Summary of Event and Entertainment Guideline Update

- Three areas of review
  - Educational Foundation Funds
  - Alcohol Policy
  - Entertainment Guidelines/Event Pre-Approval Form
- Educational Foundation Funds (excludes SOM)
  - Increase fund allocations to minimum $10,000 and maximum $50,000 (except libraries)
  - Based on faculty count reported by Planning & Analysis
  - Unspent funds carry forward
  - Donation limit increase to $50,000/year
- Alcohol Policy
  - Discontinue current Academic Programs Policy
    - No more alcohol policy form to route
  - Replace General Policy Regarding Use and Consumption of Alcoholic Beverages
    - Removes location restrictions
    - Approval at Dean level
- Entertainment Guidelines/Event Pre-Approval Form
  - Adds Homecoming Student Service allocation accounts
    - $5,000 – college/schools
    - $1,000 – Graduate School/Honors College/libraries
    - Unspent balances carry forward
  - Discontinue Event Pre-Approval Form
    - Approval at Dean level
    - Each school will provide relevant information to respective Development Officer
Proposal for Event and Entertainment Updates
01/09/2012

The objective of this proposal is to request changes needed to support schools and libraries in their endeavor to reach goals set forth in UAB’s strategic plan. Deans and directors are focused on meeting UAB’s goal for Community/Financial Support through enhanced development efforts. To do so, each needs to host additional events which generate costs that are typically not allowed under state funding guidelines. In addition, several business practices associated with event expense processing are not as efficient or effective as needed for deans and directors to be responsive in event planning.

Below is a breakdown of different components needed to improve overall efforts in event planning and execution: changes to UAB Educational Foundation Dean’s Funds allowances, updates to alcohol and entertainment guidelines, and elimination of event pre-approval and alcohol policy forms.

UAB Educational Foundation Funds
The Academic Deans (excluding College of Arts and Sciences and Medicine), Graduate School Dean, and Directors of Mervyn Sterne and Lister Hill Libraries receive an annual allocation of $5,000 in an account at UAB Educational Foundation. This allocation is used to pay for business related activities where state funding is not allowed and unspent funds carry forward to succeeding years. The College of Arts and Sciences receives $20,000 for the same purpose. Each college/school/library is able to solicit up to $25,000 annually in donations specifically designated for their respective funds. Enclosure 1 is a current summary of expenditure guidelines for UAB Educational Foundation Restricted Accounts. Enclosure 2 is the FY11 balance in each Dean’s Fund.

Office of the Provost is requesting increases to each Dean’s fund allocation and donation limit in support of additional development efforts pursued by college/schools/libraries. It is requested that each Dean’s Fund (excluding Medicine and libraries) be increased to reflect $250 per faculty member, with a minimum allocation of $10,000 and a maximum of $50,000. Faculty totals will be based on fall semester information determined by Planning and Analysis. Libraries will remain at level funding of $5,000 each year. Unspent funds continue to carry forward to succeeding years. In addition, it is requested that donation limits be increased to $50,000 each annually for each. Enclosure 3 is an estimate of each college/school/library fund allocation based on fall 2010 data.

In August 2011, the Office of the Provost was given responsibility for Educational Foundation Miscellaneous Support Fund of $25,000. In the past this fund has been used to
provide support for schools with charitable, academic or community outreach programs. FY11 funds awarded totaled $9,500 and were based on applications submitted to UAB Educational Foundation. These funds do not carry forward each year. Enclosure 4 is the Miscellaneous Support Fund change proposal received in August.

It is also requested that UAB Educational Foundation’s Miscellaneous Support fund of $25,000 remain level and be used in combination with other development efforts in FY12 as well as support of charitable, academic or community outreach programs. It is also requested that unspent funds carry forward to succeeding years. The fund will continue with its current application process which is handled on a case-by-case basis within Office of the Provost.

**Alcohol and Entertainment Guidelines**

The Academic Programs Alcoholic Beverage Policy enacted in 1997 addresses specific requirements for schools/units under Office of the Provost. It provides for a responsible person on site during an event and requires that alcohol be restricted to certain locations on campus. The policy also addresses distribution of alcohol during events in Hill University Center. A copy of current policy is included as Enclosure 5. The policy is intended to work in conjunction with General Policy Regarding the Use and Consumption of Alcoholic Beverages enacted in 1986 which is included as Enclosure 6.

Office of the Provost is requesting that Academic Programs Alcoholic Beverage Policy be replaced with General Policy Regarding the Use and Consumption of Alcoholic Beverages dated May 25, 2011. A copy of this revised policy is included as Enclosure 7. The updated policy incorporates changes to bring guidelines current and also provides for certain requirements in Academic Programs Alcoholic Beverage Policy such as designation of a responsible person. Each dean or their designee will ensure compliance with this updated policy.

**Entertainment General Expenditure Guidelines** outline different types of event expenditures related to business activities. Although a varied list of events is identified under these guidelines, Homecoming events are not included. Homecoming events are traditional alumni development opportunities as well as student life events. However, expenses are not considered allowable for state funds and are required to be paid from UAB Educational Foundation funds. Enclosure 8 is a copy of current guidelines.

For events such as Homecoming, it is requested that Student Service allocation accounts of $5,000 each be established for each academic college/school and $1,000 each for Graduate School, Honors College and libraries so they are able to pay for events that involve students but incur costs not allowable from general operating funds. An annual allocation for each
will come from student service allocations and unspent balances will carry forward to succeeding years. Total commitment for these accounts is $43,000 annually.

**Event Pre-Approval Form**

Under Entertainment Expenditure General Guidelines, an Event Pre-Approval form is needed in certain cases to assess allowable costs for events prior to commitment of funds. The intent of the form is to gather as much information about the event and associated costs prior to occurrence so a department is aware of expenses that may need to be funded through alternative sources such as UAB Educational Foundation funds. This form is generated by the school and routed to Provost, Development, and General Accounting. Once approved, the form is used as documentation for processing of expenditures for the event.

Since each dean is operating under a responsibility center concept, their approval of an event is sufficient for authorization of event and funding. It is proposed that Event Pre-Approval forms be discontinued and each school provides relevant information to the Development Office directly via their Development Officer. A copy of proposed modifications removing this form from Entertainment General Expense Guidelines is found in Enclosure 9.
The UAB Educational Foundation

SUMMARY - EXPENDITURES FROM RESTRICTED ACCOUNTS

The UAB Educational Foundation maintains several restricted funds for the support of the University of Alabama at Birmingham. All expenditures from these funds must be in support of UAB and its mission. No expenditure of a personal nature can be made. Expenditures are for expenses that cannot be paid from a state account, but are permissible under IRS codes as a business expenditure. All expenditures are recorded by the Foundation as a "Restricted Contribution in Support of UAB."

Expenditures must be beneficial to UAB’s mission and both ordinary (customary or usual) and necessary (appropriate, helpful to UAB’s business). In addition, all expenditures must be reasonable.

All expenditures are made under an "Accountable Plan." Such a plan requires that each payment request follow three requirements:

1) Adequately document a business connection for the expenditure.
2) Adequately substantiate the expenditure by submitting a detailed accounting with complete documentation.
3) Return any excess reimbursement or allowance - any amount not documented as an ordinary and necessary business expense.

An adequate accounting requires that five elements be substantiated:

1) The amount of each separate expenditure;
2) The time and place of travel, entertainment, etc.;
3) The date and description of the business expense;
4) The business purpose of the expense (the nature of the business benefit received or expected to be received as a result of the expense);
5) The business relationship of the recipient of the expenditure (the name, title, etc. sufficient to establish a business relationship).

Generally, once the amount of the expenditure has been documented by a receipt, then an adequate accounting requires a response to ‘who, what, when, why?’ for expenditure or event.

Why have such a plan? If the above procedures of an accountable plan are followed, there should be no tax consequences for items paid that are clearly beneficial to UAB and support the University’s mission and are not of a personal nature or specifically taxed under existing IRS codes (non-business percentage of social clubs, etc).

Examples of items generally allowed under existing codes are:

- Administrative retreats and conferences
- Advertising and promotional items such as t-shirts, pens, pencils, cups, etc. with UAB logo
- Alcohol purchases for university-sponsored functions or during a university business meal
- Business gifts of a nominal amount
- Christmas/Holiday cards (Institutional)
- Christmas/Holiday parties
- Civic expenditures which are institutional in nature
- Coffee service for guests and visitors
- Employee retirement awards such as trophies, plaques or similar awards of a non-cash nature (cash and gift certificates are taxable) related to length of service, safety, etc.
- Entertainment at university-sponsored events
- Flowers (death, illness, special occasions) for employees, VIP’s, university benefactors, etc.
- Goodwill expenditures for employees such as an occasional party, group meal, picnic; traditional birthday or holiday gift with nominal value (not cash or gift certificates); occasional theater or sporting event tickets; cake to celebrate an achievement or milestone; t-shirts for blood drive participation, etc.
- Recognition parties due to achievement
- Refreshments at UAB-sponsored luncheons or meetings
- Retirement ceremonies
- Retirement gifts of a nominal amount (not cash or gift certificates)
- Social events such as introductory parties for new administrative heads, new residents, etc.
- Sponsorships in university-related charitable events such as tournaments, table at civic events, etc.
- Travel in excess of UAB per diem (on UAB business)

**NOTE:**
- Contributions by individuals will not be paid
- Political expenditures of any type are prohibited and can never be paid.
- Travel advances will not be paid

In summary, expenditures from these restricted accounts must always be ordinary, necessary, and reasonable; beneficial to UAB and its mission; not personal; adequately documented; and permissible as a business expenditure under IRS codes, but not allowed to be paid from a state account.
The UAB Educational Foundation

Restricted Fund Payment Guidelines

General
Limited funding is available through the Educational Foundation for certain types of expenditures which cannot be paid from State funds. Expenses payable from State funds should generally be submitted for payment against UAB funds.

All payments by the Educational Foundation funds include, but are not limited to, the following:
1) Expenses related to approved UAB events (see UAB Event Guidelines) which cannot be paid from State funds, such as alcohol and entertainment services;
2) Expenses for other events which have a UAB business purpose but which cannot be paid from State funds, such as retirement functions and employee holiday events;
3) Flowers and donations in lieu of flowers;
4) Participation/sponsorship of civic functions;
5) Holiday Cards.

All requests for payments must adhere to the following general guidelines as well as the guidelines listed below for that type of payment:
1) Approvals: All payment requests must have the appropriate authorized approvals, as noted on the respective form, in order to be processed.
   a. Hospital Fund – approved by the Hospital Executive Director.
   b. Dean’s Funds – approved by appropriate dean or their designee
   c. All Requests – Must be approved by the Office of the Associate Vice President for Financial Affairs and Administration before Foundation final approval and payment.
2) Documentation: All requests must have the following:
   a. Original Invoice/Receipt
   b. Itemized list of items purchased or services performed
   c. Statement of business purpose of expenditure
3) Sales tax: For amounts paid by the Foundation directly to a vendor (not reimbursements of employees), the Foundation does not pay sales tax. The sales tax is a levy on the consumer, so all amounts purchased on behalf of UAB are exempt from state and local sales tax. The Foundation does pay rental tax.

Guidelines for Approved UAB and Other Events

1) Documentation: The following documentation should be provided with the payment request(s) for those expenses that cannot be paid from UAB funds for an approved UAB event (such as alcohol and entertainment services) and for all expenses for other events:
   a. A copy of the approved UAB Event Approval Form for UAB events or a statement of UAB business purpose for other events.
   b. A Copy of the invitation and/or other materials announcing, publicizing, or marketing the event.
c. A copy of the invitation which should include the individuals’ names and the organizations they are officially representing or the group that the individual is a member of, if applicable, (such as Board of Trustees, Leadership Council, etc.). UAB employees and their respective departments should be listed separately from the other guests.

d. No invitation list is required if the event is open to the UAB community at large and/or general public. Instead of a guest list, a copy of the announcement should be provided.

e. Original invoices for catering and other services must be itemized to show all costs separately.

f. For payments to individuals for services rendered (e.g. caterers, performers, servers), a W-9 form must be provided. The requestor should insure that the tax ID blank on the request form is completed. Payments will not be made in advance, except where required by contract.

g. Separate payment request forms must be completed for each vendor for each event.

2) Retirement receptions must be approved by either the Dean for academic departments, the Vice President for Financial Affairs & Administration for non-Hospital administrative departments, or the Hospital Executive Director for Hospital departments prior to the event. All requests for payments should be submitted through the appropriate office for written approval prior to submission to the Associate Vice President for Financial Affairs Office for processing.

Retirement gifts of gift cards or gift certificates are considered taxable by the IRS, and some gifts of actual physical property or services are taxable if they exceed $400. All requests related to retirement gifts must include this form so that the Foundation can communicate any taxable amounts to the employee. [Click here to access the form.]

Non-Hospital administrative departments - The University Fund will provide funding based on the retiree’s length of service (see schedule below) for the cost of the retirement event, which includes both the gift and reception. Expenses in excess of the preapproved amount will be the responsibility of the respective department.

<table>
<thead>
<tr>
<th>Years of Service</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 but less than 20</td>
<td>$450</td>
</tr>
<tr>
<td>20 but less than 25</td>
<td>$500</td>
</tr>
<tr>
<td>25 but less than 30</td>
<td>$550</td>
</tr>
<tr>
<td>30 and above</td>
<td>$600</td>
</tr>
</tbody>
</table>

Academic departments - Each Dean is responsible for establishing guidelines as to the amount to be provided from his/her respective Dean’s or School Gift Fund. These Dean’s Funds are to be used to pay for Retirement Receptions/Gifts (general University Fund money is not available for academic department use).

Hospital departments - The Executive Director of the Hospital is responsible for establishing guidelines as to the amount to be provided from the Hospital Fund.
The cost of the gift paid from any Educational Foundation source must be less than $600. All areas of the University are encouraged to follow the guidelines in the table based on Years of Service above.

**GUIDELINES FOR FLOWERS AND DONATIONS IN LIEU OF FLOWERS**

1) Payments for flowers on the occasion of illness or death are allowable as follows:
   a) **UAB employees** and their immediate family members (e.g. spouse/partner, children, and parents);
   b) **Non-UAB employees** who have a unique relationship with UAB (i.e. UAB benefactor/donor, VIP, Board of Trustees member).

2) In the case of a death when the family has asked for donations to a particular charity in lieu of flowers, such donations are allowable provided the amount is comparable to what would Educational Foundation Payment Guidelines have been spent for flowers (generally $100 or less).
   a) In those cases where the charity is another educational institution or related entity, Deans may, at their discretion, make larger donations from their respective fund(s). All such donations must be made directly to the charity. Donations made by personal check cannot be reimbursed. A copy of the obituary or other notice from the family of their preference should be included with the payment request.

3) The message on the enclosure card should include a reference that identifies the sender’s role/relationship at UAB (i.e. Martin Nowak, UAB Hospital Executive Director or UAB School of Business or President’s Office).

4) The documentation provided with the payment request should include the name of the recipient and his/her relationship to UAB, the message on the enclosure card, the delivery address, and the original invoice.

**GUIDELINES FOR PARTICIPATION/Sponsorship of Civic Functions:**

1) Payment requests must document UAB’s reason for participating/sponsoring the function.
   a) Participation/Sponsorship requests from the University Fund must include a copy of the Civic/Charitable Functions form showing the University Events Office approval of UAB’s participation/sponsorship.

2) The documentation provided should include the list of UAB representatives attending.

**GUIDELINES FOR INDIVIDUAL Civic MEMBERSHIPS:**

1) When there is a documented UAB business purpose, Deans may, subject to the approval of the Vice President for Financial Affairs and Administration, use their respective fund(s) to pay for their individual membership(s) in civic organizations, such as Rotary, Chamber of Commerce, etc.

2) Payment requests must include documentation of the business purpose and a copy of the original invoice from the organization.
The UAB Educational Foundation

DEAN'S FUNDS SUMMARY
RECEIPTS AND DISBURSEMENTS
For the period 10/1/2010 through 9/30/2011

<table>
<thead>
<tr>
<th>School</th>
<th>Beginning Balance</th>
<th>Common Fund Allocation</th>
<th>Donation Revenue</th>
<th>Expenditures</th>
<th>Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Arts &amp; Sciences</td>
<td>$34,969</td>
<td>$20,000</td>
<td>$2,250</td>
<td>$(27,506)</td>
<td>$29,713</td>
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<tr>
<td>Business</td>
<td>3,435</td>
<td>5,000</td>
<td>22,800</td>
<td>(11,244)</td>
<td>19,991</td>
</tr>
<tr>
<td>Engineering</td>
<td>22,198</td>
<td>5,000</td>
<td>5,589</td>
<td>(12,097)</td>
<td>20,691</td>
</tr>
<tr>
<td>Nursing</td>
<td>14,707</td>
<td>5,000</td>
<td>6,470</td>
<td>(20,322)</td>
<td>5,855</td>
</tr>
<tr>
<td>Optometry</td>
<td>2,000</td>
<td>5,000</td>
<td>1,072</td>
<td>(4,631)</td>
<td>3,441</td>
</tr>
<tr>
<td>Public Health</td>
<td>11,101</td>
<td>5,000</td>
<td>8,475</td>
<td>(21,544)</td>
<td>3,032</td>
</tr>
<tr>
<td>Health Professions</td>
<td>7</td>
<td>5,000</td>
<td>10,000</td>
<td>(8,894)</td>
<td>6,113</td>
</tr>
<tr>
<td>Dentistry</td>
<td>3,397</td>
<td>5,000</td>
<td>-</td>
<td>(2,617)</td>
<td>5,780</td>
</tr>
<tr>
<td>Graduate</td>
<td>14,073</td>
<td>5,000</td>
<td>-</td>
<td>(7,200)</td>
<td>11,873</td>
</tr>
<tr>
<td>Sterne Library</td>
<td>9,147</td>
<td>5,000</td>
<td>-</td>
<td>(4,206)</td>
<td>9,942</td>
</tr>
<tr>
<td>Lister Hill Library</td>
<td>3,298</td>
<td>5,000</td>
<td>-</td>
<td>(6,596)</td>
<td>1,703</td>
</tr>
<tr>
<td>Total</td>
<td>$118,332</td>
<td>$70,000</td>
<td>$56,656</td>
<td>$(126,856)</td>
<td>$118,133</td>
</tr>
<tr>
<td>College/School</td>
<td>Faculty Count</td>
<td>Rate</td>
<td>Total</td>
<td>EF Fund Allocation</td>
<td></td>
</tr>
<tr>
<td>----------------------------</td>
<td>---------------</td>
<td>------</td>
<td>--------</td>
<td>--------------------</td>
<td></td>
</tr>
<tr>
<td>Arts and Sciences</td>
<td>353</td>
<td>250</td>
<td>88,250</td>
<td>50,000</td>
<td></td>
</tr>
<tr>
<td>Business</td>
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<td>250</td>
<td>14,250</td>
<td>14,250</td>
<td></td>
</tr>
<tr>
<td>Dentistry</td>
<td>65</td>
<td>250</td>
<td>16,250</td>
<td>16,250</td>
<td></td>
</tr>
<tr>
<td>Engineering</td>
<td>59</td>
<td>250</td>
<td>14,750</td>
<td>14,750</td>
<td></td>
</tr>
<tr>
<td>Health Professions</td>
<td>102</td>
<td>250</td>
<td>25,500</td>
<td>25,500</td>
<td></td>
</tr>
<tr>
<td>Nursing</td>
<td>92</td>
<td>250</td>
<td>23,000</td>
<td>23,000</td>
<td></td>
</tr>
<tr>
<td>Optometry</td>
<td>41</td>
<td>250</td>
<td>10,250</td>
<td>10,250</td>
<td></td>
</tr>
<tr>
<td>Public Health</td>
<td>88</td>
<td>250</td>
<td>22,000</td>
<td>22,000</td>
<td></td>
</tr>
<tr>
<td>Graduate School</td>
<td>-</td>
<td>250</td>
<td>-</td>
<td>10,000</td>
<td></td>
</tr>
<tr>
<td>Lister Hill Library</td>
<td>18</td>
<td>-</td>
<td>-</td>
<td>5,000</td>
<td></td>
</tr>
<tr>
<td>Mervyn Sterne Library</td>
<td>17</td>
<td>-</td>
<td>-</td>
<td>5,000</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>892</strong></td>
<td></td>
<td><strong>214,250</strong></td>
<td><strong>196,000</strong></td>
<td></td>
</tr>
</tbody>
</table>
Proposal for Educational Foundation’s Miscellaneous Support Budget

Background
For a number of years, the Educational Foundation has budgeted $25,000 for “Miscellaneous Support of UAB”. This funding, however, has increasingly become recurring in nature for the same projects year after year. Here are the most common recipients and the amounts given annually by the EF:

<table>
<thead>
<tr>
<th>Program</th>
<th>Annual Funding Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>School of Optometry- South America Trip</td>
<td>$ 8,000</td>
</tr>
<tr>
<td>School of Engineering- Egg Drop Contest</td>
<td>$ 1,500</td>
</tr>
<tr>
<td>Campus Counseling Center</td>
<td>$ 9,000</td>
</tr>
</tbody>
</table>

The intention of this proposal is to outline a process through which other schools with charitable, academic or community outreach programs can seek funding from this annual EF budget.

Proposal

Miscellaneous Support Budget
The attached application will be used for applying for this funding, beginning with Fiscal Year 2012, with the applications due by August 1, 2011 to Harlan Sands office. Harlan, Richard Margison and Eli Capilouto will review the applications and award funding (not to exceed $10,000 per project, $25,000 overall) to the selected projects. The winning projects will be forwarded to Jodie Mote for specific inclusion in the EF’s annual budget.

Campus Counseling Center
Due to the Campus Counseling Center’s (CCC) important role in providing counseling services to UAB students and employees through their partnership with the UAB Counseling and Wellness Center (by providing faith-based services through their partnership with the Presbyterian Church to students that the University might not have been able to otherwise accommodate), I propose that the annual funding that the Educational Foundation has been providing be:

1. Removed from the Miscellaneous Support budget.
2. Listed as a specific line-item in the budget just like the EF’s support for the Quality Enhancement Program, Student Life Activities, Student Recruitment and Campus Escort.
3. Subject to annual approval by the Vice President for Student Affairs (VPSA) and Provost who will affirm the continuing partnership between the Counseling and Wellness Center and the overall benefit to UAB of the CCC. The CCC will make its annual funding request directly to the VPSA by August 1st of each year, who will forward its recommendation to the Provost and VP for Financial Affairs & Administration for inclusion in the EF budget.
4. Continued at $9,000-$10,000 per year and increased upon the recommendation by the VPSA/Provost.
The UAB Educational Foundation
Application for Funding for Charitable, Academic and Community Support Projects

The purpose of this form is to apply for funding from the EF’s “Miscellaneous Support” budget for any project or event meeting these guidelines:

1. Project must be organized and administered by an academic department (School of Engineering, Medicine, Optometry, etc.). This funding is not available for Hospital or Administrative Departments.
2. Project must be charitable and/or academic in nature. No funding will be provided for social, faculty recruitment, marketing, or other events or expenditures that are not charitable in nature or do not relate directly with the academic mission of the department.
3. Application for amounts to be paid during the upcoming fiscal year beginning October 1st are due by August 1st (i.e. an application for project funding needed February 15, 2012 are due by August 1st, 2011), and should be delivered to Harlan Sands’ office in AB 1019, Zip 0110 with all required signatures.

Applicant Name: __________________________ Phone: __________________________
Campus Mail: __________________________ 4 Digit Zip: __________________________
School/College: __________________________ Department: __________________________

Amount of Funding Requested (not to exceed $10,000): __________________________

Project Description (include charitable/academic purpose and goals):
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

Required Signatures:
Applicant: __________________________ Date: __________________________
Department Chair: __________________________ Date: __________________________
Dean: __________________________ Date: __________________________
University of Alabama at Birmingham – Office of the Provost

ACADEMIC PROGRAMS
ALCOHOLIC BEVERAGE POLICY

October 16, 1997

See also the UAB General Policy Regarding the Use of Consumption of Alcoholic Beverages.

Applicability

This Academic Programs Alcoholic Beverage Policy applies to all areas reporting to the Provost such as the following:

All academic schools
Joint Health Sciences departments and units
Graduate School
Mervyn H. Sterne Library
Lister Hill Library of the Health Sciences
Reynolds Historical Library
UAB Options
OADI Technology Center
Vice President for Student Affairs units (See also Attachment C)
Vice President for Planning and Information Management units
All other units which report to the Provost

Policy

The University of Alabama at Birmingham has established a general UAB-wide policy for serving alcoholic beverages. It is expected that all members of the UAB community are aware of that policy and will abide by it. Given this assumption, the Provost’s Office has established this policy for occasions in which alcoholic beverages are served by units under the jurisdiction of the Provost. If an activity planned or sponsored by faculty, staff (in units reporting to the Provost), or students will include alcoholic beverages, it must have prior written approval of the department or unit head, dean (if applicable), and Provost (see Attachment B “Academic Alcoholic Beverages Approval Form”). Similarly, the location of the event must have been designated as an acceptable location for such events (see Attachment A “UAB Facilities In Which Alcoholic Beverages May Be Served By Academic Units”). Wherever such an occasion occurs within any unit reporting to the Provost, the following rules must be followed:

1. A “responsible person” must be designated for every function at which alcoholic beverages are served. That individual is responsible for ensuring that the UAB General Policy Regarding the Use and Consumption of Alcoholic Beverages is followed.

2. Alcoholic beverages will not be served to an individual who appears to be intoxicated or if there is reason to believe that the individual may be intoxicated.
3. At such events, there must be a previously set time limit to the serving of alcoholic beverages.

4. At such events, there must be a bar attendant responsible for opening and closing the bar.

**General Considerations**

1. Additional, more restrictive policies regarding the serving of alcoholic beverages have been established for some UAB facilities, for example, the Great Hall. Events which are scheduled for those facilities also are subject to the specific policies covering the facility in which the event will take place. Similarly, UAB student groups planning events involving the serving of alcoholic beverages are subject additionally to the alcoholic beverage policy established by the Vice President for Student Affairs. (See Attachment C.)

2. Procedures must be established for functions attended by individuals below the legal drinking age to assure that such individuals do not receive alcoholic beverages.

3. Alcoholic beverages may not be served at functions where the majority of attendees are below the legal drinking age.

**Attachments**

The following items attached to this policy are a part of the policy but may be revised from time without affecting the policy itself:

- Attachment A: UAB Facilities in which Alcoholic Beverages May Be Served by Academic Units
- Attachment B: Academic Programs Alcoholic Beverages Approval Form
- Attachment C: Division of Student Affairs Policy Number SA 1 – 014 “Use and Consumption of Beverages Containing Alcohol.”

Date: ____________________

Approved: ____________________

Provost
The following UAB facilities are authorized locations where dispensing and consumption of alcoholic beverages may take place:

1. Woodward Estate
2. Green and Gold Room (Bartow Arena)
3. The Board Room (Hill University Center)
4. Stephens Performing Arts Center
5. Reynolds Historical Library
6. Center for Advanced Medical Studies (CAMS)
7. Henley Room (Mervyn H. Sterne Library)
8. Great Hall (Hill University Center)
9. Marshall Conference Center
10. Clark Memorial Theater

Each event must obtain Provost Office approval, regardless of whether the facility already is pre-approved for hosting such events.
Attachment B

ACADEMIC PROGRAMS ALCOHOLIC BEVERAGES APPROVAL FORM

October 16, 1997

This academic programs approval procedure is based on the UAB General Policy Regarding the Use and Consumption of Alcoholic Beverages. If an activity planned or sponsored by faculty, staff, or students in any academic program contemplates the use of alcoholic beverages, the sponsors of that activity must receive prior written approval of the head of the department/unit/center; the dean of the school; the Vice President for Student Affairs if the sponsoring group or individual is a student organization or a student (see Attachment C for procedures related to the Student Affairs area); and the Provost or designee. Permission must be obtained through completion of the items on this form. Prior to the event, a copy of the completed form must be placed on file in the office of the responsible administrator, and a copy will be retained by the Provost's Office. The Provost may prohibit a function from serving alcoholic beverages if circumstances warrant.

1. Brief description of the type of function and sponsor of the function

2. Location of function (See Attachment A: UAB Facilities In Which Alcoholic Beverages May Be Served By Academic Units)

3. Types of individuals who will attend the function (faculty, staff, students, non-UAB guests, etc.)

Will any of the attendees be below the legal drinking age?

Explanation

4. Date(s) and hour(s) of the function

Time limits for the serving of the alcoholic beverages
5. Names and Titles of UAB personnel who will be in attendance throughout the function and who will be responsible for the use of alcohol at the function. Normally, this is the person making the application for approval to serve alcohol at the function.

6. Name of the specific individual who will be responsible for actually dispensing alcoholic beverages at the function

7. Description of security arrangements for the function

I have read, and will abide by, the Academic Programs Alcoholic Beverages Policy and the UAB General Policy Regarding the Use and Consumption of Alcoholic Beverages.

<table>
<thead>
<tr>
<th>Applicant</th>
<th>Date</th>
<th>Authorizing UAB Official</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
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Provost Approval

Comments or restrictions for this event:

<table>
<thead>
<tr>
<th>Approved:</th>
<th>Date:</th>
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</table>

Provost or Designee
Attachment C

POLICY STATEMENT
THE UNIVERSITY OF ALABAMA AT BIRMINGHAM
DIVISION OF STUDENT AFFAIRS

Subject: Scheduling and Use of Hill University Center Facilities
Source of Policy: Standing Operating Procedures for UAB Hill University Center
Supersedes Policy: 9/29/00

Originated By: Director of HUC Operations
Title: Date: ________________

Approved By: Assistant Vice President/Student Facilities and Finance
Title: Date: ________________

Approved By: Vice President for Student Affairs
Title: Date: ________________

Approved By: President
Title: Date: ________________

GENERAL POLICIES

1. The scheduling of Hill University Center facilities will be done on a first-come, first-served basis according to the following priorities:
   a. UAB-wide programs, committees, and recognized student organizations
   b. Faculty, staff, and administration (for those professional organizations/affiliations whose activities are sponsored and coordinated by a UAB office or department).
   c. Alumni
   d. Non-UAB groups

   Alumni and non-UAB groups may schedule Hill University Center facilities for activities which are professional, civic, or UAB-related in nature. Each request must be approved by the Assistant Vice President/Student Facilities and Finance. Scheduling by non-UAB groups is limited to one year in advance. All scheduling will be tentative until the Coordinator of Hill University Center Scheduling returns a confirmation form to the requester. (See Exhibit SA VIII-004-1). Non-UAB organizations will be assessed rental fees according to the schedule for Facility Rental Fees and Equipment Rental Fees (see appropriate sections below).

2. In order that appropriate accommodations may be provided, a seven-day notice is required for scheduling of a facility, except for Fourth Floor Meeting Rooms and First Floor Conference Rooms, two work days notice is required for these areas. Exceptions may be approved by the Director of Hill University Center Operations on an individual basis.
3. Scheduling of events and activities for the following areas will be handled by the Hill University Center Scheduling Office using the Facility Reservation Request Form (Exhibit SA VIII-004-2):

- Alumni Auditorium
- Great Hall Meeting Rooms
- Fourth Floor Meeting Rooms
- Plaza

All other areas in the building will be scheduled by the various departments (for example, conference rooms within suites). It is the responsibility of the department to notify the Scheduling Office of events occurring after normal office hours so that access information can be included on the various building operation reports.

For reservations involving food and beverage service, arrangements for related services must be made through the designated caterer, in addition to requesting the facility through the Hill University Center Scheduling Office.

4. Regular use of Hill University Center facilities and equipment (that is, meetings, lectures, etc.) will be made available without cost to UAB committees, recognized student organizations, faculty, staff and alumni. Special requirements and equipment for banquets, dances, etc., may result in fees being required. Special or extra expenses to UAB may be assessed against organizations using and requesting additional services or requesting extension of normal building hours. See appropriate sections for fee schedules.

Meetings, seminars, etc., for which registration fees or admission are charged will be assessed a fee of $50.00 for the use of the meeting rooms, the Great Hall, the Auditorium, or the Fourth Floor. Any waivers of this fee must be approved prior to the event by the Assistant Vice President/Student Facilities and Finance. Currently, recognized UAB student organizations and UAB-wide student programs are exempt from this fee. Teleconferences in the Auditorium for which registration fees are charged will have fees assessed according to the teleconference rates found later in this policy.

5. Groups requesting an audio-visual technician to be present will be assessed a fee according to the schedule for Equipment Rental Fees (see below).

6. All catering in the Hill University Center will be provided by the designated caterer. Use of other caterers is prohibited. Individuals and groups are prohibited from bringing their own food, soft drinks, punch, coffee, etc., to be served at events.

Student organizations and UAB-wide student programs may request an exception to using UAB Catering during evening and weekend hours when less than 75 people are attending. Only "light" refreshments are allowed. Complete policies and procedures for catering and catering exceptions are contained in Student Affairs Policy SA VII-024.

7. The possession or consumption of alcoholic beverages in the public areas of the Hill University Center is prohibited. Special arrangements may be made for serving alcohol in the privacy of leased space. A $50.00 leasing fee will be charged to UAB groups, whereas non-UAB groups will pay any applicable rental fees. The lessor is responsible for complying with the UAB General Policy Regarding the Use and Consumption of Alcoholic Beverages and the related Student Affairs policies. The request form permitting the use of alcohol must be completed, and approval must be obtained. These policies and the special request form are available at the Scheduling Office and the Assistant Vice President/Student Facilities and Finance office.

UAB Policy must be provided for the event and costs must be paid by the lessor. Security must be arranged through the Office of Student Leadership, Hill University Center, Room 440.

8. Individuals or groups are responsible for the behavior of their members and guests.

9. Individuals or groups will be responsible for any damage to, or theft of, any Hill University Center property. Damages will be charged to the individual(s) or group(s) responsible.
10. All decorations and equipment used in events must be removed no later than two hours after the event has ended unless an extended time limit has been approved in writing by the Director of Hill University Center Operations prior to the event. Special electrical needs, telephones, water sources, and other unusual needs for events must be approved by the Director of Hill University Center Operations. Special charges may be assessed for labor and equipment.

11. The use of the Hill University Center facilities for personal/family social functions such as weddings, family reunions, family birthday celebrations, etc., is not permitted.

12. Solicitation areas at the Hill University Center will be limited to three locations in the Main Lobby, one location in the Bookstore Lobby, and ten locations on the plaza. Recognized student organizations and UAB offices/departments will be permitted to schedule a solicitation area in any of these locations for a maximum of five days each term. Once the maximum number of days has been used, the requesting group may continue to schedule a table one day per week for any week(s) remaining in the term on a week-by-week basis. The request will be held until the Thursday before the week requested. If available space exists the request will be considered and a confirmation will be mailed to the requestor. Pending reservations will be prioritized by the dates on the reservation request form. If more than one pending request is being held, the request(s) with the earlier date(s) will be honored first until all available locations have been scheduled.

Organizations and departments participating in New Student Orientation activities fairs will not have their participation in this type activity counted as a solicitation date.

13. Posters may be displayed on easels in lobby areas. Prior approval must be received using the Facility Reservation Request form. A poster may be displayed for a maximum of five days each term. Once the maximum number of days has been used, the requesting group may continue to schedule an easel one day per week for any week(s) remaining in the term on a week-by-week basis. The request will be held until the Thursday before the week requested. If available easel space exists, the request will be considered and a confirmation will be mailed to the requestor. Pending reservations will be prioritized by the dates on the reservation request form. If more than one pending request is being held, the request(s) with the earlier date(s) will be honored first until all available locations have been scheduled. Each individual or organization is responsible for the removal of the poster at the end of the fifth day, otherwise the poster and any backboard it is attached to will be discarded by Hill University Center Operations staff. Posters displayed on easels on the outside of the building are limited to the day of the event and must be removed at the end of the event by the requestor. Continued failure to remove posters by the requestor may result in the loss of display privileges.

14. Use of display spaces in the elevators is outlined in Policy SA VIII-023.

15. Any exception to these procedures must be approved by the Assistant Vice President/Student Facilities and Finance or the Director of Hill University Center Operations. Exceptions may be forwarded by either of these individuals to the Vice President for Student Affairs for review and approval.

GREAT HALL

1. In order that appropriate accommodations may be provided, a seven-day notice is required for scheduling rooms in the Great Hall. Exceptions may be approved by the Director of Hill University Center Operations or the Assistant Vice President/Student Facilities and Finance on an individual basis.

2. UAB security must be provided as required in the Hill University Center Policy for Use of the Great Hall for Fundraising Events and Open Social Activities for groups sponsoring activities in the Great Hall.

3. Recognized student organizations and UAB groups may schedule one fundraising/open social activity per term in the Great Hall (that is, discos, dances, parties, etc.). A second fundraising open social activity may be scheduled during a term pending availability of the Great Hall. Requests for scheduling the second event may not be submitted until 30 days before the requested date.
4. Non-UAB groups are not permitted to use the Great Hall for fundraising social activities or for activities such as dances, premis, formals, etc.

FOURTH FLOOR MEETING ROOMS

1. In order that appropriate accommodations may be provided, a two working day notice is required for scheduling Fourth Floor Meeting Rooms. Exceptions may be approved by the Director of Hill University Center Operations on an individual basis.

2. Meeting rooms will remain in standard set-up form. Any exceptions must be approved by the Scheduling Office. Requests for additional tables for refreshments and/or registration must be made on the Facility Request Form.

3. For groups requesting classroom or U-shape set-ups, the Fourth Floor Meeting Rooms will be booked first before using the Great Hall.

PLAZA

1. In order that appropriate accommodations may be provided, a one-working-day notice is required for scheduling the HUC Plaza space for group activities (concerts, stepping, etc.) and solicitation/recruiting purposes. Exceptions may be approved by the Director of Hill University Center Operations on an individual basis.

2. Only recognized student organizations, UAB-wide Student Programs, and UAB departments will be permitted to schedule this space. Vendors/outside groups will not be accommodated.

The following procedures must be followed when using the area with a table for solicitation/recruiting purposes:

A. Upon arrival, a representative from the group must go to the Information Center or Scheduling Office to let the Operations staff know that the group is ready for the table to be set up.

B. Only one table and no chairs will be given per group. The table must be staffed at all times.

C. The group must keep papers, fliers, etc., from blowing across the plaza.

D. In the event of inclement weather, groups will not be able to have a table.

E. When a group is ready to leave, a representative from the group will need to alert the Information Center or HUC Scheduling Office so that the table may be put away.

F. Each group will need to clean its area of debris.

RESERVING HILL UNIVERSITY CENTER EQUIPMENT

1. Requests for audio-visual equipment should be included on the Facility Reservation Request Form (Exhibit SA VIII-004-2) at the time it is completed. Requests made after the form is completed must be in writing to the HUC Scheduling Office, Room 125, Hill University Center.

2. All equipment must be used within the Hill University Center or on the immediate grounds. Equipment is not available for use in individual offices or suites. Removal of the equipment from the facility or grounds for any reason is strictly forbidden.
3. Requests for the set-up and use of any audio-visual equipment (including public address systems, slide and overhead projectors, video players/recorders, etc.) in the Hill University Center should be made at least one calendar week in advance of the scheduled event. Attempts will be made to accommodate requests made less than one week prior to the scheduled event, but accommodation of such requests cannot be guaranteed because audio-visual technicians employed by the Hill University Center are full-time students and their time is scheduled around their classes. Groups requesting an audio-visual technician to be present will be assessed a fee according to the schedule for Equipment Rental Fees.

4. Microphones/portable sound systems are not provided for setups in one room.

5. Any organization, group, or individual using Hill University Center equipment that does not require UAB-provided audio-visual technicians is responsible for such equipment and any damages to it.

6. Hill University Center equipment will be made available without cost to the UAB community unless noted as “fee required” on the Equipment Rental Fees schedule.

7. Non-UAB persons or organizations will be assessed a rental fee for use of any equipment listed in the Equipment Rental Fees schedule.

ALUMNI AUDITORIUM TELECONFERENCE RENTAL

1. All teleconferences scheduled in the Alumni Auditorium must be educational and non-profit in nature. A brief written summary outlining the program and supporting material from the originating source must be provided at the time the reservation request is submitted.

2. In order that appropriate accommodations may be provided, reservations must be made at least seven days in advance through the HUC Scheduling Office, Room 125, Hill University Center.

3. Food service in the Alumni Auditorium is limited to refreshments (coffee, soft drinks, punch, cookies, donuts, etc.). All food service must be provided by the designated caterer.

4. Payment is required five days in advance of the event to continue the confirmation of the reservation.

5. All groups are subject to the fees listed below. No waivers will be considered.

TELECONFERENCE RENTAL FEES

UAB Groups

$100.00 Minimum charge up to four hours for Equipment/AV Tech
20.00 Phone Line Charge**

$120.00 Total

*For programs longer than four hours, $25.00 per hour or fraction thereof.

Non-UAB Groups

$350.00 Rent (Duration of program up to a maximum of eight hours)
100.00 Equipment/AV Tech (Duration of program up to a maximum of eight hours)
20.00 Phone Line Charge**

$470.00 Total

**Minimum phone line charge. If long distance charges exceed $20.00, requestor will be billed after the event.
HILL UNIVERSITY CENTER FACILITY RENTAL FEES FOR NON-UAB GROUPS

1. Charges for rental are for the duration of a program up to a maximum of eight hours.

2. Rental Fees:

   Great Hall .................................................. $300.00
   Meeting Rooms A,B,C,D ............................... 75.00 each
   4th Floor Meeting Rooms ......................... 75.00 each
   Alumni Auditorium ..................................... 350.00
   Conference Room 133 ................................. 50.00
   Lobby Areas ............................................. 30.00
   Plaza/Patio Areas ....................................... 100.00

3. Special Requirement Fees

   a. Extension of Facility Hours ($25.00 per hour or fraction thereof)
   b. Special Labor and Equipment (Assessed at time of usage)
   c. Security Charges (Where required)

HILL UNIVERSITY CENTER EQUIPMENT RENTAL FEES FOR NON-UAB GROUPS

<table>
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<th>Fee</th>
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<tr>
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<td>Overhead Projector</td>
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<td>Video Projector</td>
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<td>Cassette Recorder</td>
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<td>16mm Projector</td>
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<tr>
<td>Portable Movie Screen</td>
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<tr>
<td>Laser Pointer</td>
<td>20.00</td>
</tr>
<tr>
<td>Video Tape Player/Recorder/Monitor</td>
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<tr>
<td>Portable Blackboard/Wipeboard</td>
<td>5.00</td>
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<tr>
<td>Stationary Movie Screens and Blackboards</td>
<td>No Charge</td>
</tr>
<tr>
<td>Sound Systems contained in facility</td>
<td>15.00</td>
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<tr>
<td>Carry Voice</td>
<td>15.00</td>
</tr>
<tr>
<td>Portable Sound System</td>
<td>See Policy</td>
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HILL UNIVERSITY CENTER EQUIPMENT RENTAL FEES FOR ALL GROUPS

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<tr>
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<td>(min. charge four hours)</td>
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<td>(min. charge two hours)</td>
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General Policy Regarding the Use and Consumption of Alcoholic Beverages

Abstract: Within the academic and social environment of the UAB, there are occasions where alcohol may be served in a responsible manner within the campus community.

University of Alabama at Birmingham

GENERAL POLICY REGARDING THE USE AND CONSUMPTION OF ALCOHOLIC BEVERAGES

October 17, 1986

Background

Diversity of opinion and freedom of choice are concepts which have long been an integral part of the higher educational tradition. This freedom, however, entails the exercise of personal responsibility, a responsibility that includes the obligation to make informed decisions regarding the use or nonuse of alcoholic beverages.

Within the academic and social environment of the University of Alabama at Birmingham, there are occasions where alcohol may be served. In an effort to ensure that alcohol is used only in a responsible manner within the campus community, the following policies are established.

General University Policies

1. The use of alcoholic beverages must be in compliance with federal, state and local laws and the regulations of the ABC Board as well as University regulations.
2. Alabama state law prohibits the purchase, consumption or serving of beer, wine or distilled spirits by persons under the legal drinking age. It is also a violation of state law to purchase alcohol for, or serve alcohol to, persons under the legal drinking age. In Alabama, the legal drinking age is 21. Persons who were 19 years of age or older on October 1, 1985, are exempt from the 21 year old age requirement. (Section 28-3A-25 Code of Alabama, 1975) (Section 6 of Public Law 98-363)
3. The laws of the State of Alabama prohibit the consumption of alcoholic beverages, whether in primary or secondary containers, in public areas.
4. All members of the university community (students, faculty and staff) are responsible adults and are expected to obey the law and take personal responsibility for their conduct.
5. Public intoxication and damage to public or private property are against the law in the State of Alabama and against the regulations of the University of Alabama at Birmingham.
6. Events having alcohol as the focal point are prohibited. In advertising events, references to
alcohol (e.g., wine and cheese receptions) are prohibited.

7. Alcoholic beverages must not be freely available and a designated server must be available to ensure no alcoholic beverages will be served to persons under age or to persons who appear intoxicated. At events where students are present, driver's license or official identification must be checked to verify that a person being served is of legal age before that person may receive and consume alcoholic beverages.

8. At all events where alcoholic beverages are being served, there must be alternative nonalcoholic beverages equally available and accessible (water should not be the only alternative offered).

9. Food stuffs (cheeses, snacks, sandwiches, etc.) should be made available by the sponsor to those in attendance.

10. The use of alcohol on campus is limited to those areas approved by the President or his/her designees.

11. Failure to comply with the policies and regulations presented in this document or violations of the law may result in civil and/or University action.

Specific Administrative Unit Policies

The diversity within the academic and social environment of the University dictates the independent development of specific policies and procedures for each of the major administrative units within the University. The policies and procedures which follow were guided by the recognition and understanding of the legal requirements for the use and consumption of alcoholic beverages.

Attached are the specific policies and procedures of the following administrative units:

- Central Administration (excluding the Office of the Vice President for Student Affairs)
- Office of the Senior Vice President for Health Affairs and Director of the Medical Center
- Office of the Senior Vice President for University College
- Office of the Vice President for Student Affairs
University of Alabama at Birmingham

GENERAL POLICY REGARDING THE USE AND CONSUMPTION OF ALCOHOLIC BEVERAGES

May 25, 2011


Introduction

Diversity of opinion and freedom of choice are concepts which have long been an integral part of higher education tradition. This freedom, however, entails the exercise of personal accountability, including the obligation to make informed decisions regarding use and consumption of alcoholic beverages.

Within the academic and social environment of the University of Alabama at Birmingham, alcohol may be served at certain occasions. In an effort to ensure that alcohol is used only in a responsible manner, the following policies are established.

General University Policies

1. Compliance
   The use of alcoholic beverages must be in compliance with federal, state and local laws; the regulations of the Alabama ABC Board; and other university policies and procedures, including, but not limited to, the Drug-Free Workplace Policy and the Drug-Free Campus Policy for Students.

2. Approval and Location of the Event
   The service of alcoholic beverages on campus is limited to areas approved in advance by the senior administrator holding responsibility for the event facility (e.g., dean/vice president/provost or his/her designee). Each responsible administrator will establish appropriate procedures for review and approval of requests to serve alcoholic beverages at the event facility.

   A “responsible person” must be designated for every function at which alcoholic beverages are served. That individual is responsible for ensuring that this policy and other related policies (see “Compliance”) are followed.

3. Controlled Areas
   Alcoholic beverages may not be taken outside predetermined boundaries of the university-sponsored event. Steps should be taken to ensure that alcoholic beverages are contained within these boundaries. All alcoholic beverages should be consumed or disposed of by all guests or participants before they leave the premises.

4. Event Advertisements
   Advertisements or invitations to university-sponsored events where alcoholic beverages are being served should emphasize the nature of the event and not alcoholic beverages.
5. Self-Service
Alcoholic beverages served at a university-sponsored event must not be freely available to attendees. A designated server or hired professional bartender must be on duty at the event to limit the size and number of drinks served. If the function involves a sit-down meal at which alcohol is served, waiters and/or waitresses should be instructed to ask before automatically refilling wine or liquor glasses.

6. Proper Identification
Alabama state law prohibits purchase, consumption or serving of beer, wine or distilled spirits by persons under legal drinking age. It is also a violation of Alabama state law to purchase alcohol for, or serve alcohol to, persons under the legal drinking age. Therefore, at all university-sponsored events where alcoholic beverages will be served, the designated server or hired professional bartender will be required to check for proper identification before serving any alcoholic beverages and must reject any questionable forms of identification. Alcoholic beverages may not be served at functions where the majority of attendees are under legal drinking age.

7. Non-Alcoholic Beverage Alternatives
Alternative non-alcoholic beverages must be equally available and accessible at all university-sponsored events where alcoholic beverages are served. Water should not be the only alternative beverage offered.

8. Food
Food must be made available to those in attendance at all university-sponsored events where alcoholic beverages are served.

9. Hours of Service
Service of alcoholic beverages must be discontinued at least one hour before an event is scheduled to end.

10. Refusal to Serve Intoxicated Guests
If a participant or guest at a university-sponsored event where alcoholic beverages are being served appears to have exceeded his or her consumption limit, the designated server or hired professional bartender must discontinue serving alcoholic beverages to this individual.

11. Individual Responsibilities
Failure to comply with the policies and regulations stated within this document or violation of the law may result in civil and/or university action.

Implementation
The Office of the Provost and the Office of the Vice President for Financial Affairs and Administration are responsible for procedures to implement this policy.
Entertainment - General Expenditure Guidelines

Abstract: In some instances, reasonable entertainment costs may be funded by UAB. This document describes the types of events which may be compensated by the university.

Entertainment - General Expenditure Guidelines

Introduction

Reasonable costs of entertaining might, in some circumstances, be funded by UAB, but only if it can be demonstrated that UAB will directly benefit from making the expenditures and if those costs were incurred at UAB’s request.

Important Note: The State Examiners generally consider entertainment of UAB employees or other State of Alabama employees to be an unallowable cost. Also, you need to be aware that Federal OMB Circular A-21 regulations do not permit most true entertainments costs to be charged directly to federal grants.

These entertainment guidelines do not include the following topics, which are addressed elsewhere in the UAB Expenditure Guidelines:

- Food and beverages incidental to a UAB business meeting or an internal training program for UAB employees (see the General section of the UAB Expenditure Guidelines for the rules applicable to such incidental meals and refreshments).
- UAB employee business retreats (see the Faculty/Staff Retreat section of the UAB Expenditure Guidelines), which are treated more as business meetings with special pre-approvals required.

UAB-funded entertainment can take a variety of forms. Entertainment might be in the form of simply taking guests out to a restaurant meal, or it might involve a more organized entertainment “event” such as hosting a banquet or reception. In addition to the general entertainment documentation requirements, an entertainment “event” is subject to the event pre-approval requirements as outlined below. However, though they are subject to the general entertainment guidelines, the event pre-approval requirement does not apply to:

- Conference/Seminar Refreshments (as defined below)
- Business Meals (as defined below)

In addition to requirements unique to entertainment, such costs are, of course, subject to UAB’s normal procurement policies and procedures, as well as general expenditure documentation requirements. See
the Signatures & Documentation sections of the UAB Expenditure Guidelines and the UAB Procurement web site.

All entertainment costs should be reasonable in amount considering the type of occasion, the number of persons present, and the time and place of the entertainment.

**Conference/Seminar Refreshments**

Meals and refreshments served at *public* conferences, seminars, workshops, or continuing education classes produced by UAB primarily for *external* participants are regarded as being a form of entertainment, and should be charged to object code 8351010 "Conference/Seminar Refreshments".

However, meals and refreshments incidental to *internal* training classes, seminars, workshops, etc. are not considered entertainment, and therefore should not be charged to an entertainment object code. Instead, object code 8709030 "Incidental Refreshments" should be used. See the General section of the UAB Expenditure Guidelines for the rules applicable to such incidental meals and refreshments.

**Business Meals**

Entertainment in the form of *restaurant* meals involving individuals from *outside* UAB should be charged to object code 8351020 "Business Meals".

However, meals and refreshments incidental to an *internal* UAB business meeting (but *restaurant* meals do not normally constitute a business meeting) are not considered to be entertainment, and therefore should not be charged to an entertainment object code. Instead, object code 8709030 "Incidental Refreshments" should be used. See the General section of the UAB Expenditure Guidelines for the rules applicable to such incidental meals and refreshments.

**UAB Sponsored Entertainment Events**

A "UAB-Sponsored Entertainment Event" is defined as an entertainment event organized by and/or sponsored by UAB. UAB-Sponsored Entertainment Events include, but are not limited to, the following types of events:

- *"Appreciation Event"* - An event held for the primary purpose of acknowledging major gifts and other types of support for UAB by external parties.
- *"Celebratory Event"* - An event held in honor of an accomplishment or milestone achieved by UAB. (Anniversary celebrations, etc.)
- *"Ceremonial Event"* - An event held in accordance with established protocol or tradition. Such events include, but are not limited to:
  - Graduation Ceremony
  - Distinguished Lecturer Award Ceremony
  - Excellence in Teaching Award
  - UAB Employee Service Award Ceremony sponsored by HRM
  - Building dedications that may include a dinner honoring the individual for whom the building is being named.
- *"Cultivation Event"* - An event held to expose the attendees to areas of potential interest that may lead to financial or community support for UAB research, programs, and services. There must be a clearly predominant non-social purpose for the event, the purpose of which is to impart serious information from UAB to the attendees. It cannot simply be a social event with some vague hope that if they "have a good time" they will be more inclined to support UAB in the future.
• "Endowment Funded Visiting Lectureship" - An event held in accordance with the terms and conditions of an endowment that provides for the payment of expenses associated with a visiting lecturer. A reception for the lecture(s) will be considered part of the expenses normally associated with the visiting lecture event when allowed by the terms and conditions of the endowment.
• "Fundraising Event" - An event for which the participants pay per person, table, plate, etc. and the net proceeds are pledged for a UAB business purpose.
• "Information/Education Event" - An event held to provide information about programs and services at UAB or to educate the participants about any aspect of UAB programs, priorities, or activities. Employee orientations and student orientations are examples of an information/education event.
• "Introductory Event" - An event held to introduce a new UAB employee in order to establish relationships that may assist the employee in achieving the goals and objectives of the position. The benefits of an introductory event should be clearly stated and must be rational and reasonable with respect to the position held by the individual. Such events are common for UAB officials such as:
  o President
  o Provost
  o Vice President
  o Dean
  o Hospital CEO
• "Employee Recruitment Event" - An official UAB event substantially oriented for, and the primary audience is expected to be, prospective UAB employees and their spouses (or 'significant others'). However, this event category does not include Business Meals as discussed above.
• "Solicitation Event" - An event held for the primary purpose of raising money. The intent of these events is to receive donations or pledges. The attendees are expected to pay or pledge money in advance of attendance or while in attendance.
• "Student/Trainee Event" -- An official UAB event substantially oriented for, and the primary audience is expected to be, individuals who are currently UAB students or trainees and their families, or individuals who are prospective students or trainees and their families.
• "Ticket Event" -- A ticket event is defined for this purpose as any event that is open to the general public that requires a ticket or payment for admission and cannot be appropriately categorized in another category. Such events include, but are not limited to, music, dance, drama productions/performances, or athletic events.

If a related event is held in conjunction with the Ticket Event, its business purpose must be rational and reasonable and based on established custom or protocol. The UAB costs of such a related event must be paid directly from the revenue generated from ticket sales and/or sponsorships for the event. If a proposed related event does not meet all of these criteria then it cannot be classified as part of the ticket event, and therefore, must be evaluated on its own merits subject to these guidelines.

Non UAB Sponsored Entertainment Events

A "Non-UAB-Sponsored Entertainment Event" is defined for these purposes as an entertainment event organized by an external entity, rather than by UAB. Non-UAB-Sponsored Events do not include employee-training costs such as conferences, workshops, continuing education classes, etc.

UAB employees designated to attend a Non-UAB-Sponsored Entertainment Event (as defined above) in an official capacity may have otherwise-allowable costs paid from UAB funds, but only if the business purpose for attending is defined and approved at the executive level. The Event Approval Form should be used to obtain the special pre-approvals and to document the business purpose and official capacity of the individual representing UAB.
If an employee is present in an unofficial capacity, they will be considered solely an attendee. Any expenses incurred by or on behalf of an employee who attends an event in an unofficial capacity are considered personal expenses and cannot be reimbursed from UAB funds.

Events, which are sponsored by civic or charitable organizations, should meet one or more of the following criteria in order to justify official participation (and/or UAB joint sponsorship):

- The event or function is sponsored by, or is for the benefit of, an organization that provides significant funds to support the University’s education, research, or service mission. (Examples include the American Heart Association, American Cancer Society, Muscular Dystrophy Association, Linley-Heflin Unit, the Women’s Committee of Spain Rehabilitation Center, etc.).
- The event is sponsored by an organization to which the University holds a membership or the function includes all prominent members of the local civic and corporate community. (Examples include events sponsored by United Way, Greater Birmingham Area Chamber of Commerce, Operation New Birmingham, Metropolitan Development Board, etc.).
- The event honors an individual who has strong political and/or philanthropic ties to UAB or is a current or former University official. (Examples include the March of Dimes Citizen of the Year Banquet, Re-Entry Ministries "Builders of Birmingham" Banquet, Arthritis Foundation Humanitarian Award Dinner). However, under no circumstances may UAB fund political campaign costs.

Event Pre Approval

Prior to incurring cost commitments associated with a UAB-Sponsored Entertainment Event (as defined above), the UAB Event Pre-Approval Form should be completed. Click here for a printable copy of the blank form.

If a draft of the invitation or announcement is available at this point in the planning stage, it should be attached to the Event Pre-Approval Form to document a UAB-Sponsored Entertainment Event’s official business purpose. However, the Event Pre-Approval Form (and its associated University Development Office and executive level approvals) is not required by Central Administration for the following types of events, though all other aspects of these guidelines do apply:

- An official UAB event substantially oriented for, and the primary audience is expected to be, UAB students or trainees, prospective UAB students or prospective trainees, and their families, including Student/Trainee Events as defined above.
- Endowment-Funded Lectureships (as defined above).
- Ticket Events (as defined above).

The Event Pre-Approval form is also required to obtain official approval to expend UAB funds on costs associated with attending the Non-UAB Sponsored Event (see above).

The Event Pre-Approval Form requires the approval of the department head, executive level, University Development Office, and the appropriate Central accounting department, indicating their pre-approval of the event.

Once the department begins submitting requisitions for payment of costs associated with the Event, a copy of the applicable fully approved form should be attached to each of the applicable requisitions.

Unallowable Costs
Because the State Examiners generally regard the costs of social activities for UAB faculty and staff to be unallowable costs, entertainment must be substantially oriented for individuals from outside of UAB. A "Social Event" is defined as an event held as an act of etiquette or politeness, or for the purpose of enjoyment or merely to entertain or associate with the attendees. An event that is held for the benefit of an individual is also generally considered a social event. Public monies cannot be expended for the personal benefit of an individual; therefore, Social Events cannot be funded using UAB funds. Such social events include, but are not limited to: retirement or other employee receptions; appreciation events for UAB employees (including appreciation days honoring a profession such as National Nurses Day, National Secretaries Day, Physical Therapy Day, etc.); holiday parties; wedding showers, baby showers, birthday parties, etc.

Even if the entertainment occasion itself is considered a legitimate UAB business event, the State Examiners and the State Attorney General's Office have consistently ruled that UAB cannot fund the purchase of alcoholic beverages. Also, federal OMB Circular A21 regulations consider the costs of alcoholic beverages to be unallowable. Therefore, alcoholic beverage or related costs can never be paid for or reimbursed by UAB. Some examples of alcohol-related costs include: corkage fees, taxes on the alcohol, tips directly attributable to the alcohol (such as tips to a bartender for alcoholic beverage service, tips to a wine steward or sommelier, the applicable portion of a percentage meal tip or service charge, etc.). The person requesting a payment is responsible for ensuring that all alcoholic beverages or alcohol-related costs have been excluded from payment requests prior to submission to make it clear what is included in the reimbursement request.

Even if the entertainment occasion itself is considered to be a legitimate UAB business event, the State Examiners generally consider the cost of musicians or other entertainers to be an unnecessary and unreasonable use of State funds. However, this does not apply to ticket or ticket-related events (as defined above), student events, or patient events.

Costs associated with an employee's family/friends/etc. are not normally legitimate entertainment costs. Documentation as to the benefit UAB will receive from their participation must be stated when entertainment costs include the costs of an employee's family/friends. However, if the external guest's spouse or 'significant other' is present during the entertainment occasion, the cost of an employee's spouse or 'significant other' is assumed a legitimate entertainment costs. Whether or not it is appropriate to invite the guest's spouse or 'significant other' is a matter of judgment based upon what is reasonable and customary for the type of event, the time of day, etc.

**Payment Requests**

Contracts and invoices for entertainment services or supplies must itemize all costs in sufficient detail to satisfy the State Examiners' requirements for control of unallowable costs and to facilitate classifying the expenses in the appropriate object code category.

For catering services, documentation should include a full menu with sufficient specification of "beverages" so as to make it clear that no alcoholic beverages are included in the reimbursement request (if this is not clear, then the requisition must include a certification that no alcoholic beverages or any alcohol-related costs are included.) See explanation of "alcohol-related costs" under the Unallowable Costs section above.

For restaurant meals, if the receipt does not itemize the purchases, the requisition should include a certification that no alcoholic beverages nor alcohol-related costs are included. See explanation of "alcohol-related costs" under the Unallowable Costs section above.
The following documentation should be provided with requisitions applicable to all entertainment expenditures:

- A copy of the signed Event Pre-Approval Form (see above), if applicable
- All entertainment events should have a business purpose that is rational and reasonable to the extent that UAB will be funding the event. That business purpose must be clearly specified on the copy of the Event Pre-Approval Form attached to the requisition, or on the face of the requisition itself if an Event Pre-Approval Form is not required by these guidelines.
- The type of event. This should already be described on the copy of the Event Pre-Approval Form attached to the requisition; but if an Event Pre-Approval Form was not required, then the event should be described on the face of the requisition itself.
- A copy of the invitation and/or other materials announcing, publicizing, or marketing the event. The invitation helps in clarifying the official nature of the event, as well as identifying the date, time, and place of the event. If such materials are not applicable to the event, the date, time, and place should be clearly documented on the face of the requisition itself.
- Where appropriate, a copy of the program or agenda should be included to assist in classifying and justifying an event. If the program or agenda is not final, a tentative copy may serve as sufficient documentation for the initial expenditures.
- A guest list is the best form of documentation to substantiate the intended audience. Therefore, a guest list should be provided with most disbursement requisitions to facilitate event classification. A guest list is not required if the event is open to the UAB community at large and/or the general public, or a broad category of faculty, staff, students, trainees, prospective students or prospective trainees. A guest list is also not required for a ticket event or its related event. When a guest list is not provided, the department must ensure that the other documentation clearly and fully identifies all groups and their approximate numbers of people expected to attend the event.

When a guest list is submitted, it should include the individuals' names and the organizations they are officially representing or the group that the individual is a member of such as The Board of Trustees, Leadership Council, etc. UAB employees and their respective departments should be listed separately from the other guests.

In lieu of providing a copy of the guest list with each requisition related to an event, the department may note on a requisition the requisition number, requisition date and vendor name of a previously processed requisition that included the guest list for the event, and should always state on the requisition the group or category of individuals the event is oriented for. If the guest list is not attached to subsequent requisitions, there should be at least one requisition on file in the payment system that includes the guest list and all subsequent requisitions related to the same event must reference the Requisition Number of the requisition containing the list.

**Payments to individual independent contractors should never be charged to entertainment object codes. See UAB Personal Services Website.**

The cost of meals and refreshments served at public conferences or seminars hosted by UAB, should be charged to the entertainment object code 8351010 "Conf/Sem Refreshment". The cost of entertainment in the form of restaurant business meals involving individuals from outside UAB, should be charged to the entertainment object code 8351020 "Business Meals". All other entertainment costs not more appropriately coded elsewhere should be charged to object code 8351099 "Entertainment".