

AMERICAN UNIVERSITY

IN BULGARIA

POLICY MANUAL

**with subsequent revisions
through December 2009**

David Huwiler

AMERICAN UNIVERSITY IN BULGARIA

POLICY MANUAL

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SECTION ONE: UNIVERSITY ORGANIZATION AND GOVERNANCE

1.0 University By-Laws

The existence and the functioning of the American University in Bulgaria (AUBG) shall be governed by the General Regulations (By-Laws as Amended May 2008); the provisions of corporate legislation of the State of Maine regarding not-for-profit corporations; and Bulgarian legislation. The governing body of the University shall be the General Assembly (Board of Trustees).

1.1 Governance Documents

All by-laws, constitutions, and governing documents for faculty, students, or other governing bodies must explicitly acknowledge that the Board of Trustees is the legal governing body of the American University in Bulgaria and that nothing within the documents shall be construed as granting to the faculty, students, or other bodies concerned, the authority to act outside the policies of the Board of Trustees.

The Board of Trustees delegates to the President the authority for approval of by-laws, constitutions, and governing procedures for faculty, student, or other governing bodies. The Board of Trustees reserves the right to suspend, amend or otherwise alter any by-laws, constitutions, or governing documents if the Board finds at any time that the provisions of such a document are contrary to the policies of the Board of Trustees.

1.2 Appointment and Responsibilities of the President

The President shall be the Chief Executive Officer of the American University in Bulgaria responsible for execution of Board policy and implementation of identified goals through day-to-day management of AUBG. The Board has and shall retain the principal responsibility for development and adaptation of that policy. The President implements and executes such policy, as assisted by other officers of AUBG.

The President shall devote full working time, skill, labor and professional attention to the governance and operation of AUBG and the duties of President. These duties shall include, without limitation, the following:

- Be responsible directly, and through subordinates, for the management of AUBG and each functional area within AUBG in accordance with plans and policies adopted by the Board;
- Maintain effective working relationships with the Board and provide reasonable administrative support to the Board;
- Maintain and improve the reputation of AUBG in the Bulgarian, regional, and international communities, including the United States, and with governmental and regulatory agencies, both Bulgarian and U.S.;
- Lead AUBG fundraising activities, both annual and capital;
- Maintain and improve the quality of student and faculty at AUBG and maintain effective working relationships among administration, faculty, students, and alumni;
- Be responsible for the safety and preservation of AUBG;
- Perform other duties and undertake such projects as may be assigned by the Board consistent with the position of President and in accordance with the By-laws of the University.

1.3 Evaluation of the President

The Chair of the Board of Trustees and the President will establish goals and evaluate progress made toward the achievement of these goals on an annual basis. The Board of Trustees shall conduct a formal review of the President's stewardship twelve months before the expiration date of the contract.

1.4 Evaluation of Senior Administrators

Those senior administrators on permanent contracts are evaluated annually by their supervisor. Those administrators on multi-year contracts are evaluated annually by their supervisor and will also be evaluated in the second to last year of that contract for contract renewal.

The administrator will be asked to prepare a self evaluation and other materials appropriate for review. The evaluation will take into consideration information from all campus constituencies. At the discretion of the President, an evaluation team may be formed to prepare the evaluation report within a specified time period. The administrator has the right to respond to the evaluation report before a final decision on contract renewal is made by the President.

1.5 University Committees

The American University in Bulgaria relies on University Committees to advise key administrators on matters of policy. Standing University Committees address ongoing concerns of the University. Ad Hoc University committees are constituted as needed to address temporary University concerns. The rules and procedures governing University Committee are posted on the AUBG web page along with the mission and membership of each Committee.

The AUBG President is empowered to convene and dissolve University Committees, with the concurrence of the Provost, and proper notification of the committee members. However, any member of the AUBG community (students, faculty, or staff) may ask the President to consider appointing a Committee to address an issue. The President's Office will make an announcement to the University community when a new Committee is formed.

The President determines the composition of the Committee. Unless an exception is approved by the President, committees will contain faculty, student, and staff representation. Normally, the Faculty Assembly Chair will nominate the faculty members to fill posts on University Committees reserved for faculty members. Likewise, the Chair of the Student Senate will nominate individuals to fill Committee positions reserved for students. Staff positions on University committees will be filled by the President. All Committee assignments end September 1st of each year.

Committees are advisory bodies that report to the President or his/her designee. The President or designee is not required to implement Committee recommendations but will give an explanation to Committee members if a Committee's recommendation is rejected.

1.6 Faculty Organization and Governance

The primary responsibility for faculty governance at AUBG falls to the Faculty Assembly. According to Article II of its bylaws, the function of the Faculty Assembly is to "oversee matters of curriculum development and faculty recruitment, to promote an intellectual and material environment that is conducive to the needs of its members, to communicate through resolutions the opinion of faculty on other areas of the University, and to address other issues of concern to the faculty." The work of the Assembly is conducted through a committee structure. The committees have the purpose of recommending motions for action to the Faculty Assembly on issues related to their respective area of responsibility. In addition, faculty are represented on University Committees, and the Faculty Representative to the Board of Trustees reports the concerns and represents the interests of the faculty at the University Board of Trustees meetings.

Faculty are organized by departments with assignment based upon programs and curricula. Each department is headed by a department chair who provides academic leadership for the department. Details of the academic organization, departmental structure, and administration of the department are found in Section Five of the Faculty Handbook.

1.7 Student Government

Student Government is the directly elected representative body of the students at AUBG to represent the interests of the student body within the decision-making framework of the University. Through its own resolutions, as well as through appointment of members to University and faculty committees, AUBG students voice their opinions to the faculty and the administration and seek to improve the quality of student life. Its purpose is stated in the Student Government Constitution as follows: "The Student Government is entrusted by the student body with the responsibility to guarantee the protection of student rights, as well as promote a spirit of tolerance, diversity, and unity. In doing so, it identifies, voices, and defends legitimate student concerns and interests before other authorities of the University, as well as promotes an institutional framework beneficial to students."

1.8 Faculty, Student, and Alumni Representation to the Board of Trustees

The Board of Trustees endorses the concept of faculty and student access to the AUBG decision-making process to provide advice and opinions on matters of common interest and to enhance communication and sense of community within the University. To create an environment for interaction among and between faculty and student representatives, the Trustees, and AUBG administrators, the Board will provide opportunities for participation in the meetings of the committees of the Board.

One faculty member and one student will serve as non-voting representatives to the Board of Trustees. The faculty representative shall sit as a voting member on the Educational Policy Committee, but shall not be entitled to participate in Committee discussions or decisions dealing with faculty personnel issues. The student representative shall serve as a voting member on the Student Affairs Committee.

The faculty and student governing bodies at the University are charged to develop procedures through their selection processes for the nomination of one member each as representatives to the Board of Trustees. The nominations will be forwarded through the President to the Chair of the Board of Trustees for Board consideration and approval.

The President of the AUBG Alumni Association shall serve as a voting ex-officio member of the Board of Trustees.

1.9 Development of Policies and Procedures

The American University in Bulgaria (AUBG) has written policies and procedures for all matters needing coordination among administrative functions and consistency in actions. These policies are consistent with the legal environment in which AUBG functions and protect the individual as well as the University. Acceptance of employment, both initial and continuing, constitutes an agreement by the employee to comply with all AUBG policies applicable to his or her position. Enrollment as a student constitutes an agreement to comply with University policies.

The President, the Provost, the Vice President for Finance and Administration, and their direct reports will identify matters which need to be documented in policies, as well as policies which require updating. The President's Council will review the policies and make recommendations by consensus for policy approval. The President will take this input and make the final decision on the policy wording for submission to the Board of Trustees for approval. Once the Board of Trustees has approved a policy, the Clerk to the Board will affix his/her signature to the policy and forward it to the Manager of the Human Resource Office, who will be responsible for distributing the policy.

The administration, at its discretion, will edit the Policy Manual regularly to reflect changes in: position titles, organization and reporting lines of the University, signatory authority, changes in Bulgarian laws, changes in Bulgarian labor regulations, changes in U.S. employment policies, and internal references to other University documents and policy statements.

The AUBG Policy Manual will be maintained in both English and Bulgarian and available to all members of the University community through the website, the Human Resources Office, and the Library. Every employee at AUBG has the right to receive access to and guidance on policies by the Manager of the Human Resource Office.

The development of procedures is handled at the unit level. Those procedures having an impact throughout the organization need to be approved by the President's Council and are posted on the web site for the respective administrative offices. Internal office procedures are held within the office and need only be approved by the office manager. Managers and supervisors are responsible for interpreting policy and implementing procedures.

SECTION TWO: GENERAL ADMINISTRATIVE POLICIES

2.0 Mission and Description of the University

The mission of the American University in Bulgaria is to educate future leaders committed to serving the needs of the region by promoting the values of an open, democratic society.

The American University in Bulgaria is a highly selective, private, residential university awarding the Bachelors and Masters degrees. It offers an American-style liberal arts education with English as the language of instruction. It also promotes educational outreach programs to serve the wider community.

2.1 Non-Discrimination Policy

The University is committed to a policy of non-discrimination and equal opportunity in all of its endeavors and affirms a commitment to diversity in both its employees and its student body. It does not discriminate on the basis of race, ethnic origin, gender, sexual orientation, religion, age, or physical ability in the administration of its admissions policies, educational programs, employment opportunities, or other University programs.

The Human Resources Office is responsible for monitoring compliance with regard to employment matters. The University Relations Office is responsible for proper notification of the policy in official University publications both print and electronic.

2.2 Legal Affairs

The American University in Bulgaria is a corporate and independent legal entity organized under the public laws of the Republic of Bulgaria and the State of Maine, and as such may sue and be sued only in its corporate capacity as the American University in Bulgaria.

Because of the need to respond effectively and uniformly to legal matters due to changes in government regulations, advances in technology, the complexity of employment relationships and student expectations, expansion of cooperative and business relationships with third parties, and entrepreneurial opportunities, the review and management of these matters must be handled centrally. Therefore, legal advice affecting the legal position of the American University in Bulgaria should be requested through the Vice President for Finance and Administration who will determine the appropriate outside counsel. Exceptions must be approved by the President.

2.3 Conflicts of Interest

Individuals serving the University shall at all times act in a manner consistent with their public responsibilities to the University and shall exercise particular care that no real or perceived detriment to the University results from conflicts between personal interests and those of the University. Officers, faculty, staff and others acting on its behalf have the obligation to avoid ethical, legal, financial or other conflicts and potential conflicts of interest that result from considerations of personal preference and private gain.

Section 1.6 of the Faculty Handbook outlines the types of activities and interests that could conflict with an employee's obligation to the University or to its welfare. Section 1.7 provides additional guidelines on faculty conflicts of interest. Article XIV of the University Bylaws referring to Conflicts of Interest clarifies the policy with respect to members of the Board of Trustees.

When it appears that a material conflict may arise between the personal interest of an employee and his or her responsibilities to the University, the employee shall notify the appropriate administrator by submitting a written statement describing the nature of the possible conflict. If an apparent conflict comes to the attention of the administrator, that individual may request a written statement from the employee. Any significant violations of this policy shall be reported to the Provost or President for employees and to the Board of Trustees for the Provost and the President.

2.4 Smoking

Smoking is prohibited throughout University premises.

2.5 Use of Alcohol and Controlled Substances

The possession, use, or distribution of illegal drugs as defined by both Bulgarian and U.S. Law is prohibited at any time on University property. Employees or students known to possess, use, or distribute illegal drugs are liable to public law enforcement sanctions and University disciplinary action.

Faculty and staff members with substance abuse problems are encouraged to take advantage of diagnostic, referral, counseling, and prevention services. However, employees availing themselves of these services will not be granted special privileges and/or exemptions from standard personnel practices applicable to job performance requirements. The University will not excuse acts of misconduct committed by employees whose judgment is impaired due to substance abuse.

Use of alcoholic beverages on University property by faculty, staff, and students shall be planned, requested, and controlled through the University Dining Services or Office of Residence Life and Housing. Use of alcoholic beverages in residence halls, not controlled through Dining Services or the Office of Residence Life and Housing, will be considered not in compliance with campus policies. No alcohol may be sold within University facilities in accordance with Bulgarian law. The use of University funds for the purchase of alcohol will be restricted to University-sponsored events.

Violation of laws, regulations, and policies and procedures related to the use of alcohol and controlled substances may result in disciplinary action and, where applicable, criminal proceedings.

2.6 Sexual Harassment

Sexual Harassment of either employees or students is a violation of United States and Bulgarian laws. It is the policy of the American University in Bulgaria that no member of the University community may sexually harass another. In accordance with its policy of complying with non-discrimination laws, the American University in Bulgaria regards freedom from sexual harassment as an individual employee and student right. Violation of this policy will be subject to disciplinary action. Sexual harassment occurs when a person in a position of power or authority over another subjects such other person to unwanted verbal or physical conduct of a sexual nature.

Sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when: 1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or education; 2) submission to or rejection of such conduct by an individual is used as the basis of academic or employment decisions affecting that individual; or 3) such conduct has the purpose or effect of interfering with an individual's academic or work performance or creating an intimidating, hostile or offensive employment, educational, or living environment.

The AUBG Sexual Harassment Complaint Process exists for the use of any and all members of the campus community. Any student or employee who believes that he or she has experienced sexual harassment and who chooses to file a complaint must, within six months of the alleged incident(s), contact one of the Sexual Harassment Complaint Advisors listed in the University Committees for further information on both informal and formal procedures. It is the policy of the American University in Bulgaria to ensure fair and impartial investigations that will protect the rights of the person(s) filing sexual harassment complaints, the person(s) complained against, and the University as a whole.

If the complaint is upheld through a formal process conducted by the Sexual Harassment Hearing Panel, possible sanctions include termination, suspension, a letter of reprimand, or other actions which the Panel may deem appropriate, such as transfer or reassignment, requirement of an apology, counseling or training. The President or his designee will review the Hearing Panel recommendation and impose the sanction.

2.7 Consenting Relationships

A consenting relationship is defined as a mutually agreeable romantic or sexual relationship between supervisor and employee or faculty and student. Faculty members and supervisors are warned that such relationships are inherently suspect and, in the event of a sexual harassment allegation, the University will carefully scrutinize any defense that the relationship was consensual.

Faculty members are prohibited from exercising academic supervision over persons with whom they have a romantic or sexual relationship. Academic supervision is defined as grading, evaluating, sitting on a thesis committee, or otherwise exercising decision-making power that affects the student's academic record, academic benefits, participation in any University activity, or progress toward graduation.

Supervisors are prohibited from having supervisory responsibility over persons with whom they have a romantic or sexual relationship and must be removed immediately from all decision-making processes concerning the person with whom he or she has the relationship. Failure to report the relationship, cooperate in the transfer of supervisory responsibility, and resolve all conflicts of interests are grounds for discipline, up to and including termination.

2.8 Computers and Communication Systems

AUBG makes computer resources (network, equipment, and software), as well as access to the Internet, available to current AUBG students, faculty, and staff to meet their academic and administrative computer and communication needs. The University's Office of Communications and Computing (OCC) fosters an environment which encourages users to employ modern computer technologies in a responsible way and acts as a technical resource in selecting and purchasing computer equipment.

All policies are available on the University website under the section on Information Resources. The site includes the Code of Ethics, electronic mail policies and procedures, rules for use of network accounts, computer lab rules, policies on computing and data communications, and the policy for the operation of student organizations' websites as well as the procedures that have been established to implement these policies for the University community.

Management of all resources and systems are under the sole authority of OCC staff who may at their discretion limit use or apply penalties based upon the policies and procedures. All faculty, staff, and students certify that they have read the policies when they apply for a network account. Violators of policies are subject to both disciplinary and legal action by AUBG.

Users should not assume privacy and should consult the AUBG website for standards on confidentiality, integrity, and academic freedom.

2.9 Political Participation by Employees

The American University in Bulgaria respects the right of its administrators, faculty, and staff to participate in legal organizations, even when these organizations may be political, either explicitly or implicitly. The University cautions its employees, however, that their individual participation may be misconstrued as endorsement of a particular organization on the part of the University. In order to avoid this perception, the University requests of faculty and staff the following:

- Recognizing the contribution which educated individuals may make to a community, AUBG encourages employees to accept leadership positions, where appropriate, in organizations not affiliated with the University. Employees may feel free to express their personal views, but the University expects its employees to emphasize that their participation and comments are not an indication of the University's endorsement.
- Faculty and staff may not be paid by the University for the actual time which they devote to seeking public office or fulfilling the responsibilities of public office. Outside activities of full-time employees must not interfere with their University duties, time schedules, or normal participation in University events. Additional clarity with respect to faculty may be found in section 1.5 of the Faculty Handbook.
- AUBG employees may act as individual consultants for organizations not affiliated with the University and may be paid for their work. However, employees are asked to use their best judgment in avoiding the appearance of impropriety or conflict of interest when doing this work. Additional clarity with respect to faculty conflict of interest may be found in section 1.6 of the Faculty Handbook.
- Employees may make contributions of their personal funds to organizations of their choice. They may not, however, give money or supplies to organizations on behalf of the University. Faculty and staff may not offer to political organizations the use of University phones, copiers, computers, facilities, or any other University resources.

This policy is consistent with the American Association of University Professors' "Statement on Professors and Political Activity."

2.10 Accommodation for Disabilities

The American University in Bulgaria complies with the Americans with Disabilities Act of 1990 (ADA) and the European Union standards on non-discrimination and equal opportunity for the disabled in the work and academic environment. The definition of a "disability" is long-term impairment that substantially limits a major life activity. Faculty, staff, and students who need accommodations for documented disabilities are responsible for providing relevant information and requesting accommodation through the Dean of Students who serves as the campus disability coordinator. Reasonable accommodations may include, for example, making facilities accessible, providing adaptive equipment, and providing interpreters for the hearing impaired. The definition of "reasonable" is that it should not cause "undue hardship" to the University such as being unduly expensive or disruptive of operations. The University has the ultimate discretion to choose between effective accommodations.

2.11 Whistleblower Policy

The University Policies require that all employees observe high standards of business and personal ethics in the conduct of their responsibilities and comply with all applicable laws and regulations. The University has a responsibility to investigate and report to appropriate parties allegations of suspected improper activities, and to protect from harassment, retaliation, or adverse employment consequences those employees or students who, in good faith, report these activities to the appropriate authority. The University will take whatever action may be needed to prevent and correct improper activities and also to protect the individual reporting the matter. Allegations which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

Allegations of suspected improper activities should be made in writing to assure a clear understanding of the issues raised. Among the types of concerns that might be addressed are misleading financial reporting, use of University resources for personal gain, or falsifying records. Such reports should be factual and contain as much specific information as possible. In most cases, an employee's supervisor or unit administrator is in the best position to address an area of concern. When allegations of suspected improper activity concern a senior administrator, the report should go to the Chair of the Audit Committee designated as the Compliance Officer. The Audit Committee will address all issues related to accounting practices, internal controls, or auditing. Reports of improper activities will be kept confidential to the extent possible, investigated promptly and corrective action taken if warranted.

SECTION THREE: HUMAN RESOURCES POLICIES

3.1 Terms of Employment

All employees of the University are issued contracts stating the terms of employment and consistent with the Bulgarian Labor Code and/or US and EU employment law. The contract includes the duties and responsibilities, effective time period of employment, and remuneration.

3.1.1 Equal Employment Opportunity

The University is committed to a policy of non-discrimination and equal opportunity in all of its endeavors and affirms a commitment to diversity in both its employees and its student body. The Human Resources Office is responsible for monitoring compliance with regard to employment matters.

3.1.2 Human Resources Policies for Faculty—Faculty Handbook

All full-time, visiting, and adjunct faculty members are covered by the policies of the Faculty Handbook. The term "faculty" shall mean an individual with responsibility for teaching at least one formal course. If the appointment letter carries specific terms that are inconsistent with the Faculty Handbook, the appointment letter will be the binding document. The Faculty Handbook is posted electronically on the AUBG website and outlines faculty rights and responsibilities, terms of employment, criteria and procedures for evaluation for promotion and retention, financial exigency, the University academic organization, and appeals, grievance, and hearing procedures. The Faculty Handbook is subject to amendment through the Faculty Assembly with the approval of the President and the Board of Trustees.

3.1.3 Position Descriptions for Staff and Administrators

Position descriptions are maintained for each position at AUBG and include a detailed listing of major responsibilities and duties. All position descriptions and titles are approved by the President and the unit head before being signed by the employee.

In an effort to ensure both equity and clear communication, titles for positions using terms such as "director," "manager," and "coordinator" are carefully assigned based upon position responsibilities. Positions are identified as professional or classified based upon responsibilities.

Supervisors are responsible for ensuring that position descriptions accurately reflect responsibilities and duties of each job. Position descriptions are reviewed annually at the time of employee evaluation. Any changes must be approved by all signatories on the position description form.

3.1.4 Recruitment and Selection of New Employees—Staff

The decision to hire for a new or replacement staff position lies with the division manager acting with the knowledge and approval of the President. All positions are advertised both internally and externally to ensure equal opportunity and a strong candidate pool.

Candidates are reviewed by a search committee according to specific criteria. Individuals involved in the hiring process must be knowledgeable about fair employment practices to ensure that no candidate for an open position experiences any type of unlawful discrimination. The Manager of Human Resources will brief all search committees.

Managers will be responsible for overseeing the search process and for making final employee selections in consultation with the Human Resources Office and with the approval of the President. The Human Resources staff will check the references of the finalists for staff positions, if requested by the hiring manager.

The Human Resources Office, in cooperation with the hiring manager, is responsible for making the employment offer to staff, discussing salary and benefits, and for preparing the employment contract that is presented to the President for approval before making the offer to the employee. The hiring manager is responsible for coordinating the start dates with the payroll dates of all new hires, as well as the dates of transfer or promotion of present employees.

The Provost and the Vice President for Finance and Administration have the right to sign the labor contracts in the absence of the President.

3.1.5 Recruitment and Selection of New Employees—Faculty

The decision to recruit faculty lies with the Provost acting with the knowledge and approval of the President. The announcements of open faculty positions are made by the Dean of Faculty who oversees the hiring process according to policies and procedures outlined in the Faculty Handbook.

Candidates are reviewed according to specific criteria by a search committee approved by the President. Individuals involved in the hiring process must be knowledgeable about fair employment practices to ensure that no candidate for an open position experiences any type of discrimination. The Dean of Faculty will brief all search committees and monitor the search process including the checking of references for finalists for faculty positions.

The Provost is responsible for making the employment offer to faculty, including salary, benefits, and rank. The contract letter is signed by the Provost as the designee of the President.

3.1.6 Nepotism

It is the policy of the American University in Bulgaria to seek a broad-based group of employees and to avoid even the appearance of favoritism. No employee may function as an evaluator, supervisor, or advocate for a relative or other person where an apparent or actual conflict of interest may exist in institutional decisions involving a direct benefit to that person. Such decisions include, but shall not be limited to, initial hiring, retention, promotion, salary/wage adjustment, leaves of absence and termination. In no instance will an employee report to a relative of that employee.

Close relatives are defined as: children, spouses, parents, sisters, brothers, grandparents, grandchildren, step-parents, step-children, half-sisters, half-brothers, aunts, uncles, nieces, nephews, and any of the foregoing as in-laws.

3.1.7 Registration of Non-Bulgarians

All expatriate employees at the American University in Bulgaria must comply with Bulgarian requirements for employment and residency. The Human Resources Office will provide required information on registration of non-Bulgarians for a long-term stay in the country with permission to work. The Human

Resources Office will also process the documentation unless the employee desires to do it alone. Procedures for registration of expatriate employees are available through the HR office and posted on the website.

Expatriate employees are obliged to return the Bulgarian ID card to the Human Resources Office before leaving the Republic of Bulgaria.

3.1.8 Orientation

All new employees will be made familiar with their job responsibilities, remuneration, benefits, evaluation procedures, job safety, and AUBG policies and procedures at the outset of their employment by the Human Resource Office, the immediate supervisor, and/or the Dean of Faculty. When signing the labor contract, new staff also sign the job description for the position which includes the major responsibilities of the position and forms the basis for performance evaluation.

3.1.9 Probationary Period

The probationary period for the new employee, other than faculty, can be from one month to a maximum of six months. The supervisor should informally evaluate the employee's performance during that period and attempt to resolve any problems. Prior to the expiration of the probationary period, upon the recommendation of the supervisor, the President may terminate the contract without notice or reason.

At the end of the probationary period, the Manager of Human Resources will send an Employee Evaluation form to the supervisor for a formal review based upon the duties in the position description. If a new employee's performance during the probationary period is not satisfactory, the immediate supervisor may make a recommendation to the Provost or the Vice President for Finance and Administration and the President for termination of the new employee's contract.

The probationary period for faculty is described in the Faculty Handbook

3.1.10 Hours of Work

The work week for full-time employees consists of 40 hours and excludes unpaid meal breaks. The work schedule is ordinarily from 8:00 a.m. to 5:00 p.m. Monday through Friday with a break for lunch between 12 noon and 1 p.m. but managers may prepare different work schedules to meet varying job requirements or seasonal changes in responsibilities. Work schedules are prepared by the managers of the respective departments. Upon any changes in the schedule, employees should be informed in a timely manner.

Based upon the nature of the work, several groups of employees have different work schedules approved by their supervisor, for example, shifts that include night work, a 5 day work week other than Monday to Friday, or extended working hours reported as a summarized calculation of working hours monthly. Professional staff are expected to work open-ended working days when necessary and may be compensated with a respective reduction in work hours on other days. All work time is reported monthly.

3.1.11 Employment on Short Term Contracts

The University uses temporary and part-time staff to meet short-term department needs. AUBG will issue civil contracts for temporary jobs in compliance with Bulgarian Labor Law. The civil contract will specify the expected activity and result. Foreign citizens are not eligible to sign civil contracts and will be issued a contract according to guidelines from the Human Resource Office.

Adjunct faculty are hired a semester at a time and are contingent upon enrollment. The contracts have the same legal nature as a civil contract under Article 51, para.5 from the Law of Higher Education.

The University occasionally finds it desirable to hire a consultant if special expertise is needed for a short-term project. All consultant contracts include specific terms for the task, compensation, special conditions, and are issued at the discretion of the President. The signed contract with an outside consultant must be approved by the Vice President for Finance and Administration and filed with the Business Office prior to the commencement of any contracted work.

3.1.12 Absence from Work and Leave Policies--Staff

Staff are expected to be present at their assigned work place during their contracted hours. Exceptions are made for the following reasons: University holidays, paid vacation, medical absences, and approved leaves - either paid or unpaid.

Medical Absences: Staff may be excused from work for medical reasons when appropriate medical documentation is provided to the Business Office. Compensation for absences due to illness is based upon the Bulgarian Social Security rules existing at the time of absence.

University Holidays: The President of the University will declare official University holidays prior to the beginning of each fiscal year. The following days will typically be declared holidays when they fall on a normal work day: January 1, March 3, the day following Easter, May 1, May 6, May 24; July 4, September 6, September 22, November 1, and December 24, 25, and 26. Additional non-working days may be announced and make-up working days designated.

The University reserves the right to require the presence of essential employees for proper University functioning during holidays and non-working days but is obligated to provide additional compensation.

Paid Vacation: Employees are entitled to a number of paid vacation days determined according to Bulgarian law and designated in their contracts. The Human Resource Office provides documentation as to the calculation of the total number of vacation days to which an employee is entitled, as well as the number of days unused. Employees may carry into the next calendar year for up to six months a maximum of unused vacation days equal to half of their total allowance for one year. Deferred vacation days are to be used within the first six months of the following calendar year. All vacation days must be approved in advance by the manager and should be requested as far in advance as possible.

Leaves-Unpaid: Employees may request an unpaid leave of absence and are entitled to 30 days per year regardless of reason. The employee will make a reasonable effort to accommodate the needs of the University in requesting such leaves.

The University may also at its discretion grant additional leave for appropriate reasons, when the needs of the University can be adequately met. The maximum period for such a leave may not be longer than the end of the employee's contract.

Employees on unpaid leave are not entitled to any University sponsored benefits, including but not limited to sick leave payments and insurance. If an employee does not return at the end of an unpaid leave, the University has the right to terminate the employee's labor contract.

Education Leaves: Bulgarian employees who are continuing their education at the university level while working full-time may apply for paid leave according to the terms of the Bulgarian Labor Code. The amount of time granted is at the sole discretion of the supervisor up to the maximum allowed in the code.

Leaves-Paid: Under limited conditions, faculty and some professional employees may be eligible for paid leaves of absence. The conditions under which faculty are eligible for such leaves are specified in the Faculty Handbook. Conditions for paid leaves for professional employees, when applicable, are indicated in individual labor contracts. If an employee does not return at the end of a paid leave, the University has the right to terminate the employee's labor contract and may be entitled to compensation for the salary paid during the employee's leave.

3.1.13 Absence from Work and Leave Policies--Faculty

Vacation is according to the Academic Calendar and faculty are expected to be present from the first day of fall Orientation through Commencement. Policies covering faculty sabbatical leave and unpaid leave are included in the Faculty Handbook. Policies on absences due to illness, short term disability, and long term disability are included in the annual Benefits Statement.

3.2 Compensation

3.2.1 Salary Structure for Staff

AUBG maintains a staff salary structure designed to compensate employees in an externally competitive and internally equitable manner. Each position is assigned a level with a base salary and a range to accommodate increments for length of service, previous work experience, special skills, and merit. Some positions are categorized as executive and are not in the level system. The salary structure is reviewed on an annual basis to ensure that salary grades remain competitive with changing market conditions. A copy of the policies on remuneration of Bulgarian employees is available for review by employees in the Human Resources Office and is posted on the AUBG web site..

3.2.2 Salary Structure for Faculty

AUBG aims to make both expatriate and regional faculty salaries competitive and provide regular increments as the budget allows. Accordingly, the following principles approved by the Board in May 2007 will guide salary decisions:

- Market competition will be recognized in setting the base salaries for disciplinary groupings and adjusted as appropriate based upon comparative data.
- Each disciplinary grouping will have an authorized salary range for each rank.
- Qualifications and previous related experience will be recognized when setting the initial salary for the position within the range by discipline and rank.
- Explicit recognition will be given for factors of unique value to AUBG.
- Merit will be recognized based upon evaluations of performance through the AUBG promotion system.
- Changes in cost-of-living will be recognized by periodic review and resetting of the salary ranges.
- Longevity of service to AUBG will be recognized through annual increments.

Consistent with these guidelines, the Provost makes salary recommendations to the President for initial hires and promotions. A compensation committee will make recommendations to the President in response to changing market conditions or cost of living.

3.2.3 Salary Payment Schedule

AUBG employees are paid monthly on the last business day of the month. Salary advance payment for Bulgarian employees will be calculated at 50% of the previous month's payment. Payroll disbursements are either through direct deposit or paper checks. International wire transfers are available, provided that the employee bears the cost of the wire.

3.2.4 Eligibility for Overtime

Overtime is considered an exception and must be approved in advance by the Division Manager and subsequently reported on the Attendance Form to the Business Office. Supervisors may request approval for overtime work within budgeted guidelines when it is necessary in order to meet work deadlines, respond to emergencies or handle seasonal work. Alternatively, supervisors can give compensation time for the extra work or adjust the work schedule during peak periods.

Classified employees are paid for overtime in accordance with the Bulgarian Labor Code. Professional employees receive five additional paid vacation days to compensate for the extra hours they spend in executing their job responsibilities up to the maximums stated in the Labor Code. Professional staff who work extra hours may be compensated with a respective reduction in work hours on other days

3.2.5 Compensation for Internal Substitution

A supervisor may recommend additional compensation for an employee who takes on the work of another staff member in his/her absence. In most cases, the work of the absent employee will be reassigned only partially to others who will continue to perform their own jobs. In this case the employee is entitled to a salary supplement from 5 to 15% to be determined by the supervisor and authorized in writing by a supplemental additional work contract. An employee whose position is deputy to the absent employee will not receive supplemental pay.

3.3 Benefits

3.3.1 Benefits

Full-time employees are eligible for benefits. The terms of insurance plans and other benefits are distributed to all new employees and annually to continuing employees. Coverage in these plans at University expense ceases on the last day of the employment contract. Benefits are reviewed annually and are subject to change.

3.3.2 Statutory Insurance

In accordance with Bulgarian and U.S. legislation, AUBG employees are covered by various statutory insurance plans through payroll withholding. All Bulgarian employees are enrolled in specified Bulgarian social security plans, according to the Bulgarian Social Security Code, and will be informed of changes in mandatory deductions. All U.S. employees are covered by the Federal Insurance Contribution Act (FICA-Social Security). As an overseas institution, AUBG is not covered by unemployment compensation or the Family Medical Leave Act; workers compensation is part of a University insurance plan.

3.3.3 Group Insurance Plans

The American University in Bulgaria provides full time employees with group insurance plans which provide protection in the event of illness, injury, disability, or death. Regularly appointed, full-time employees are eligible to enroll in these plans. However, some benefits and plans are available only to Bulgarian employees, while others are available only to non-Bulgarian employees on multi-year contracts.

3.3.4 Tuition Waivers-Employees

Undergraduate Courses: 100% of tuition is waived for full-time employees of the American University in Bulgaria for one course per semester. Enrollment in the class may not unduly interfere with the employee's work schedule, the employee must be academically qualified to enroll in the course, and there must be space available in the course. Supervisors will make reasonable scheduling accommodations to enable employees to enroll in a course. Enrollment in more than one course per semester follows normal admissions policies for part time students. Such enrollment may not interfere with the employee's work schedule as determined in consultation with the employee's supervisor.

English Language Institute: An AUBG full-time employee may apply for support through the Staff Professional Development (SPD) Fund and can register for an English Language Course at ELI by paying a 50% deposit at AUBG Business Office before the beginning of the course. The amount will be reimbursed to the employee only upon successful completion of the course and after presenting an ELI certificate to the Human Resources Manager. Funding for completing the course will be provided from the

Staff Professional Development Committee budget only. The full tuition is transferred from the SPD budget to the ELI at the beginning of the course.

EMBA: An AUBG full-time permanent employee may apply to the EMBA program with the consent of the supervisor. Admission to the EMBA is selective and a maximum of two employees per cohort can enroll on waivers. After admission, the employee is eligible for a 75% tuition waiver. The tuition is all inclusive and covers all books, materials, and travel. Employees on temporary or replacement contracts are not eligible.

3.3.5 Tuition Waivers--Dependents

Children and spouses of full-time employees who are undergraduate full-time degree candidates at the American University in Bulgaria are eligible for a full tuition waiver subject to the same conditions as AUBG funded financial aid awards. Dependents are responsible for the full cost of housing, textbooks, food, and any other miscellaneous expenses. Dependents are not eligible for work-study.

Dependents of Bulgarian full-time employees who are not degree candidate students are eligible for a waiver of 50% of tuition and must apply as a part time student. Dependents of expatriate full-time employees who are not degree candidates are eligible for a waiver of 25% of tuition.

There are no tuition waivers for dependents enrolled in either the ELI or the EMBA.

A Dependent Tuition Waiver form from the Human Resources Office must be completed by the employee prior to enrollment each semester.

3.3.6 Professional Development

AUBG makes reasonable efforts to assist employees with training for the skills required for effective performance of assigned work. For activities not sponsored by the University, after the probationary period, employees are eligible to apply in writing for support through the Professional Development Fund with the approval of their supervisor. Funding is recommended by the Professional Development Committee and approved by the Provost.

Guidelines and forms are available through the Human Resources Office explaining eligibility and employee responsibilities. Funds may be requested for attendance at international conferences, graduate programs, specialized training programs, seminars, and similar activities. The employee may be asked to sign a contract for continued employment with AUBG based upon the training cost. Should the employee decide to leave the University, the employee will reimburse the University on a prorated basis.

3.3.7 Work Clothes and Uniforms

The American University in Bulgaria does not ordinarily provide work clothing. However, working clothes are given to employees when conditions require that personal clothes be protected or a uniform is needed to easily distinguish the employee's position. Those who have the right to receive free working clothes, as well as the type and terms for replacement, must be approved by the supervisor and division manager and recorded with the Human Resources Office.

All clothing is handled through the Purchasing Department. Employees will not be reimbursed for clothing purchased on their own without prior approval.

3.3.8 Eye Protection

In compliance with the Bulgarian Ordinance on protective eyewear, the American University in Bulgaria will assist employees whose job requires extended periods of computer usage with the purchase of eyewear under the following conditions:

- Job performance requires work with computers for more than half of the normal working day and,

- Either the employee is required to work with glasses different from those he/she normally wears, or
- The eyesight of the employee has been damaged by job-related conditions and requires correction.

AUBG will reimburse each Bulgarian employee an amount up to 60 leva per year for the purchase of eyewear based upon a medical receipt from a qualified eye physician, a receipt for the eyewear, and written approval by the Division Manager of the reimbursement request.

3.3.9 Retirement

Retirement from AUBG employment is not mandatory at any age but employment must be consistent with Bulgarian labor regulations.

3.4 Staff Conduct

3.4.1 Performance Evaluation –Staff

Continuing assessment of each employee’s job performance is according to the University’s evaluation system overseen by the Human Resources Office. Before the end of the probationary period members of the professional and classified staff must be evaluated in writing by their supervisor prior to the completion of the probationary period.

Following the probationary period, evaluations of all staff are scheduled annually based upon procedures developed by the Human Resources Office and used for all employees. The employee must sign the evaluation by his/her supervisor and may include remarks, if any. If the employee chooses to respond to or to comment on the evaluation, the response is attached to the evaluation and becomes part of the personnel file. A copy of the signed evaluation is given to the employee if requested.

If the annual evaluation is not conducted within thirty days of when it should have been conducted, the employee may make a written request to the supervisor that an evaluation be conducted. This request shall be placed in the personnel file. In this circumstance, the evaluation shall be conducted within three (3) weeks or the performance shall be considered satisfactory for that year.

3.4.2 Integrity

Regardless of employment classification, falsifying any document or providing false information in connection with the individual’s relationship with the University or in connection with University activities will result in disciplinary action and could lead to termination of employment.

3.4.3 Progressive Discipline

Supervisors will take progressive steps to inform employees of unsatisfactory work, conduct, or performance and give them a chance to correct such behavior. Recommendations for improvement may be oral or written and should be detailed enough to help the employee correct his/her performance. When addressing matters of a serious nature or conduct that violates University standards and policies, the supervisor should put his/her concerns in writing.

Supervisory efforts should be concentrated on preventing serious personnel problems from occurring, as opposed to disciplining employees for misconduct. Employees have the right to information and training to improve their performance.

Employees may be disciplined for repeated lateness to work, leaving early, absence without notice, failure to complete assignments, waste of materials, failure to respond to supervisor’s instructions, misuse of University property, release of confidential information, inability to work with others, failure to adhere to University policies, and similar violations that keep them from meeting their job responsibilities or cause disruption of the workplace for others.

In cases where the deficiencies are so severe or persists after warnings, the supervisor may take disciplinary action. Progressive steps include reprimand, caution against dismissal, and dismissal. The choice of disciplinary action will be based upon the seriousness of the situation. After discovery of the violation, the sanction must be imposed within two months of the discovery of the violation and no later than 1 year of its perpetration.

The employee must be given the opportunity to respond in writing to the disciplinary sanction before the sanction is imposed.

The disciplinary sanction shall be imposed by an order in writing which shall state the identity of the violator, the violation, the date of the violation, the sanction, and the article of the Labor Code relevant to the specific disciplinary sanction. The order imposing a disciplinary sanction shall be served to the employee, who shall sign it, and shall indicate the date of delivery. Where it is impossible for the order to be served to the employee, the employer shall send it by registered letter with a return receipt signed by witnesses if the employee is not willing to accept the document.

The Faculty Handbook provides guidance in dealing with performance issues of faculty.

3.4.4 Termination and Layoff

Termination and layoff of employees are regulated by the Bulgarian Labor Code and their contracts. Complete translations of the applicable sections of the law are available from the Human Resources Office. Articles that may be of particular interest are summarized here:

- A labor contract may be canceled without notice being given by either side: 1) By mutual agreement; or 2) If the contract has expired and is not to be renewed.
- A labor contract may be canceled with notice by the employee. Notice is normally between thirty days and three months.
- Employees may resign without notice when: 1) The employer has withheld or is late with a salary payment; 2) A temporary employee starts work full-time with another employer; or 3) The employee has enrolled to continue his/her education full-time.
- The employer may terminate a labor contract after giving notice to the employee when: 1) Layoffs are made; or 2) The position is altered and the employee is not capable of meeting new job requirements.
- The employer may terminate the labor contract without giving notice to the employee if: 1) The employee is arrested and found guilty of a crime; 2) The employee refuses to take on a new position in an organizational restructuring; or 3) The employee has been dismissed through a formal disciplinary procedure.

3.4.5 Work Safety Regulations

In compliance with Bulgarian legislation, all employees receive written documentation on how to maintain a healthy and safe work environment and are offered annual medical exams. The Office of Workplace Health and Safety takes needed measures to reduce or eliminate workplace hazards.

3.4.6 Personal Use of University Equipment and Facilities

The University reserves the right to restrict the use of University equipment, facilities, and/or services for personal or private use. This includes the use of office space, copiers, computers, telephones, cell phones, and mailing service. Limitations may be specified by University procedures and/or by an employee's immediate supervisor. The employee is expected to reimburse the University in a timely way for all personal use.

3.5 Employee Relations

3.5.1 Personnel Files

All AUBG employees' official personnel files are maintained and updated by Human Resources office.

- Bulgarian faculty and staff files are stored in alphabetical order and contain: employee's job application; AUBG employment offer letter; employee labor contract; amendments to the labor contract; position job description; employee evaluation forms and other materials relating to job performance, including any documentation of recognition or awards; employee professional development record, including application forms, reports, diplomas; employee labor book; employee vacation use record.
- Expatriate faculty and staff files are stored in alphabetical order and contain: employee's contract; amendments to the employee's contract; insurance forms and documentation; payroll forms and documentation; staff evaluation forms and other materials relating to job performance.
- Expatriate employees' visa application and registration-related documentation is kept in a separate file which contains: copy of employee's national passport; copy of employee's Bulgarian ID card or Certificate for Long Term Residence issued by the local Migration Directorate of the Ministry of Interior; copy of USAID and Ministry of Economy and Energy certificates; copy of rental contract.

The Provost's office maintains and updates separate personnel files for faculty members. These contain: AUBG employment offer letters; resumes or CV; transcripts for highest degree; Faculty Evaluation Team reports; summaries of student evaluations; confidential letters of reference and other materials relating to job performance and evaluation, including any documentation of recognition, awards and/or professional development.

Access to an employee's personnel file is allowed upon reasonable notice to:

- the employee, who can review the file but not any confidential letters of reference
- University representatives and authorities needing this for the performance of their duties, such as in the evaluation process or for accreditation activities.

Other offices that need to keep files pertaining to AUBG employees will keep only information relevant to the functioning of the office, such as payroll accounts.

3.5.2 Employee Grievance

The American University in Bulgaria has an established grievance procedure designed to address job-related questions and problems brought by employees other than faculty. (The process for addressing faculty appeals and grievances is described in Section Six of the Faculty Handbook.) Steps taken to resolve issues should start with the immediate supervisor. The process is designed to be simple, fair, and confidential. No record of an employee's grievance will be made part of the employee's personnel file.

SECTION FOUR: ACADEMIC POLICIES

4.1 Academic Calendar

The Academic Calendar provides for two semesters, each consisting of 15 weeks of instruction. The last week of each semester is an exam period. A one week break is scheduled in each semester and many of the national holidays are recognized as well. The Calendar is posted at least two years in advance. Dates for many University activities such as faculty contracts, faculty evaluation, student registration, payment of tuition bills, and commencement are aligned with the Academic Calendar.

4.2 Academic Policies

The University maintains and prominently publicizes academic policies consistent with its academic mission in both the printed Catalog and on the website at www.aubg.bg/catalog. A broad range of policies

is included, for example, with regard to admissions, financial aid, academic honesty, academic standing, and graduation requirements.

Academic policies are regularly reviewed and updated. Revisions to academic policies are recommended through the appropriate University and Faculty Assembly Committees. Final authority for any changes rests with the Provost or President acting with the consent of the Board of Trustees. Revised academic policies become binding during the first semester subsequent to their approval and publication. The Catalog will indicate clearly when a policy is applicable only to students entering after a particular date.

4.3 Accreditation

The American University in Bulgaria is chartered as an institution of higher education by an act of the Grand National Assembly of the Republic of Bulgaria and is authorized to grant Bulgarian diplomas with the same rights and responsibilities of other universities in Bulgaria. To maintain its status, the University must be reviewed periodically for both Bulgarian and United States institutional accreditation. AUBG is granted institutional accreditation in Bulgaria by the National Evaluation and Accreditation Agency (NEAA). AUBG is accredited in the United States by the New England Association of Schools and Colleges (NEASC), through its Commission on Institutions of Higher Education. AUBG is also subject to periodic program accreditation by the National Evaluation and Accreditation Agency (NEAA).

4.4 Admissions and Financial Aid Policies

Admissions and Financial Aid Policies are regularly reviewed and subject to change based upon recommendations from the appropriate University committees and responsible administrators. Changes in tuition and fees are approved by the Board of Trustees as part of the annual budget development process. Up-to-date information is made available to all potential and current students in publications, on the web site, or through written communications.

4.5 Approval of New Programs

The Faculty Assembly's Curriculum Committee is the primary body charged with the academic assessment of existing or proposed curricular programs. Acting upon recommendations from the Curriculum Committee, the Faculty Assembly deliberates and makes recommendations on all proposed major changes. The Provost retains authority to approve all curricular initiatives prior to their implementation. Initiation of a new major requires the approval of the Board of Trustees.

Proposals for new academic majors recommended by the Faculty Assembly before the end of the fall semester will be implemented in the following academic year, allowing sufficient time for Board review. Proposals for new academic minors, or any other changes not requiring Board action, will be implemented in the following academic year only if they are recommended by the Faculty Assembly before spring break.

4.6 Regular Academic Program Review

Periodic review of academic programs ensures that the University continues to offer its students an innovative educational experience that conforms to the highest US and regional standards and effectively responds to the needs of both our students and the broader society. The reviews also serve as a means for accountability to the AUBG Board of Trustees, US and Bulgarian accrediting agencies, donor organizations, and the public at large.

Program reviews shall take place consistent with the schedule established by the National Evaluation and Accreditation Agency for program accreditation and every five years thereafter. Responsibility for oversight of academic program review rests with the Provost who will monitor compliance with both external and internal review requirements. The Dean of Faculty and Department Chairs have specific responsibilities in the completion of the self-study and other stages of the review process, described in the guidelines adopted by the Faculty Assembly.

Upon receiving the approved self-study and the peer assessment and based upon a financial analysis of the academic program completed by the Dean of Faculty, the Provost will complete a report based upon an evaluation of the self-study, peer assessment, and financial analysis, followed by a recommendation to the President. The report will be discussed with the Dean's Council and the Department prior to being sent to the President. The Department will have an opportunity to respond to all recommendations prior to a final decision by the President.

4.7 Student Records Access, Security, and Maintenance

The American University in Bulgaria complies both with the U.S. Family Educational Rights and Privacy Act (FERPA) and the Bulgarian Personal Data Protection Act in protecting the privacy of student records. Accordingly, only individuals with a legitimate educational interest will have access to the records without the consent of the student. Students have the right to refuse in writing the release of any or all directory information. Under no circumstances will official student ID numbers be disclosed to third parties, except upon the written request of the student. Maintenance of students files is as follows:

- The official files of all matriculated students are maintained in the Office of the Registrars. These files contain admissions data/documents and registration data/documents. Once submitted to the University, the documents become the property of AUBG and are not returned.
- The official files of all applicants for admission who do not matriculate are maintained in the Office of Admissions for one year. These files contain admissions data/documents.
- Other offices needing to keep files pertaining to individuals will keep only records relevant to the function of the office, such as billing information, financial documents, and medical records.
- Upon reasonable notice, a student will be allowed to examine all materials kept in his/her official file, except for confidential materials such as letters of reference. Normally, reasonable notice will be one business day.
- Unsuccessful applicants have access to their official files only as instructed by legal order.
- The University maintains an official list of documents which are typically entered into student and applicant files.
- The University also maintains group data relating to student academic performance which does not appear in individual student files but which indicates identifiable, individual student information. The University maintains an official list of such documents.
- Access to official student files and group data is granted to University authorities and representatives who have need for it in the performance of their duties. Except when instructed by legal order or as indicated in the previous sentence, the University will act so as to ensure the confidentiality of all information contained in or discarded from all student or applicant files - whether official or unofficial.
- The University will practice retention policies at least as extensive as those recommended by the American Association of College Registrars and Admissions Officers (AACRAO) and in accordance with Bulgarian legislation.

4.8 Student Records Official Document List

Admissions Data/Documents (maintained for matriculated students for 5 years after graduation and non-matriculated applicants for 1 year after the application term.)

- Applications for admission or readmission;
- Acceptance letters;
- Entrance examination materials (essay, placement test);
- Letters of Recommendation;
- Relevant correspondence
- Standardized test scores;
- Transcripts - high schools;
- Transcripts - other colleges.

Registration and Records Data Documents (maintained for matriculated students only and kept for 5 years after graduation or date of last attendance unless otherwise specified)

- Academic action authorizations (Upon the recommendation of the Academic Standing Committee and concurrence of the Dean of Faculty)
- Add/Drop forms
- Application for graduation
- Change of grade forms
- Course registration forms
- Course withdrawal requests
- Curriculum change authorizations
- Degree audit documents
- Enrollment Verification Requests (kept for 2 years after date submitted)
- Grade reports
- Leave of absence/withdrawal forms
- Name change authorization
- Non-academic disciplinary sanctions (Upon the recommendation of the Conduct Council and concurrence of the President)
- Pass/fail requests
- Relevant correspondence
- Students' class schedules
- Transcript requests (kept for 2 years after date submitted)
- Transfer credit evaluation

Group Registration and Records Data/Documents kept and maintained in the Office of the Registrar, but not included in the students' files:

- Academic records (according to the definition in the AACRAO Academic Record and Transcript Guide, 1996)
- Class lists (original grade sheets kept permanently)
- Change of grade forms (originals, update documents, kept permanently)
- Graduation lists (kept permanently)
- Ledger for registering issued Bulgarian Diplomas (kept permanently)

4.9 Access to Library Resources

The AUBG Library resources support the academic and research program and the intellectual and cultural development of the University's students, faculty, and staff. The library facilitates access to information through the acquisition of materials, the use of information technology, the provision of quality information services, and the sharing of resources at local, national, and international levels.

Current AUBG students, faculty, and staff have borrowing privileges for the circulating collection by presenting a valid AUBG identification card. Policies with regard to such matters as the loan period, overdue books, and lost books are available on the AUBG Library website. All users are expected to familiarize themselves with the policies on fair use and to abide by US and EU copyright law.

Non-AUBG individuals are permitted to use the library facilities and resources on a space-available basis and if they comply with the library policies and rules. Access, use, and reproduction of resources from electronic data bases are governed by contractual license agreements and are restricted to faculty, staff, and students of the University.

All users must abide by the library policies and rules. Any individual who mutilates, defaces, mars, or steals any library materials will be handled through administrative action and may lose library privileges.

4.10 Intellectual Property

All students, faculty, and staff are expected to abide by US and EU copy right laws and other policies protecting intellectual property.

SECTION FIVE: STUDENT AFFAIRS

5.1 Student Services Policies

The American University in Bulgaria is dedicated to providing a range of Student Services designed to assist students outside the classroom to achieve their highest academic and personal potential, support their transition from entry into the University through graduation and entry into graduate school or the job market, and support the development of interpersonal skills, leadership skills, a commitment to open, participatory, and transparent governance, and personal and ethical values.

All policies governing advising, residential housing, international student services, medical and counseling services, sports activities, cross-cultural programs, co-curricular activities, and career services are regularly updated and outlined in the Student Handbook and posted on the website. Policies become effective immediately upon approval by the President. Violations of University policies and regulations are handled through University procedures.

Violations of Bulgarian laws are handled by external authorities.

5.2 Residence Life and Housing Policies

All undergraduate full-time students are required to live on-campus unless they live locally with their immediate family or unless they have written permission to live off campus from the Director of Residence Life and Housing. All students living in campus housing sign a contract agreeing to abide by the University housing regulations aimed at ensuring a clean, safe, and respectful living-learning environment consistent with the educational purposes of the University. The policies are available in the Student Handbook and on the website. Violations of the policies may result in fines or judicial sanctions.

5.3 Clubs and Organizations

All AUBG student clubs, organizations, and activities that meet in University facilities, use University funding, are recognized by Student Government, or use the AUBG logo and/or name must meet the following guidelines:

- Must be in keeping with the mission and the educational goals of the University.
- Must conform to community standards of decency and behavior for academic institutions.
- Must include a majority membership of AUBG students, staff, faculty or alumni.
- May not deny access/membership to any member of the University community on the basis of race, ethnic origin, gender, sexual orientation, religion, age, or physical ability.
- Must not violate the laws of the Republic of Bulgaria, or the United States of America, and/or the policies of the American University in Bulgaria.
- Must have a faculty or staff advisor. The advisor list must be updated annually by the Dean of Students.

Student clubs and organizations may be registered as a Non-Governmental Organization or other entity only if they have a signed memorandum of understanding with the University. This document must clarify facilities use, funding, use of the University name and/or logo, relationship to the University, and how the organization fits into the University mission.

5.4 Study Abroad, Erasmus, and Cooperative Agreements

AUBG enters into cooperative and partnership arrangements with other higher education institutions and entities in Bulgaria, the United States, and Europe for the purpose of enhancing the academic program and

providing opportunities for faculty and students. Such arrangements are by written agreement and may include provisions for student and faculty exchange, study programs, transfer arrangements, and graduate acceptance as well as for facility use, technology transfer, and other resource sharing.

All study abroad, cooperative, and partnership agreements are signed by the President of the American University in Bulgaria. Programs under the auspices of the Erasmus Charter may be signed by either the President or Provost. All agreements that have financial implications must be reviewed by the Vice President for Finance and Administration of the American University in Bulgaria. Original copies of all agreements are held in the President's Office.

SECTION SIX: BUSINESS AND FINANCE

6.1 Purchasing

6.1.1 Purchasing Through the University

Purchases that are financed by University funds are procured through the Purchasing Office and carried out in compliance with all current rules, regulations, and ethical standards. The Purchasing Office is charged with achieving the best expenditure of funds for the University, while maintaining positive working relationships with suppliers and University departments. Whenever possible, the Purchasing Office competitively bids goods and services. The University does not purchase goods or services from its employees or from other individuals where there is a recognized potential for conflict of interest.

No individual may obligate the University to procure for any goods or services without prior registration at Purchasing. The authority may be delegated through the use of contracts, purchase orders, small purchase petty cash (less than \$500), standing orders, or credit cards. Transactions not requiring a purchase order are listed in the Policies and Procedures of the Purchasing Office.

Because it is essential that uniform purchasing approaches are followed, the Purchasing Office develops and maintains up-to-date policies and procedures listed on the AUBG website under Administrative Offices/Purchasing.

6.1.2 Purchasing for Personal Use

Items cannot be purchased by or through the American University in Bulgaria for the exclusive personal use and/or benefit of employees. This policy prohibits an employee from using the purchasing power of the University to acquire items for himself/herself or others, even though the items are subsequently paid for by the employee or receiver.

6.1.3 Acceptance of Gifts and Gratuities

While individuals or organizations with whom the American University in Bulgaria does business, or vendors who are seeking to do business with the University, may offer gifts, gratuities or special favors in appreciation or anticipation of said business, such gifts, gratuities, or favors may represent a conflict of interest. Acceptance of any item or benefit with a value of more than \$50 is a violation of University policy unless disclosed in writing to the supervisor.

6.1.4 Use of University Credit Cards

University credit cards are issued for the purpose of transacting University business. Credit cards are issued in the name of the holder and may not be used by others even if for University business. Charges on monthly statements are approved by the budget manager.

6.1.5 Surplus Property

Only the Accounting Office can declare property unusable and approve the transfer or disposal of furniture, equipment, or material.

6.1.6 Fixed Assets Policy

Fixed assets are long-term assets that:

- Are owned by the University for its current operations, for rental or administrative purposes;
- Have been acquired, donated, granted or constructed with the intention of being used by the University on continuing basis;
- Are not intended for sale in the ordinary course of business;
- Have costs exceeding a certain level (see below Capitalization Level).

Capitalization:

The cost of an asset is capitalized:

- If the asset is delivered and is operational;
- Under the period of construction.

Subsequent expenditures related to an asset are capitalized and added to its carrying amount only if they increase the future benefits from the existing asset beyond its previously assessed standard of performance. Repair and maintenance costs should be recognized as an expense when incurred and not capitalized.

Capitalization Level:

Assets with cost less than 150 BGN are expensed, except books in the library. Books in the library are capitalized irrespective of their acquisition cost.

6.1.7 Inventory Management Policy

Inventories include:

- Goods purchased and held for sale to third parties, for which no production process is required and which require no further changes prior to sale. (Examples: textbooks, consumables, logo items and souvenirs, etc.)
- Materials purchased by the University for use in the ordinary course of its activities. (Examples: fuel, office supplies, and materials related to residential activities--sheets, pillows and similar residence hall items).

Inventories are classified as current assets. Inventories are booked at their historic cost, which is the aggregate cost of purchase. Inventories must be value adjusted every 6 months (as of 30 June and 31 December). Any damaged or broken items must be immediately written-down or written-off. Inventories are expensed upon use applying weighted-average cost method.

6.2 Travel on University Business

6.2.1 Use of University Transportation

AUBG staff, faculty and students shall use University transportation services for business trips and/or donor-financed trips. External transport shall be used only in cases when the AUBG Transportation Office cannot deliver the service or the AUBG service is more costly. The Transportation Office can also provide transportation services at the expense of the user for University faculty, administration, and students traveling on personal business when vehicles are available.

Only University vehicles can be parked in the AUBG main garage and/or maintained in the AUBG workshop.

6.2.2 International Travel

Reimbursement of travel expenses by AUBG to employees traveling on AUBG business will not exceed the minimum amount ordinary and necessary to accomplish the objective of the AUBG business. All international travel itineraries should be arranged through the AUBG Purchasing Office. Such itineraries should be arranged early enough to allow the Purchasing Office to obtain the best possible price. Reimbursement of any travel expense not arranged through the Purchasing Office will not exceed the best price obtainable by the Purchasing Office for the same travel. AUBG will not reimburse airfare for any employee travel above the economy-class rate. Any exceptions must be documented and approved in advance by the President.

AUBG will comply with the provisions of 22CFR228 (Fly America Act, Chapter 22 of the Code of Federal Regulations) for travel and shipping financed with U.S. Government funds.

6.2.3 Per Diem Allowances

Per diem allowances are established for all countries by the Accounting Office to cover meals and incidentals while on University business. AUBG will not reimburse per diem for any employee travel above the stipulated rates. Sponsored projects that include foreign travel must have rates approved as part of the approved budget.

6.2.4 Use of Private Vehicles on Official University Business

Employees who choose to use their own private vehicle for business trips must have an authorized request for business travel form signed by their supervisor in advance of the trip. The employee will be reimbursed based upon receipts according to University procedures.

6.3 Financial Transactions

6.3.1 Signatory Authority

Any one of the following officers or designated agents of this Corporation, to wit: the Chair of the Board of Trustees, the Chair of the Property and Finance Committee, the President, the Provost, the Vice President for Finance and Administration, the Director of Finance and Accounting, and the Business Office Manager are authorized to sign on behalf of this Corporation, all notes, checks, drafts, bills of exchange, or other orders for payment in amounts less than \$500. Amounts in excess of \$500 require the authority of two of the designated officers or agents.

6.3.2 Institutional Borrowing

Any two of the following officers of the Corporation, to wit: the Chair of the Board of Trustees, the Chair of the Property and Finance Committee, the President, the Provost, and the Vice President for Finance and Administration are authorized to borrow money and obtain other forms of credit in an aggregate amount not to exceed \$250,000 at any one time from any one lending institution.

Any such borrowings as indicated above by the President, the Provost, and the Vice President for Finance and Administration will be reported to the Chair of the Board of Trustees and the Chair of the Property and Finance Committee within five working days of said borrowings.

6.3.3 Cash Management and Disbursement Policy

This policy provides basic rules and requirements for management of cash by the American University in Bulgaria and is designed to maximize interest-bearing investment of cash and to minimize nonproductive cash balances and misuse of AUBG funds. The Board of Trustees designates the depository banks, the persons authorized to borrow and obtain credit, and the persons who can sign and endorse checks and other instruments.

Cash management over receipts aims to use diligence in collecting funds owed to the American University in Bulgaria, to provide control over cash and cash equivalents, and to deposit the funds collected into interest-bearing bank accounts when practical.

Cash management over disbursement is intended to maintain AUBG funds in interest-bearing accounts for the longest appropriate period of time possible. This intention does not encourage late payments to vendors and should not have negative impact on relationships with companies supplying AUBG with goods and services.

6.3.4 Collections and Accounts Receivable Write-Off

The recording and tracking of accounts receivable is the responsibility of the Accounting Office and is supervised by the Vice President for Finance and Administration.

Students Accounts: Student Billing is responsible for the timely billing, posting, and review for establishing bad debt provision for student accounts.

Student Loans: The Student Loan Office is responsible for maintaining student loan accounts and issuing monthly statements and past due notices. The Student Loan Office may use the services of Collection Agencies in its attempts to collect past due amounts.

Other Customers: Based upon information provided by the department providing the service, the Accounting office bills the customer and records account receivable.

Twice a year (June 30 and Dec 31), a complete review of all outstanding accounts receivable is made and a determination of doubtful accounts is made and allowance for bad debts is booked in the accounting system.

The procedure for write-off of receivables is approved by the Vice President for Finance and Administration.

6.4 Data Management

6.4.1 Compliance with Data Protection Legislation

AUBG abides by appropriate Bulgarian and US legislation with regard to data protection. AUBG is registered with the Commission for Personal Data Protection and keeps data registers processed by personal data administrators for purposes described in the employee's position description. All administrators follow the Code of Ethical Behavior of Personal Data Administrators, accepted by the Commission for Personal Data Protection.

6.4.2 Data Processing and Ownership

The financial activities and information of AUBG are managed by the financial division software. The software includes the following sections:

- Bookstore (Storage, Sales)
- Café (Storage, Sales)
- Canteen (Storage, Sales)
- Financial Aid (Students' financial packages);
- Business office (Cash, Work study, Payroll, Civil contracts)
- Accounting office (General Ledger).

All of these units generate data that is used in generating financial reports.

The Financial System Administrator is responsible for ensuring segregation of duties in data processing between: a) systems' development (design and programming), b) technical support (maintenance of systems' software), and c) operations. The Chief Accountant is responsible for supervision of these processes.

Changes in the system software are under the supervision of the Financial System Administrator, the Chief Accountant, and the Vice President for Finance and Administration, with the help of the accounting system vendor and external consultants. System administrators keep documentation of the data processing system, noting any changes and additions to the software.

Financial and Operational data in AUBG's databases is kept for an amount of time prescribed by the stricter of US and Bulgarian legislation. Regular backups of all critical data are the responsibility of the individuals managing these databases, under the written guidance of the Chief Accountant.

6.4.3 Records Retention Policy

AUBG departments keep documents, electronic and paper registers, in accordance with State Archive Law and Accountancy Law in Bulgaria, as well as the active U.S regulations. Current guidelines call for retention of employee documents for 50 years, student records as stated in section 4.8, financial statements and related documentation 10 years, contracts and bidding procedure documentation 5 years, accounting documentation and records 5 years or the tax audit before the last one, personnel records and files 5 years after the individual leaves, lists of employees forever, and applicants for positions 3 years. All student records are kept according to guidelines and policies in the section on student records.

The University preserves documents, paper and electronic registers, in a logical and consistent in order to:

- Meet the legal standards for protection, retention and retrieval;
- Protect private data of its students, partners and employees;
- Optimize space efficient use;
- Minimize retention cost.

The University destroys in a proper manner outdated documentation, in paper and/or electronic form.

6.5 Budget Development and Management

Budget development is both a top-down and bottom-up process. Budget trainings are held in the January/February period for all budget managers. Budget managers prepare annual budget plans submitted through the division head and according to guidelines and priorities established by the president. The budget plans and requests are reviewed by a University committee. The recommended budget is presented to the President and the final budget is approved by the Board of Trustees.

Budget managers are charged with handling expenditures according to the approved budget and alerting the Vice President for Finance and Administration of any circumstances that might affect either income or expenditures. Budget variance reports are prepared quarterly.

6.6 Financial Statements

6.6.1 Responsibility for Accounting and Reporting

The Vice President for Finance and Administration has primary responsibility for the University accounting system and is responsible for the development and maintenance of accounting policies and procedures and for the retention and safety of the accounting records and files.

The Vice President for Finance and Administration is responsible for the preparation of the University's monthly, quarterly and annual financial statements and other internal and external financial reports. The

University follows all legal requirements for reporting within the defined deadlines. The Chief Accountant of the University is responsible for monitoring and updating the reporting procedures.

6.6.2 Reporting under the International Financial Reporting Standards

For reporting to the Bulgarian authorities, AUBG follows the International Financial Reporting Standards (IFRS). The financial year as required by the local legislation is a calendar year. The financial statements include the following:

- Balance Sheet. Assets and liabilities have to be divided between current and long-term classes in the balance sheet statement.
- Profit and Loss Account, wherein the expenses are grouped by functions.
- Cash-Flow Statement, issued under the direct method.
- Statement of the capital.
- Notes

6.6.3 Reporting under the US Generally Accepted Accounting Principles

AUBG also prepares reports under the US Generally Accepted Accounting Principles (GAAP). The financial year for GAAP purposes ends on June 30. The financial statements include the following:

- Statement of Financial Position (Balance Sheet). Assets and liabilities have to be divided between current and long-term classes; net assets should be divided between restricted and unrestricted fund balances.
- Statement of Activities. AUBG has adopted the “multicolumn” format of presentation, where the restricted and unrestricted activities are shown on separate columns.
- Cash-Flow Statement, issued under the indirect method.
- Statement of the capital.
- Notes

6.6.4 Reporting under Local Legislation Requirements

The Bulgarian legislation requires different reports to be submitted to various state and local institutions. Some examples are: monthly VAT reports, annual reports to the National Statistical Institute, annual adjustment for VAT and so forth.

6.7 Investment Policy

6.7.1 Management of Endowment Funds

Due to the generosity of donors and accumulation of funds, the University has an amount of funds that is not intended for current expenditure. These funds, called Endowment and Quasi-Endowment Funds (E&QEF), are invested according to Investment Guidelines and Asset Allocation, approved by the Investment Committee and the Board of Trustees. The primary investment objective of the American University in Bulgaria is to preserve the capital of its Endowment and Quasi-Endowment Funds and produce investment returns sufficient to maintain the E&QEF purchasing power (positive real return after inflation).

6.7.2 Expenditure of Funds Generated by the Endowments

It is the responsibility of the Investment Committee to establish a policy framework including objective(s) and specific guidelines regarding management of Endowment and Quasi Endowment Funds including the rules for spending income.

6.8 Audits

6.8.1 Internal Audits

The American University in Bulgaria is subject to a variety of types of audits by the internal auditors who report to the President and the Audit Committee of the Board. Managers are expected to cooperate with the auditors in making available all records and information when requested. The audit reports are made available to the units so that they can respond to recommendations and comply with required changes in procedures and practices in a timely way.

6.8.2 External Financial Audits

The American University in Bulgaria is subject to annual financial audits by an outside firm. The report is submitted to the Audit Committee of the Board of Trustees for review and is a public document.

SECTION SEVEN: FACILITIES AND SECURITY

7.1 Facilities

7.1.1 Access Control

Some buildings at AUBG are controlled by photo ID access cards issued by the Office of Security. Students, faculty, and staff may not loan their cards to others and are responsible for reporting any lost card immediately. Visitors to the campus for multi-day events will be issued a visitors card which must be returned at the end of the event. Those without cards should check-in at the guard desk for access to buildings. The cleaning staff and guards are responsible for securing classrooms and other facilities after hours. Building hours are established consistent with need.

7.1.2 Use of Facilities

The primary usage of the AUBG facilities is for the University's academic programs. University-sponsored organizations and events will receive the second highest priority for use of the facilities, followed by outside organizations which comply with AUBG's policies of equal opportunity and non-discrimination. Such organizations must agree not to use AUBG as an advertised sponsor of the function without the University's written permission. Charges for use by outside organizations have been established for the auditoriums, meeting rooms, classrooms, computer labs, and residence hall rooms to cover the costs of cleaning, set-up, and additional services.

AUBG is a private institution and reserves the right to deny the use of any University facility to any organization. AUBG facilities may not be used for political activities nor for activities whose purposes are to raise revenues for political organizations.

7.1.3 Solicitation on University Property

Solicitation and sales of goods and services by non-University organizations and individuals on campus is normally prohibited. Space may be rented for outside presentations and events through the Office of Conferences and Institutes. When the purpose of the event is marketing to students or employees of the University, a written request explaining a justification for the activity should be submitted to the Vice President for Finance and Administration, who will issue a letter of approval. The definition of non-University organizations/individuals includes but is not limited to employee associations, work-and-travel companies, insurance companies, and other vendors.

Charitable solicitation conducted by AUBG students, faculty, or staff is allowable, with prior approval from the Dean of Students, provided that its purpose is to benefit society or the local community, and it does not

benefit the individual sponsoring the activity. Solicitation may not interfere with the normal educational processes of the University.

Notwithstanding the above, the University reserves the right to prohibit solicitation under any form if it considers it to run counter to its mission or any of its general rules and regulations.

7.1.4 Flags

National flags will be flown in the Main Hall of AUBG in alphabetical order to represent the home countries of all full-time AUBG students, past and present. If space permits, U.S. state flags will be flown to represent study abroad students, past and present.

7.1.5 Posting and Distributing Materials in University Buildings

Posters are an important part of the environment at AUBG. However, in order to keep the buildings attractive and reduce the costs of maintenance, the following policies are in effect:

- Printed materials must be approved and stamped with the date when the materials should be removed by the University Events Office for the Main Building and the Dean of Students Office for the Skaptopara campus buildings.
- Only posters and flyers related to AUBG activities or contributing to the academic or cultural development of AUBG students will be approved. All activities at AUBG initiated and/or organized by students, student clubs, the administration, faculty or staff can be internally advertised by adequate printed material.
- Materials should be posted only on the bulletin boards that are provided or on the stone or glass walls with easy-to-remove tape. No printed stickers should be posted on any surface.
- Sponsors are responsible for removing the posters and tape when the activity is completed or upon expiration of the permit.
- Materials posted on painted walls, elevators, or wood paneling will be removed. Any charge for removal/repair will be the responsibility of the individual/organization not in compliance.

Posters that advertise products, services, or activities for the benefit of outside constituencies not related to AUBG will not be approved. Announcements related to job offers and internships for AUBG students and alumni should be directed to the Career Center for posting electronically and to the Dean of Students if in hard copy.

7.1.6 Leasing of Space for University Activities

Only the Vice President for Finance and Administration can enter into any contract for leased external space for University activities.

7.2 Campus Safety and Security

7.2.1 Security Office

AUBG's students, faculty and staff need a safe and secure environment which allows them to accomplish academic and administrative activities. The AUBG Security Office has primary responsibility for formulating and implementing policies and procedures to protect individuals and property from harm.

Toward that end, AUBG has guards on duty 24 hours per day, maintains regular interaction with local police authorities, provides ID cards to all employees and students, and provides educational information to students, faculty, and staff. The Security Office has been authorized by the President to use closed-circuit television monitoring and recording of public areas for safety and security purposes and according to ethical and legal standards.

In the event of a breach of security, members of the University community should immediately report the situation to the Security Office or to the Student Services Office for the residence halls. The University

cooperates fully with legal authorities and utilizes the Student Conduct Council when appropriate. However, the University is not responsible for any loss of personal property or injury.

The policies and procedures with regard to a wide variety of emergencies, both man-made and natural, such as fire, vandalism, bomb threats, assaults, chemical spills, and natural disasters are posted on the website. Faculty, staff, and students are expected to familiarize themselves during orientation with these policies and procedures, and must cooperate with AUBG and municipal authorities in case of both drills and real emergencies.

7.2.2 Animals on University Property

With the exception of guide dogs under the control of their owner, animals are not permitted in University facilities, regardless of the time of day and/or year.

7.2.3 Prohibition on Possession of Firearms, Explosives, Other Weapons, and Hazardous Chemicals

Firearms, ammunition, hunting knives, martial arts equipment, and any other potentially dangerous weapons or sporting equipment are not permitted on University property nor in vehicles on campus. The use of or possession of firecrackers, fireworks, gunpowder, fusion caps, primers, hazardous chemicals, sparklers, or any type of explosives in any residence facility or University building is strictly banned. The use of candles, matches, tobacco products and incense is also forbidden.

7.2.4 Motor Vehicle and Parking Regulations

Specific University regulations, in addition to national and local traffic laws, apply to all students, faculty, staff, and visitors operating a motor vehicle at the University. The owner of any car parked or used in violation of these regulations is subject to fines and/or towing.

The parking control program is intended to ensure safety and security for all members of the AUBG community, to keep fire lanes clear at all times, and to provide a neat and attractive campus by forbidding parking on sides of the roads, on sidewalks, and on lawns. All campus roadways are considered fire lanes unless otherwise posted. Vehicles parked in such a way as to block fire lanes or illegally in a handicapped zone will be towed. All towing and storage fees are the responsibility of the vehicle owner. Motorcycles and mopeds may not be placed in or stored under residential or academic buildings.

All vehicles that park in any AUBG parking lot must be registered and have a "Campus Parking" permit or approved visitor's permit issued by the Security Office. Any vehicle parked at AUBG without such a permit will be ticketed and may be towed at the owner's expense. At the time of registration, the owner must present evidence of vehicle ownership and a valid driver's license. All parking permits must be displayed as designated by the Security Office. The parking lots on campus are clearly marked. City signs indicate no-parking areas, from which cars may be towed.

SECTION EIGHT: INSTITUTIONAL ADVANCEMENT AND EXTERNAL RELATIONS

8.1. Development and Fund Raising

The American University in Bulgaria Board of Trustees encourages and supports a strong fundraising program. The Board of Trustees is responsible for ensuring the proper conduct of all activities undertaken by or in the name of the University. The Board of Trustees is responsible for ensuring that the solicitation of all funds for the benefit of the University or for any of its activities is carried out properly and legally and in a manner that assures that the purpose of the gift is clear to the donor, the donor's intentions are respected, and that fiscal accountability is provided for all funds raised in the University's name.

The President is responsible for providing leadership in the development and implementation of University fundraising programs as well as promoting the importance of private gifts and in recommending actions by outside organizations, governments, and individuals that will encourage contributions to the American University in Bulgaria.

The Board of Trustees, with the President, determines the appropriate development plan, fundraising objectives and strategies, and the annual fundraising targets. The Board participates actively in the implementation of the development plan.

Responsibility for the coordination of solicitations and proposals to individual, corporate, and foundation prospects is vested in the Vice President for Institutional Advancement. Therefore, all private fund-raising activity is to be coordinated through the Office of Development, which will then coordinate with other University offices as necessary.

8.1.1 Scholarships

Scholarships are one of the best ways that donors can assist both the American University in Bulgaria and its students. Scholarships assist AUBG in assuring that qualified students will be able to attend AUBG regardless of need, and at the same time help to assure the financial viability of the institution. Scholarships may be applied to all education-associated expenses: tuition, room, meals, books, and auxiliary fees. Except in very unusual cases, scholarships and other financial aid money is not to be given to student recipients in cash, or to be used to purchase items which are not required for educational purposes.

Donors may designate general parameters of the scholarship which they are funding, such as country of origin, field of study, or scholarly achievement. However, donors may not limit scholarships by discriminatory criteria, such as gender, race, religion, or ethnic background. For purposes of U.S. tax law, the American University in Bulgaria is a Sec. 501C(3) institution. U.S. tax law prohibits the scholarship donor from designating the individual recipient if the donor wishes to claim the contribution as a charitable deduction. Named scholarships require a minimum contribution of \$2,500.

The donors of scholarship funds are acknowledged and their names are publicized, with their permission. Scholarship funds must be received by December 31 of the calendar year prior to the academic year in which the scholarship is to be awarded.

8.1.2 Gifts to the Library

The Library of the American University in Bulgaria accepts donations of materials which are appropriate to the Library's mission, goals, and collection policies, and which are in good physical condition. All gifts in-kind are accepted at the discretion of the Director of the Library and the President. Upon receipt, donated materials become the property of the Library. The decision to add gift materials to the collection is made by the Director of the Library. Materials that do not meet the Library's collection goals and objectives, or do not conform to its collection development policies, will be disposed of through exchange, donation, or discard.

In general, gifts to which the donor has attached conditions, such as those concerning retention, housing, classification and use, cannot be accepted for inclusion in the Library's collection.

Library acceptance of a gift subscription does not constitute a commitment to renew it after the initial subscription period. In general, back issues of journals to which the Library does not currently subscribe are not added to the collection.

In accordance with United States tax regulations and the Association of Research Libraries Statement on Appraisal of Gifts, the Library staff cannot appraise the value of gifts in-kind. Determination of value is the responsibility of the donor.

Monetary gifts will be accepted and acknowledged by the Office of Development after consultation with and approval of the Director of the Library. Donor preferences for the purchase of materials are respected, provided they are not contrary to the Library's mission, goals and collection policies.

8.1.3 Planned Gift Acceptance

Life Insurance

AUBG should accept a life insurance policy as a gift only when it is named as the owner and beneficiary of the policy.

Real Estate

Gifts of real estate should be reviewed by the Development Committee before acceptance. The donor should be responsible for obtaining and paying for an appraisal of the fair market value and an environmental audit of the property. Prior to presentation to the Development Committee, a member of the staff must conduct a visual inspection of the property. If the property is located in a geographically isolated area, a local real estate professional selected by the Development Office can substitute for a member of the staff in conducting the visual inspection. Property that is encumbered by a mortgage should not be accepted, unless approved by the Investment Committee.

Closely Held Securities

Non-publicly-traded securities (i.e., privately owned corporations) may be accepted after consultation with the Investment Committee. The fair market value of the securities must be determined by a "qualified" appraiser to be at least \$5,000. Prior to acceptance, AUBG will explore methods of immediate liquidation of the securities through redemption or sale. No commitment for repurchase or sale of closely-held securities should be made prior to completion of the gift of the securities, as the transaction might be viewed by the IRS as a sale rather than a gift, with adverse tax consequences for the donor.

Tangible Personal Property

The University will consider gifts of tangible personal property only after a review indicates that the property is readily marketable and free of encumbrances. Every potential gift is evaluated on an item-by-item basis by the University to determine if it is use-related property. Such gifts of tangible personal property defined above shall be used or sold for the benefit of AUBG. The U.S. IRS requires that the donor assume responsibility for valuing property for tax-deduction purposes. Gifts with fair market value of \$5,000 or more must be professionally appraised.

Charitable Gift Annuities

AUBG will pay annuity rates as currently suggested by the American Council on Gift Annuities. There shall be no more than two beneficiaries for a charitable gift annuity. The minimum gift accepted to establish a charitable gift annuity is \$10,000. No income beneficiary for a charitable gift annuity shall be younger than 55 years of age.

Deferred Gift Annuities

There will be no more than two beneficiaries for a deferred gift annuity. The minimum gift accepted to establish a deferred gift annuity is \$10,000. No income beneficiary for a deferred gift annuity shall be younger than 40 years of age at the time the gift is accepted.

Pooled Income Funds

Administrative fees shall be paid from the income earned on the pooled income fund. The minimum initial contribution to the fund shall be \$10,000. Additional gifts may be added for amounts beginning at \$1,000. No income beneficiary in the fund shall be younger than 55 years of age. No more than two income beneficiaries may be named.

Charitable Trusts

AUBG does not act as a trustee. The administration of these trusts should be performed by a bank trust department or other trustee selected by the donor.

Bequests

AUBG should refuse to accept (disclaim) any bequest that might prove to be more of a cost than a benefit, as determined by the University's Vice President for Finance and Administration.

8.1.4 Special Purpose Endowment Funds

The American University in Bulgaria may approve the establishment of special purpose and endowment funds upon receipt of gifts or commitments that meet approved financial and other fundraising policy criteria. Principal in these funds is to remain in perpetuity. Income allocated from the prior fiscal year's earnings is made available in July of the following fiscal year. A Memorandum of Understanding Concerning the Establishment of the Fund will be properly executed and signed by the donor and the President of the American University in Bulgaria. The establishment of a special purpose and/or endowment fund requires the approval of the Board of Trustees upon the recommendation of the President.

Named Endowments

Endowments bearing individual names must be approved by the Board of Trustees, upon the recommendation of the President. There are several types of named endowments. The most common are:

1. Endowed Chair. A fully-endowed academic chair (salary, benefits, travel, research/development) may be established with a minimum gift of \$1,500,000.
2. Visiting Professorships. A fully-endowed visiting professorship (salary, benefits, travel, research/development) may be established with a minimum gift of \$1,000,000.
3. Scholarships. A fully-endowed scholarship (tuition, room, board, textbooks, fees) may be established with a fund of not less than \$250,000. Other scholarship endowment funds of lesser amounts may be established to provide for partial scholarships, with a minimum of \$20,000..
4. Others. The American University in Bulgaria is willing to work with prospective donors on the terms and conditions of other special-purpose and endowment funds provided they support traditional academic activities or functions and are large enough to yield a meaningful annual income. Academic programs are an example; the funds may be designated for faculty salaries, equipment, scholarships, library resources, instructional technology, etc.

Because conditions change over time, the Memorandum of Understanding Concerning the Establishment of the Fund and other pertinent endowment instruments will incorporate the following contingency clause:

If, in the opinion of the Board of Trustees upon recommendation of the President, all or part of the funds cannot be applied in strict conformance with the previously stated purposes, these funds may be used for other appropriate purposes as nearly aligned to the original intent of the donor as good conscience and need dictate within the authorized powers of the University.

Financing

1. The most desired arrangement is for the University to receive and invest the full amount needed to endow the purpose of the endowment. There are times when it is advantageous to a donor to make periodic contributions in fulfillment of an acceptable grant program. With approval of the Board of Trustees, the endowment may be funded over a five-year period , or another period, by special agreement.
2. The financial requirements for bequests require the minimum endowment in effect as of the date of the execution of the will or trust.

General Conditions

1. Names. The donor of a fully-endowed program may designate the name, subject to approval of the Board of Trustees. The donor of less than the full amount may suggest a name, but it must be left to the

discretion of the University to determine the appropriate name(s) since funds are derived from multiple sources.

2. The University will have sole authority to name holders of chairs in keeping with University policies at the time of the appointment. Establishment of named positions, nominations for appointees to fill the positions, and the terms of the appointment must be recommended by the President and approved by the Board of Trustees.

3. Individuals appointed to a chair or professorship position must meet the criteria established by the University for faculty membership.

8.1.5 Fund Raising Compensation

The University will not pay fees, bonuses, commissions, or any other form of compensation to anyone associated with generating gifts and grants for AUBG who is a member of the AUBG staff. The only exceptions to this policy are:

- fund-raising staff and/or consultants may be paid a salary, retainer, or fee (not a commission) as long as such compensation is predetermined and not based upon a percentage of funds raised and/or in anticipation of a specific gift or grant;
- with prior approval from the administration, grant proposals put forth by a faculty or staff member as principal investigator or project manager may include requests for specific support which may benefit the individual and/or his or her department. Such specific support includes summer salary, travel, clerical and/or research assistance, special equipment, teaching/staff replacement and/or release time;
- individuals who incur travel or other substantiated out-of-pocket expenses in relation to efforts to raise gifts and grants may be reimbursed by the University if such expenses have been pre-approved by the administration.

8.2 University Awards

8.2.1 Honorary Degrees

The American University in Bulgaria grants honorary degrees to individuals who have made a significant contribution to humankind of an intellectual, scholarly, creative, or public service nature. Special attention is given to those individuals who have made a substantial contribution to AUBG and/or the region. By recognizing individual merit and achievement, AUBG aims to acquaint distinguished persons with the University and the AUBG community with a broad range of accomplished individuals. Nominees are proposed based upon the character of the individual, distinction of his or her achievement, and the worthiness of the field of achievement.

The guidelines and procedures, available from the Office of the Provost, describe the membership and role of the Honorary Degree Committee, the process for recommending candidates, candidate eligibility, the role of the Board of Trustees, and the authority of the President in making the final selection. Annually nominations will be solicited from faculty, staff, students, Trustees, and alumni. Commencement speakers shall not be automatically nominated to receive an honorary degree.

8.2.2 Distinguished Service Awards

The American University in Bulgaria presents Distinguished Service Awards to selected individuals or a group of individuals in order to recognize outstanding achievements and attainments which exemplify the mission, goals and ideals of the University. This award is for exceptional achievements or significant

contributions to AUBG, for service in an advisory or leadership capacity, or for other exemplary accomplishments that merit the special recognition of the University.

Distinguished Service Awards may be awarded only by approval of the Board upon the recommendation of the President. The President shall establish a representative committee, composed of faculty and academic staff, which shall be responsible for supervising the solicitation of suggestions and nominations and for making recommendations to the President according to established guidelines available through the Office of the Provost. Nominations can be provided by the faculty, staff, students, Trustees, and alumni. Commencement speakers shall not be automatically nominated to receive a Distinguished Service Award.

8.3 Educational Outreach

8.3.1 Outreach Programs

Outreach programs serve the academic mission of the University by offering programs that attract populations not usually served by the traditional degree-granting programs. In so doing, AUBG's Outreach Programs provide opportunities for personal enrichment and professional development that enhance the proficiency of individuals and groups to ultimately benefit economic development and regional understanding.

Program offerings include English language training, conferences and institutes, and business and industry courses. The tuition and fee structures are market driven. Policies governing admissions, program activities, and cooperative agreements are found on the English Language Institute website, Conferences and Institutes website, and the Center for European Programmes website.

8.3.2 Submission of Proposals for External Funding

Most grants, contracts, and other agreements from external sources are "sponsored projects." A project is considered a sponsored project if it meets any one of the following criteria:

- the proposed project binds the University to a specific scope or area of work
- progress, technical, or final reports, or other deliverables are required
- billing, separate accounting procedures, or report of expenditures are required
- unexpended funds must be returned to the sponsor at the end of the project
- the project involves disposition of property, whether tangible or intangible, that may result from the project (e.g., equipment, inventions, copyrights, or rights in data)
- the project has a specified performance period or completion date
- the project has budgeted indirect costs
- the contract contains intellectual property terms

All externally-funded projects must be consistent with the mission and purpose of AUBG. Proposals should be submitted to the Provost at least two weeks in advance of the deadline for academic review and to the Vice President for Finance and Administration for budget review along with the Pre-Award Approval Request Form. If a course release or reassignment of time is necessary for the project, the Department Chair must also approve the project in advance. Salaries for personnel funded through grants should be set consistent with comparable positions at AUBG.

By signing the Pre-Award Approval Request form, the primary investigator certifies that the information on it is accurate and factual, and that, when the project is funded, he/she will assume accountability for carrying out the conditions of the award (manage the eligibility of expenses, meeting the project period, preparing time and effort reports, and preparing final reports for the sponsor/donor, etc). The primary investigator is responsible for identifying the total costs of the project and sources of funding for cost sharing. If space, special facilities, permits, etc. are necessary to conduct the project, the principal investigator is responsible for securing permissions and including these needs in the Pre-Award Approval Request Form.

The primary investigator takes on a great deal of responsibility when proposing a project on behalf of the University. Hence, the University requires the primary investigator to personally sign the Pre-Award Approval Request form. Signature authority for the primary investigator may not be delegated.

8.3.3 Responsibilities of Primary Investigators

Formal awards are made in the name of The American University in Bulgaria. When an award is accepted, the primary investigator assumes the responsibility for all essential aspects of the work being carried out, including technical aspects and completion of programmatic work; compliance with government, sponsor, and university policies and regulations; fiscal stewardship of sponsored funds; and all administrative requirements of the project. With the oversight responsibility implicit in the University's acceptance of outside funds for a project, the University must be in a position of authority over the primary investigator's actions. The University provides the infrastructure within which the investigator conducts the project and helps with post award grants management. The primary investigator and the University have a mutual interest in carrying out the project for which the funds are awarded.

8.3.4 Cost Sharing on Projects

Some sponsored programs require the University to participate in funding the costs of a project, referred to as "cost-sharing." Cost-sharing expressed as a ratio is sometimes referred to as matching. The terms cost-sharing and matching are used interchangeably and are subject to the same regulations. Usually, the University meets its cost-sharing requirement by contributing direct labor and associated fringe benefits, plus indirect costs. Only the Vice President for Finance and Administration can authorize University cost-sharing.

Unless waived by the terms of the program, cost principles require that cost-sharing contributions meet all the following criteria:

- are verifiable from the recipient's records
- are not included as contributions for any other assisted project or program
- are necessary and reasonable for proper and efficient accomplishment of project or program objectives
- are not paid by another award
- are provided for in the approved budget

The cost-sharing requirement should be expressed as an absolute dollar amount.

8.4 University Relations

8.4.1 Governmental Relations

The Offices of the President, Provost, Vice President for Finance and Administration, and University Relations monitor affairs of government and maintains relationships with government representatives in Bulgaria and the United States in respect to higher education law and funding, international exchange, travel requirements, report requirements and other matters that directly affect the business of the University.

8.4.2 Public Affairs

In order to coordinate the communications of AUBG with the external community, the University Relations Office is designated as the sole official contact of AUBG with the electronic and print media. With the exception of the of the President, Provost, Vice President for Finance and Administration, and Director of Development, any AUBG employee who is contacted by the media to express an opinion on behalf of the University is asked to refer such contact to the AUBG University Relations Office to obtain the official University position on the matter. The University Relations Office fosters responsiveness in handling reasonable requests for information about AUBG.

In addition, the University Relations Office is responsible for providing information about the University that is complete, accurate and clear. All institutional publications, including tapes and film, and oral communications should be consistent with AUBG policies and fairly portray the conditions and opportunities available at the institution.

8.4.3 Media Relations

The University Relations Office is the chief contact point for members of the media seeking information about the University, its students, faculty or staff. The University Relations Office is responsible for all AUBG interactions with the media, including:

- Issuing all official University press releases
- Responding to and coordinating the response to inquiries from media representatives
- Issuing all official statements
- Scheduling and organizing all official University press conferences

Any complaints regarding the performance of the media shall be made to the University Relations Office, not to the media. The Director of University Relations will decide what actions, if any, will be taken.

8.4.4 Media Inquiries

When faculty and staff members are asked to comment or provide information on an institutional question or an issue that relates to the entire institution, the reporter should be referred to the University Relations staff, who will respond to the reporter or refer him or her to the appropriate source for comment.

The administration, faculty, and staff should not respond to inquiries from the media concerning matters such as personnel issues, crisis management, emergency situations, University policies, or fiscal operations; instead, they should immediately refer such inquiries to the University Relations staff.

If a member of the media contacts a faculty or staff member directly to comment on a topic that is strictly within their area of expertise (e.g., a faculty member's academic research or area of academic specialization) the University Relations Office should be notified immediately after the faculty or staff member has spoken with the reporter.

8.4.5 Handling Media Emergencies

When the University faces a situation where the news media and public want information about a major emergency, crisis, or crime that involves AUBG, its students, faculty, and staff, the University Relations Office should be involved in working with the news media.

Should an event occur that may have a significant negative impact on the reputation of the University (such as a student demonstration, financial scandal, assault, or any emergency situation), only the President, Provost or Director of University Relations are authorized to comment.

If a University office such as the Security Office or Health Center, for example, is involved, it will take responsibility for informing the Director of University Relations of the situation. A determination as to what type of information announcement is necessary will be made between the University Relations Office and the office(s) involved.

8.4.6 Student Media

The student press and media shall be free of censorship and advance approval of copy, while being governed by the canons of responsible journalism. Editors and managers of students' publications or broadcast stations shall be free from arbitrary suspension and removal because of student, faculty, administrative, or public disapproval of editorial policy or content. Only for proper and stated causes shall editors and managers be subject to removal by orderly and prescribed procedures. These procedures may be found in

Appendix A of the Media Board Constitution included in the Student Handbook. Any committee for the supervision for student publications or media shall have student members. .

Even though certain publications may be financially dependent on the University, in the delegation of editorial responsibility to students, the University shall provide sufficient editorial freedom and financial autonomy for the student publications to maintain their integrity of purpose as vehicles for free inquiry and free expression in an academic community. All student publications that are published and financed by the University shall explicitly state on the editorial page that the opinions expressed are those of the publication and are not necessarily those of the University or the student body.

8.4.7 University Publications

The publication services within the University Relations Office is charged with ensuring that all University print publications are compatible with the overall University graphics standards and that the message is consistent and clear. This includes, but is not limited to: monitoring University graphic standards, including use of the seal, letterhead, University name, photo or graphic representations, and electronic images. Contracted services to vendors for print publications that have not received the approval of the University Relations Office will not be authorized by the Purchasing Office.

All publications bearing the brand of the American University in Bulgaria and/or representing the institution as a whole or specific services offered by it, must be approved by the head of the respective department and the University Relations Office before production. For complete information check the Publication Policies and Procedures Guidelines on the website.

8.4.8 Website

The American University in Bulgaria's website is an official publication of the University and the information must reflect the same standards as for all official publications. The site is signified by the address www.aubg.bg and its content is not to be copied, modified, distributed, published or available on a network without the prior written consent of the University Relations Office. The University retains control over the official University web pages and is responsible for maintaining accurate and up-to-date information on the site. The structure and design of the site is managed by the University Relations Office in order to ensure functionality and a consistent and effective presentation of the University's identity. The website services include, but are not limited to: update and maintenance; monitoring University graphic standards, including use of the logos, University name, photo or graphic representations; and text quality control.

New pages and updates: Posting on the website is at the sole discretion of the University and any part of the site may be removed, as needed, to maintain the integrity of the site. Only designated employees have permission to access and administer the site. Faculty, staff, and administrators should regularly review the website for accuracy and report any changes in policy or outdated material to the Publications and Website coordinator. Changes to the website content should be approved in writing by the head of the respective department before they are submitted to the University Relations Office for approval. Changes will be implemented by the Publications and Website Coordinator or returned for additional revision. The coordinator and the web administrator will also monitor the site and recommend changes giving priority to time sensitive information such as admissions. The web administrator is responsible for all technical aspects of AUBG web site.

Requests to create new University sites, listings, or connections must have the approval of the manager, responsible for the corresponding section of the site and then by the URO. New pages will be posted using the accepted University template and structure. The Publications and Website committee will periodically review the website policies and make recommendations for improvement to the website.

Student organization pages: Student organizations that would like to have their own pages within the AUBG network must refer to the Policy for Operation of Student Organizations' Websites within the

AUBG Network that can be found on the website under Information Resources. It includes rules and principles, as well as description of the application process. Student organizations' pages must also include a disclaimer that "the website is a student undertaking and does not reflect the views of the University."

Personal pages: Personal pages are the web pages of individual faculty members and students. The University does not exercise control over these web pages and is merely the provider of the service. Faculty and students are responsible for complying with copyright policies and other policies of the University with regard to content. Any personal page that violates these rules may be removed from the website immediately.

Advertisement: The University's website must not be used for commercial, non-mission-related purposes. The University welcomes links to its website for educational and informational purposes. Adding links and/or banners of external, non-affiliated sites or commercial ones to the AUBG website is prohibited.

8.4.9 Logos and Trademarks

The University logo(s) is the primary identifier of AUBG to its public and is the trademark property of the American University in Bulgaria. The logo exists in two versions—horizontal and vertical (badge) that contain the interlocked letters A and U, as well as the word mark American University in Bulgaria, both elements in the Warnock typeface. All logos must be used intact and may not be altered. Logo and color standards are available on the University Relations Office website.

The AUBG Griffins athletics logo is the trademark property of the American University in Bulgaria. It is a key University brand used when the audience needs to be approached with an appealing athletic message or purpose. The elements of the logo and rules for its usage can be found in the AUBG Griffins Logo Standards and Guidelines available through the University Relations Office.

All uses of the University's logos, symbols, and trademark must be cleared through the University Relations Office.

8.4.10 Use of University Name or Seal

Use of the University name is a privilege reserved to organizations officially related to and recognized by the University. The University name may be used only by written permission of the University President. Such use will be limited to organizations clearly related to the University and having purposes and operating procedures compatible with those of the University. "University name" means "American University in Bulgaria, as well as any abbreviation or short form including but not limited to "AUBG." All uses on letterhead, business cards, posters, programs, publications or signs must conform to the standards for graphic identity and be approved in advance by the Director of University Relations.

The University seal is primarily reserved for formal documents and may not be used in combination with the approved logos of the University. All uses must be approved by the Director of University Relations.

8.4.11 University Special Events

A wide variety of special events such as lectures, exhibitions, performances, recitals, concerts, book premieres, film presentations, visits, and receptions are supported by the University Events Office at the request of various internal constituencies (Board members, the President, alumni, students, faculty or staff), as well as constituencies from the local community or other governmental officials. The primary purpose of these events is to promote recognition of AUBG, enhance the intellectual and cultural life of the campus community, and strengthen relations between the campus and the wider community. The University is committed to freedom of expression and sponsorship of an event by the University should not be construed as commitment to a particular cause, point of view, or organization. The Special Events Guidelines are posted on the AUBG website and approved on an annual basis by the University Events Committee