

CHAPTER IV ADMINISTRATION AND FINANCE

Organization and Structure: General Policies (4.00-4.09)
Administrative Units: Policies and Regulations (4.10-4.99)

Organization and Structure: General Policies

4.00 The Area of Administration and Finance

The area of Administration and Finance is a service unit providing oversight and support for university employment, maintenance and security, technology, food services, purchasing, and all matters pertaining to the buildings and grounds of the university. The area is presided over by the vice president for Administration and Finance.

4.01 Organization and Administration of Administration and Finance

The vice president for Administration and Finance (VPAF) is appointed by the president of the university and has administrative responsibility for all areas of Administration and Finance. The VPAF serves as the chief business officer for the university and is directly responsible for the financial control and security of all institutional funds and assets. Areas reporting to the VPAF are listed in the current university organizational structure (available in the Office of the President). In the absence of the president and the VPAA, the VPAF shall serve as acting president of the university. The VPAF shall also have the following responsibilities:

- Provide leadership for all units reporting to Administration and Finance
- Recommend appointment, retention, promotion, or termination of all personnel assigned to Administration and Finance
- Supervise and evaluate unit directors and coordinators who report directly to the VPAF
- Provide leadership for fiscal year budget planning
- Prepare the Operating Budget Request and the Capital Improvement Budget Request for the university
- Negotiate contracts and prepare documents for capital improvement projects; coordinate capital improvement projects and process payments for capital improvement projects
- Oversee collection of all monies due the university and pay all bills in settlement of the university's obligations
- Establish and implement procedures for the procurement of all goods and services of the university
- Supply periodic financial reports as required by the president, the Board of Curators, and other official internal and external agents

- Ensure that the academic and administrative computing needs of the university are addressed
- Assume additional duties and responsibilities as assigned by the president

4.02 Units of Administration and Finance: Directors and Supervisors

Directors and supervisors of the various units of Administration and Finance are appointed by the president upon recommendation of the VPAF and report directly to the VPAF. Directors and supervisors shall have the following responsibilities:

- Oversee daily operation of the unit
- Recommend staff appointments, promotions and terminations
- Supervise and evaluate unit staff
- Promote staff development
- Participate in fiscal year budget planning
- Assume additional duties and responsibilities as may be assigned by the VPAF

4.03 Administration and Finance Policies

The area of Administration and Finance will draft, submit for Board approval and then, upon approval, enforce policies and regulations central to its oversight role in the financial and safety considerations of the university. The policies in this section (4.03) are directly administered through the Office of the Vice President for Administration and Finance.

4.03.1 Travel Policies

----- In accordance with IRS regulations, Lincoln University has an accountable plan that allows it to reimburse employees for authorized business expenses with no effect on taxable compensation. The accountable plan rules apply to all reimbursements or advances to employees for authorized business expenses, both travel and non-travel related.

The requirements for the accountable plan are that an employee must:

- 1) Have paid or incurred business related expenses while performing services for the University.
- 2) Properly account for and/or substantiate the expenses within 60 days after the expenses are paid or incurred
- 3) Return any reimbursement or advance in excess of amounts substantiated within 120 days after the expenses are paid or incurred

To satisfy the first requirement, there must be a business connection or purpose for the expense and the expense must qualify as a deductible expense according to IRS regulations.

The second requirement is met when the employee documents the expense within 30 days after the expense is paid or incurred. Travel related expenses must be accounted for within 30 days, unless otherwise specified by the University, after the end of the trip and are substantiated on a Travel Expense Voucher.

The third requirement is met when the employee returns to the employer any reimbursement or advance that is in excess of the amounts substantiated or properly accounted for within 5 days after the amount was paid. (Note: The Cash Advance Agreement states that employees must return any excess advanced funds within 5 days of returning from travel.)

University Sponsored Travel

Lincoln University permits and encourages, within the limitation of financial resources, travel that is essential to the transaction of official business of the University, and travel for the professional development of faculty and staff.

University funds allow for adequate and comfortable travel accommodations for employees who travel on University business. Employees must use discretion and good judgement in their utilization of travel funds. First class airfare, resort hotels, luxury restaurants and like items are usually considered to be in excess of normal business needs except where it is to the advantage of the University.

Primary responsibility for authenticating travel reimbursement claims incurred by employees rests with area supervisors.

Employees are required to designate how they wish to travel on an annual basis. Employees must choose between utilizing the University's Travel Portal and travelling on a reimbursement only basis. All new employees will default to utilizing the University's Travel Portal until the next available open enrollment period.

Travel should be accomplished by whatever means best serves the University and the traveler and is to be approved by the appropriate University official.

Allowable Expense Types

Transportation

Includes: air travel, train travel, mileage reimbursements, rented auto

Lodging

Includes: room expense only

Meals

Either reimbursement of actual expenses or per diem rates (not to exceed current standard per diem rate)

- Based upon IRS regulations, to qualify for meal reimbursement, an employee must meet the following criteria:
 - Your duties require you to be away from the general area of your tax home substantially longer than an ordinary day's work
 - You need to sleep or rest to meet the demands of your work while away from home
- Therefore, if your travel does not meet both criteria, you will not be reimbursed for any meal expenses.

Registration Fees

Pre-payment of conference registration fees may be made directly by the University

Incidentals

Includes, but is not limited to: internet services, postage, parking, baggage fees, copy charges, etc.

Unallowable Expense Types

Employee shall not be allowed lodging or meal expenses while in the city of his/her primary worksite.

Employees shall not be allowed lodging or meal expenses when it is more economical and advantageous to the University for Employees to return to their primary worksite or residence.

Cash Advances

Cash advances are not allowed except under the following conditions:

- Intercollegiate team travel
- International travel
- Travel including students

Adherence to Procedures

Employees who travel on University business or for professional development must adhere to established procedures in order for travel costs to be met by the University. All travel requests and estimated expenses must be pre-approved by the area supervisor through the use of forms available on the University's travel web page.

Invoices for travel related expenses and registration fees billed directly to the University must be submitted to Accounts Payable through the usual method at

least 14 days prior to the departure date. A request for check form must also be submitted for payments made in this manner.

Upon return, the employee must submit the Travel Expense Voucher, with all required documentation no later than 30 days after the travel has ended, unless otherwise specified by the University. Failure to do so may result in the employee's reimbursement being delayed or even denied.

An employee may not be reimbursed for travel expenses incurred by another University employee. An employee may not be reimbursed for expenses incurred by a spouse or other family member. When it is necessary and clearly to the benefit of the University for an Employee to pay for meals other than his/her own, the rationale and the name(s) of the guest(s) must be attached to the Travel Expense Voucher.

Individual Department / Unit Travel Policies

Area supervisors may set additional travel policies for their own areas provided such policies are not more permissive than those set by the University. Individual area policies may not allow expenses that are not allowed by the University.

For student travel regulations, see Chapter V, Section 5.35.

4.03.2 Relocation Expenses for Employees

The University will reimburse employees for relocation or moving expenses, if approved by the Office of the President. The not-to-exceed reimbursement amount will be documented in the employment letter.

- Reimbursable relocation expenses may include:
 - Cost of moving household goods and personal effects
 - Cost of traveling (including lodging but not meals) to the employee's new domicile
- Reimbursements are made under an accountable plan. To be considered an accountable plan, the following criteria must be met:
 - Expenses must be business related
 - Reimbursements must be requested within 60 days, unless otherwise specified by the University, after the expense is incurred
- The University follows IRS regulations to determine taxability of reimbursable relocation expenses.
 - If all reimbursements are under an accountable plan, the IRS distance and time test criteria are met, and the move is closely related to the start of work, reimbursements will appear on the W-2 in box 12 and are not included as taxable income.
 - All other reimbursements will be considered to be made under a non-accountable plan. Reimbursements under this

plan type are considered taxable income (Income, Social Security and Medicare). Notification will be submitted to Payroll to be included in the next payroll cycle and included in box 1 (taxable income) on the W-2.

4.03.3 Policy for Expending Residual Funds on Fixed Price Contracts

The University will accept fixed price awards and will encourage negotiation that will ensure costs incurred will not exceed the agreed upon amount. All contracts will be assumed to be cost reimbursable unless specifically stated as fixed cost in the award document or other written documentation.

It is the policy of the University that residual balances remaining at the end of a fixed price contract that do not have to be returned to the sponsor will be allocated in the order listed below:

- 1) Indirect costs, if waived on the grant or not recovered in full, will be calculated and recorded accordingly
- 2) Used to cover deficits in another one of the PI/PD's or departments accounts
- 3) Used to cover audited disallowances on the PI/PD's project account
- 4) Remaining funds will be allocated to the University's contingency fund

If the residual funds are greater than or equal to \$10,000 or 25% of the award, written justification from the PI/PD must be submitted to and approved by the VP in the respective unit and Office of Sponsored Research prior to the transfer.

Administrative Units: Policies and Regulations

4.10 Office of the Controller

The Office of the Controller, headed by the controller, is responsible for monitoring, recording and reporting the university's financial activity in accordance with university policy and procedures, external audit requirements, generally accepted accounting principles, and governmental rules and regulations.

The Office of the Controller directs the university's financial services to include Financial Accounting, Accounts Payable, Students Accounts Receivable and Cashiering Services, Payroll Operations, and Post-Award Grant Accounting.

The Office of the Controller is also responsible for cash and investment management of university funds, long-term debt management, and endowment management. In addition, the office issues routine financial reports for curators and external constituents and publishes annual audited financial statements.

4.10.1 Policy on Fees

Fees are set by the Board of Curators and are assessed for all students enrolled in any Lincoln University course or program, whether on or off campus. All fees must be paid by the established deadline, typically the last business day before classes begin. Any student with an outstanding balance will be unable to register and will not be eligible to receive a transcript or diploma, unless approved by the President or designated official.

Standard fees include tuition and room and board. Tuition fees may vary between departments and locations. Other fees, such as activity fees and lab fees, are included in the student's balance and must be paid by the established deadline. A list of all current fees is found in the undergraduate and graduate bulletins and on the Lincoln University Web site. All fees are subject to change by the Board of Curators, without prior notice, whenever conditions or circumstances dictate.

Students who will reside on campus in the residence halls must pay a room deposit prior to receiving their first room assignment. The deposit will be held by the university until the student no longer resides in a residence hall. Housing contracts are for the full academic year. Leaving the residence hall prior to the end of the academic year will result in forfeiture of the room deposit. Once the contract has been satisfied, a request for a room deposit refund must be submitted to the Director of Student Life for approval and, if approved, will be forwarded to Student Accounts Receivable for processing.

4.10.2 Refund and Adjustment of Fees

Tuition fees may be fully or partially refunded upon withdrawal from a sixteen-week course or from the university to students in good standing according to the following schedule:

During the first calendar week of classes	Full Refund
During the second calendar week of classes	50% Refund
During the third calendar week of classes	25% Refund
After the third calendar week of classes	No Refund

For an eight-week class, a 100% refund is allowed during the first calendar week of class. No refunds are available after the first week.

For a four-week class, a 100% refund is allowed through the first day of class. No refunds are available after the first day.

Withdrawal from the university due to properly documented military service or extraordinary medical circumstances may be grounds for a partial or full refund of fees. Such requests submitted during the semester must be submitted to the Bursar for consideration. Requests submitted for prior semesters must be submitted to the Academic Routine Committee for consideration.

4.10.3 Debt Forgiveness on Death

With appropriate documentation, Lincoln University will forgive an unpaid balance for any student who dies while enrolled.

4.10.4 Administration of Sponsored Grants and Contracts

When accepting externally sponsored awards, Lincoln University shall conduct all project activities in accordance with the scope of work specified under the award and shall comply with any and all applicable sponsor policies and university policies related to such. The Office of the Controller is responsible for the post-award fiscal management of sponsored projects, including but not limited to the following:

1. establishing the accounting and budget records;
2. interpreting sponsor and university fiscal policies for faculty and staff working on specific projects;
3. working with faculty and staff to provide accurate and timely financial information relative to sponsored projects;
4. serving as point of contact for faculty and staff working on sponsored projects;
5. monitoring expenditures under sponsored projects for compliance with sponsor and university policies and procedures;

6. preparing financial reports for sponsors; and
7. fulfilling all cash management responsibilities associated with the funding of sponsored projects.

With all sponsored grants and contracts, the university shall comply with the principles and requirements as established by the federal Office of Management and Budget (OMB) and outlined in the following OMB circulars: “Cost Principles for Educational Institutions” (Circular A-21); “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations” (Circular A-110); and “Audits of Institutions of Higher Education and Other Non-Profit Institutions” (Circular A-133).

4.10.4.1 Time and Effort Reporting

All institutions who receive federal funds must comply with the Uniform Guidance (2 CFR 200) concerning compensation and time and effort reporting. University records must ensure that internal controls sufficiently document that an employee’s allocation of time worked is equivalent to the allocation of pay received from all federally funded projects. This policy also applies to all state and private funds used to match federal dollars. Time and Effort reports must represent in percentages totaling 100% a reasonable estimate of an employee’s effort for the period being reported.

Lincoln University faculty and staff are expected to charge their time to sponsored awards commensurate with the committed effort expended on all activities they perform. All individuals who receive any compensation from a federal award or a non-federal award where the non-federal sponsor requires effort reporting (Sponsored Projects) are required to certify their effort no less often than biannually. This process ensures that salaries and wages are properly expended and that actual effort is consistent with the committed and budgeted effort.

Each employee whose time is partially or fully committed to a federally Sponsored Project shall complete Time & Effort reports as required by the University. Reporting is required regardless of whether such time is paid by the sponsor, or is an unpaid contribution. Committed cost sharing must be included in effort reports.

Lincoln University uses an “after-the-fact” effort reporting system to certify that salaries charged or cost shared to Sponsored Projects are reasonable and consistent with the work performed. This indicates that the distribution of salaries and wages will be supported by activity reports signed by the employee and certified by a responsible person with suitable means of verification that the work was performed at the end of the specified reporting period. Time and Effort reports shall be incorporated into the records of the University and retained in

accordance with the sponsor regulations and/or the University's Records Retention Schedule.

The federal government can impose severe penalties and funding disallowances as a result of missing, inaccurate, incomplete, or untimely effort reporting. Lincoln University expects that PIs will complete time and effort reports completely and in a timely manner. Consequences to not doing so may include, at the discretion of the administration, withholding submission of new grant proposals. Lincoln University also reserves the right to charge cost disallowances on Sponsored Projects resulting from the PI's failure to submit appropriate time and effort reports to the PI's F&A Project, if available, and then to the departmental operating account(s).

4.10.5 Investment Policy

To maintain investment objectives and parameters governing the type, quality, diversification, and term of investments, Lincoln University shall adhere to the Missouri State Treasurer's Investment Policy (available on the state of Missouri official Web site).

I. Scope

The purpose of the Investment Policy shall be to establish the investment objectives of Lincoln University and provide a set of investment parameters to govern the type, quality, diversification and term of investments in order to realize those objectives.

The investment policy encompasses the General Fund, the Swimming Pool Fund and the Endowment Fund.

In developing and implementing any investment strategy for the custodial assets, Investment Advisors shall comply with the investment parameters set forth herein.

II. General Objectives

The primary objectives, in priority order, of investment activities shall be safety, liquidity, and yield:

- 1. Safety.** Safety of principal is the foremost objective of the investment program. Investments shall be undertaken in a manner that seeks to ensure the preservation of capital in the overall portfolio. The objective will be to mitigate credit risk and interest rate risk.

a. Credit Risk. Lincoln will minimize credit risk, the risk of loss due to the failure of the security issuer or backer, by:

- Limiting investments to the safest types of securities, as defined in Section V; and
- Diversifying the investment portfolio so that potential losses on individual securities will be minimized.

b. Interest Rate Risk. Lincoln will minimize the risk that the market value of securities in the portfolio will fall due to changes in general interest rates, by:

- Managing the duration of the portfolios in a manner which satisfies the anticipated liquidity needs of each.

2. Liquidity. The investment portfolio shall remain sufficiently liquid to meet all operating requirements that may be reasonably anticipated. This is accomplished by structuring the portfolio so that securities mature concurrent with cash needs to meet anticipated demands (static liquidity). Furthermore, since all possible cash demands cannot be anticipated, the portfolio should consist largely of securities with active secondary or resale markets (dynamic liquidity). A portion of the portfolio also may be placed in money market mutual funds or local government investment pools that offer same-day liquidity for short-term funds.

3. Yield. The investment portfolio shall be designed with the objective of attaining a market rate of return throughout budgetary and economic cycles, taking into account the investment risk constraints and liquidity needs. Return on investment is of secondary importance compared to the safety and liquidity objectives described above. The core investments are limited to relatively low risk securities in anticipation of earning a fair return relative to the risk being assumed. Securities shall not be sold prior to maturity with the following exceptions:

- A security with declining credit may be sold early to minimize loss of principal;
- A security exchange which would improve the quality, yield, or target duration in the portfolio; or
- Liquidity needs of the portfolio require that the security be sold.

III. Standards of Care

1. Prudence. The standard of prudence to be used by Lincoln investment officers shall be the "prudent person" standard and shall be applied in the context of managing an overall portfolio. The standard of prudence to be used by Lincoln financial advisors shall be the "prudent expert" standard and shall be applied in the context of managing an overall portfolio. Investment officers acting in accordance with written procedures and this investment policy and exercising due diligence shall be relieved of personal responsibility for an individual security's credit risk or market price changes, provided deviations from expectations are reported in a timely fashion and the liquidity and the sale of securities are carried out in accordance with the terms of this policy.

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived.

2. Ethics and Conflicts of Interest. Officers and employees involved in the investment process shall refrain from personal business activity that could conflict with the proper execution and management of the investment program, or that could impair their ability to make impartial decisions. Employees and investment officers shall disclose any material interests in financial institutions with which they conduct business. They shall further disclose any personal financial/investment positions that could be related to the performance of the investment portfolio. Employees and officers shall refrain from undertaking personal investment transactions with the same individual with which business is conducted on behalf of Lincoln.

3. Delegation of Authority. Authority to manage the investment program is granted to the Controller's division within Lincoln. Responsibility for the operation of the investment program is hereby delegated to the Controller and his or her delegate, hereinafter referred to as investment officers, who shall act in accordance with established written procedures and internal controls for the operation of the investment program consistent with this investment policy. Procedures should include references to: safekeeping, delivery vs. payment, investment accounting, repurchase agreements, wire transfer agreements, and collateral/depository agreements. No person may engage in an investment transaction except as provided under the terms of this policy and the procedures established by the investment officers. The investment officers shall be responsible for all transactions undertaken and shall establish a system of controls to regulate the activities of subordinate officers.

IV. Safekeeping and Custody

1. Authorized Financial Dealers and Institutions. Lincoln's Financial Institution/Safekeeping Agent shall retain principal collection subject to Lincoln's direction and shall distribute income to the University. The Financial Institution/Safekeeping Agent shall provide monthly portfolio accounting reports on an accrual basis. All securities will be registered in the name of Lincoln University unless otherwise instructed. An annual review of the financial condition and registration of Lincoln's Financial Institution/Safekeeping Agent will be conducted by the investment officers. Lincoln's Financial Institution/Safekeeping Agent will supply the following information as requested:

- Audited financial statements; and
- Certification of having read and understood and agreeing to comply with Lincoln's investment policy.

2. Internal Controls. The investment officers are responsible for establishing and maintaining an internal control structure designed to ensure that the assets of Lincoln are protected from loss, theft or misuse. The internal control structure shall be designed to provide reasonable assurance that these objectives are met. The concept of reasonable assurance recognizes that (1) the cost of a control should not exceed the benefits likely to be derived and (2) the valuation of costs and benefits requires estimates and judgments by management.

Accordingly, the investment officers shall establish a process for an annual independent review by an auditor to assure compliance with policies and procedures. The internal controls shall address the following points:

- Control of collusion;
- Separation of transaction authority from accounting and record keeping;
- Custodial safekeeping;
- Avoidance of physical delivery securities;
- Clear delegation of authority to subordinate staff members;
- Written confirmation of transactions for investments and wire transfers;
- Development of a wire transfer agreement with the lead bank and third-party custodian;
- Timely check of internal trade tickets and dealer confirmations; and
- Periodic sufficiency check of repurchase agreement collateral.

V. Suitable and Authorized Investments

1. Investment Types. In accordance with and subject to restrictions imposed by current statutes, the following list represents the entire range of investments that Lincoln University will consider. Lincoln may directly invest in or purchase money market mutual funds with the following as underlying securities:

a. United States Treasury Securities. Lincoln may invest in obligations of the United States government for which the full faith and credit of the United States are pledged for the payment of principal and interest.

b. Government Sponsored Enterprises(GSE). Lincoln University may invest in GSE's including, but not limited to:

- Federal Farm Credit Banks
- Federal Home Loan Banks
- Federal National Mortgage Association
- Federal Home Loan Mortgage Corporation
- Tennessee Valley Authority
- Small Business Administration Guaranteed Loan Pool Certificates
- Government National Mortgage Association

c. **Repurchase Agreements.** Lincoln may invest in contractual agreements between the University and commercial banks or primary government securities dealers. The purchaser in a repurchase agreement (repo) enters into a contractual agreement to purchase U.S. Treasury and government agency securities while simultaneously agreeing to resell the securities at predetermined dates and prices. This includes the purchase of reverse repurchase agreements for not longer than ninety days.

d. **Collateralized Public Deposits (certificates of deposit).** Instruments issued by financial institutions, which state that specified sums have been deposited for specified periods of time, and at specified rates of interest. The certificates of deposit are required to be backed by acceptable collateral securities as dictated by State statute.

e. **Bankers' Acceptances.** Time drafts drawn on and accepted by a commercial bank, otherwise known as bankers' acceptances. Lincoln may invest in bankers' acceptances issued by domestic commercial banks possessing the highest rating issued by Moody's Investor Services, Inc. or Standard and Poor's Corporation.

f. **Commercial Paper.** Lincoln may invest in commercial paper issued by domestic corporations, which has received the highest rating issued by Moody's Investor Services, Inc. or Standard and Poor's Corporation. Eligible paper is further limited to issuing corporations that have total commercial paper program size in excess of five hundred million dollars (\$500,000,000).

2. Security Selection. The following list represents the entire range of United States Agency Securities that will be considered and which shall be authorized for the investment of funds by Lincoln. Additionally, the following definitions and guidelines should be used in purchasing the instruments:

- a. **U.S. Govt. Agency Coupon and Zero Coupon Securities.** Bullet coupon bonds with no embedded options.
- b. **U.S. Govt. Agency Discount Notes.** Purchased at a discount with maximum maturities of one (1) year.
- c. **U.S. Govt. Agency Callable Securities.** Restricted to securities callable at par only with final maturities of seven (7) years.
- d. **U.S. Govt. Agency Step-Up Securities.** The coupon rate is fixed for an initial term. At coupon date, the coupon rate rises to a new, higher fixed term. Restricted to securities with final maturities of seven (7) years.

- e. U.S. Govt. Agency Floating Rate Securities. The coupon rate floats off one index. Restricted to coupons that reset at least semi-annually.
- f. U.S. Govt. Mortgage Backed Securities (MBS). Restricted to securities with average life of seven (7) years or less and to those issued by the GSE's outlined in section V.1.b. of the Investment Policy.
 - a. Pass Through Securities (MBS)
 - b. Collateralized Mortgage Obligations – Must pass Federal Financial Institutions Examinations Council (FFIEC) Test

3. Investment Restrictions and Prohibited Transactions. To provide for the safety and liquidity of Lincoln's funds, the investment portfolio will be subject to the following restrictions:

- a. Borrowing for investment purposes ("Leverage") is prohibited.
- b. Instruments commonly known as "Derivatives" and those containing leverage, such as inverse floaters, leveraged floaters, equity-linked securities, options, futures, swaps, caps, floors, and collars are prohibited.
- c. Contracting to sell securities not yet acquired in order to purchase other securities for purposes of speculating on developments or trends in the market is prohibited.
- d. No more than 5% of the total market value of the portfolio may be invested in bankers' acceptances issued by any one commercial bank and no more than 5% of the total market value of the portfolio may be invested in commercial paper of any one issuer.

4. Collateralization. Collateralization will be required on two types of investments: certificates of deposit and repurchase agreements. The market value (including accrued interest) of the collateral should be at least 100%. For certificates of deposit, the market value of collateral must be at least 100% or greater of the amount of certificates of deposits plus demand deposits with the depository, less the amount, if any, which is insured by the Federal Deposit Insurance Corporation, or the National Credit Unions Share Insurance Fund. Additionally referenced in the Request for proposal document page 14, section 12, paragraph 12.2.

VI. Investment Parameters

1. Diversification. The aggregate investments shall be diversified to minimize the risk of loss resulting from over concentration of assets in specific

maturity, specific issuer, or specific class of securities. Diversification strategies shall be established and periodically reviewed. At a minimum, diversification standards by security type and issuer shall be:

- a. U.S. treasuries and securities having principal and/or interest guaranteed by the U.S. government..... <= 100%
- b. Collateralized time and demand deposits..... <= 100%
- c. Government Sponsored Enterprises..... <= 100%
 - i. No more than 50% of the portfolio in any one Government Sponsored Enterprise.
- d. Collateralized repurchase agreements..... <= 50%
- e. Commercial Paper..... <= 30%
- f. Bankers' Acceptances.....<= 30%
- g. Mortgage Backed Securities.....<= 50%

Maximum Maturities. To the extent possible, Lincoln shall attempt to match its investments with anticipated cash flow requirements.

2. Because of inherent difficulties in accurately forecasting cash flow requirements, where advisable, a portion of the portfolio should be continuously invested in readily available funds such as in bank deposits or overnight repurchase agreements to ensure that appropriate liquidity is maintained to meet ongoing obligations.

VII. Policy Considerations

1. Exemption. Any investment currently held that does not meet the guidelines of this policy shall be exempted from the requirements of this policy. At maturity or liquidation, such monies shall be reinvested only as provided by this policy.

2. Amendments. This policy shall be reviewed on an annual basis. Any changes must be approved by the investment officers and the Lincoln University Investment Advisory Board, as well as the individual(s) charged with maintaining internal controls.

4.20 Budget Office

The Budget Office is headed by a budget officer who is responsible for the implementation and coordination of an integrated and comprehensive budgetary system relative to the university's long- and short-term budget process. The budget officer prepares, with assistance from departmental budget officers, and executes budgets for all (general and auxiliary) funds in conjunction with the various campus departments and units.

The budget officer maintains the responsibility to provide training to departmental budget officers, including department heads, directors, deans, vice presidents, and the president. The budget officer conducts initial and refresher training on an annual basis or more frequently as required.

The budget officer or her/his assistant processes all Personnel Transaction Reports, Student Employment Records, and Position Control Requisitions. Additionally, the budget officer or her/his assistant performs budget revisions to ensure and maintain a balanced budget.

The budget officer is a standing member of the university Budget Committee.

4.30 Purchasing

The area of Purchasing is headed by a director who is responsible for planning, directing, and coordinating all functions related to the purchase of goods and services for the university, including administration, academics, athletics, extension and research, maintenance, housing, and other related service areas. The director is also responsible for liability and property insurance and risk management, central receiving, central stores, inventory control/surplus property and record management.

4.30.1 Procurement Policies

The function of the Purchasing department is to purchase goods and services for all campus units. Although Lincoln University is exempt from the requirements of Chapter 34 RSMo, the area of Purchasing routinely follows the State of Missouri Division of Purchasing and Materials Management University Procurement Authority Delegation and Procedures as a good model and practice. A current copy of Chapter 34 RSMo will be maintained in the office of the Director of Purchasing and is also available through the Lincoln University Web site.

All purchases in excess of five thousand dollars shall be based on competitive bids. The only exceptions are those requirements needed in an emergency situation single feasible source requirements those items and services on State of Missouri contracts or University contracts, those supplies and services provided directly by a governmental entity, and those items and services available through Missouri Vocational Enterprises.

The procurement method used in any given situation is determined solely by the Purchasing Department, and is predicated on several factors, including dollar amounts involved, market situation, commodity, etc. Departments are not authorized to solicit bids for requirements exceeding \$5,000. The Purchasing Department will conduct all bid solicitations exceeding \$5,000 and may delegate bid solicitation authority back to the department if the existing conditions warrant.

4.30.2 Delegation of Purchasing Authority

The president delegates to the Chief of Staff or her/his designee full authority to obtain goods or services as follows:

- May approve contracts or purchase orders for competitively bid supplies, services, and equipment where the cost is \$100,000 or less.
- May approve contracts or purchase orders for unique items or services documented as sole source where the cost is \$50,000 or less.
- May approve contracts or purchase orders for software licenses or software maintenance agreements not to exceed five years for up to \$50,000 for competitively bid contracts or up to \$25,000 for sole source contracts, in accordance with section 4.40.7: Technology Purchases.
- May approve contracts or purchase orders for equipment rentals and leases not to exceed five years for up to \$50,000 for competitively bid contracts or up to \$25,000 for sole source contracts.

The director of Purchasing may, within the limits of authority delegated to her/him, delegate to Purchasing assistants and buyers the authority to approve purchase orders and contracts. The director of Purchasing may, within the limits of authority delegated to her/him, also delegate to departments authorization to transact purchases in accordance with prescribed university policies and procedures.

Any exception to the established procurement practice as outlined in Chapter 34 RSMo will require approval of the director of Purchasing or approval of the president of the university, within their respective delegated authority.

4.30.3 Risk Management Policies

Risk management policies are intended to protect the assets of Lincoln University against losses that might adversely affect its operation and continuity of services through a program of identifying and assessing hazards and loss exposures and by selecting the best techniques to avoid, control, assume, or transfer risk.

4.30.3.1 Children on Campus

Lincoln University is cognizant of the difficulties employees and students may encounter relative to safe and uninterrupted care of minor children; however, the university's first priority is to provide an environment conducive to academic and work pursuits. Therefore, employees and students are responsible for making childcare arrangements that do not include routinely bringing the minor child to work or to class for any extended period of time. In all cases, the adult

who brings the child to campus is responsible for direct, constant care and attention to the child's health, safety and welfare.

Children may be invited to campus to participate in a course or program that legitimately involves children (e.g., education classes, university-sponsored community outreach activities, etc.) and that provides adequate supervision.

Children who are sick and/or infectious should never be brought to campus, and certain areas of campus (e.g., construction sites) may never be open to children for safety and liability reasons.

Permission to bring children into the classroom or work environment must be sought in advance from the class instructor or unit supervisor. The instructor of record maintains control of the classroom environment. Supervisors are encouraged to accommodate employees to the extent possible in arranging for sick or personal leave to be taken when childcare emergencies arise.

4.30.3.2 Vehicular Travel

Employees who travel on university business using Lincoln University vehicles, personal vehicles, or rental vehicles must adhere to regulations as set by the state of Missouri Office of Administration and adopted by the university relative to risk management.

Lincoln University Vehicles

Vehicles owned by Lincoln University fall under the category of “state vehicles” and as such are governed by state statute (RSMo. 301.260). State vehicles may be used only for official business, never for personal use. They may only be operated by a university employee who possesses a valid driver’s license. Unless otherwise provided by law, no non-university individual, i.e., volunteer or employee family member, may operate a state vehicle nor be a passenger in such, unless on official university business.

Liability involving another person (personal or property damage) due to employee negligence while operating a state vehicle is covered by the state, provided the employee was operating the vehicle on official university business within the scope of her/his employment and had obtained all necessary approval through normal channels within the university. (See section 4.03.1 Travel Policies.)

Personal property within a state vehicle is not insured for loss or damage.

Personal Vehicles

The established mileage reimbursement rate represents full compensation for the costs of owning and operating a vehicle while pursuant to university business. Therefore, the employee who elects to use her/his personal vehicle to travel on university business assumes total responsibility to adequately insure, safely operate, properly maintain, and protect the vehicle. Physical damage to or loss of a personal vehicle when used in the course of university business is therefore not covered. Liability involving others, including passengers, is not covered.

Rental Vehicles

Use of rental vehicles while engaged in university business is allowed providing all policies regarding such are followed. (See section 4.03.1: Travel Policies.) Employees who use an in-state rental vehicle when conducting university business are provided liability coverage through the state, including comprehensive and collision coverage. For vehicles rented out-of-state, liability coverage is not provided. (Liability

insurance may be purchased through the rental agency.) Liability regarding usage of rental vehicles for personal activities is not covered.

4.30.3.3 Employee Injuries

In accordance with the provisions of the Missouri Workers' Compensation Law, workers' compensation is available to employees who suffer injury arising out of and in the course of employment. This includes injuries resulting from vehicle accidents in state, personal, or rental vehicles when conducting official university business. See Chapter VIII, section 8.35.7, for further information on Workers' Compensation information, guidelines, and injury reporting.

4.30.3.4 Accident Reporting

Accidents must be reported promptly in accordance with established university procedures. Lincoln University employees may not accept any liability, or state that any payment will be made.

4.30.3.5 Insurance

Property Insurance

The state of Missouri largely self-assumes the risk of property loss for state-owned buildings, including those of Lincoln University. The area of Purchasing works in coordination with the state for Lincoln University's insurance and coverage needs. Property insurance policies maintained under risk management include the following:

- Property coverage for contractual obligations
- Coverage for automobile physical damage

Additional information is available on the State of Missouri Office of Administration Web site.

Liability Insurance

Policies pending from Purchasing.

4.50 Human Resources

The Human Resources Office is headed by a director who is responsible for the planning, directing, and coordinating of the human resource management activities of the university. Main goals of this area include maximizing the strategic use of human resources and coordinating the key areas of employee relations, personnel policy

administration, compensation, and recruitment and employment law compliance. Policies relating to these areas are found in Chapter VIII: University Employment.

4.60 Facilities and Planning

The area of Facilities and Planning is headed by an executive director who is responsible for the management of facilities planning, master planning, and facilities design activities of the campus. The executive director administers the university's capital improvement program and supervises and provides leadership for architectural services, design and construction, space management and energy consultation.

4.60.1 Policies for Selecting Architectural, Engineering and Land Surveying Firms

In accordance with 8.291 (5) R.S.Mo., 1986, the Lincoln University Board of Curators has adopted the following policies and procedures for selecting architectural, engineering and land surveying firms (all referred to below as "firms"):

A. Contracts and Fees

It shall be the policy of Lincoln University to negotiate contracts with firms for services based on the qualifications needed for the type of service required and at fair and reasonable prices.

B. Qualifications of Firms

It shall be the policy of Lincoln University to actively seek firms engaged in the lawful practice of their professions through broad advertising (statewide). For major projects, the firms interested shall submit statements of their qualifications and performance record. Whenever a proposed project requires the expertise of a firm, Lincoln University will also notify firms who have expressed an interest and who have their qualifications on record. Lincoln University shall use the following criteria in evaluating the qualifications of each firm:

1. The specialized experience and technical competence of the firm with respect to the type of service required;
2. The capacity and capability of the firm to perform the work in question within the time limitations fixed for the completion of the project;
3. The past record of performance and the ability of the firm to produce the end product at an agreed upon cost, quality of work, and ability to meet schedules;
4. The firm's familiarity with the type of project in question; and
5. The firm's compliance with state requirements regarding equal opportunity employment.

C. Projects

1. Major Projects: Those projects with an expenditure exceeding \$150,000. Contracts for major projects shall be signed by the Board of Curators.
2. Minor Projects: Those projects with an expenditure less than \$150,000. Contracts for minor projects shall be signed by the president of Lincoln University.

D. Advisory Committee

1. Major Projects: The advisory committee for each major project shall be composed of the executive director of Facilities and Planning, the facilities coordinator, a representative(s) designated by the president and a representative(s) of the functional area in which the project is located. It shall be the policy of the Board of Curators that the president will send the names and addresses of all firms to be contacted, along with the Request for Proposal, to the Buildings and Grounds Committee of the Board of Curators for their information. The advisory committee will send out the Request for Proposals. Once the proposals are received, the advisory committee shall review the information at hand and the scope of work, conduct the interviews with the principals of the firms and make a recommendation in rank order to the president through the chief of staff. The Buildings and Grounds Committee of the Board of Curators shall review the president's recommendations and send its recommendation to the full Board for action.
2. Minor Projects: The advisory committee shall be composed of the executive director of Facilities and Planning, the facilities coordinator, a representative designated by the president and a representative of the functional area in which the project is located. The advisory committee shall review all information at hand and the scope of work prior to conducting interviews with the firms. The advisory committee shall select three firms from the original group and place them in ranked order and send them as a recommendation to the president through the chief of staff. The president shall make the final decision.

E. Interview Presentation

Each firm shall be asked to present to the advisory committee a comprehensive written and oral presentation demonstrating its methods and experience related to the project, which principals shall be assigned to

the project, the consultants to be used, a schedule of document preparation, estimating procedures, services to be rendered during construction, and any other information helpful in determining how well the particular firm is qualified to do the job.

F. Contract Negotiation

1. The advisory committee, in consultation with the chief of staff and upon approval of the Board of Curators, shall proceed with the fee negotiations with the identified firm. The chief of staff or her/his designee shall negotiate the contract. If the parties reach an agreement, a contract shall be signed and the other firms shall be promptly advised.
2. If the first-ranked firm's proposal is not satisfactory, negotiations shall be initiated with the second-ranked firm. Again, if the negotiations are unsatisfactory, the committee shall negotiate with the third-ranked firm. If these negotiations prove unsatisfactory, the process of identifying and selection shall start over.
3. The proceedings of the selection process shall be conducted in accordance with the closed records policy of the university. (See Chapter I, section 1.08.)

G. University Files for Firms and Projects

1. The chief of staff or her/his designee shall maintain a file of firms that are potential consultants for doing projects for Lincoln University.
2. The chief of staff or her/his designee shall prepare, every six months, a list of all firms used in the preceding year for review by the Buildings and Grounds Committee of the Board of Curators.
3. When a construction project is proposed, the chief of staff or her/his designee shall prepare a description of the project, including the Scope of Work, the identification of applicable campus standards, relationship of campus development plans, a timetable and a budget.
4. The Advisory Committee, in consultation with the chief of staff, shall prepare a list of firms from the file for the proposed project. Selection of the firms shall be based on preliminary review comparing the nature of the job with the experience of the firms, costs and other significant factors.

5. The firms selected shall be sent a description of the project and a questionnaire designed to obtain more detailed information related to the firm's qualifications for the specific project.
6. Except for major projects, the president shall delegate to the chief of staff responsibility to adopt procedures appropriate for each assignment that shall assure opportunities for a number of qualified firms. The chief of staff shall present periodic reports to the president giving assurance that these standards are being met.
7. Firms to be selected for projects of any size that involve significant architectural or engineering questions, redesign of the exterior of the building, major engineering and site planning, or change in interior spaces of significant architectural or engineering importance as determined by the chief of staff and approved by the president, shall be reviewed with the Board of Curators before an assignment is made.
8. Each firm shall be evaluated within 30 days after completing a contract with the university.

4.60.2 Bidding Policy for All Construction Projects

A. Advertising or Invitation to Contractors

Lincoln University complies with RSMo. 8.250 regarding bidding of construction projects involving state buildings and lands. Copies of the current 8.250 will be housed in the office of the executive director of Facilities and Planning. Responsibility for compliance with State Statute 8.250 follows the chain of command from executive director of Facilities and Planning to the chief of staff, the president and the Board of Curators.

B. Prevailing Wages

Prevailing wages will be paid on all construction work performed by contract. Prevailing wage rates used will be as provided by Division of Labor standards. It is the responsibility of the Office of Facilities and Planning to obtain, from the Division, the current prevailing wage for a particular project.

C. Minority Business Enterprise/Women Business Enterprise Participation

In awarding major construction projects, Lincoln University shall comply with current state statutes and executive orders as related to Minority Business Enterprise (MBE) and Women Business Enterprise (WBE) participation levels. Current state statutes and executive orders shall be

kept in the office of the executive director of Facilities and Planning and on the Lincoln University Web site.

Exceptions to bidding requirement for All Construction Projects:

A. Time-sensitive transactions

The executive director of Facilities and Planning may waive bidding requirements for time sensitive transactions, particularly grant funded items where required deliverable dates are driven by grant terms and conditions, research requirements, or classroom/laboratory need, up to \$10,000. Documentation shall be maintained on file detailing the situation.

B. Professional Judgment

The executive director of Facilities and Planning may waive bidding requirements in those instances where professional judgment, based on an awareness of market conditions and historical purchases, shows that further vetting of the commodity or service would not be cost effective, up to \$10,000. Documentation shall be maintained on file detailing the situation.

4.60.3 Use of University Facilities

In order for Lincoln University to carry out its mission, the top priorities for use of university facilities are for instructional activities, as well as cultural, recreational and social use by the students, faculty and staff.

Facilities that are not reserved by university organizations are available for non-university programs and activities on a space-available basis only. Rental fees for facilities will apply to all non-university use.

Any outside group or organization wishing to use a university facility must request the use of the desired facility in writing through the Office of Design and Construction. An outside group is defined as any individual or organization that is not affiliated with the university or is not sponsored by a university organization.

The university reserves the right to refuse access to any of its facilities to any individual or group if there is convincing evidence that such access would disrupt the prime educational mission of the university. Any person or group which has been denied access to a university facility may request a hearing on such denial before the president. Use of a university facility by a person or group does not constitute an endorsement by the university of aims, policies, programs or beliefs

of the person or group or any of its members. Access to any university facility is provided subject to the right of the university to retain control of its facilities at all times and subject to the rules and regulations governing the use of university facilities. The university establishes and assesses fees for the use of any of its facilities. The Office of Design and Construction may be contacted for fee information.

4.60.4 Space Allocation Policies

The following principles will underpin campus space management efforts:

1. Space will be considered as much a university resource as faculty and staff or budget dollars. The physical facilities of the university are an enormous asset crucial to the operations of the campus. Indeed, the number, type, and condition of university spaces help shape all aspects of campus programs and activities.
2. Space will be allocated in a manner which best advances university priorities. University space resources should be deployed in the most efficient and effective manner to best serve programmatic and strategic goals. Although space is allocated to specific users, all space is owned by the university and the university has the responsibility to maintain and service the space. Faculties, departments, colleges and administrative units do not have exclusive rights to the occupancy of space, with the exception of spaces that are built or renovated with grants or federal funds in which certain restrictions apply, for example, facilities built and/or renovated with federal funds earmarked for Cooperative Extension and Cooperative Research.
3. University space can and will be reassigned. The university values flexibility and recognizes changing curricula, programs, and technologies. Accordingly, space assignments are subject to change to achieve optimal utilization and respond to current and emerging needs.
4. Responsibility for assignment and reassignment of space will generally follow divisional and departmental organizational hierarchies. While any and all space assignments are subject to change based on the authority of the president, the ability to assign and reassign space is generally delegated to each of the deans and vice presidents of their respective units, departments and programs. This authority, which is contingent on compliance with applicable space guidelines and standards, is expected to provide flexibility to deans and vice presidents to address the space needs of their respective areas.
5. Student services and classrooms shall be given priority for the most central and easily accessed locations.

6. Faculty and administrators shall have only one office at the university, regardless of joint appointments, multi-campus activities, and/or span of control. Exceptions include one person fulfilling two permanent positions on a temporary basis.
7. The university will endeavor to maintain adjacencies between departmental faculty, scholarly programs, and related administrative units where building architecture, scheduling and financing allow.
8. Space shall be generally allocated and reassigned in accordance with established space type guidelines (e.g.: offices = 120 SF, etc.) where building architecture and construction conditions allow.
9. The policies on the allocation and use of space shall be periodically reviewed at such times that the Rules and Regulations document is reviewed.

Space Utilization Committee

A standing university committee comprised of multiple campus constituencies shall serve as an advisory body regarding space allocation. Membership shall include at minimum the following:

Deans (4)

Representative for the Athletic Department

Representative for Student Affairs

Representative for Administration and Finance

Representative for Academic Affairs

Representative for University Advancement

Representative for Enrollment Management and Student Success

Representative for the Office of Design and Construction

Ex officio: vice presidents (Academic Affairs, Student Affairs, Administration and Finance, University Advancement)

The Space Utilization Committee shall have as its charge the evaluation of space requests and resulting recommendations to the president for action that is based on a campus-wide perspective as well as campus-wide needs. Within its charge, the Space Utilization Committee will assess utilization of spaces such as classrooms, labs, offices, etc., and will evaluate requests for new space.

Planning for Space Needs

The Space Utilization Committee is charged with evaluating space requests and making recommendations to the president; however, it is not within the committee's purview to authorize, provide, or ensure the funding that may accompany space requests. The following guidelines will apply:

1. It is the department's responsibility to consider the financial implications of moves and to integrate space planning with other resource planning. Costs associated with discretionary alterations/renovations to a space shall be borne by the user unit. Any such work must be approved and coordinated by the Office of Design and Construction to ensure compliance with university standards and regulatory requirements.
2. Space planning decisions may involve complicated move sequences or space alterations; thus it is essential that space needs be planned for as far in advance as possible.
3. In the planning and management of campus facilities, all building space is considered to be an allocable resource subject to continual evaluation in order to achieve the optimal campus-wide level of utilization. To this end, the Office of Design and Construction will conduct facilities audits at least every three years to assist deans and unit heads in fulfilling their responsibilities for assignment and effective utilization of allocated space and to provide a basis for determining projects to be included in the capital improvement program (new buildings and/or major renovations). Requests for capital improvement projects will be annually solicited from all university departments as well.

Assignment and Effective Use of Space

Once space has been assigned to a school, college or administrative unit, deans and vice presidents may generally assign or reassign space already assigned to that school, college or administrative unit to areas reporting to them. Changes within a unit generally do not require committee approval but must be reported to various campus departments, i.e., Telecommunications, Buildings and Grounds, and Human Resources, via a Web site form. However, in the following cases, the Space Utilization Committee will maintain jurisdiction:

- Any interdivisional reassignments must be approved by the committee. If there is no resolution within the division, the committee will be the venue for the division to find a solution.
- If a space assignment has an identified end date, the space will revert back to the committee for reassignment at the end of the period.
- If a unit vacates assigned space to move to new space, the committee will reassess the use of the space and reassign it if determined to be necessary.
- Any changes in the designated use of a room must be approved by the committee, i.e., a request to change a faculty office into a conference room.
- Any renovations to a room which will change the square footage of the space must be approved by the committee.

Space Allocation Requests

A Space Allocation Request will be the official method by which a unit asks for space changes. Such a request will be required whenever a unit wants to add to, alter, or exchange its current space assignment. A unit may submit a Space Allocation Request to the chair of the Space Allocation Committee, once approved by the appropriate dean and/or vice president. A Space Allocation Request is required for the following activities:

- A new or expanding program whose space needs cannot be met in its current space assignment
- Modifications (renovations, alterations, reconfigurations)
- New buildings, building additions, or acquired property
- Leased space
- Change of use
- Accommodation moves

4.70 Department of Public Safety

The Department of Public Safety is headed by a director who is responsible for the overall safety, security, and welfare of all students, employees, and visitors to the university. The director is responsible for crime prevention, law enforcement, campus security and investigative operations, safety, traffic and parking control, and radio communications and law enforcement records, in compliance with the State of Missouri Revised Statutes. It shall also be the responsibility of the director, in cooperation with the Safety and Security Committee, to recommend procedures to administer and enforce all established policies and regulations.

4.71 Authority to Administer and Enforce Vehicle, Traffic, and Parking Regulations

All regulations pertaining to the Department of Public Safety have been adopted pursuant to the authority vested in the Board of Curators of Lincoln University by the laws of the state of Missouri. These laws provide, in relevant part, that the government of the university is vested in a Board of Curators. A vital function of the Board is to improve and protect the property of the university. In keeping with this function, the Board has authorized the establishment and distribution of safety and traffic regulations.

The Board has also authorized the establishment of a Safety and Security Committee and delegated to the president the authority to activate and charge this committee. The president is authorized to review and revise the committee's charge as necessary in order to effect the proper use and protection of university property and the safety and security of those who reside and work on campus. The Safety and Security Committee will make periodic reports to the president. The president may delegate any of her/his authority, under this regulation, to the vice president for Administration and Finance or to any such person or persons to whom he/she shall delegate such authority.

The regulations recommended by the committee and approved by the president shall apply to all students and employees of the university and to all other persons while on university property, and shall be deemed a part of the terms and conditions of the admission and enrollment of students and the employment of faculty and staff and other persons working under the direction of an administrative unit of the university. These regulations shall also apply to visitors or other persons and shall be deemed a part of the terms and conditions of the permission to enter the grounds of Lincoln University and to drive or operate vehicles on the property of Lincoln University. The operation and/or use of motor vehicles and bicycles on the property of the university campus by any person shall constitute consent and agreement to observe and be bound by these regulations.

If any provision of these regulations shall be in conflict with any applicable provision of any Missouri state law, rule or regulation of Lincoln University, Missouri state law shall govern. (See RSMo., Chapter 301.)

4.72 Safety and Security Committee Membership and Responsibilities

Faculty, staff, and students shall be appointed to the Safety and Security Committee by the process described in Chapter II, section 2.82. The director of the Department of Public Safety shall be an ex officio member of the committee. The president shall designate one of the appointed faculty members as chair of the committee.

The responsibilities of the committee shall include but not be limited to the following:

- To recommend supplementary regulations to control pedestrian and vehicular traffic and parking
- To review and recommend the use of all Lincoln University parking lots
- To prescribe the rules and procedures for appeals of violations
- To review all fine assessment appeals submitted directly to the committee or through the Department of Public Safety; to set aside fines, reduce fines, or uphold fines as the committee deems appropriate
- To review and rule on, or make recommendations regarding, all citizen complaints submitted to the Department of Public Safety

4.73 Vehicle, Traffic, and Parking Regulations

By the authority vested in it by the Board of Curators, the Department of Public Safety administers and enforces all vehicle traffic (moving and non-moving) and parking regulations and assesses fines for violations of such. (For violation assessment/fines, see the “Department of Public Safety Traffic and Parking Regulations,” distributed by the department and available on the Lincoln University Web site.)

4.73.1 Registration and the Operation of Motor Vehicles and Bicycles

Any Lincoln University employee or student who owns, possesses, maintains, operates, or stores a motor vehicle or bicycle on or about the Lincoln University campus must register such vehicle or vehicles with the Department of Public Safety within one Lincoln University business day after such vehicle is brought to campus. Other registration requirements are as follows:

1. Proof of ownership of vehicle to be registered and/or proof that the individual is entitled to possess and operate such vehicle must be furnished upon request. Vehicles operated on campus although owned by others must be registered. Registered vehicles must maintain insurance coverage.
2. A student may not register a vehicle owned, maintained, or normally operated by another student.
3. Anyone whose privileges or license to operate a motor vehicle have been suspended or revoked by any authority shall not be entitled to register, operate, or maintain a vehicle on university property pursuant to these regulations while enrolled or employed at the university, except in accordance with the conditions imposed by the authority suspending or revoking such privileges.
4. All registrants shall provide, upon request, any information pertinent to the registration, possession, or operation of any vehicles that shall be required by the director of the Department of Public Safety.
5. Application for a parking permit shall have the effect of motor vehicle registration. All vehicles must display a permit as per the above regulations.
6. Additional registration procedures and parking permit information can be obtained from the Department of Public Safety and are also available on the Lincoln University Web site.

Any person meeting the above qualifications who has been accepted for enrollment or employment at Lincoln University may possess and operate a motor vehicle or bicycle in and about the university campus provided that he/she shall at all times be in compliance with all university and state regulations pertaining to the same. The Department of Public Safety shall make available, upon request, information and instructional materials regarding the requirements and procedures for registering motor vehicles and bicycles.

Failure to register a motor vehicle that is operated, parked, or stored on university property is a violation for which the vehicle operator/owner will be assessed a fine. Counterfeiting, altering, defacing, or transferring a registration certificate is also a violation for which the vehicle operator/owner will be assessed a fine.

4.73.2 Parking Regulations

Within limitations of resources and space, Lincoln University shall provide parking lots on university grounds for the exclusive use of its employees, students, and visitors. Parking privileges will be governed by the following:

1. All parking lots owned, operated or administered by the university shall be available on a fee basis and at a rate to be specified and published annually. Once a patron has purchased a parking permit, no refunds shall be made for any unused portion of the paid permit.
2. Upon authorization from the Office of the President, selected parking spaces may be made available on a no-fee basis. Reserved parking spaces are assigned by the president or her/his designee.
3. A state-issued permanent or temporary disability license plate or placard must be displayed while parking in any disability-designated space on campus. Placards must be hung from the rear view mirror with the number facing forward. Disabled persons may park in any disability-designated space provided they also display a valid Lincoln University parking permit (faculty, staff, or student). Temporary disability parking permits are not issued by the Department of Public Safety.

Failure to display a parking permit while parking on university grounds is a violation for which the vehicle operator/owner will be assessed a fine.

4.73.3 Official University Vehicle Parking

All university vehicles are subject to the same university traffic and parking regulations as are privately owned vehicles on campus.

Operators of university vehicles are responsible for all fines incurred while driving that vehicle. Individual departments are responsible for identifying the drivers or for paying fines from departmental funds.

4.73.4 Parking for Retirees and Senior Citizens

Parking permits for Lincoln University retirees will be available at the annual rate paid by regular faculty and staff. Professors emeriti and students sixty-five and over may receive a free parking permit.

4.73.5 Visitor Parking

Lincoln University shall furnish visitor parking, including for vendors and service technicians; however, parking priority shall be given to employees and students. All visitors are required to register their vehicles with the Department of Public Safety while on campus. Spaces for visitors shall be clearly designated. Employees and students shall not be permitted to use designated visitor spaces,

including those for disabled visitors. These shall all be considered “reserved spaces.”

Any visitor who receives a traffic and/or parking citation for a violation of any campus traffic or parking regulation must contact the Department of Public Safety.

Service technicians requiring a parking space close to their work area should apply to the Department of Public Safety for a special permit.

4.73.6 Loading Zones

Loading zones are reserved exclusively for the loading/unloading of materials or equipment by persons displaying a valid loading zone permit. All loading zones are posted with notification of maximum time usage allowed. When it is necessary that a vehicle occupy a loading zone for longer than the maximum allowed, or by persons not having a loading zone permit, authorization by the Department of Public Safety is required prior to use of the loading zone.

4.73.7 Report of Accident

All persons are required by Missouri law to make reports of accidents involving motor vehicles. Accidents which occur on campus shall also be reported to the Department of Public Safety prior to the vehicle being moved from the accident site. Accident reports will not be taken if the vehicle has been driven off campus and returned prior to a report being made to an officer of the Department of Public Safety.

4.73.8 Traffic Regulations and Violations

All persons operating vehicles on campus are subject to Missouri state laws and regulations regarding moving vehicles, including driving in excess of the posted speed limit and driving in the wrong direction on any street marked for one-way traffic. Any person operating a vehicle is responsible for all violations (moving and non-moving) of these regulations committed by that person. All persons (first parties) owning or having in their custody a motor vehicle shall be responsible for all non-moving violations of these regulations committed by other persons (second parties) operating vehicles owned by the first party or in their custody with their express or implied permission to operate that vehicle, unless the person (second party) actually operating the vehicle acknowledges and accepts the responsibility for the violation.

In addition to any fines assessed for any moving or non-moving traffic violation, the Department of Public Safety may refer any violator of such regulations to the appropriate administrative official for additional action as warranted.

4.73.9 Payment of Fines and Appeals

Any person receiving a traffic or parking violation must make payment of any monetary fee assessed. Payment shall be made to the Cashier's Office. If a person wishes to appeal a violation, he/she must report to the Department of Public Safety within seven days of receipt of the violation notification and file a written appeal. (An appeal may also be filed directly with the Safety and Security Committee.) No exception or appeal may be made after the seven-day period.

Employees with unpaid fines will not be issued a new parking permit until all traffic and parking fines are cleared. Unpaid fines may be deducted from an employee's paycheck. Students with unpaid fines will not be allowed to register for subsequent semesters, or receive transcripts or a diploma. Unpaid fines will be applied to the student's account.

4.74 Administration and Enforcement of Vehicle Regulations

It shall be the duty of the director of the Department of Public Safety, in cooperation with the Safety and Security Committee, to administer and enforce all vehicle regulations. A citation for any violation of these regulations may be issued by any officer of the Department of Public Safety on forms prescribed by the department. A copy of the citation shall be given to each person at the time of issuance or, if the violation involves an unattended vehicle, a copy of the citation shall be conspicuously affixed to the vehicle. Each citation shall state the substance of the violation and the assessed fine.

4.74.1 Immobilization, Removal, or Impoundment of Unattended Vehicles

The Department of Public Safety is authorized to immobilize or remove and impound, at the owner's expense, unattended vehicles on/from university parking lots or on/from other real property of the university or under the control of the university.

4.75 Amendments to Vehicle, Traffic, and Parking Regulations

All regulations in the preceding sections may be amended or rescinded in whole or in part at any time or from time to time by action of the Board of Curators.

The president may, under emergency conditions, amend or rescind these regulations for a period of time not to exceed sixty days, provided that notice of such action is made to the Department of Public Safety, the Safety and Security Committee, and the Board of Curators.

4.76 Campus Security

The Department of Public Safety is responsible for the overall safety and security of the campus community. This responsibility includes the enforcement of policies relative to crime prevention, investigative operations, and law enforcement.

4.76.1 Authority of Public Safety Officers

Lincoln University's Public Safety officers are commissioned by the Board of Curators under RSMo. Section 172.350. Commissioned peace officers are state-certified and hold all police and arrest powers granted by the state of Missouri. Department of Public Safety officers work cooperatively with the Jefferson City Police Department, the Cole County Sheriff's Office, and the Missouri Highway Patrol. Criminal investigations are conducted on a joint basis with local law enforcement agencies when crimes overlap jurisdictional boundaries.

4.76.2 Building Security

Public Safety officers are responsible for building security. All administrative and classroom buildings are secured each evening after normal business hours and after classroom instruction has ended. Entry after normal hours requires authorized key and Sonitrol access or access granted by the Department of Public Safety with the area supervisor's prior approval.

Residence hall security is enhanced through controlled access to all buildings. The residence halls are on secured status at all times, with only residents, their escorted guests, and authorized personnel able to enter.

4.76.3 Sexual Assault and Victims' Rights

On March 7th, 2013, President Obama signed the Violence Against Women Reauthorization Act of 2013 (*(VAWA), Public Law 113-4*). Among other provisions, this law amended section 485(f) of the Higher Education Act of 1965, as amended (*HEA*), otherwise known as the Clery Act (*20 U.S.C. 1092(f)*). These statutory changes require institutions to compile statistics for certain crimes that are reported to campus security authorities or local police agencies including incidents of sexual assault, domestic violence, dating violence, and stalking. Additionally, institutions will be required to include certain policies, procedures, and programs pertaining to these crimes in their Annual Security Reports.

Lincoln University prohibits the offenses of domestic violence, dating violence, sexual assault, and stalking. As a result, Lincoln University issues this statement of policy to inform the community of our comprehensive plan addressing sexual misconduct, educational programs, and procedures that address sexual assault, domestic violence, dating violence, and stalking, whether the incident occurs on or off campus and when it is reported to a University official. A copy of this

Sexual Assault, Domestic Violence, Dating Violence, and Stalking Policy shall be distributed annually to each university employee and to each university student who is taking one or more classes for academic credit and students enrolled in continuing education classes.

The Sexual Assault, Domestic Violence, Dating Violence, and Stalking Policy shall contain information on the following items:

- Procedures Lincoln University will follow once an incident of sexual assault, domestic violence, dating violence, and stalking has been reported, including the standard of evidence that will be used during a conduct hearing;
- Description of the educational programs to promote awareness of sexual assault, domestic violence, dating violence, and stalking for all incoming students and new employees and ongoing prevention and awareness campaigns for students and employees;
- Missouri definition of consent, sexual assault, domestic violence, dating violence, and stalking and the applicable federal definitions;
- Safe and positive options for bystander intervention and information on risk reduction to recognize the warning signs of abusive behavior and how to avoid potential attacks; and
- Explanation of Victims' rights in cases of sexual assault, domestic violence, dating violence, and stalking.

4.76.4 No Trespassing Policy

Lincoln University follows the guidelines and procedures outlined in RSMo. Sec. 569.140 concerning a violation of “No Trespass” on a university campus.

A person may be issued a “No Trespass” order when any of the following circumstances exist:

1. The person is not a student, current employee, or legitimate visitor;
2. The person was arrested on university property for committing a felony or misdemeanor;
3. The person is found in a university building in violation of university regulations and it is apparent to the officer or other officials that there is an intent to commit a crime within the building;
4. The person has exhibited conduct such that the person’s presence on the campus, in the opinion of the officer or other university officials, constitutes a threat to the safety or welfare of the university;
5. The person refuses to produce identification as requested (when under circumstances where an innocent person could reasonably be expected not to refuse), and further investigation and/or assistance from outside agencies may be required to properly identify the person;
6. The person has no legitimate purpose (academic or visitation) for

- being on campus;
- 7. The person is causing a disturbance or is disrupting the tranquility of any area of the campus;
- 8. The person is found in possession of a weapon or explosive;
- 9. The person is found in possession of alcohol or drugs;
- 10. The person is a student who has been suspended or expelled.

Both pedestrians and vehicles may be stopped if an officer or other university official suspects that any of the above conditions may exist.

Written notification of “No Trespass” will be given to any person found in violation of this policy. A person may be placed on “No Trespass” for a specific building, area, or the entire university campus. “No Trespass” notices issued by officers will remain in effect for five days only. During that time period the notice will be reviewed by the director of Public Safety. If the director determines the “No Trespass” order should be extended beyond the five-day period, a recommendation will be forwarded to the president or her/his designee. A “No Trespass” order of five days can be extended up to a period of one year or longer, if approved by the president. If the order is approved, a registered notification will be sent to the individual being denied access to the campus or its buildings. (The complete written notice procedure is available from the Department of Public Safety.)

When issuing a notice of “No Trespass,” officers shall act with as much restraint and courtesy towards the person stopped as that person will allow. Officers and other university administrators may exercise this authority in any place where they have a right to be pursuant to their official job and duties.

Juveniles will be given notice of “No Trespass” through the Prenger Family Services Juvenile Center. Juveniles found on campus in violation of “No Trespass” will be turned over to the juvenile authorities immediately.

Any person given written notice of “No Trespass” may appeal in writing within seventy-two hours of the notice being issued. All appeals will be addressed to the president of the university who will either deny or approve the appeal. The president may also refer appeals to the vice president with primary interest in the case. For example: A person given a “No Trespass” notice in a residence hall area would appeal through the vice president for Student Affairs.

4.76.5 Animals on Campus Policy

The Department of Public Safety enforces all Jefferson City ordinances regarding animals. Animal owners are expected to abide by city ordinances while on campus. In addition, the following policies regarding animals are in effect:

1. All pets must be leashed and under the control of an adult. Except for animals trained to assist persons with disabilities, all pets which are unleashed or leashed and unattended on university property are subject to impoundment.
2. Pets on a leash and under the control of a responsible person are permitted on university grounds but are not permitted within university buildings, at the stadium, or around groups of people. A loose pet trailing a leash, or one tied to a fixed object, is not considered under the control of a responsible person.
3. Except for animals trained to assist persons with disabilities and animals in use in university facilities for official research, classroom, or observation purposes, dogs and other pets are not permitted within a university owned or leased building. Any pet found within a university owned or leased building may be impounded.
4. Impounded dogs or other pets may be reclaimed by the owner at the Jefferson City Animal Shelter upon payment in full of all costs incurred as a result of the impoundment, including any veterinary expenses.
5. Pets left unattended in motor vehicles on university property are subject to the same rules and regulations if they become a nuisance or if the welfare of the animal(s) is threatened.

4.80 Auxiliary Services

The area of Auxiliary Services is headed by a director who is responsible for the professional management of the convenience needs of the campus community. Auxiliary services range from the support of the core academic mission of the institution, e.g., the campus bookstore, to the support of the living essentials needs of the campus community, e.g., food services, laundry services, and beverage/snack vending services. The director supervises Lincoln University-staffed auxiliary services, such as the mail room and print shop; other auxiliary services, such as dining and bookstore, are contracted through outside vendors. In addition, the director has oversight of the preparation of facilities for university events, and works with the larger Jefferson City and area community to arrange use of university facilities (e.g., Richardson Auditorium, Langston Hughes Theater, the bowling center) for non-university functions.

4.80.1 Contracts Administration

All contracts for auxiliary services are prepared in accordance with the Rules and Regulations of Lincoln University, and applicable state and federal guidelines and regulations, including Chapter 34 Revised Statutes of the State of Missouri (see section 4.30.1). Contracts are legal and binding only after all authorized university signatures are acquired and the contract is fully processed according to the established procedures and all appropriate approval has been obtained. Each contract will be in effect for the period of time specified, but may be terminated by the university at any time by written notice.

4.80.3 Solicitation

Commercial solicitation is prohibited in and on all university property. For purposes of this policy, solicitation shall mean the sale of, or offer for sale of, any service, article or thing whatever to any person or university property by any agent, peddler or other person. Exceptions to this rule may be made by the president of the university only. This prohibition shall not apply to any university group officially recognized as a campus organization by the university.

4.90 Buildings and Grounds

The area of Buildings and Grounds is headed by a director who is responsible for the management of repairs and upkeep of the physical facilities of the university. This includes the maintenance of buildings and mechanical systems, custodial and grounds services, heating plant and utility systems, preventive maintenance, the motor pool, and all other associated aspects of physical plant activities. The director is also responsible for budget recommendations that support the activities of the area of Buildings and Grounds.

4.90.1 Personal and Environmental Safety Guidelines

Due to the nature of the work performed, the area of Buildings and Grounds emphasizes the need for staff to adhere to established good practices relating to personal and environmental health and safety. As a state university, Lincoln University is exempt from the national OSHA guidelines for private industry; however, the Buildings and Grounds unit elects to adhere to those guidelines that would be applicable, if compliance with OSHA regulations were mandated. Staff who operate equipment such as mowers or chain saws shall be trained in the specific safety protocol for that equipment. In addition, the area pays for Red Cross First Aid and CPR training/certification for all interested staff. Use of chemicals and management of hazardous waste are coordinated with the Department of Public Safety.

4.90.2 Key Control Policy

The following regulations in regard to keys shall be in effect:

1. Full- and part-time university employees may be issued necessary keys by completing the Key Request form found on the LU Web site and obtaining the required signatures.
2. Upon receipt and review of a completed Key Request form, the order will be filled and the authorizing unit notified that the employee may pick up the key from the access control specialist at the Physical Plant. Appropriate identification (L.U. ID or driver's license) of the individual

named on the Key Request form will be required to receive the key. Keys not picked up within 90 days will be returned to inventory and a new Key Request form must be submitted.

3. A key audit will be performed each time a new key is issued.
4. No university key may be duplicated.
5. When an employee is issued a key to a building or facility on Sonitrol or any other security system, the employee must also obtain a Sonitrol code.
6. When an employee transfers from one department to another, he/she must return to the access control specialist all keys relative to the department he/she is leaving. If there is a valid need for the employee to retain such keys, the area supervisor will provide a written justification.
7. The employee who is issued a key is responsible for that key and will be charged for any lost or misplaced keys.
8. Prior to termination, employees must remit all university keys to the access control specialist. The specialist must sign a departure document attesting to receipt of all keys.
9. With the approval of the area supervisor, select students may be issued keys. (E.g., in Cooperative Research, students are assigned to animal care on an ongoing basis including night and weekend hours and must have access to facilities.)

4.90.3 Advertising

Commercial advertisements may be posted on designated bulletin boards in or at the following locations only:

- Departmental offices and classrooms at the discretion of the area head and/or faculty
- Residence halls
- Scruggs University Center
- Jason Gymnasium
- Dwight T. Reed Stadium

The university does not permit the advertising of alcoholic beverages, any substance the use of which is prohibited by federal or state laws, and any item which may tend to promote or suggest immoral, lewd or promiscuous behavior. Permission granted to an individual or organization to post an endorsement at the university facility does not constitute the endorsement by the university of the aims, policies, programs, products or beliefs of the individual or the organization or any of its members. The university reserves the right to regulate or limit the period of and assess fees for commercial advertising.

Non-commercial advertisements may be posted in or near any university facility which has erected a bulletin board for such purposes. Permission granted by the university to an individual or organization to use a bulletin board for advertising does not constitute endorsement by the university of the aims, policies, programs or beliefs of the individual or the organization or any of its members.