations’ gift records, acknowledged as deductible contributions with either formal or informal receipts by any University staff member, and any matching gift claims filed by donors of such gifts will not be processed or submitted to the matching gift donor by Chaminade.
4. The Director of Major Gifts shall complete an IRS Form 8283 (“Noncash Charitable Contributions”) in consultation with the Vice President for Institutional Advancement, for all non-cash gifts valued at more than \$5,000 or \$10,000 for closely held stock. The Vice President for Institutional Advancement must review all completed 8283 forms for all non-cash gifts valued at more than \$5,000 before they are mailed to donors and is to alert the Director of Finance of cases that may oblige Chaminade to complete and file IRS Form 8282 (“Donee Information Return”). It is the responsibility of the Director of Finance to complete and file any required forms 8282.
5. The expense of any transaction fees associated with the University in acceptance of a gift (e.g. cost of conversion of foreign currency to U.S. dollars or wire transfer fees) will be deducted from the proceeds of the gift.
6. The Gift Acceptance Committee may approve exceptions to any of the requirements if the Committee determines that such exceptions are in the best interest of the University and will not subject the University to undo risk of loss.

**GIFT MINIMUMS**

To ensure that every gift makes a contribution to the University, it is necessary to Establish thresholds for gifts:

<b><u>Gift Form:</u></b>	<b><u>Minimum Value:</u></b>
Credit Cards	No minimum
Cash or Checks	No minimum
Publicly Traded Securities	\$200
Non-Canadian Foreign Currency	\$500
Tangible Personal Property	\$5,000
Other Assets	\$10,000
Real Estate	\$25,000
Life Insurance (paid up)	No minimum
<b>Planned and Deferred Gifts</b>	
Individual Charitable Remainder Trusts (Unitrusts and Annuity Trusts)	\$250,000
Charitable Lead trusts	\$250,000
Gift Annuities	\$5,000

For any proposed gift, the Finance or Executives Committees are authorized to waive any minimum value if the Committee determines that waiving the minimum will be in the best interests of the University.

In the case of works of art or other tangible personal property, the Gift Acceptance Committee is authorized to waive the \$5,000 minimum, if the Committee determines that the property will complement the collection or add to an academic program.

## **ENDOWMENT GIFTS**

Restrictions on endowment gifts must be consistent with Chaminade University's mission. Such restrictions cannot violate the University's ethical standards in any way, or require discrimination based on race, color, gender, sexual orientation, age, religion, national or ethnic origin, marital status, veteran status, or disability. In situations where there is a question about the appropriateness of a proposed restriction on an endowment gift, the President and the Chair of the Board of Regents will be consulted.

Restrictions on endowment gifts ultimately decrease their contribution to the University's finances by the amount of time and effort needed to manage such restrictions. To the extent possible, donor's wishes should be recorded in endowment governing agreements as "preferences," rather than as "restrictions," thereby permitting Chaminade the greatest flexibility and utility for using the gift.

In general, it is the desire of Chaminade University to limit the restrictions placed on endowment gifts to a Chaminade University program as designated by the donor. The terms of any fund shall include language permitting a different or modified use of the fund if conditions change.

In addition, the Finance Committee oversees the University's investment policies. Donors who have special preferences for investments are invited/welcomed to set up a trust account, making Chaminade its beneficiary.

Minimum gift amounts are required to establish and name endowed funds in accordance with the donor's wishes and the constraints of the University budget. The minimum to establish any separate scholarship or other endowed fund account is \$25,000; higher minimums are required for many endowment funds designated for specific purposes. Minimum endowment levels will be recommended by the Vice President for Institutional Advancement for approval of the Board of Regents and amended from time to time.

Normally, endowment minimums may be met with gifts of cash or property credited at full fair market value, as measured on the date of contribution. However, some illiquid property, such as restricted securities or real estate, maybe credited towards reaching the endowment minimum at the value of the net proceeds realized from selling the property, net of sales or other expenses. This alternate credit guideline should be understood clearly by the donors, and where possible and appropriate, incorporated into the endowment governing agreement.

Pledges in support of endowed funds should be limited to five years. Should an endowed fund fail to grow to the minimum amount, to the extent permitted by law, the fund may be terminated and the proceeds used either for the general purposes of the institution, or under the terms of the agreement under which gifts for the endowment funds were accepted.

The minimum amount required to establish new endowment funds will be reviewed and raised periodically. However, all endowed funds established under agreements between the donor and

the University will be subject to the minimum funding requirement in effect at the time the agreement was executed, and which shall be written into the agreement.

### **ACKNOWLEDGING GIFTS AND GRANTS**

Unless the donor specifies otherwise, gifts will be recognized in the University's Honor Roll/Annual Report by donor name within gift ranges. Reports of gifts may be released to other media after written permission is obtained from the donor.

### **ANONYMITY STATEMENT**

1. The term anonymous has varying degrees with regard to gift entry and acknowledgment at Chaminade University. The primary question with regard to anonymity by the donor is whether they want to receive credit for their donation. If a donor wishes to receive a receipt for a gift, the University must then assign the gift to that donor's constituent record. If the donor does not require credit and would not like to be tied to their donation in any way, the gift can be posted anonymously. However, if the donor merely wishes that their gift were not publicized, the University's gift accounting database enables the coding of the gift as anonymous-protecting the name of the donor and other information pertaining to the gift. Additionally, an anonymity code can be assigned to the donor as well, insuring that no public record of their gifts occurs.
2. The completion of an Anonymity Statement by a development officer will insure the proper booking of gifts and pledges of this nature. Anonymity Statements must be filled out for all gifts and pledges committed to the University in which the donor requested to remain anonymous.

### **ACCEPTING GIFTS AND GRANTS**

A single receipt and acknowledgement letter will be issued to donors of any amount, relieving the University's fiduciary duty to its donors. The letter will contain a custom paragraph describing the nature of the gift (restricted, unrestricted, planned, etc.), the monetary amount of the gift, date of gift (i.e. date on check, etc.), type of payment (i.e. check, credit card, online, etc.) and will reflect the gift society designation for all cumulative donations:

Contributors	(\$0 - 99)
Courtyard Club	(\$100 – 249)
1955 Club	(\$250 – 499)
Mackey Society	(\$500 – 999)
President's Council	(\$1000 – 19,999)
Chancellor's Society	(\$20,000 +)

### **FUNDING AN ENDOWED POSITION**

The current minimum funding levels for Endowed Positions are listed below. From time to time the Board may adjust these levels to maintain their purchasing power.

To name an endowed chair	\$2,500,000
To name an endowed professorship	\$1,000,000
To name an endowed lecture or seminar series	\$50,000
To name an endowed graduate/undergraduate scholarship	\$25,000
To name an endowed library book fund	\$25,000

Required gifts may be above the minimum listed depending on the specific field, program or facility.

## **GENERAL GUIDELINES FOR CREDITING GIFTS**

***Real Property:*** Gifts of real property should be reported at the fair market value as determined by the qualified appraisal described in item G above.

***Personal Property:*** Gifts of personal property other than securities should be reported at the fair market value, which shall be determined in accordance with the requirements outlined in items H and I above.

***Publicly Traded Securities:*** Gifts of publicly traded stock and other securities should be reported at the fair market value, which is the average of the high and low selling prices on the date of the gift unless determined otherwise by the Gift Acceptance Committee.

***Closely-Held Stock:*** Gifts of closely held stock exceeding \$10,000 in value should be reported at the fair market value placed on the stock by a qualified independent appraiser as required by the IRS for valuing gifts of stocks that are not publicly traded. The institution may obtain the appraiser's valuation figure from IRS Form 8283, on which the donor must obtain Chaminade's authorized signatures for all such gifts.

Gifts of closely-held stock valued at \$10,000 or less may be valued at the per-share cash purchase price of the most recent transaction. Normally, this transaction is the redemption of the stock by the corporation. If no redemption is made during the reporting period, the gift may be credited to fundraising totals at the value determined by a qualified independent appraiser. For a gift of \$10,000 or less, when no redemption has occurred during the reporting period, an independent certified public accountant (CPA) who maintains the books for a closely held corporation is deemed to be qualified to value the stock of that corporation.

***Grants and Contracts:*** Reports should include grant income from private, Nongovernment sources but should not include contract revenue. The difference between a private grant and a contract depends on the intention of the awarding agency and the legal obligation incurred by an institution in accepting the award. A grant, like a gift, is donative in nature; it is bestowed voluntarily and without expectation of any tangible compensation. A contract carries an explicit quid pro quo relationship between the source and the institution. Government grants and awards- whether local, state (including state matching grants), federal, or foreign-should be excluded.

***Charitable Annuities and Remainder Trusts:*** Gifts made to establish charitable gift annuities and charitable remainder trusts (whether administered inside or outside the institution) where the remainder is not subject to change or revocation should be credited as deferred gifts (future commitments) at both the discounted present value of the remainder trust allowable as a deduction by the IRS and at face (fair market) value. The premise underlying the discounting to present value gifts of a future interest is that the present value of a future interest is less than the face (fair market) value of the assets at the time the gift commitment is made.

***Note:*** Details of all charitable remainder trust gifts may not be available to the institution, and thus verification that the institution irrevocably is the charitable remainder beneficiary will not always be possible. Nonetheless, the charitable remainder

beneficiary designation must be irrevocable, and verified as such, in order to be counted in fund-raising totals.

**Charitable Lead Trusts:** The income actually received from a lead trust should be reported each year as a current gift.

**Life Insurance:** Gifts of life insurance guidelines can be considered a gift only if Chaminade has been named both owner and irrevocable beneficiary of the guidelines. The following standards apply:

- Life insurance guidelines should be reported as an outright gift at the cash surrender value. (Cash surrender values are approximately equal to present value).
- Premium payments made by the donor directly to the insurer or to Chaminade, which in turn pays the premium to the insurer, or new or existing insurance guidelines, should be reported as an outright gift at the full value of the premiums paid. Premium payments made by Chaminade, with no offsetting payment received from the donor, should not be reported as gift income because they are considered to be operating expenditures. Therefore, any increases in cash surrender values resulting from Chaminade's premium payments should not be reported as gifts.
- Realized death benefits should be reported as gift income only if Chaminade has never previously recorded the guidelines value or any donor-paid premiums as gift income and if Chaminade has not been paying the premiums. If the values have already been reported, do not report as a gift the difference between the previously reported values and the amount of the insurance company's settlement at the death of the donor, because this is a gain on the disposition of Chaminade's assets. The rationale for this standard is based on the preceding statements for reporting gifts of life insurance; that is, if the donor has paid the premiums, Chaminade has already annually reported these payments as gifts, and if Chaminade has paid the premiums, those payments should be considered as operating expenditures.
- If Chaminade receives the proceeds of an insurance guideline in which it was named beneficiary, but not owner, the full amount of the insurance company's settlement at the death of the donor should be reported as a gift on the date Chaminade receives the proceeds.

## **PERIODIC REVIEW AND REVISION OF GUIDELINES AND PROCEDURES**

- A.** The Gift Acceptance Committee will consider revisions and refinements of this guideline as necessary. The Vice President for Institutional Advancement shall be responsible for disseminating and reviewing this guideline periodically within Institutional Advancement. The Vice President for Finance and Facilities will be responsible for disseminating and reviewing these guidelines periodically with appropriate University officials outside of Institutional Advancement.
- B.** The Development Committee of the Board of Regents will periodically review the guidelines and make recommendations to the Executive Committee of the Board of Regents for approval.

## FACILITIES NAMING GUIDELINES

- A. Building names are an extraordinary prominent feature of Chaminade's University campus environment. Students, alumni and visitors alike refer and are directed to buildings by the name of the building, not by the building's function. The very permanence of building names requires that they be applied very carefully. Further, because there are only a small number of buildings that can be named, the honor that comes with application of an individual's name to a building is even greater. Thus, guidelines are required to control how such names are selected and the conditions under which they may be applied.

Final authority for naming entire buildings rests with the Board of Regents. However, the Board may delegate this authority. The Board may be expected to act on recommendations forwarded by the President. However, where pre-approved menus of naming opportunities and associated costs are on record, staff may proceed with donors independent of consultation with the Board, but the Board retains final naming approval authority.

- B. Because buildings and their names are in some ways the most significant features of the campus, naming them offers individuals the most significant and obvious permanent recognition the University can offer. Therefore, the application of names of buildings is reserved almost exclusively as a mark of recognition for Chaminade's most important financial supporters. These guidelines set out the requirements and conditions that must be met by donors in order that their name, or a name they select, may be applied to a University facility. The guidelines serve an additional purpose by making public and uniform the requirements for naming recognition, so that all donors are treated equitably. In all cases, final determination of whether any building may be named for an individual rests with the University's Board of Regents.
1. Donors who wish to name new buildings must agree to an irrevocable, enforceable pledge instrument, to contribute, based on the total cost of the new building, between 35% and 75% of the total cost. This will be determined on case-by-case basis with less costly buildings requiring a greater percentage contribution and the most expensive buildings a smaller one. The total cost shall be defined as the site preparation, construction cost, and all fees but not necessarily the cost of a permanent endowment fund for the maintenance of the building. *A maintenance endowment is strongly encouraged but not required.* (Adequate maintenance endowment has been defined as 50% of the construction expense).
  2. When a donor contributes the designated amount of the *total cost* of a new building (as referenced above in item 1), in order to name the building, note that individual rooms, studios, laboratories, suites of offices, halls and so on, may be named by other donors, subject to contribution and naming rules discussed below.
  3. When a single donor wishes to name an entire facility, both the building as a whole as well as the interior space within the building, and *exclude the possibility of any other donor naming any part of the building*, the donor is

required to contribute 100% of the *total cost* of the building, including both construction and maintenance endowment costs.

4. Donors may name individual rooms, laboratories, offices, or other defined spaces within new or existing buildings, without naming the entire building, except as excluded under item 3, above. The minimum contribution required of donors to name part of a new or extant building shall be 100% of the construction cost of the room, lab, etc. The most important guiding principle is that the minimum contribution required to name part of a new or existing building shall be commensurate with the expense and attractiveness of the space, which calculation should be made with reference to the proportionate cost that space bears to the total current or projected value of the entire building, maintenance and endowment costs included.
5. Donors who wish to provide additions to existing buildings that were not planned by the University must contribute 100% of the *total cost*, defined as above to include construction and maintenance endowment costs, or equivalently, 150% of the construction expense. For additions that have been defined as University goals, donors wishing to name the addition must contribute at least the proportion of its costs as indicated in item 1 above.
6. Existing named buildings that were not named in recognition of financial support by donors will always carry the name presently assigned them. However, such buildings may be renamed in recognition of gifts made by donors in a way that combines the original name with a name requested by a new donor.
7. Donors need not necessarily contribute to an account for a building in order to name it. In such instances, unrestricted or undesignated gifts of size adequate to meet the requirements articulated above may be deemed adequate to name a facility. However, such contributions may be recognized only once; that is, a gift used to name an endowed scholarship may not also be recognized in a building name. By contrast, a gift added to the University's unrestricted scholarship endowment might justifiably be recognized by naming a facility with the donor's agreement.
8. Before construction may begin on a new facility, the Board of Regents has to be assured that resources are adequate for construction and on-going maintenance preferably in the form of an endowment. Therefore, donors who contribute less than the total cost must be apprised that construction is not assured until the entire cost of the new building has been secured from other donors or otherwise provided for and authorized by the Board of Regents.
9. Exceptions to these guidelines may be requested through the Vice President for Institutional Advancement, who may endorse the recommendation for review by the Campaign Cabinet or may rule independently against granting the exception. Alternatively, the President

may recommend exceptions to the guidelines to the Board, and the Board may initiate exceptions independently. All exceptions, however, must be weighed against their future cost, as all exceptions granted weaken these guidelines, and any exception granted may be viewed by other past or prospective donors as a precedent, making it more difficult to deny future requests for exceptions.

10. The Board of Regents retains the right to allow facilities naming opportunities based on an individual's lifetime service and contribution to the University.
11. In naming facilities, the University will utilize the full names of donors (or their designee) when appropriate. This determination must be done in consultation with the donor.
12. The Board of Regents retains the right to withdraw or refuse a naming opportunity if unforeseen circumstances warrant such an action.

## **Appendix 2.12.8: Investment Policy**

### **Chaminade University of Honolulu Investment Objectives and Guidelines For the Long-Term Investment Pool**

Adopted by the Board of Regents on November 18, 2016

#### **A. Funds Included in the University's Long-Term Investment Pool**

The University's endowment funds, current funds over and above working capital, annuities, and other reserve funds will be managed as a single long-term investment pool ("LTI Pool").

##### **1. True Endowment Funds:**

- a. Spending from principal and total return of true endowment funds is legally restricted by a benefactor, bequest, or specific objective of a fund raising campaign.
- b. The use of these funds will be governed by the intention of the donors and the laws of the State of Hawaii (including UPMIFA, enacted by the State of Hawaii on July 1, 2009).

##### **2. Quasi-Endowment (Unrestricted) Funds:**

- a. Quasi-endowment funds are those funds which are not legally restricted to endowment, but are transferred to endowment with the approval of the President of the University.
- b. Quasi-endowment funds may be removed from endowment upon the recommendation of the President of the University with the concurrence of the Investment Subcommittee of the Board of Regents if less than \$50,000; with the concurrence of the Finance Committee if less than \$250,000; with the concurrence of the Board upon the recommendation of the Finance Committee if \$250,000 or greater.

#### **B. Overall Return and Risk Objectives**

##### **1. Return**

Our goal is to protect, over the long-term, the future purchasing power of the managed funds by earning a net of fees return of 3.0% in excess of the long-term inflation rate. For purposes of the policy, the University bases the long-term inflation rate as the average compound rate of inflation (defined as the Consumer Price Index as released by the U.S. Department of Labor) over the last ten years.

(From December 2002 to December 2012 average CPI was 2.37%.) In order to achieve our goals, the overall investment strategy is to emphasize total investment return, that is, the aggregate return from capital appreciation and dividend and interest income. Short-term volatility will be tolerated in as much as it is consistent with the volatility of a comparable market index.

## **2. Risk**

Our goal is to select an asset allocation which can reasonably be expected to earn the required rate of total return while assuming a risk in-line with that of a "market" portfolio (comprised of 36% S&P 500, 16% MSCI EAFE Index, 35% BC Aggregate Bond Index, 8% HFRI FOF Index, and 5% 90 day T-Bills) when projected over a 5 year period. Risk is measured as the standard deviation of the portfolio.

## **C. Spending Policy**

Using the market value as of March 31, 1997 as the base year:

1. For FY 97-8 spend 5% of the March 31, 1997 market value;
2. For subsequent fiscal years spend:
  - a. For endowments existence since the previous fiscal year: 2.5% more than the past fiscal year;
  - b. For newly created endowments: Determine the unitized share value at the time of deposit in LTI Pool and spend at a rate equivalent to "old shares", pro-rated for the portion of the year on deposit unless such spending would lead to an invasion of principal.
3. Continue with this policy unless it would lead to a pay-out of either less than 3% or more than 5%, based on the valuation of endowment on June 30 of the prior year.
  - a. If more than 5%, freeze spending at 5% of market value;
  - b. If less than 3%, adjust spending to 3.5% of market value.

The spending increase of 2.5% per year used in the policy is based on an assumption of long term inflation over past years and projections for the future and therefore is subject to review and change.

## **D. Inter-Fund Investment**

The Fund may provide for an inter-fund investment subject to the certain limits.

Inter-fund investing should not be considered as a primary source of capital but to provide for the immediate funding of certain programs that would have otherwise been satisfied by traditional financing.

1. Any approved inter-fund investment will be evidenced by a signed formal agreement.
2. The accounting and administration for the inter-fund investment will be done by the University's Finance Office. An annual report must be provided to the Investment Subcommittee which includes compliance of all terms.
3. Any changes or modifications to the terms of any such inter-fund investment can only be made on the recommendation of the Investment Subcommittee, to the authority (Finance Committee or Board) that initially approved the inter-fund investment.
4. Any inter-fund investments are subject to the following terms:

Minimum Period:	1 year
Maximum Period:	10 years
Minimum Amount:	\$100,000
Maximum Amount:	20% of total Endowment assets, but not to exceed the portion of the market value attributable to retained earnings, at time of the inter-fund investment.

Repayment & Interest Rate: Prepayment, rates and terms to be proposed by Administration and agreed to by the Investment Subcommittee, based on the recommendation of the Investment Consultant, in consideration of current market conditions.

5. Inter-fund investments may be approved by the Finance Committee upon the recommendation of the President and the concurrence of the Investment Subcommittee if less than \$250,000; by the Board of Regents if \$250,000 or greater. Administration should prepare and include an analysis that the General Fund is capable of repaying the loan to the Endowment fund.

## **E. Professional Manager(s)**

### **1. Use**

The management of the assets in the LTI Pool will be assigned to a professional investment manager(s) appointed by the Investment Subcommittee who will have full discretion with respect to assets under control, subject to the manager guidelines provided herein. Each investment manager is expected to manage assets in accordance with the "prudent person rule" and the provisions of the 1974 Employee Retirement Income Security Act (ERISA), as well as UPMIFA, as enacted by the State of Hawaii on July 1, 2009. The Investment Subcommittee may appoint a consultant to assist it with the selection of investment manager(s)

and their evaluation, as well as the objectives, policies, asset allocation and other matters regarding the University's Long-Term Investment Pool. On a periodic basis but not less than every five years, the Investment Subcommittee will review the performance of such a consultant.

**2. Transfer of Unrestricted Funds to Manager(s)**

On a periodic basis, but not less than annually, the administration will recommend to the Finance Committee the allocation of University funds in excess of needed working capital be transferred to the LTI Pool.

**3. Limits of Concentration of Assets with an Investment Manager**

No more than 40% of the assets of the LTI Pool are to be invested with a single investment manager. This limit shall not apply to passively managed investment strategies such as the use of Index ETF's. The Investment Subcommittee will review the amount of assets allocated between active and passive investment strategies.

**4. Evaluation of Manager(s)**

Each manager will be evaluated by the Investment Subcommittee on an on-going basis with the primary focus being relative performance verses its benchmark over a market cycle. A market cycle is defined as a length of time which includes both a period of declining prices (a "bear" leg of at least two calendar quarters induration) and a period of rising prices. Therefore, the duration of a complete cycle would be a minimum of one year but more typically three to five years or longer. The Subcommittee reserves the right to establish a specific time period for evaluation of each manager.

If a custodian is employed, full transaction summaries and lists of holdings will be supplied to the manager(s) by the custodian monthly; the manager is responsible for reconciling to the custodian account. Each investment manager will be provided with these returns and is responsible for the review of the statistics. Significant disparities should be resolved promptly. In addition, each manager will supply lists of holdings on a quarterly basis to the University.

Formal meetings between the manager(s) and the Investment Subcommittee will be arranged approximately annually to discuss current investment strategy, the projected market outlook, and the recent performance of the portfolio. The University staff will meet with the investment manager(s) more frequently. The University expects to be kept up to date on any significant changes in a manager's investment thinking. The University should be informed of any major changes in the management of the organization such as, but not limited to, changes in professional staff, major accounts gained or lost. If at any time, a manager's investment philosophy or process is altered, the manager must promptly communicate the change to the University and Subcommittee. Such changes

could include a significant increase in the number or type of securities held or followed or a change in portfolio manager assignments.

## **5. Use of Custodian and Other Professionals**

The Investment Subcommittee has the responsibility for determining if a Custodian and/or other professionals (e.g., consultants) are to be employed to assist in the management of the LTI Pool, and approves the firms or persons recommended by the administration to serve in the appropriate capacity.

## **F. General Manager Guidelines**

### **1. Consistency in Style**

The University employs an investment manager(s) to manage the assets it directs in specific styles, unless, under existing circumstances, it is not prudent or practical to do so, in which case a manager may hold cash. A statement of investment philosophy and style for a manager is agreed upon when a manager is hired and is incorporated by reference in to this policy. Each manger is expected to consistently adhere to the investment style defined therein. The Investment Subcommittee is responsible to for reviewing that a manager is maintaining a consistency in style.

### **2. Restrictions on Holdings to Minimize Risk**

#### **a. Domestic Equity**

- No trading in options or leveraged derivatives. For the purpose of this limitation, American Depository Receipts, rights, warrants, and convertible securities, are not considered derivatives.
- No short sales (unless a specific strategy of "hedging" is approved by the Subcommittee) or trading on margin.
- No direct investment in commodities.
- Loans of money or securities from University accounts are not permitted.
- No purchases of restricted securities shall be made; managers may, however, hold such securities if given to the manager by the University.

**b. International Equity**

The international equity portion of any manager's portfolio should follow the same restrictions as the domestic manager except that foreign equities may be purchased without prior approval, and trading or purchases of currency hedges is allowed to cover investment positions.

**c. Fixed Income**

- All holdings should be well diversified. At least 70% of fixed income portfolio shall be invested in securities rated "BBB" or better, as rated by Moody's or Standard & Poor's. If the security is not U.S. based, it should be of a comparable quality. If the security is downgraded after date of purchase, the manager and the University's Investment Advisor and Vice President for Finance and Facilities will agree to a liquidation plan expected to be completed within three months, on average.
- International fixed income securities may not exceed 20% of the fixed income portfolio.
- No trading in options or other derivatives except to cover an investment position such as a currency hedge.
- No trading in leveraged securities.

**d. Cash Equivalents**

Investments made by any manager in cash equivalents are to be in high quality instruments such as government securities or A1-P1 commercial paper. Commingled accounts may be utilized if the underlying securities within the commingled accounts meet the University's guidelines.

**e. Marketable Alternative Investment Strategies**

- Investments in Alternative Strategies will be limited to liquid investment vehicles such as mutual funds or exchange traded funds. The range of investments allowed in the fund prospectus shall supersede this investment policy in all cases of conflict. In as much as it is impossible to limit the investment selections within these investment funds, the prior restrictions in F.2.a-d shall not apply, and the investments within such funds shall be considered allowable assets.

- Alternative investment may include inter-fund investments, hedged strategies (includes relative value, event driven, global macro, equity or credit long-short, market neutral), absolute returns strategies, or managed futures.
- The preference would be to use multi-strategy investment vehicles, including fund of funds. Single strategy investment should be limited to 5% of the total endowment assets.

**f. Inter-Fund Investment**

Due to the unique nature of an Inter-fund investment or loan, the Investment Subcommittee will determine, with the assistance of the investment consultant, the appropriate classification within the construct of the endowment investment portfolio.

**g. Passive Investment Strategies**

The Investment Subcommittee may also choose to use “passive” investment strategies in meeting their long-term objectives. Such strategies may be determined with the assistance of an investment consultant or an investment manager. To achieve this objective, they may choose to invest Closed and/or Open Mutual Funds or Exchange Traded Funds (ETF’s). In such cases, the range of investments allowed in the fund prospectus shall supersede this investment policy in all cases of conflict. In as much as it is impossible to limit the investment selections within these investment funds, the prior restrictions in F.2.a-d shall not apply, and the investments within such funds shall be considered allowable assets. The Investment Subcommittee may consider the range of allowed investments before approving investment in such funds.

The Investment Subcommittee with the assistance of the investment consultant or investment manager shall periodically review the guidelines of any investment in order to determine if they remain appropriate for the Fund.

With regards to Passive Investment strategies, if it is not reasonably possible to limit the investment selections within these funds, thus, Appendix I, Socially Responsible Investment Policies, shall not apply, and the investments within such funds shall be considered allowable assets.

### 3. Restrictions on Holdings Arising From Board Policy Guidelines

From time to time, the Board of Regents may decide that the University does not desire to hold investments in specifically designated companies, types of companies, or companies located in certain countries or regions. With such a policy, the University attempts to exercise its responsibility to avoid profiting from or appearing to encourage or endorse activities which are inconsistent with the nature of the University and its mission. These social investment decisions are adopted separately, communicated to the University's investment manager(s), and remain in force until explicitly rescinded by the Board of Regents.

Appendix I is a listing of all such Board policy guidelines.

### G. Asset Allocation

The asset allocation targets indicate the percentage of total assets assigned to each asset class. There is no permanent allocation to cash or cash equivalents. For the purposes of the evaluation of a manager in comparison to a market benchmark, any cash that is in the actual portfolio as a result of cash flow, security transactions, or a position on the part of a manager, will be considered to be part of the asset class to which it is related.

#### Aggregate Fund Asset Allocation Guidelines (at market value)

Asset Class	Target	Minimum	Maximum
Domestic Equity	36%	20%	50%
International Equity	16%	10%	25%
Fixed Income	35%	20%	50%
<i>Investment Grade</i>		70%	100%
<i>Non-Investment Grade</i>		0%	30%
Alternatives	8%	0%	15%
Cash & Equivalents	5%	0%	50%

When University investments are found to have exceeded the ranges given, the professional manager is to give written notice to the University of this fact and within five working days provide a plan of how the LTI will be rebalanced. This plan may extend over a period of up to 90 days from the time the ranges are exceeded to allow for an orderly re-structuring of the account. Notice of the exceeding of the ranges and the plan for rebalancing will be promptly forwarded by the University's administration to the members of the Investment Subcommittee.

## **H. Performance Evaluation**

### **1. Of the LTI Pool**

On a periodic basis but not less than every two years, the Investment Subcommittee is responsible for evaluating the overall performance of the LTI Pool, in particular, the Asset Allocation Guidelines, and its conformity with the University's return and risk objectives.

### **2. Measurement of a Manager on the Basis of Total Return**

Performance of each manager will be reported net of fees and calculated on a time-weighted rate-of-return basis on a calendar quarter cycle. No distinction will be made among dividends, interest payments, and realized or unrealized capital gains or losses in computing this measure.

### **3. Benchmarks for Performance by Asset**

Benchmarks are selected to permit both a comparison to the market and to the investment managers' performance relative to peers. While managers may hold cash, for purposes of evaluating their performance, cash will be treated as part of the investment class they were asked to invest in. The exact indices to be used will be determined at the time a manager is selected and will be maintained as Appendix II to these guidelines. All measures are made after the fees are deducted (net of fees).

## **I. Gifts to the University's Endowment**

### **1. Transfer to Professional Manager**

The Board of Regents intends that all University funds being held for long-term purposes be managed by the professional management firm(s) selected by its Investment Subcommittee unless otherwise directed by a donor or for valid business purposes.

Consistent with good business practices, Gifts to Chaminade University's Endowment are promptly (i.e. within 5 working days) transferred to the University's Professional Manager for investment in the LTI pool. By exception, small gifts (i.e. less than \$10,000) may be accumulated and transferred at the end of the month in which they are received. If the gift is in the form of a stock or other instrument, it is converted to cash as soon after receipt as is practical (that is, within two working days), unless a manager wishes to add it to the University's portfolio. Transaction costs are deducted from the value of the gift. The Investment manager will immediately invest gifts into the LTI pool unless the manager determines unfavorable market conditions. In such a case the

Investment manager will immediately communicate this to the Investment Subcommittee.

**2. Minimum Gift Size, Minimum Payout Size**

Because of the administrative requirements for managing and reporting endowment accounts, ordinarily a gift must be at least \$25,000 in size before the University will accept it for inclusion in its endowment. The University will establish a single, general scholarship account for endowment gifts under \$25,000 with the scholarship award criteria determined by the University.

So that a significant income stream, approximately \$1,500/yr, is provided by an endowment, smaller accounts will be held and not spent until, through a combination of additional gifts and earnings returned to principal, the market value of the account reaches \$25,000. Under rare circumstances, generally to honor a previous commitment or to preserve a relationship, the University may spend endowment earnings before the principal reaches the required \$25,000.

**3. Gifts of Non-Liquid Assets**

Consistent with the University's policy on gifts of non-liquid assets (Minutes of the Board of Regents 2/15/96, pgs. 5-6) before such a gift (e.g. land, buildings, lettered securities) can be accepted for the endowment it must be approved by the Executive Committee of the Board of Regents. If approved, the Administration will be responsible for its prompt sale consistent with prudent business practice, and the transfer of the proceeds to our professional manager(s) as described previously.

## Appendix I. Socially Responsible Investment Policies

On November 17, 2007 Chaminade University's Board of Regents adopted the following

Social Screens to be fully implemented no later than July 1, 2008.

<b>Business Activity</b>	<b>CUH Tolerance of this Activity</b>
Direct participation in, or support of abortion, and sale of manufacture of abortifacients.	0%
Sale or manufacture of contraceptives	Gross revenue less than 25%
Embryonic stem cell research, fetal tissue research, and human cloning	0% Non-embryonic stem cell research acceptable
Research, development and/or production of military weapons (nuclear, biological, chemical, or space related weapons; anti personnel landmines; indiscriminate weapons of mass destruction)	0% Landmines Less than 25% gross revenue
Manufacture, sale or marketing of gambling, alcohol, pornography, or tobacco products	Less than 25% gross revenue from gambling and/or alcohol Less than 5% gross revenue from tobacco and/or pornography

## **Appendix II. Benchmarks for Manager Performance**

Note that this appendix does not require approval beyond that of the Investment Subcommittee

### **Managers as of August 10, 2015**

#### **Morgan Stanley Consulting Group Advisory-Domestic Equity**

- S&P 500

#### **Morgan Stanley Consulting Group Advisory – International Equity**

- MSCI EAFE (Morgan Stanley Capital Index - Europe, Australasia, and Far East)
- MSCI EM (Morgan Stanley Capital Index - Emerging Markets)

#### **Morgan Stanley Consulting Group Advisory – Alternative Investments**

- HFRI FOF Index (Hedge Fund Research, Inc. Fund of Funds)
- Barclays Capital CTA Index (Commodity Trading Advisor)

#### **Aim--International Growth**

- MSCI EAFE (Morgan Stanley Capital International--Europe, Australasia, and Far East)

#### **FHB—Core Fixed Income**

- Barclays Capital Aggregate Bond Index

#### **BOH—Core Fixed Income**

- Barclays Capital Aggregate Bond Index

#### **Inter-Fund Financing**

- Barclays Capital Intermediate Aggregate Bond Index (70%)
- HFRI FoF Index (Hedge Fund Research, Inc. Fund of Funds) (30%)

## Appendix 2.13.1 Business Card Order Form

**Chaminade University of Honolulu**

**Return to Purchasing**

Requested by: \_\_\_\_\_ Date: \_\_\_\_\_

Approved by: \_\_\_\_\_ Account No. \_\_\_\_\_

Please fill in the following information. (This information will be positioned on the card as shown in the example below.)

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Phone Number: (808) 735-\_\_\_\_\_

**(Insert sample here)**

To obtain the best possible price, requests for business cards are accumulated and sent to the printers every four to six weeks. Therefore, please anticipate your needs well in advance.