



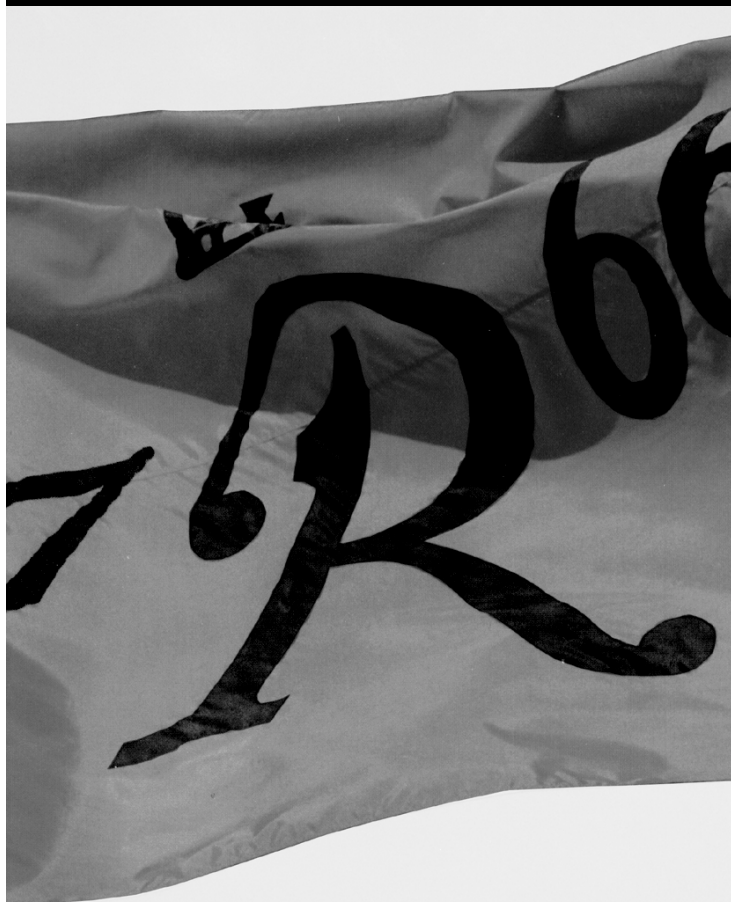
RUTGERS UNIVERSITY

STANDARDS FOR UNIVERSITY OPERATIONS



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INTRODUCTION



VISION STATEMENT

Rutgers, New Jersey's preeminent public university, is one of a small number of comprehensive research universities that is both prepared and committed to exercise national leadership for higher education. We are dedicated to a standard of quality that makes Rutgers a preferred choice for students, a first-rate intellectual environment for faculty, and an outstanding place to work for staff.

WE ARE COMMITTED TO:

- Creating knowledge and ideas for the improvement of the human condition.
- Preparing students to meet the needs of a changing society and encouraging their personal and professional growth.
- Advancing the well-being of our communities, state, and nation.

Rutgers seeks nothing less than to become one of America's very best universities.



MESSAGE FROM THE PRESIDENT

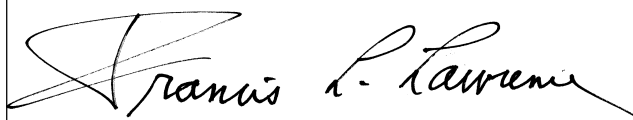
The Rutgers Vision Statement articulates the philosophy underlying our efforts to become one of America's very best universities and delineates a path toward national leadership in higher education. With thousands of students, faculty, and staff on three campuses, and internationally renowned programs in teaching, research, and public service, Rutgers is a large and diverse place. The effective functioning of such a complex organization requires the highest level of cooperation among its many academic and administrative departments, centers, institutes, and bureaus.

The purpose of this handbook is to help the university's deans, directors, business managers, department heads, faculty, and administrators understand the policies and procedures that enable the university to operate smoothly and efficiently. We encourage you to read it and use it as a guide for your business operations. Our goal is to help you understand why we do things the way we do. Specific information on how we do them can be found in the *University Regulations and Procedures Manual* (www.rutgers.edu/regulations/). At the end of each topic in this handbook, you will find a special section that provides the numbers of specific policies from the manual, as well as pertinent department contacts and university web site addresses.

As custodians of the university's fiscal and physical assets and resources, all of us must approach our responsibilities with the highest ethical standards and sound business practices. As an organization, we are challenged to make wise choices and to avoid unethical appearances or situations so that we can continue to uphold Rutgers' historic reputation for honesty and integrity.

I am confident that together we will continue our strong tradition and commitment to uphold the standards of excellence that distinguish our institution.

Sincerely,



Francis L. Lawrence



INTERNAL ASSURANCE

INTERNAL AUDIT DEPARTMENT

The Internal Audit Department promotes methods that help management accomplish important financial, operational, and regulatory objectives. These methods include articulating goals, assessing and reducing risks, ensuring communications and the flow of information, managing resources, and monitoring compliance. The department's services include:

- Briefings on internal assurance
- Workshops on self-assessing risks
- Reviews of information systems
- Audits and consultations

The Rutgers Vision Statement outlines the fundamental goals the university has established in its efforts to become one of the top universities in the nation and a leader in higher education. Rutgers employees contribute to this vision by ensuring that the university's objectives are met. Our organizational structure is decentralized, meaning that individual units are responsible for many administrative operations. Therefore, Rutgers requires its employees to:

- Be responsible and accountable.
- Be good stewards of university assets, revenues, and resources.
- Conduct their work with integrity and high ethical values.
- Exercise sound judgment.

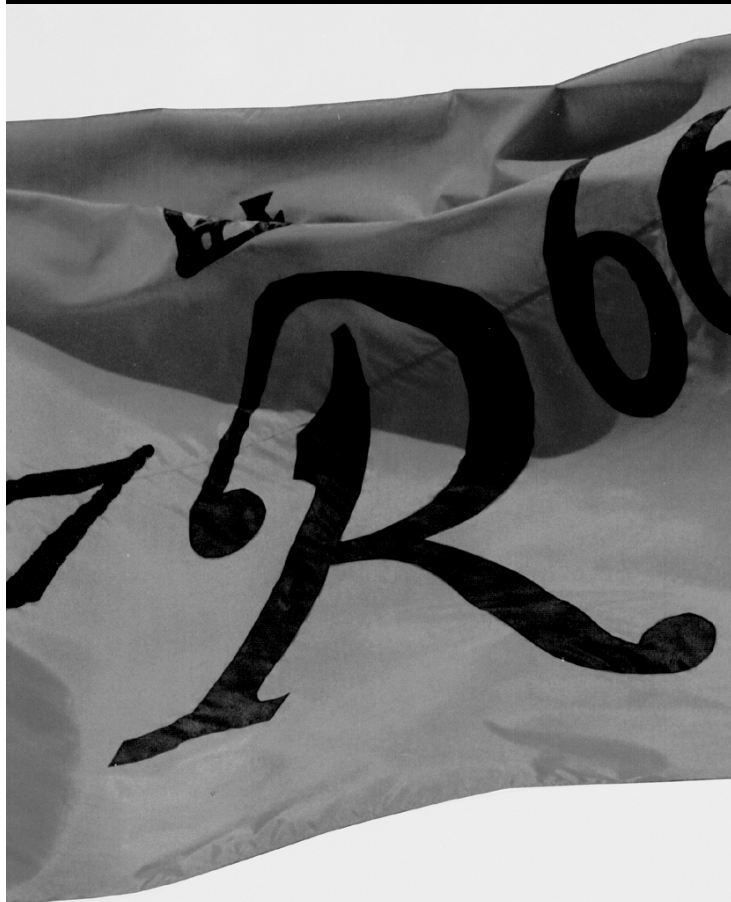
The administration is committed to providing staff with professional development opportunities; clear policies, procedures, and operating standards; and job descriptions that clarify expectations. In doing so, the administration demonstrates its commitment to the standard of excellence set forth in the university's vision.

For assistance with internal assurance, contact the Internal Audit Department.



DISCLAIMER

These “Standards for University Operations” only summarize universitywide policies and procedures; they are not meant to cover all situations. You should consult university regulations, policy memoranda, and any other relevant documents for more information about the topics covered in this handbook, or you should ask the university departments responsible for carrying out the standards summarized here. **The university makes no promise of any kind based solely on these “Standards for University Operations.” Furthermore, the regulations, policies, and procedures summarized here can and do change from time to time.**



EMPLOYMENT INFORMATION



HUMAN RESOURCES

INTERVIEWS

When interviewing candidates for positions, questions must relate directly to the duties and responsibilities of the position and be relevant to the candidate's experience and training. An interviewer may not ask questions about matters unrelated to the performance of the job, such as, but not limited to, an applicant's age, race, family status, nationality, or disability.

EMPLOYMENT OF RELATIVES

It is Rutgers' goal to hire the best-qualified people for its faculty and staff positions. The hiring of relatives in the same or different departments is permitted in appropriate circumstances, so long as each employee meets the job's requirements. Relatives are considered to be members of the same family (fathers, mothers, husbands, wives, brothers, sisters, children). Employees are expected to remove themselves from participation in personnel decisions in which a relative is involved.

Working at Rutgers holds many benefits, both tangible and intangible. Excellent compensation packages, job satisfaction, and professional development opportunities are just a few of the advantages of university employment. Year-round, employees have many opportunities to attend cultural and athletic events at the university, including lectures, art exhibits, and artistic events such as theater, dance, and musical performances. These benefits, along with the dedication and hard work of employees like you, continue to make Rutgers an exceptional workplace.

Rutgers is committed to maintaining high standards of professional conduct in the workplace. All members of the Rutgers community are required to behave in an ethical fashion, and to adhere to all university policies and local, state, and federal laws. Rutgers employees have a responsibility to promote respect and dignity for others so that all employees and students are free to pursue their goals in an open environment, are able to participate in the free exchange of ideas, and have equal access to the benefits of the university's employment and educational opportunities.

Employees also are expected to work diligently, to perform assigned duties, and to strive to meet the university's objectives and goals. Supervisors are responsible for evaluating employees fairly when making personnel decisions such as, but not limited to, work or project assignments, performance appraisals, salary increases, bonus awards, and promotions.

Under the University Policy on Equal Opportunity and Affirmative Action, all employees and applicants for employment should be provided with equal opportunity without discrimination on the basis of race, religion, color, national origin, ancestry, age, sex, sexual orientation, physical or mental disability, or marital, military, or veteran status. Rutgers also has implemented the Policy Prohibiting Harassment, designed to eliminate harassment based on these same protected categories. Measures for resolving complaints and allegations of discrimination and harassment are available to employees under both of these policies.

An outside organization has requested employment verification for an employee in my department. How do I handle such requests?

Refer all employment verification requests for faculty and staff to University Human Resources. Employment verification requests for student employees should be referred to the Student Employment Office.

In appropriate circumstances, reasonable accommodations will be made to the known limitations of otherwise qualified employees and applicants.

Rutgers prohibits violence in the workplace and has instituted the University Policy Prohibiting Workplace Violence to address violence and threats of violence, should they occur. This policy defines workplace violence and informs employees of their reporting responsibilities regarding workplace violence. The policy also alerts employees about whom to contact if they witness actual or imminent violence.

Rutgers employees also are afforded certain rights under the New Jersey Conscientious Employee Protection Act.

For more information on human resources, consult the following policies in the *University Regulations and Procedures Manual*: *Policy on Equal Employment Opportunity and Affirmative Action* (6.4.8); *Policy Prohibiting Harassment* (6.4.14); *University Policy Prohibiting Workplace Violence* (6.4.16); and *Policy on Employment of Relatives* (3.1.2). Other policies related to faculty and staff are available in the *University Regulations and Procedures Manual* at www.rutgers.edu/regulations/.

You also can contact University Human Resources directly or access its web site at uhr.rutgers.edu/. On the Newark campus, information is available from the Newark Personnel Office.

The Office of Employee Relations can answer questions regarding the following:

- University Policy on Equal Opportunity and Affirmative Action
- Policy Prohibiting Harassment
- University Policy Prohibiting Workplace Violence
- Conscientious Employee Protection Act

For faculty-related policy information, you may contact the Office of Faculty Affairs. The Student Employment Office can address questions related to student employees.

For more information on the rights of individuals with disabilities, you can contact the following offices:

- Assistant Vice President for Faculty Affairs (faculty hiring and accommodations)
 - Office of Employee Relations (staff hiring and accommodations)
 - Director of Compliance and Student Policy Concerns (student accommodations and physical access barriers)
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CONFIDENTIALITY

My supervisor is identified as the “responsible person” on a number of budget accounts. I maintain the account and budget records for our department and have been asked by a co-worker to provide information on a transaction affecting one of the accounts. Should I share this information?

No. Only the “responsible person” for that account should answer questions regarding transactions. You should refer the co-worker to your supervisor, who can best decide whether to provide the answer.

Many staff and faculty members handle a variety of proprietary and private information concerning colleagues, students, clients, alumni, donors, and others associated with the university, as well as confidential information regarding university business. This material includes personal data, such as employee home addresses, Social Security numbers, donor files, human subjects, contracts and agreements, performance reviews, tenure packets, and student records. It is the responsibility of all Rutgers employees to respect the privacy of their colleagues and other members of the Rutgers community. Disclosure and discussion of confidential information obtained from university, school, or department records, during employment with Rutgers, is allowed only when such disclosure is a normal requirement of an employee’s position. After employment with Rutgers, such disclosure and discussion of confidential information is not allowed.

INFORMATION DISCLOSURE

The following information can be disclosed to the public without the affected student’s or employee’s consent:

Students – Information that the university defines to be “directory information” may be disclosed without a student’s consent, unless the student has requested that such information not be publicly available. The University Registrar maintains records on those students who have requested that directory information not be publicly available. The Office of Compliance and Student Policy Concerns annually publishes a notice that identifies what Rutgers has designated as directory information.

Before sharing any student information, confirm that the information in question is designated as directory information by consulting the annual notice archived on the Office of Compliance and Student Policy Concerns web site at www.rci.rutgers.edu/~polcomp/. In addition, contact the Office of the University Registrar to confirm that the student has not requested that his or her directory information be protected from public disclosure.

Faculty – Title or rank, department, campus address, campus telephone number, highest degree earned, and institution granting that degree.

How do I respond to a subpoena for records, wage garnishment, or other legal document?

Any legal summons, subpoena, or court order should be forwarded immediately to the Office of University Counsel, which will handle all responses to such requests.

Staff – Title or position, department, campus address, and campus telephone number.

An employee who is unsure about the appropriateness of disclosing certain information should consult with a supervisor, chairperson, or dean, or University Human Resources.

GRADES

Grades are considered confidential information, so care should be taken to make certain that a student's grade information is released only to him or her. Most departments require students to show identification when requesting their grades; confirm your department's specific policy with your supervisor or chairperson. Grades should not be posted in a manner that would allow a particular student's grade to be identified or reasonably inferred.

For assistance with concerns about confidentiality, contact University Human Resources or access its web site at uhr.rutgers.edu. You also may find the following web sites helpful:

- Office of the University Registrar: registrar.rutgers.edu
 - Office of Compliance and Student Policy Concerns: www.rci.rutgers.edu/~polcomp
 - Student Employment Office: studentwork.Rutgers.edu
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CONFLICT OF INTEREST

MANAGING A POTENTIAL CONFLICT

If you believe that a potential conflict of interest exists, notify your department chairperson, unit head, or supervisor, as appropriate. Although conflicts may occur, disclosure of them increases the chances that they will be managed appropriately. Disclosure is the critical first step in ensuring the resolution of a potential conflict.

CONFLICT OF COMMITMENT

An employee is permitted to do work outside of his or her job at the university as long as the additional work does not interfere with the employee's commitment of time and effort to the university job. While employees are encouraged to participate in community and volunteer activities, these also should not conflict with regular university duties.

Many Rutgers employees take part in professional, business, and service activities outside their work at the university. These activities include public service, participation in professional organizations, consulting, and teaching. Such participation is encouraged, as it often can benefit both the employee and the university. However, it is important for Rutgers' reputation, as well as for reasons of sound business practice, that employees not make decisions for the university if their personal economic interests would be directly affected.

A conflict of interest occurs when an outside activity competes with or diminishes the interest of the university or interferes with an employee's performance of university duties. Conflicts of interest are defined and regulated not only by university regulations but also by sources outside the university, such as the New Jersey Conflicts of Interest Law, and federal regulations addressing conflicts of interest in federal grants and contracts.

Employees involved in the purchase of goods or services should abstain from any transactions with suppliers that may be considered a conflict of interest. These include using affiliation with the university as a means of promoting a personal or financial interest. For example, making a purchase from a supplier owned or partially owned by university personnel or family of university personnel is a violation of university procedures.

Faculty and the university are increasingly encouraged to commercialize discoveries and inventions. This is usually achieved through licensing to an existing company. When this avenue is not reasonably available, then consideration may be given to the creation of start-up companies. Conflicts arise when a faculty member holds equity in a start-up company and that company wishes to contract with the university to license an invention or to do further development or research on the invention, usually involving the faculty member's laboratory. Such conflicts are allowable only when they are properly disclosed and approved after a thorough conflict review.

Any approval will require adoption of an acceptable plan that manages various conflict issues. These arrangements must preserve academic integrity of faculty research and not have an adverse impact on students.

For more information on conflict of interest, consult the following policies in the *University Regulations and Procedures Manual: Policy on Conflicts of Interest – Faculty* (3.3.10); *Code of Ethics for Administrative and Professional Staff Members* (3.5.2); and *Policy on Outside Work* (3.6.1). The *University Regulations and Procedures Manual* is available at www.rutgers.edu/regulations/.

You also may find helpful the *Purchasing Guidelines and Procedures for Faculty and Staff*, which is available from University Procurement and Contracting or at its web site, www.rci.rutgers.edu/~procure.

The *New Jersey Conflict of Interest Law, New Jersey Statutes Annotated Sections 52:13D–12 to 52:13D–27* provides a comprehensive set of rules that are applicable to Rutgers employees. It can be obtained from the Office of University Counsel or the web site for the New Jersey Executive Commission on Ethical Standards at www.state.nj.us/lps/ethics/coil.htm.



DAILY OPERATIONS



ACCOUNTING FOR THE UNIVERSITY'S FINANCIAL RESOURCES

DELEGATION

A manager for a particular university account may assign the detailed review of account activity to someone on his or her staff. However, the manager remains responsible for the activity in this account at all times, and must resolve any errors or misrepresentation in the account and inform the supervisor of any discrepancies.

In order to provide for certain recurring needs, my department has recently opened a checking account. Is this permissible?

No. The checking account must be closed. If your department has special cash needs, the Controller's Office can address these needs in a manner that safeguards university cash and properly records departmental activities in the university's financial records.

Sound business practice calls for each Rutgers faculty and staff member to safeguard and preserve the university's assets and resources. As a public institution, Rutgers meets its goals by using assets from several sources, including tuition, fees, and endowment and investment income, along with state, federal, and private sources. The university has an obligation to ensure that these resources are applied to the purposes for which they are intended.

EXPENDITURE AUTHORITY AND BUDGET RESPONSIBILITY

All revenue generated by university activities and all expenditures for goods and services must be recorded and accounted for within the university's financial systems. Each account in the university's financial systems has been assigned a vice president or provost who has expenditure authority for accounts under his or her respective budget responsibilities. Expenditure authority and budget responsibility may be delegated downward through an organization to individual employees for particular accounts.

All university employees who administer financial transactions should be familiar with the university's accounting structure and the policies that guide these transactions. Supervisors are responsible for ensuring that their staffs are familiar with these policies.

The use of university funds or assets, including grant funds, for any unlawful or improper purpose is prohibited. Employees who improperly or illegally use university funds are subject to disciplinary action up to and including discharge from university employment.

RESPONSIBILITIES FOR SPONSORED PROGRAMS

Because Rutgers' business operations are decentralized, the university relies on principal investigators (PIs), departmental business officers, and pre- and post-award administrators to act in the best interests of the university to ensure that the terms and conditions of the award are followed. These individuals are responsible for monitoring expenditures, managing budgets, and notifying the DGCA well in advance of a PI's move to another institution. Designated staff members in the ORSP and the Office of Corporate Liaison and Technology Transfer (OCLTT) are the only individuals authorized to commit the university to sponsored programs.

CONTROLLER'S OFFICE RESPONSIBILITY

The Controller's Office is responsible for the accuracy, integrity, and overall management of the university's financial systems. If you have questions related to accounting policies and procedures, contact the Office of the University Controller for assistance.

RESEARCH AND SPONSORED PROGRAMS, AND GRANT AND CONTRACT ACCOUNTING

Programs sponsored by federal, state, and private agencies represent a significant and important financial resource for the university. The Office of Research and Sponsored Programs (ORSP) and the Division of Grant and Contract Accounting (DGCA) assist Rutgers personnel with efforts to obtain and administer externally sponsored program funding to conduct scientific research, create works of art, compose music, write books and articles, improve classroom performance, and better serve their students, their professions, and the public.

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

ORSP oversees accountability, compliance, and stewardship for sponsored programs in accordance with all applicable federal and state laws, and with university policies and regulations. The ORSP also provides:

- Information on funding opportunities
- Assistance with the preparation of proposals
- Guidance with the development of budgets for proposals
- Direction to achieve compliance with both agency and university policies and procedures
- Support to secure internal grants for preliminary work on selected projects
- Oversight by ORSP's Institutional Review Board for the Protection of Human Subjects in Research
- Oversight by ORSP's Institutional Animal Care and Use Committee for the care and use of animals in research

THE DIFFERENCE BETWEEN GIFTS AND AWARDS

GIFTS – A gift is not an award and therefore is not charged a fee for facilities and administrative (F&A) expenses, previously known as indirect costs or overhead. Gifts must be received and processed by the Rutgers University Foundation. Refer to the *Donor Relations* section for more information on individual, corporate, and foundation gift giving.

UNRESTRICTED RESEARCH GIFTS – These gifts are designated for general research support for a particular PI or department, and require no financial or technical reporting. There also is no obligation to the donor.

AWARDS – With the exception of certain fellowships, awards are made to the university because of the quality of our facilities, our administrative capabilities, and the knowledge and skill of our PIs. Because the university is the legal recipient of the grant or contract award, Rutgers must ensure that the terms and conditions of the award are followed.

NON-STATE ACCOUNT FRINGE BENEFITS

The State of New Jersey requires that all non-state accounts, including awards, be charged for fringe benefits on all salaries and wages. Departments that carry out projects without a fringe benefit charge must fund fringe benefits from another non-state source.

DIVISION OF GRANT AND CONTRACT ACCOUNTING

DGCA provides post-award accounting and compliance support to the university research community in accordance with applicable federal and state laws, sponsor regulations and requirements, and university policies and regulations. This support includes:

- Collecting award funding and setting up new award accounts
- Establishing and monitoring budgetary controls
- Preparing and filing invoices
- Preparing and filing financial reports with the sponsors
- Responding to award audits
- Administering the federally required effort certification system
- Negotiating with the federal government to establish the university's facilities and administrative (F&A) cost and fringe benefit rates
- Providing technical advice to faculty and staff on award compliance

For more information on proper accounting, consult the following policies in the *University Regulations and Procedures Manual*: *Policy Concerning the Fiscal Responsibilities Associated with the Administration of University Accounts* (6.1.2); *Policies and Procedures Concerning Grant and Contract Accounting* (6.1.16); and *Gratuities, Guests, Gifts, and Use of University Resources* (6.4.2). The *University Regulations and Procedures Manual* is available at www.rutgers.edu/regulations/.

For additional assistance, contact the departments mentioned in this section or visit their web sites listed below.

- Division of Grant and Contract Accounting: www.rci.rutgers.edu/~ilc/
 - Office of Corporate Liaison and Technology Transfer: ocltt.rutgers.edu/
 - Office of Research and Sponsored Programs: orsp.rutgers.edu/
 - Office of the University Controller: www.rci.rutgers.edu/~univcont/index.htm
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DEPARTMENT-SPONSORED EVENTS

DEPARTMENTAL ACTIVITIES

When considering departmental activities, consider the following:

- **What steps should be taken to safeguard incoming monies?**
- **Have all formal records of related revenues and expenditures been kept?**
- **What are the compliance requirements if the activity is related to a state, grant, contract, or restricted account?**
- **Does the activity introduce a conflict of interest?**
- **Are there special requirements when making payments to individuals for independent services?**

Rutgers faculty and staff occasionally sponsor activities that generate additional revenues and costs in their departments. Examples of such activities include conferences, symposia, receptions, and the rental of facilities or equipment. The sponsors of these activities may charge participants application or registration fees, and often incur costs for meeting rooms, lodging, and meals.

Departments should obtain the appropriate approvals from their respective deans, chairpersons, or directors before planning such activities. The unit also should coordinate the activity with administrative service units, such as dining, catering, housing, risk management, university counsel, and the controller's office, to ensure that revenues are captured, costs are minimized, and legal and insurance risks are mitigated. Keep in mind that revenues generated by some events may create a tax liability for Rutgers.

All revenues and expenses related to these activities must be deposited and recorded in university accounts. Faculty and staff are not authorized to establish accounts with external banks or other parties in the name of Rutgers. Sponsoring departments are responsible for all costs incurred relating to the events.

Faculty and staff who host or sponsor activities as a representative of an outside professional association or other organization must avoid commingling outside revenues and costs with Rutgers funds. Non-university groups may apply for access to certain Rutgers facilities under special agreements.

For more information about department-sponsored events that generate costs and/or income, contact the Controller's Office or access its web site at www.rci.rutgers/~univcont/index.htm. Consult the Department of Risk Management with questions about legal or insurance risk issues.



RECORDS MANAGEMENT

The management of records is the systematic control of information—both in electronic and paper format—from its creation or receipt, through processing and use, until its destruction or placement into an archive. Proper records management satisfies federal and state laws, and ensures that significant records are preserved to document university history.

Each record has value, whether administrative, fiscal, legal, or historical. The value of the record determines how long it should be kept. Once the retention period is satisfied, the record may be destroyed.

The Rutgers Records Management Program, part of Special Collections and University Archives at the Alexander Library, provides information and assistance to campus departments on proper procedures for maintaining, retaining, and discarding university records.

For more information on records management and guidance on how long records should be kept, visit the Records Management Program web site at www.libraries.rutgers.edu/rul/libs/scua/ru_records.



PURCHASING AND VENDOR RELATIONS

I know a university employee who has a company that has good products and services. May I purchase from that company if I conclude that it is the best deal around?

No. The university may not purchase goods or services from companies owned by university employees. New Jersey law provides that no “state entity,” including Rutgers, can purchase goods or services from any corporation in which any state employee holds more than 1 percent equity in the company.

My department has an immediate need for a piece of laboratory equipment that will enable research to continue. Should I place the order over the phone to expedite delivery?

No. A Rutgers purchase order is required to authorize any purchase; the purchase order contains terms and conditions that protect the university and the department in case a dispute arises between the requisitioner and the vendor. Without a purchase order and the appropriate contract language, the university will not have a clear basis to resolve favorably vendor disputes. Contact Procurement and Contracting to protect both the university and yourself.

Procurement and contracting decisions are made most efficiently by the end users of the materials, supplies, equipment, or services in conjunction with the Procurement and Contracting staff. The university’s goal in every purchase is to obtain the best value possible—a combination of price, quality, reliability, service, and delivery terms.

Generally, the best way to determine the most appropriate source for a product or service is to conduct a competitive bid among potential suppliers. A competitive environment ensures that the highest overall value is achieved for any goods or services provided.

PURCHASING RESPONSIBILITY

All purchases of goods or services must be preceded by a properly issued purchase order. The university’s purchase order is a legal document that contains terms and conditions specifying protections for the department and university, such as limits of liability, insurance, termination, and performance acceptance clauses.

Authority and responsibility for the various aspects of purchasing and contracting processes have been delegated to employees as assigned throughout the university (i.e., purchases below \$1,000 may be made without Procurement and Contracting involvement). This approach requires that employees involved at any stage of the purchasing process take responsibility for understanding and implementing the university’s policies and procedures regarding purchasing and vendor relations. Procurement and Contracting provides assistance and support, procurement expertise, resource information, and contracting knowledge to faculty and staff.

EMERGENCY PURCHASES

There are procedures to expedite purchase orders and to facilitate placing emergency orders with a supplier directly during or after normal working hours. The university defines emergencies as safety hazards, keeping vital equipment operative, or preventing the deterioration of an experiment.

My department needs a piece of equipment. Can we commit the university to purchasing the item from a certain company before obtaining the required bids?

No. Only Procurement and Contracting is authorized to commit the university in purchasing matters. The university has set bid limits designed to keep the playing field fair and equitable. Procurement and Contracting can assist you in bidding the items and negotiating the best available terms and conditions to meet your needs and budget.

A consultant working with the university has offered to let me stay at his vacation home on Cape Cod for the weekend. Should I accept the invitation?

No. Acceptance of this gift would give the appearance of impropriety, so it would be inappropriate for you to accept the invitation. Employees should not accept gifts of this nature from consultants, independent personal service providers, or vendors engaged by the university, in the process of negotiations with the university, or who have established business relationships with the university in the past.

Contact the purchasing department on your campus for assistance with expediting orders or placing emergency orders, or visit the Procurement and Contracting web site for more information at www.rci.rutgers.edu/~procure/emergency.html.

VENDOR RELATIONS

Rutgers strives to maintain excellent working relationships with our vendors through prompt payment of invoices. To ensure prompt payment, all departments in the procurement process must complete their responsibilities in a timely fashion.

Departments ordering goods and services must ensure that requisitions are completed and sent to purchasing. Quick purchase orders must be forwarded to the Disbursement Control Department on a timely basis.

Departments should instruct vendors to submit invoices to Disbursement Control to ensure timely payment. If a department receives the invoice directly from a vendor, it must forward the invoice to Disbursement Control immediately. The department also must ensure that invoices over \$1,000 are promptly certified and returned to Disbursement Control for payment. Disbursement Control will not pay a vendor until both the purchase order and the invoice are matched.

GIFTS AND GRATUITIES

Employees are not allowed to solicit or accept from any current or prospective vendor or supplier any gift or gratuity, or anything else of more than nominal value. In this context, nominal is defined as an occasional meal (once or twice a year), a box of candy or food basket at the holidays that is shared with the department staff, or small token items such as pens, pencils, writing pads, or coffee mugs. If you are unsure whether a gift is of nominal value, consult your supervisor or unit head for clarification.

For more information on purchasing and vendor relations, consult the following policies in the *University Regulations and Procedures Manual: Purchasing Policies and Procedures* (6.5.1); *Policies and Procedures Concerning Invoice Processing* (6.1.3); and *Policies Concerning Gratuities, Official Guests, Receipt of Gifts, and the Use of University Resources* (6.4.2). The *University Regulations and Procedures Manual* is available on the web at www.rutgers.edu/regulations/.

You also can contact University Procurement and Contracting directly, access its web site at www.rci.rutgers.edu/~procure, or contact your local campus purchasing office for assistance. The Disbursement Control Department in University Accounting can assist departments with invoice processing questions. Its web address is www.rci.rutgers.edu/~univcont/index.htm.



TRAVEL, ENTERTAINMENT, GIFTS, AND EMPLOYEE RECOGNITION PROGRAMS

UNIVERSITY FUNDS/RESOURCES

University funds include all funds, regardless of the source or means of acquisition, received and deposited into any university account. University funds can include, but are not limited to, state and federal appropriations or grants, grants from private foundations, gifts, tuition and fees, and endowment or investment income. State funds consist of state appropriations, tuition, and fees. Non-state funds are comprised of the following: grants and contracts from the state, the federal government, and private foundations; endowment and investment income; and gifts.

As the business manager for an academic department, may I approve travel order or TABER forms for my department chairperson?

No. These forms must be forwarded to the chairperson's immediate supervisor for approval. In most instances, this is the dean's office.

The appropriateness of expenditures for travel, gifts, and entertainment is based on its relevance to advancing the university's goals. As with any expenditure of university funds, faculty and staff should seek the best possible value when committing university resources for goods and services. The guidelines set forth in this section comply with Internal Revenue Service regulations related to travel, entertainment, gifts, awards, and employee expenses, as well as Rutgers' standards.

TRAVEL

Rutgers reimburses faculty and staff for necessary travel expenses incurred in the performance of official duties. Employees should exercise prudence when incurring business-related travel expenses. Before making arrangements, employees should contact their department head or business manager to verify that planned travel is approved and funded for reimbursement. Under no circumstances may an individual approve his or her own travel or Travel and Business Expense Report (TABER) form. The approving authority should be the traveler's supervisor or the supervisor's designee who does not report to the traveler.

Individuals can consult the *University Travel Policy* for guidance on business travel or contact University Travel Services for assistance.

ENTERTAINMENT

When planning an event, employees should carefully consider the purpose served by the activity and how that purpose can be achieved in a cost-effective manner. The event must serve a business purpose. The cost incurred must be prudent and reasonable. For example, when hosting visitors to the university, such as guest lecturers or faculty candidates, reasonable meal expenditures are appropriate. However, the inclusion of university employees at these functions should be kept to a minimum, and alternative forums for meeting and discussing university business should be explored.

I plan to attend an out-of-town work-approved program that starts on a Monday. If I arrange to arrive on the Saturday before the start of the program, will the university also pay for these expenses?

Yes, provided the cost of staying overnight plus a reduced airfare make the overall trip less expensive for the university. However, if the transportation and lodging expense resulting from the extended stay increases the overall trip costs, then the employee must cover the difference between the two amounts.

My job occasionally requires me to attend functions outside of normal business hours. Can I be reimbursed for my childcare expenses?

No. Childcare expenses are not reimbursable costs during the normal workday or for functions you are required to attend outside of normal business hours. In addition, other personal services (such as shoeshines, haircuts, manicures, or formal wear rental) are not reimbursable.

Sponsored research programs often contain specific guidelines on allowable travel, meal, and entertainment expenditures that supersede the university's policies in these areas. For these guidelines, contact the Division of Grant and Contract Accounting.

EVENTS WITH SOCIAL PURPOSES

It is inappropriate to use university resources to fund purely social events such as holiday parties, staff picnics, going-away celebrations, birthdays, or wedding or baby showers, or to purchase tickets for athletic or cultural events. Events of this type are acceptable only when contributions are solicited from colleagues to fund fully the costs of these events.

Employee retirement parties and retirement gifts should be funded by collections of personal funds. However, these may be supplemented by non-state funds if the retiree has been employed at the university for twenty-five years or more. Exceptions to the retirement guidelines require the senior vice president and treasurer's approval.

GIFTS

The use of university funds for the purchase of gifts is limited to those that are related to University Human Resources' approved employee award and recognition programs. University funds may not be used to buy gifts for employees. This includes, but is not limited to, holiday, birthday, retirement, going-away, wedding or baby shower, anniversary, Secretary's Day, or bereavement gifts. Gifts of this nature should come from personal contributions only.

EMPLOYEE RECOGNITION PROGRAMS

Employee recognition programs that serve a business purpose are acceptable if approved by University Human Resources and the provost, a vice president, or a member of the president's cabinet. When spending university funds for these events, expenses should be reasonable and follow university purchasing guidelines and procedures.

For instance, a unit or division may host an event (e.g., reception or luncheon) to acknowledge a noteworthy work-related accomplishment or milestone, such as the successful completion of a major project. Employee retreats and morale building, staff development, or team-building programs also may be held for academic or university business purposes.

If I chair a universitywide committee, may I schedule an occasional working lunch on university grounds for committee members?

Yes, a working lunch may be a necessary expense for the committee if the lunchtime meeting provides the only convenient opportunity for the committee members to meet.

When university funds are used to support these employee-related events, the appropriate individual, based on the total expenditure, must approve the event in advance. The appropriate approving authority may delegate these approvals to other individuals. (For example, a vice president may delegate the approving authority to a dean.) The approving authority also may place a per person limit on spending within these guidelines. The approval guidelines are as follows:

- \$0–\$1,500 – dean- or director-level approval
- \$1,501–\$5,000 – president's cabinet level approval
- \$5,001 or more – senior vice president and treasurer's approval

For recognition programs involving employees who are represented by a union, contact the Office of Employee Relations before instituting such programs.

ALCOHOL

The cost of alcoholic beverages cannot be reimbursed from state or federal funding sources.

EXCEPTIONS

Exceptions to these guidelines must be obtained in advance from the appropriate president's cabinet member or the senior vice president and treasurer, depending upon the required level of approval. The authority to make an exception may not be delegated.

For more information on travel, entertainment, gifts, and employee recognition, consult the following policies in the *University Regulations and Procedures Manual*: *University Travel Policies and Procedures* (6.1.10); *Policies and Procedures Concerning Business Meals* (6.1.11); *Policies and Procedures Concerning State Accounts* (6.1.14.B.2); *Policies and Procedures Concerning Grant and Contract Accounting* (6.1.16); *Policies Concerning Gratuities, Official Guests, Receipt of Gifts, and the Use of University Resources* (6.4.2); *Death of an Active or Retired University Employee* (3.1.6); and *Policy on Conflicts of Interest – Faculty* (3.3.10). The *University Regulations and Procedures Manual* is available at www.rutgers.edu/regulations/.

You can contact University Human Resources directly or access its web site at uhr.rutgers.edu.

For assistance with travel questions, contact University Travel Services or access its web site at www.rci.rutgers.edu/~rutravel.

You also may find the Division of Grant and Contract Accounting (DGCA) a helpful resource. A copy of the *Policies and Procedures for Travel and Business Expense Reimbursement on Grants and Contracts* is available from DGCA. Tax-related questions can be directed to the Office of the University Tax Director. You can find information about these two offices at www.rci.rutgers.edu/~univcont/index.htm.



PROPER USE GUIDELINES



PROPER USE OF UNIVERSITY ASSETS

My supervisor suggested that I submit a timesheet with extra hours that I did not work as a reward for my outstanding performance on a recent project. Is this an acceptable practice?

No. Falsification of a timesheet is a fraudulent activity, regardless of the intent or purpose. Such activity can subject both parties to disciplinary action up to and including discharge from university employment.

EMPLOYEE RESPONSIBILITY

Although primary responsibility for control of university equipment, materials, supplies, and information assets rests with the provosts, vice presidents, deans, chairpersons, directors, or department heads to whom property is assigned, all Rutgers employees are responsible for securing and caring for university property, resources, and other assets. This responsibility includes such actions as locking doors and cabinets; securing valuable equipment and assets; and reporting suspicious or fraudulent behavior.

MISUSE OF UNIVERSITY ASSETS

Rutgers relies on the attention and cooperation of every member of the community to prevent and detect the misuse of university assets. This misuse usually involves some form of deception or misrepresentation of fact and information, or the appropriation of university property or funds, for personal gain. Examples include falsification of time worked or expenses claimed for reimbursement; theft of cash or property; use of university facilities, vehicles, or equipment for personal purposes; and unreimbursed personal use of phones, postage, or supplies. All of these actions are improper, and some are serious violations of university business operation standards.

REPORTING MISUSE OF UNIVERSITY ASSETS

Any employee or student employee who knows of or reasonably suspects fraud, misappropriation of funds, theft, or some other misuse of university assets should report the situation immediately to his or her supervisor. All Rutgers supervisors who are notified of misuse are required to address the situation immediately.

If the employee reporting misuse of university assets reasonably believes the situation is not being addressed satisfactorily, or the misuse is, or has

been, committed by the individual's supervisor, the employee should report the situation to his or her department chairperson, dean, program director, manager, the Internal Audit Department, or the Rutgers University Police Department. Although persons reporting suspicion of fraud or other misuse of university assets should identify themselves to aid the investigation, anonymous fraud or misuse allegations will be considered when supported by specific facts.

DISPOSAL OF PROPERTY

All merchandise purchased with university funds, including grant funds, is the property of the university and must be disposed of in accordance with the university policy on *Surplus Property* (6.5.5) in the *University Regulations and Procedures Manual*. This policy includes guidelines for donations and computer equipment disposal. For additional information, contact the Material Services Department or visit the procurement web site at www.rci.rutgers.edu/~procure/.

For more information on the proper use of university assets, consult the following policies in the *University Regulations and Procedures Manual*: *University Academic Policies* (2.5.0); *Policies and Procedures Concerning Equipment, Materials, and Supplies* (6.1.15); *Policies and Procedures Concerning the Personal Use of University Telephones* (6.1.17); *Use of University Motor Vehicles* (6.3.5); *Facilities Use and Scheduling* (6.3.7); *Policies Concerning Gratuities, Official Guests, Receipt of Gifts, and the Use of University Resources* (6.4.2); and *Surplus Property* (6.5.5). The *University Regulations and Procedures Manual* is available at www.rutgers.edu/regulations/.

Questions regarding misuse of university assets can be directed to the Internal Audit Department. The public safety web site at publicsafety.rutgers.edu provides information on how to contact the Rutgers University Police Department.



PROPER USE OF CONSULTANTS

My director wants to hire a company, which is incorporated, to help us with a major project. The company's fee is \$25,000. Can I hire this company using a "Request for Consulting or Independent Personal Services" form?

No. Companies that are incorporated must be hired using a university purchase order. Because the consulting fee is more than the \$14,700 university bidding threshold, purchasing must review the request for purposes of competitive bidding.

Under certain circumstances, some units need to engage consultants or other independent personal service providers (IPSPs). The university requires use of its prescribed standard consulting agreement under which the university is ensured of receiving ownership of the consultant's work product. Rutgers defines a consultant or IPSP as an individual, a sole proprietorship, a partnership, an association, or some other non-incorporated entity hired by the university to provide specialized advice or service for a fee but not as an employee. Corporations engaged to provide professional or other services must be contracted through Procurement and Contracting with a university purchase order.

If a unit needs to engage a consultant or IPSP, the unit has the responsibility to determine that the individual will be considered an independent contractor, as opposed to an employee, for income and employment tax purposes. The distinction between an employee and an independent contractor is important under state and federal tax laws because an employer must withhold income and employment taxes from an employee but not from an independent contractor. If an individual has been misclassified as an independent contractor, the university could be liable for unpaid taxes, interest, penalties, and unpaid benefits.

Generally, an employee/employer relationship exists when the person for whom the services are performed controls and directs the individual performing the services. In that case, the individual must be hired as an employee, not as a consultant or IPSP.

Individuals or noncorporate agencies engaged to provide professional or other services must be contracted using a "Request for Consulting or Independent Services" form. This prenumbered form contains a questionnaire that will help you determine whether the individual is an employee or independent contractor. These forms are available from the Material Services Department.

A faculty member in my department is hiring an employee from another Rutgers department to work on a research project. Can this individual be engaged as a consultant using a "Request for Consulting or Independent Personal Services" form?

No. The employee must be paid through the university's payroll system either as an additional appointment, when appropriate, or as other pay.

When an employee provides services to another department or an externally sponsored program of the university, the payment for those services must be paid through the university's payroll system under an additional appointment or as "other pay."

For more information on the proper use of consultants, see the following policy in the *University Regulations and Procedures Manual: Policies and Procedures Concerning Payments Made to Individuals for Consulting or Other Independent Personal Services, Intellectual Property, Honoraria, and Other Miscellaneous Activities* (6.1.4). The *University Regulations and Procedures Manual* is available at www.rutgers.edu/regulations/.

Specific questions about hiring consultants or independent personal service providers may be directed to University Procurement and Contracting (www.rci.rutgers.edu/~procure), the Disbursement Control Department in University Accounting (www.rci.rutgers.edu/~univcont/index.htm), or your local campus purchasing office.



ACCEPTABLE USE OF NETWORK AND COMPUTING RESOURCES

It is Rutgers' policy to maintain access for its community to local, national, and international sources of information, and to provide an atmosphere that encourages the free exchange of ideas and sharing of information. Access to this environment and the university's information technology resources is a privilege and must be treated with the highest ethical standards.

USE OF INFORMATION TECHNOLOGY RESOURCES

The university expects all members of the community to use computing and information technology resources responsibly, respecting the public trust through which these resources have been provided, the rights and privacy of others, the integrity of facilities and controls, and all pertinent laws and university policies and standards.

The guidelines for acceptable use of university computing and information technology resources pertain to, but are not limited to, equipment, software, networks, data, and telephones, whether owned, leased, or otherwise provided by Rutgers.

The guidelines apply to all users of Rutgers' computing and information technology resources, including faculty, staff, students, guests, and individuals or organizations accessing external network services, such as the Internet, via university facilities. These guidelines also apply to individuals or organizations from outside the university who have access to Rutgers' computing and information technology resources from outside the university.

INDIVIDUAL RESPONSIBILITY

Preserving access to information resources is a community effort that requires each member to act responsibly and guard against abuses. Both the community as a whole and individual users have an obligation to abide by the following standards of acceptable and ethical use:

- Use only those computing and information technology resources for which you have authorization.
- Use computing and information technology resources only for their intended purpose.
- Protect the access and integrity of computing and information technology resources.
- Abide by applicable laws and university policies, and respect the copyrights and intellectual property rights of others, including the legal use of copyrighted software.
- Respect the privacy and personal rights of others.

Failure to comply with these guidelines threatens the atmosphere for the sharing of information, the free exchange of ideas, and the secure environment for creating and maintaining information property, and subjects abusers to discipline. Anyone found using information resources for unethical or unacceptable practices is subject to suspension or termination of system privileges. In appropriate cases, there may be disciplinary action, including expulsion from school, termination of employment, and/or legal action.

LIMITS ON RESOURCE USE

Rutgers reserves the right to limit or restrict the use of its computing and information technology resources based on institutional priorities and financial considerations, as well as when it is presented with evidence of a violation of university policies, contractual agreements, or state and federal laws. The university also reserves the right to examine material stored on or transmitted through its facilities if there is reason to believe that the standards for acceptable and ethical use have been violated or for reasons of business necessity.

More information, including *Guidelines for the Interpretation and Administration of the Acceptable Use Policy*, can be found at rucs.rutgers.edu/policies.html. Questions about the policy and reports of abuse can be directed to abuse@rutgers.edu.



PROTECTION OF HUMAN SUBJECTS AND ANIMALS IN RESEARCH

Research involving humans and live vertebrate animals plays an essential role in combating disease and expanding the frontiers of knowledge. It is imperative that this important activity be carried out with the highest ethical standards. Protecting people who are subjects in research and ensuring the proper care and use of live vertebrate animals are high priorities at Rutgers.

Anyone carrying out research involving human subjects or live vertebrate animals must obtain appropriate university approval before work is done. At Rutgers, the Institutional Review Board for the Protection of Human Subjects reviews all protocols involving human subjects. The Animal Care and Facilities Committee reviews all protocols using live vertebrate animals.

More information on how to submit protocols involving human subjects in research can be found at orsp.rutgers.edu/hsannmem.htm. Topics discussed at the site include categories of review; student research projects; the federally mandated human subjects education program; National Institute for Health (NIH) requirements for human subjects education; examples of when human subject protocols are required; definition of human subject; and a submission schedule.

More information on how to submit protocols involving the use of live vertebrate animals in research can be found at orsp.rutgers.edu/animals/animal_letter.pdf. Topics include an animal issues communications plan; requirements of the occupational health program; custom antibody production; federal agency requirements; requirements for submission of amendments; and a submission schedule.

Specific questions regarding the protection of human subjects and animals in research may be directed to the Office of Research and Sponsored Programs. You also may access the web sites listed above.



COPYRIGHT OF INTELLECTUAL MATERIAL

SITE LICENSES FOR SOFTWARE

The university has obtained site licenses for some software. Under these licenses, there may be arrangements for multiple copies for departmental use. In some instances, individual copies are available for a small fee.

Rutgers complies with U.S. copyright law and with the licensing restrictions that apply to the reproduction of, access to, and use of software and databases. Copyright law protects the rights of creators of “original works of authorship fixed in a tangible medium of expression,” both published and unpublished, to reproduce, prepare derivative works based on, distribute, publicly perform or display, and digitally transmit their works. Copyright protection begins at the time the work is created in fixed form. A copyright notice is not required.

FAIR USE

For higher education, fair use is the most important exemption in copyright law from copyright owners' exclusive rights in their copyrighted materials. The fair use doctrine provides an exemption for educators, scholars, and students that allows the use of limited amounts of copyrighted materials without seeking permission of the copyright holder. In appropriate cases, such use does not infringe on the rights of copyright holders. The fair use doctrine provides guidance for considering how to balance educational needs with the author's rights, and allows the reproduction of limited amounts of copyrighted material for the purpose of criticism, comment, teaching, or research under certain circumstances. Educational use alone does not automatically result in a finding of fair use.

Consider the following factors when determining whether such a reproduction constitutes fair use:

- Purpose and character of the use (non-profit as opposed to commercial)
- Nature of the copyrighted work
- Amount and substance of the portion used
- Effect of the use on the market value of the work

Is it a violation of copyright law if I copy a software program and give it to a colleague for his or her personal use?

Copyright law allows the creation of a single backup copy. Most software, however, is licensed to the user only, and the terms of the license agreement govern the extent of the user's rights to copy beyond that permitted by copyright law. You should adhere to the provisions of the software license agreement.

As this is a complicated assessment, refer to the web site of the university libraries for assistance: www.libraries.rutgers.edu/rul/rr_gateway/research_guides/copyright/copyright.shtml.

COPYRIGHT PERMISSION

Never assume copyright permission. It always is safest to get permission from the copyright owner before using copyrighted material, especially if you are unsure whether the material is copyrighted or your use is considered fair use. Even materials lacking a copyright notice may be copyrighted. Materials that appear on the web are protected by copyright in the same manner as any other works. The fact that materials are available on a web site does not place them in the public domain.

THE UNIVERSITY'S COPYRIGHT POLICY

The university's *Interim Copyright Policy* governs the ownership of copyrightable works created at the university or using university facilities. Generally, the university owns the copyright to copyrightable works created by staff. Generally, too, the university does not assert copyright ownership to writings or other copyrightable works created by faculty or students on their own initiative unless university resources—such as facilities or other support for the purpose of creating such materials—are used or the works relate to sponsored research. The university seeks to preserve the traditional prerogatives of faculty and students to publish and disseminate scholarly materials and to create artistic works.

The university's *Interim Copyright Policy* is available at the Office of Corporate Liaison and Technology Transfer's web site, ocltt.rutgers.edu. For technical advice or additional sources of information, contact the Office of the Vice President for Research. Copyright materials also are available at the Rutgers University Libraries web site at www.libraries.rutgers.edu.

For more information about copyrights and intellectual property, consult the following policies in the *University Regulations and Procedures Manual: University Academic Policies* (2.5.0); and *Policies and Procedures Concerning Payments Made to Individuals for Consulting or Other Independent Personal Services, Intellectual Property, Honoraria, and Other Miscellaneous Activities* (6.1.4). The *University Regulations and Procedures Manual* is available at www.rutgers.edu/regulations/.



INTELLECTUAL PROPERTY AND PATENTS

COMMERCIALIZATION OF INTELLECTUAL PROPERTY OWNED BY THE UNIVERSITY

Information on the commercialization of scientific discoveries and inventions and intellectual property owned by the university through licensing and the creation of start-up companies can be obtained from the Office of Corporate Liaison and Technology Transfer. Information on the use and licensing of Rutgers' name, logos, and trademarks can be obtained from the Office of Trademark Licensing.

Work performed by Rutgers faculty, students, and/or staff often results in valuable intellectual property. Novel inventions and discoveries represent intellectual property that may be protected from use by others through the patenting of such inventions and discoveries with the U.S. Patent and Trademark Office (PTO). An invention that is novel, non-obvious, and useful may be patented under U.S. Patent Law. Patent protection allows the owner of the patent to exclude others from utilizing the invention embodied in the patent for twenty years from the date of first filing for the application, provided that the U.S. PTO ultimately grants the application.

It is the obligation of the inventor to disclose his or her invention or discovery to Rutgers before disclosing it through publication or other means. In addition, the faculty or staff inventor must assign his or her ownership rights to the invention or discovery or any subsequent patent to Rutgers. Even many non-employees may be subject to this policy, including visiting professors or visiting scientists with or without salary support from Rutgers, undergraduate and graduate students, and post-doctoral fellows.

For more information about intellectual property and patents, consult the following policies in the *University Regulations and Procedures Manual: University Academic Policies* (2.5.0); *Faculty or Staff Involvement with Commercial Enterprise – Contracts with the University* (3.3.11); *Policies and Procedures Concerning Payments Made to Individuals for Consulting or Other Independent Personal Services, Intellectual Property, Honoraria, and Other Miscellaneous Activities* (6.1.4); *Patent Policy of Rutgers* (6.4.1); and *Use of the University Seal* (6.4.10). The *University Regulations and Procedures Manual* is available at www.rutgers.edu/regulations/.

You also may find the following helpful:

Downloadable disclosure forms are available from the Office of Corporate Liaison and Technology Transfer or on its web site at ocltt.rutgers.edu/.

The *University Policies for Dealing with Allegations of Misconduct in Research* can be found on the Office of Research and Sponsored Program's web site at orsp.rutgers.edu/.

The Office of Trademark Licensing web site is at ur.rutgers.edu/trademark/trademarklicensing/.



REPRESENTING THE UNIVERSITY



MEDIA RELATIONS

CAMPUS INFORMATION

As a large, complex institution, Rutgers has many contact points for internal and external constituents seeking information and referrals about university services, programs, and activities. It is difficult for individual units to be aware of all aspects of university operations. Campus Information Services (CIS) was established to provide centralized information and referral services for the university, and to assist inquirers with their information needs. The Rutgers Information and Referral Center at CIS can be reached at 732/932-INFO.

Occasionally, representatives of various media outlets may contact university administrators for comment about issues regarding Rutgers, individual members of the university community, or higher education policies and trends. It is important that administrators not grant interviews or provide comment to reporters prior to consulting with one of the university's media relations offices. The professionals in these offices can help determine the nature of the request and identify an appropriate spokesperson. They can further assist by determining the reporter's deadline and with gathering information needed for a response.

The goal is to advance Rutgers' reputation, mission, and goals, and the office serves as the university's primary liaison with campus, local, regional, national, and international media. The office provides accurate and timely responses to media requests for information and coordinates emergency communications with campus-based and external media. It also provides public relations support and advice to the faculty, administration, and governing boards.

If you are contacted by a reporter about any issue concerning the university, call the Office of Media Relations and Communications before making any comment to the reporter. On the Newark campus, contact the Office of Campus Communications; on the Camden campus, call the Public Information Office.

For more information on the Office of Media Relations and Communications, visit its web site at ur.rutgers.edu/medrel/. Visit the Rutgers–Camden Public Information Office web site at www.camden.rutgers.edu/Camden/Campus/news_events/index.html. The Rutgers–Newark Office of Campus Communications web site is rutgers-newark.rutgers.edu/occ.

You also may find these web sites helpful:

- Campus Information Services: ruinfo.rutgers.edu/
- Campus Map Order Site: ruinfo.rutgers.edu/cispage/maps.html
- University Events Calendar: www-ac.s.rutgers.edu/calendar/



USE OF THE RUTGERS NAME, SEAL, TRADEMARKS, AND LOGO

DEFINITIONS

LOGO: A logo is any visual treatment that is used to identify the university or other university entities such as specific colleges or athletics.

SEAL: The seal is the university logo recognizable as the starburst within the circle. It is used primarily for official documents such as contracts, deeds, and financial instruments that require the signature of an officer of the university corporation, attested to and sealed by the Secretary of the University.

TRADEMARK: Trademarks include all university and athletics logos and word-marks. This includes “Rutgers,” “Rutgers University,” and “Rutgers, The State University of New Jersey.”

Does the requirement that all products be ordered from a licensed manufacturer include products ordered by university departments and student organizations or not-for-sale items like give-aways?

Yes. This requirement includes all university departments and student organizations, and all not-for-sale items, including give-aways.

The Rutgers name, seal, and logos, including the intercollegiate athletics logos, are trademarks of the university, and are controlled and protected by the university. The university’s trademarks cannot be used to endorse any product or service, either explicitly or implicitly, without the written permission of the Office of Trademark Licensing. In addition, all products bearing Rutgers’ trademarks must be ordered from a licensed manufacturer. A list of licensed manufacturers is available at ur.rutgers.edu/trademark/trademarklicensing.

The official university logo should be used on communications issued in the university’s name. The university relies on the logo as the single graphic element which, when used universally, establishes a consistent visual identity for the entire institution. Use of the logo also ensures that the correct, complete name of the university appears on all official Rutgers communications (e.g., stationery items, brochures, web sites). Guidelines on the correct use of the university logo are available at ur.rutgers.edu/logos. Contact the Department of University Relations for more information.

Faculty and staff wishing to use the university’s seal and/or logos on books, journal articles, and conference presentations must first obtain permission from the Office of Trademark Licensing.

Requests for use of trademarks associated with intellectual property owned by the university relating to scientific research should be addressed to the Office of Corporate Liaison and Technology Transfer.

For more information on the use of the university logo, contact the Department of University Relations or access its web site at ur.rutgers.edu/logos.

You also can contact the Trademark Licensing Administrator at the Office of Trademark Licensing for assistance with trademark related questions. A list of manufacturers licensed to sell products bearing Rutgers’ trademarks can be obtained from this office or at ur.rutgers.edu/trademark/trademarklicensing.

For more information, consult the policy on the *Use of the University Seal* (6.4.10) in the *University Regulations and Procedures Manual* available at www.rutgers.edu/regulations/, or access the Office of Corporate Liaison and Technology Transfer web site at ocltt.rutgers.edu/.



USE OF RUTGERS PHOTOS AND IMAGES

Rutgers' Office of Photographic Services maintains a large number of still images, both color and black and white, that may be used for internal Rutgers communications projects. These include photographs of campus scenes, landmarks, and events. Some of these images also may be used in external communications media when approved by the director of Photographic Services. Some images contained in existing materials may have usage restrictions. The Office of Photographic Services can advise you of such restrictions and guide you to the proper authority for usage information and approvals.

Any requests from news organizations or other media for photographic images should be directed to the appropriate office on your local campus:

- New Brunswick – Office of Media Relations and Communications
- Newark – Office of Campus Communications
- Camden – Public Information Office

For more information on the Office of Photographic Services, visit its web site at ur.rutgers.edu/photoservices.

Contact the Office of Print and Electronic Communications for videotaped images of university locations, activities, and events. The office's web site is opec.rutgers.edu. The Rutgers University Library also maintains an archive of still and moving images.

The web sites listed below also may be helpful.

- Office of Campus Communications Rutgers–Newark: rutgers-newark.rutgers.edu/occ
 - Office of Media Relations and Communications: uc.rutgers.edu/medrel/
 - Rutgers–Camden Public Information Office: www.camden.rutgers.edu/Camden/Campus/news_events/index.html
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FILMING, VIDEOTAPING, AND PHOTOGRAPHING THE RUTGERS CAMPUSES

Outside businesses occasionally seek authorization to film, videotape, or photograph a particular site or building on one of Rutgers' campuses for commercial, educational, or documentary purposes. Such requests must be submitted in writing to the Office of Print and Electronic Communications (OPEC), which reviews them to determine whether they are compatible with the university's mission and goals. OPEC reserves the right to deny requests that reflect negatively on the university or interfere with its routine operations.

The executive director of university relations makes the final determination on whether requests will be accommodated. If you receive a request for filmmaking, videotaping, or still photography on campus, direct the company or individual to OPEC. Any requests made by news organizations should be forwarded to the director of the appropriate office on your local campus:

- New Brunswick – Office of Media Relations and Communications
- Newark – Office of Campus Communications
- Camden – Public Information Office

You may find the web sites listed below helpful.

- Office of Campus Communications, Rutgers–Newark: rutgers-newark.rutgers.edu/occ
 - Office of Media Relations and Communications: uc.rutgers.edu/medrel/.
 - Office of Print and Electronic Communications: opec.rutgers.edu
 - Rutgers–Camden Public Information Office: www.camden.rutgers.edu/Camden/Campus/news_events/index.html
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UNIVERSITY WEB SITES

UNIVERSITY LINKS

Official Rutgers web pages should promote the entire university, as well as specific departments and programs. Where appropriate, such pages should link to general information pages, as well as to universitywide search engines and indexes.

Web sites are rapidly becoming one of the primary means through which the university presents information to both internal and external audiences. As university units develop or maintain web sites, it is important that each site clearly conveys a relationship to the university, adheres to standards of quality and professionalism, and is accessible and user-friendly.

Rutgers, while acknowledging the value in its diversity, also is committed to its existence and identity as “one university.” Designs based on a common layout and style present a stronger institutional identity, and facilitate navigation and access to information.

Given the growing importance of this medium, web site development guidelines have been established and apply to all Rutgers web pages that are intended as official public information about campuses, schools, departments, offices, programs, and other units of the university, and that are linked from the main university web page. The Rutgers Web Toolkit at toolkit.rutgers.edu/ provides these guidelines as well as other resources and templates. The Office of Print and Electronic Communications is available to help departmental web developers.

You may find the web sites listed below helpful.

- University Web Policies and Guidelines: toolkit.rutgers.edu/requirements.html
 - Rutgers Web Toolkit for developing web sites: toolkit.rutgers.edu/
 - Rutgers Web Development Resources: toolkit.rutgers.edu/resources.html
 - Office of Print and Electronic Communications: opec.rutgers.edu/
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DONOR RELATIONS

The Rutgers University Foundation is the official nonprofit charitable organization associated with the university. Its purpose is to obtain private gift support and other resources to meet the university's needs for which adequate funds may not be available from state, federal, or other sources. The Foundation is empowered to raise and record gifts for the benefit of Rutgers and with the approval of the university's Board of Governors and Board of Trustees. The executive director of the Foundation is responsible for approving and accepting gifts with the advice and counsel of the senior vice president and treasurer and the Office of University Counsel.

The Foundation accepts gifts of cash, securities, and property according to criteria set forth in its gift acceptance policy. All individual, corporate, and foundation gifts must be received and processed by the Foundation to ensure that the university is in compliance with state and federal regulations regarding charitable gifts. All check donations to the university should be made payable to the Rutgers University Foundation and forwarded to the Foundation's Accounting Department, Winants Hall, 7 College Avenue, New Brunswick, NJ 08901. The allocation of the gift, the gift amount, and the name(s) and address(es) of the donors should be included with the gift.

Rutgers' continued success depends on relationships with alumni, donors, and other supporters. These relationships are professional and mutually beneficial, and include ensuring that funds and other assets these supporters provide are used for the purposes for which they were intended and in a fiscally sound manner. In addition, all information about prospective donors and anonymous gifts is confidential.

For more information on donor relations, visit the Rutgers University Foundation's web site at www.support.rutgers.edu.



ATHLETIC BOOSTERS

If a student athlete cannot go home for Thanksgiving, may I invite the student to my home to eat with my family?

Yes. Occasionally, staff members or boosters are allowed to provide a meal at their homes (but not at a restaurant) for one or more student-athletes. However, the student-athlete is not allowed to stay overnight in conjunction with the meal.

A student-athlete comes to my house for an occasional meal. May I let the student-athlete use my car to run an errand for me?

No. It is a violation of NCAA rules for a staff member or booster to allow a student-athlete to use the staff member's or booster's vehicle for any reason.

As a professor, I traditionally treat my senior classes to dinner at a restaurant at the end of the semester. If I have student-athletes in my class, may I take them as part of the class?

Yes. Benefits provided to student-athletes are not considered a violation of NCAA rules if the same benefits are provided to students generally. In this regard, you may treat student-athletes in the same manner you treat your other students.

As a member of the National Collegiate Athletic Association (NCAA), Rutgers is subject to all of its rules and regulations. These regulations govern all interactions by faculty and staff with prospective or current student-athletes. Employees who have ever shown an active interest in Rutgers athletics by donating money to the program, who have ever been a member of a Rutgers athletics booster club (such as the Touchdown Club or the Court Club), who have been requested by the Athletics Department to assist in recruiting, or who have been involved in promoting the Rutgers athletic program are considered athletic boosters under NCAA guidelines.

NCAA booster status specifies additional standards of conduct when in contact with student-athletes and prospective student-athletes. Regardless of whether a faculty or staff member is a booster, the university is held accountable for his or her actions if the person commits a violation of NCAA rules. If you have questions regarding these rules, contact the Division of Intercollegiate Athletics' Office of Compliance.



PUBLIC
SAFETY
AND HEALTH



SAFETY, HEALTH, AND THE ENVIRONMENT

PUBLIC SAFETY CONCERNS

Public safety concerns should be referred to the executive director for public safety.

DEFENSIVE DRIVER TRAINING

All persons who regularly drive university motor vehicles are required to attend a defensive driver training class. This program is managed by the Emergency Services Department. Information about the course content and class registration is available on the web at publicsafety.rutgers.edu.

PERSONAL SAFETY AND PHYSICAL SECURITY

A principal consideration in every campus activity is the safety of students, faculty, staff, and visitors. Deans, department chairpersons, vice presidents, and other supervisors should be aware of the personal safety needs of their personnel and visitors, and should work to control hazards associated with activities under their direction.

The Rutgers University Police Department operates on the New Brunswick, Newark, and Camden campuses twenty-four hours a day, 365 days a year. The department provides the university community with a full range of police and security services. *Safety Matters*, an annual brochure outlining public safety statistics, services, and programs on each of Rutgers' regional campuses, can be obtained from each campus' Rutgers police department or on the web at publicsafety.rutgers.edu.

The Emergency Services Department administers four comprehensive safety service programs: fire safety, emergency medical service (New Brunswick only), CPR instruction, and defensive driver training. For more information, visit its web site at publicsafety.rutgers.edu.

ENVIRONMENTAL HEALTH AND SAFETY

Rutgers is committed to protecting the health and safety of all members of the university community and to protecting our environment. That commitment includes:

- Providing facilities and operations where we strive to minimize the risks of recognized hazards.
- Providing a prevention and awareness program on occupational injuries and illnesses that emphasizes safety management, education and training, and safe work practices.
- Complying with all applicable health, safety, and environmental laws and regulations.

- Minimizing waste, and reusing and recycling materials where economically and environmentally appropriate.
- Ensuring that health, safety, and environmental protection are principal considerations in the design, construction, and/or renovation of all buildings and facilities.

An exemplary health, safety, and environmental program at Rutgers, strong managerial support, a “culture of safety” throughout the organization, and a team approach to resolving concerns are essential. Everyone must participate in making Rutgers a safe place in which to live, work, and learn. Supervisors are responsible for seeing that their employees work in a safe and healthful manner, and for correcting any unsafe acts or conditions. Employees must report to their supervisors immediately all workplace injuries and illnesses, and any unsafe conditions in their work areas.

Questions regarding health, safety, or environmental affairs should be directed to Rutgers’ Environmental Health and Safety Department.

OCCUPATIONAL HEALTH

The Occupational Health Department (OHD) promotes and protects the health and well-being of all university employees. Occupational health staff serve the university community by:

- Facilitating access to high-quality, comprehensive health services for those employees who experience a work-related injury or illness, or who are urgently in need of assistance.
- Assisting employees in safely returning to their jobs following nonwork-related injury or illness.
- Administering programs that promote the health and safety of university employees in the workplace and ensure university compliance with regulatory agencies such as the Occupational Safety and Health Administration and the New Jersey Department of Health and Senior Services’ Public Employees Occupational Safety and Health Program.
- Providing information to the university community on occupational health issues.

Any employee who sustains a work-related injury or illness must inform his or her supervisor immediately. Supervisors must complete and submit

WEATHER EMERGENCIES

Employees can call the Rutgers Information and Referral Center at 732/932-INFO twenty-four hours a day for up-to-date weather-related cancellations, delays of classes, and closings of university offices. Employees also can tune to Rutgers INFO Radio 530 AM, within seven miles of the New Brunswick campus, or visit the web site rutgersinforadio.rutgers.edu for weather information.

an Accident Report/Analysis form to the Risk Management Department, and direct the employee to contact OHD immediately for evaluation and treatment. The Accident Report/Analysis form can be downloaded at rehs.rutgers.edu.

RISK MANAGEMENT

The Department of Risk Management and Insurance identifies and assesses potential risks and exposures undertaken by university units that could result in financial loss to the university (i.e., due to injury or damage to persons or property, loss of contracts, disruption to operations). Faculty and staff should contact Risk Management for assistance when planning activities, initiatives, contracts, or programs. Once identified and quantified, the risks can be managed with insurance, contract modification, or safety engineering.

Risk Management is responsible for the administration and handling of claims that result from automobile/fleet operations, worker's compensation, general liability/tort claims, property damage to university facilities, and theft or damage to university-owned equipment.

ADVERSE WEATHER CONDITIONS

During adverse weather, the university remains open and continues all normal operations. Employees are expected to report to work during these periods. In rare instances of unusually dangerous weather conditions, such as blizzards, hurricanes, tornadoes, or floods, the university may declare a "weather emergency" and officially close specific campuses. Employees working in emergency, security, or other essential service positions are required to report for duty during such periods.

For more information on health, safety, and the environment, consult the following policies in the *University Regulations and Procedures Manual: Safety Policies and Guidelines* (5.1.1); *Risk Management and Insurance Policies* (5.3); and *Attendance During Adverse Weather Conditions* (3.6.17). The *University Regulations and Procedures Manual* is available at www.rutgers.edu/regulations.

The Environmental Health and Safety Department web site is rehs.rutgers.edu/.

For assistance with occupational health-related questions, contact the Occupational Health Department directly.
