Quality higher education in a caring and supportive learning environment
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ACADEMIC POLICIES AND PROCEDURES
NATIONAL AMERICAN UNIVERSITY ACADEMIC HONORS POLICY

Academic Honors
Honors awarded at National American University are divided into four groups: President’s List, Dean's List, Honorable Mention List, and Academic Excellence Certificate and special recognition.

President's and Dean's List
Each quarter, students who earn a designated grade point average are eligible for the following honors:

• **Full-Time Students:**
  - **President’s List** – 4.0 and enrolled in 12 or more credits
  - **Dean’s List** – 3.65 to 3.99 and enrolled in 12 or more credits with no grade below a "B"
  - **Honorable Mention List** – 3.33 to 3.64 and enrolled in 12 or more credits with no grade below a "C"

• **Part-Time Students:**
  - **Academic Excellence Certificate** – 4.0 GPA and enrolled in at least eight credits but less than 12 credits

Graduation Honors
Upon meeting bachelor of science degree graduation requirements, those students who have exhibited academic excellence will be awarded the designations to indicate that they have graduated with honors. To be eligible for these honors, a student must have a cumulative grade point average on credits earned at National American University according to the following schedule:

  - **Cum Laude** - An average of 3.5 to 3.69
  - **Magna Cum Laude** - An average of 3.7 to 3.89
  - **Summa Cum Laude** - An average of 3.9 or higher

Associate degree and diploma candidates who have a cumulative grade point average of 3.5 or higher for credits earned at National American University are eligible for the designation "With Distinction."
NATIONAL AMERICAN UNIVERSITY ACADEMIC INTEGRITY POLICY

Academic Integrity
The National American University Mission and Purposes describe the university’s commitment to assist students in further development of ethical values and behavior. A significant aspect of one of the purposes relates to academic integrity and the encouragement of honesty and ethical behavior on the part of students and graduates. Academic dishonesty includes, but is not limited to, plagiarizing and/or cheating on assignments, tests or projects; or assisting someone else in these actions.

Students
Students are encouraged to model behaviors that reflect honesty and integrity, and, therefore, may not engage in or tolerate cheating, plagiarism or other forms of academic dishonesty and/or related misconduct. Students should work in collaboration with each other to accomplish educational objectives; however, they are also responsible for their own understanding of the academic content and for their own work. Students who are unclear about the academic dishonesty examples listed below should seek clarification from a faculty member or staff members with appropriate expertise.

The most common forms of academic dishonesty include but are not limited to:

Cheating:
• Using or attempting to use unauthorized assistance, material or student aids in examinations or other academic work. Examples: using a cheat sheet on an exam, copying from another student’s exam, copying an exam before it is given, collaborating on an assignment without course instructor’s consent, or altering exam answers and resubmitting the exam for a better grade.

Plagiarism:
• Using the ideas, data or language of another without specific and proper acknowledgement. Examples: failing to cite a reference or to use quotation marks where appropriate, or misrepresenting another’s work as one’s own original creation.

Fabrication and Falsification:
• Submitting contrived or altered information in an academic exercise. Examples: inventing data, research results, information or procedures in an academic exercise, reporting false information about internship or practicum experiences, or altering the record of data or experimental procedures or results.

Multiple Submission:
• Submitting, without prior permission, substantial portions of the same academic work for credit more than once.

Complicity in Academic Dishonesty:
• Knowingly helping or attempting to help another commit an act of academic dishonesty; failing to report instances of academic dishonesty of which the student is aware.

Students are responsible for seeking information about accurate documentation of citations and references for specific content areas. Students who are unclear about the cheating and plagiarism examples listed above should seek clarification from a faculty member or staff members with appropriate expertise.

Faculty
The university trusts the members of the faculty to enforce policies and to establish procedures in their classes that will encourage honesty and ethical behavior on the part of students. The university expects that faculty members will not only make the determination of academic dishonesty but that they will impose the sanctions described below as appropriate.

Penalties
Penalties are given at the discretion of the academic dean and/or provost and are determined based on the severity of the violation and any prior history of academic dishonesty. Penalties include the following:
1. Failing grade for test, assignment, or project
2. Failing grade for course
3. Temporary or permanent suspension (assigned only by the provost)

A student may not withdraw from the course or change the grading option for the course before an allegation of academic dishonesty has been resolved. Generally, if a student has either admitted to the allegation or has been found responsible for academic dishonesty, the student will not be permitted to withdraw from the course or change the grading option for the course.
Procedure - Academic Integrity

When a faculty member suspects academic dishonesty, the faculty member may either choose to meet with the student to discuss the concerns or move directly to completing the Academic Dishonesty Form. For minor or inadvertent violations, the faculty member may choose to informally correct the student’s conduct.

If, after meeting with the student, the faculty member concludes that the student engaged in academic dishonesty or in cases where the faculty member chooses to move directly to the formal process, the faculty member will complete the Academic Dishonesty Form and submit it to the academic dean. The academic dean will consult with the SVPAOLS to determine the appropriate penalty, taking into consideration any prior incidents of academic dishonesty.

A first act of dishonesty must result in a failing grade for the test, assignment or project. If a second act occurs at the university, regardless of the course or campus, the penalty will be a failing grade for the course. A third act of academic dishonesty on the part of a particular student (or conduct that is especially egregious despite whether a first or subsequent act of dishonesty occurred), may result in temporary or permanent suspension from the university.

After the Academic Dishonesty Form has been completed, the student is provided a copy of the form and must choose one of the following options:

1. Accept responsibility and consent to the penalty. If the student chooses to accept responsibility for the violation and consents to the penalty, the student must sign the Academic Dishonesty Form and submit it to the academic dean for the campus within 72 hours from the student’s receipt of the Academic Dishonesty Form. The dean will provide a copy of the form to the SVPAOLS, and the form will be kept in the student’s permanent academic file.

2. Request review by the academic standards committee. If the student chooses to contest the determination of academic dishonesty or the penalty, the student must sign the Request for Review section of the form and submit it to the academic dean for the campus within 72 hours from the student’s receipt of the Academic Dishonesty Form. The dean will provide a copy of the form to the SVPAOLS, and the form will be kept in the student’s permanent academic file. If the student does not sign and return the Academic Dishonesty Form by the deadline, the determination and penalty will be final.

The academic integrity committee consists of three members selected by the SVPAOLS from the list of individuals below:

- Campus Deans
- System Director of Curriculum
- Dean of the Graduate School
- Associate Provost
- System Program Chairs
- Dean of the School of Nursing
National American University Advanced Placement Program Policy

Advanced Placement Program (AP)
Entering students who have completed an honors course in high school and who have taken and successfully passed the appropriate College Board Advanced Placement exam with a score of 3, 4 or 5 may receive course credit. The student shall receive credit without a specific grade for the exempted course.
NATIONAL AMERICAN UNIVERSITY APPLICATION FOR GRADUATION POLICY

Application for Graduation Policy
The Application for Graduation form (FR108 or FR108a) is to be completed approximately two terms before the student’s anticipated graduation date.

Students who re-enter the university after more than three consecutive terms of absence will be required to re-enter the university under the new program requirements. If an Application for Graduation was completed prior to re-entry, the application will be void if the program requirements have changed.

Procedure - Application for Graduation
Application for Graduation form is to be completed by the student approximately one term before the student’s anticipated graduation date. The following is the procedure:

1. The campus assists the student in completing a financial aid review approximately two terms or 40 credits prior to anticipated graduation
2. The campus assists the student in completing the graduation form and forwards it to the Registrar’s Office.
3. Upon receipt of the application, the Registrar’s Office reviews the student’s file and prepares the Graduation Report, indicating any courses or program requirements the student must complete in order to meet the graduation requirements for his/her program. A copy of the Graduation Report is sent to the student and the campus.
4. The campus meets with the student to discuss the remaining requirements and, if needed, register him/her in the courses needed to complete his/her degree.
Assessment Philosophy - Undergraduate

The assessment of student learning outcomes is integral to achieving the National American University Mission and Purposes and Core Values. In order to prepare students for careers in technical and professional fields through quality higher education, student learning outcomes must be measured to document academic achievement and to identify opportunities for improvement. In addition to promoting continuous improvement, the assessment of student learning also encourages the university to be accountable to its constituents through the documentation and reporting of its academic outcomes.

The following are essential elements in the assessment of student learning at National American University:

- Qualified faculty design and approve new academic programs and support services after appropriate research and planning have been completed so that quality is embedded in all programs and services.
- Qualified faculty create program goals and student learning outcomes for each undergraduate and graduate academic program, consistent with the University Mission and Purposes and Core Values, program accreditation standards, and good practices in higher learning and in the profession. These learning outcomes are combined with faculty-developed criteria to serve as the basis for assessing the quality of teaching and learning, as well as related support services, provided within and across academic programs and campuses.
- Student learning outcomes for all academic programs are measured in a systematic and continuous manner, using multiple direct and indirect assessment methodologies to document achievement of outcomes, as well as learning over time. While most assessment methods will be objective and quantitative, others may be subjective and qualitative. There is no single best method for measuring and assessing student academic achievement and the complexities of higher learning. Use of multiple quantitative and qualitative methods is encouraged to allow for triangulation of the data and improve the validity and reliability of the conclusions drawn from assessment reports.

With the university’s adoption of performance-based curriculum development, authentic assessments that measure student performance or work products are integrated, as appropriate, into program assessment plans. In addition, existing classroom assessments and data collected and reported to meet external accountability requirements are utilized where possible.

- Faculty peer groups with representatives from the university's colleges, regions, and campuses analyze the collected data to determine whether learning outcomes have been achieved or opportunities for improvement are present. Recommended actions for improvement are implemented, and learning outcomes continue to be assessed until improvement can be documented.
- Relevant findings from the assessment of student learning are included in the university’s budget and strategic and operational plans to promote quality academic programs and support services and encourage excellent teaching and effective learning. Findings and actions resulting from the assessment of student learning are also linked to scheduled academic program reviews and the university’s institutional effectiveness efforts, where appropriate.

Consistent with this philosophy, every student at National American University participates in periodic assessments in order for the university to measure and improve student learning outcomes and academic support services. A variety of direct and indirect assessment methods are used and may include examinations, rubrics, competency checklists, portfolio analysis, and survey or interview participation.

Although measurement and evaluation of student learning is fundamental to the university’s assessment program, outcomes are not intended to be used as the basis for evaluating faculty or for determining the graduation status of students. The assessment of student learning will not create barriers to hinder student progress toward educational goals.

Assessment Philosophy - Masters

National American University provides quality career and professional undergraduate and graduate programs and continuing education to students from diverse backgrounds; interests and abilities (please refer to the NAU mission statement). In order to achieve its mission, the university community recognizes the importance of:

- Developing strategic and operational plans that are consistent with the stated mission, which promote quality academic and institutional support services and encourage excellent teaching and effective learning;
- Designing new academic programs and support services after appropriate research and planning have been completed so that quality is "built in" to any design;
- Identifying important indicators for academic programs and student services which can be used to measure student learning outcomes and the quality of services provided within and across university departments;
- Measuring these important indicators in a systematic and continuous manner with peer group analysis of resultant data to determine whether areas for improvement in undergraduate and graduate student learning or related services are present;
• Implementing recommended actions, when indicated, and continuing to measure these areas until improvement can be documented; and
• Incorporating the findings from this improvement process into future strategic, budget and operational plans.

Consistent with this philosophy, every student at National American University shall participate in periodic assessment evaluations as a requirement for graduation in order for the university to measure and improve student learning outcomes and student services. A variety of academic and institutional assessment methods are used and may include examinations, competency checklists, portfolio assignments, survey participation, or other means of assessment.
NATIONAL AMERICAN UNIVERSITY ATTENDANCE PHILOSOPHY POLICY

Attendance Philosophy
The university’s philosophy on attendance supports its mission of career and professional education. The university creates an educational environment that is responsive to the career/professional interests and educational objectives of its students, as well as the needs of employers, government and society. Students are expected to attend all of their classes just as employees are expected to be at work as scheduled in the business world. Our goal is to prepare students to be conscientious and productive employees.

NAU creates a caring and supportive learning environment. The university believes that students are more successful if they participate in class, and that they receive great benefit from classroom discussions and the relationships formed with other students and faculty members. Instructors are more likely to recognize that a student is in need of tutoring or other academic support if the student is regularly attending class.
NATIONAL AMERICAN UNIVERSITY ATTENDANCE POLICY

Attendance Policy
Students are expected to attend all class sessions. If a student misses fourteen consecutive days of classes without contacting the instructor or academic advisor, he/she may be administratively dropped from the course. Faculty may implement grade adjustments based on the university's attendance policy. Each faculty member's requirements for make-up work, if applicable, are stated in the course syllabus.

Attendance is taken each week in all classes. Students enrolled in online courses are counted as present if they actively participate weekly within the course in the university's learning management system. For more information regarding online requirements, please refer to the Distance Learning section of the academic catalog.

Students who have attended past the first 60 percent of the scheduled term, as published in the academic calendar, will not be dropped for non-attendance.
NATIONAL AMERICAN UNIVERSITY AUDITING POLICY

Auditing Policy
Students who wish to attend the class sessions of an on-campus or online course but do not wish to receive credit or a letter grade must meet with their academic advisors to request auditing privileges. Privileges will be extended to students upon recommendation of the student’s advisor and approval of the academic dean.

The following students are eligible to request auditing privileges:

• Students who are already carrying at least 8 hours of credit may audit one or more on-campus or online courses, on a space available basis, at no additional cost.

• Graduates of National American University may audit, on a space available basis, a course they have previously taken and passed at National American University at no additional cost.

Students may not audit independent study courses or courses not already completed that are required in the program of study.

National American University employees (does not include work-study students) may also request auditing privileges. Privileges will be extended to employees upon approval of the academic dean and campus director or System Vice President for Academic Administration and Regulatory Affairs.

Procedure - Auditing

Students
Privileges are extended to students upon recommendation of the student’s advisor and approval of the academic dean. The following students are eligible to request auditing privileges:

• Students who are already carrying at least 8 hours of credit may audit one or more on-campus or online courses, on a space available basis, at no additional cost.

• Graduates of National American University may audit, on a space available basis, a course they have previously taken and passed at National American University at no additional cost.

Students meeting the above requirements who wish to audit the course should contact their academic advisor; the academic dean in consultation with the faculty member will make the decision about extending auditing privileges and notify the student. Once the student has elected to take the course as an audit, he and she may not change his and her mind and take the course for a grade.

Employees
The academic dean will notify National American University employees who have requested auditing privileges of his/her final decision. There are no registration procedures completed for the auditing process and individuals auditing a course will not appear on the attendance roster or grade sheet.
NATIONAL AMERICAN UNIVERSITY BLOCK TRANSFER POLICY

Block Transfer Policy
National American University’s block transfer policy (General Education Equivalency) applies to all bachelor’s degree programs with the exception of the following: Nursing and the Management program offered in Kansas. All transfer course work must be college level (1000-level or above).

Block transfer does not apply to students residing or attending Minnesota campuses. If students were eligible for block transfer on enrollment, a subsequent change of degree program request will initiate the reevaluation of eligibility for block transfer in the new degree program.

Students who have earned a bachelor’s or associate degree, regardless of the type, with the equivalent of at least 50 quarter credit hours of general education courses, meet the requirements for National American University’s general education core area available for block transfer.

Students who have earned an Associate of Applied Science (AAS), Associate of General Studies degree, or a technical Bachelor of Applied Science degree from an accredited institution may be eligible for block transfer in the university’s Bachelor of Science in Management and Bachelor of Science in Information Technology degree programs if sufficient general education transfer credits are available.

Procedure - Block Transfer

Step One
The Registrar receives an official transcript from an accredited United States higher education institution and determines whether the student’s program qualifies for the block transfer policy.

Step Two
If the student’s associate degree qualifies for block transfer into the bachelor’s degree in which the student is enrolled, the credit hours are applied as follows:

Example of a student who has an associate degree consisting of 64 semester credits with sufficient general education credits transferring into any NAU baccalaureate degree

64 semester credits = 96 quarter credits

Of the 96 quarter credits, 60 quarter credits (58.5 distance) are used for the general education block. The balance 36 quarter credits (37.5 distance) are available to meet program requirements on the left side of the status sheet.

Example of a student who has an associate degree consisting of 66 semester credits transferring into the Bachelor of Science in Applied Management Degree

66 semester credits = 99 quarter credits

Of the 99 quarter credits, 60 quarter credits (58.5 distance) are used for the general education block. The balance 39 quarter credits (40.5 distance) are available to meet program requirements on the left side of the status sheet including the specialty core. Therefore, the student with block transfer will not meet the maximum requirements for the specialty core. If 20 or more credits are used to meet other program requirements on the left side of the status sheet (i.e. Principles of Management, Accounting I and II, Business Law, and Principles of Marketing—22 credits) the student will not meet the minimum credit hours for the specialty core and must take higher-level courses to replace Principles of Management, Business Law, or Principles of Marketing).
NATIONAL AMERICAN UNIVERSITY CAMPUS RETENTION OF STUDENT FILES POLICY

Campus Retention of Student Files Policy

1. All original National American University forms and official correspondence to and from university employees must be forwarded to the Registrar’s office and retained in the permanent student file.

2. Copies of National American University forms and official correspondence and informal documentation may be retained in a confidential working file for reference purposes at the campus.

3. Confidential working files for students must be retained at the campus for ten years from the date of last attendance.
NATIONAL AMERICAN UNIVERSITY CERTIFICATE CREDIT POLICY

Certificate Credit Policy
National American University’s certificate evaluation process is based upon sound educational practice for colleges and universities to grant academic credit for educational programs conducted by non-collegiate organizations, provided that the courses are appropriate to an individual’s educational program.

National American University’s program is founded on the principles and evaluation criteria established by the American Council on Education (ACE) as recommended by the Carnegie Commission on Nontraditional Study. The criteria and procedures that ACE established in 1945 for evaluation of military courses were adopted for the use in the Program on Non-Collegiate-Sponsored Instruction. National American University uses ACE credit recommendations when present and their evaluation criteria for courses not evaluated by ACE.

Guidelines for awarding credit are as follows:

a. The training must be documented by a signed original certificate or a dated listing from the company training/education officer with an original signature and must include the following:
   1. Title or description of the training
   2. Date(s) the training was held
   3. The number of contact hours
   4. Name of the company conducting the training

b. The certificates will be evaluated by the Registrar’s office and credit awarded may be granted as equivalent to specific National American University courses or for specialty core credit for the applied management degree.

c. Students interested in earning credit through the certificate evaluation process should contact the academic dean for more information.

Procedure - Certificate Credit
Students wishing to earn credit through the Corporate Training Certificate Credit process must provide the Registrar’s Office with the required documentation in order for their training to be evaluated. The following are the guidelines as to how credit is awarded for corporate training certificates.

Certificate and corporate training can be evaluated for possible college credit providing the documents contain the following information:

1. Student name
2. Name of the company that conducted the training
3. Title of the training
4. Date training was conducted
5. Authorized signature
6. The number of contact hours or CEU credits must be printed on the certificate or training record.

Duplicate training is not evaluated. Credit can only be given one time for each course. Credit is not given for re-certifications, renewals, or sub-courses. For example CPR must be renewed every couple of years, but the course itself does not change.

Training that has been evaluated by American Council on Education (ACE) will be evaluated based on the recommendations given by ACE. The “National Guide to Educational Credit for Training Programs” lists ACE credit recommendations.

For training that is not evaluated by ACE:

1. Contact hours are divided by 20 to get quarter credits.

2. A training course must have at least 80 contact hours to receive credit for a specific four-credit course at NAU. (The training must be relevant and comparable to the NAU course.)

3. Courses of like nature can be combined and the contact hours are divided by 20 to figure quarter credits. These credits can be used for an Applied Management specialty or an elective.

For Continuing Education Unit (CEU) credits:

1. 10 contact hours equal 1 CEU.
2. CEU credits are equivalent to quarter credits.
3. Companies may misstate CEU credits. At times, a certificate will say “CEU” credits, but they are really contact hours.

For computer training:
1. Contact hours completed for computer training are also divided by 20.
2. Many Microsoft courses have been evaluated by NAU instructors and are equivalent to NAU courses. Most other Microsoft courses have been evaluated by ACE.
3. For Excel, Word, Power Point, and Access, the student must show that they have completed beginning, intermediate, and advanced to receive credit for a specific NAU course. The Microsoft Office Specialist (MOS) exams are equivalent to beginning, intermediate, and advanced courses.
NATIONAL AMERICAN UNIVERSITY CHANGE OF PROGRAM POLICY

Change of Program
Students are limited to active enrollment in one program of study. Students wishing to change the program in which they are enrolled must meet with their academic advisor or the academic dean to complete the required paperwork and to determine which courses/credits they have earned will meet the requirements of the new program.

Procedure - Change of Program
Students who wish to add or drop programs or transfer to the new status sheet of their current program must complete the “Program Change” portion of the form FR106. The following procedure should be followed:

1. The student meets with his/her academic advisor or academic dean to discuss his/her intent to change the program(s).
2. The academic advisor or academic dean must advise the student of the effect of changing programs, taking into consideration the following:
   a. If the change is to a new major, some of the courses the student has taken or has received transfer credit for may not “count” if they do not meet the requirements of the new program.
   b. If the change is to an updated status sheet in the same program, the student must be advised that he/she will be required to meet all of the requirements of the new status sheet. For example, if the old and new status sheets have different math requirements, the student will be required to meet the requirement on the new status sheet.
3. The student should complete the following portion of the “Program Change” portion of form FR106 and submit it to the Registrar’s Office.
Change of Program with Grade Deletion

Any student may apply one time for a change of program with grade deletion. To initiate this process, the student consults with his/her academic advisor who will explain the specific application guidelines.

If the student's request is granted, all grades that do not apply toward a new program curriculum will be deleted on the official transcript. Once the change has been finalized, all deletions are permanent. The course numbers and titles will continue to be included on the transcript, but no credits or grades will be reflected. This procedure is available only once in the student's academic career at National American University and may not be applied if the student has already received a "Fresh Start" under the Fresh Start Policy.

For Satisfactory Academic Progress purposes, the grades the student earned in the first program must be calculated in the cumulative GPA, and the corresponding credit hours must be calculated in the successful completion rate.

Procedure - Change of Program with Grade Deletion

1. The student visits with the academic advisor or academic dean indicating his or her desire for the change. The student is advised that:
   a. This is a one-time election.
   b. All course grades and credits that do not apply to the student’s program will be deleted, regardless of the grades received in the courses.
   c. All deletions are permanent.
   d. The Change of Program with Grade Deletion procedure is only available once in the student’s academic career and will not be approved if the student has already received a “Fresh Start” under the Fresh Start Policy R116.

2. If the student still determines that he or she wants this option, he or she would complete Part A of Form FR115 and file the form with the Registrar’s office.

3. The Registrar’s office calculates the effect of the election for deletion and forwards the tentative deletion to the academic dean who contacts the student to discuss the results with him or her. The student and academic dean sign Part B of Form FR115.

4. The student should have to time to review the tentative deletion and, if he or she concurs with the deletion, the student signs Part C and submits it to the academic dean who forwards the form to the Registrar’s office which implements the process and assigns a new advisor (if needed) to the student.
NATIONAL AMERICAN UNIVERSITY CHANGE OF REGISTRATION POLICY

Change of Registration Policy
Beginning dates for specific terms are listed in the university calendar. Registrations are permitted within the first week of a regular quarter for all students and the first week of the eight-week interim term for new students only. New students enrolled at the Distance Learning campus must register at least 48 hours prior to the start of the quarter.

A student may add/drop any course during the first scheduled week of a standard term of enrollment with no penalty. A student who drops individual courses during this week will receive a full refund for the credit hours dropped. No refunds will be made for individual courses attended and then dropped following this period. The university will make full or partial refund of tuition paid by students who completely withdraw after classes begin.

Adds/drops completed during the Add/Drop period do not require the completion of the Change of Registration form.

Any changes in a student's registration (including course sections and adding or dropping courses) after the Add/Drop period must be completed on a change of registration form and approved by the student's advisor or the academic dean. The form is initiated in the following situations:

Drop Courses after Add/Drop Period
Students who drop courses after the end of the Add/Drop period will be charged for the course and will receive a grade of “W”. Refunds are only given if a student completely drops out of college for the quarter. See the Withdrawals/Refunds section in the NAU catalog for more information.

A student may request to be dropped from a course if he/she believes he/she may receive a poor grade in the course. The Change of Registration form is completed and the student receives a “W” in the course. The last day to initiate this type of drop is before 60 percent of the academic term has elapsed.

No Show
If a student is registered for the course but attends no classes after the first week of the course (after the add/drop period), the academic dean or designee will complete the Change of Registration form to “no show” the student from the course. Students who are “no showed” from courses are not charged for the courses.

Students should be advised to contact the financial aid office prior to dropping below 12 credit hours, as this may result in less eligibility for financial aid and/or affect the immigration status of those on F-1 visas.

Procedure - Change of Registration

Add or Drop Courses during Add/Drop Period
Students may add or drop courses without penalty (being charged for dropped courses) during the first week of each academic quarter. The academic advisor or academic dean makes the adjustments for the student’s schedule on the campus registration form.

Change of Registration form
The Change of Registration form is to be completed in the following circumstances. When completing this form, it is important to enter the exact start date of the term as the university often starts more than one term per quarter. It is also important to include the last date of attendance for any student who is dropped from a course or from the university.

• No Show: If a student is registered for a course but attends no classes after the first week (after the add/drop period), the academic dean or designee will complete the Change of Registration form to “no show” the student from the course. Students who are “no showed” from courses are not charged for the courses. The Change of Registration form should be completed on day 7 of the new quarter.

• Drop Courses after Add/Drop Period: Students who drop courses after the end of the Add/Drop period will be charged for the course, receive a grade of “W” and are dropped by the advisor or academic dean who completes the Change of Registration form. Refunds are only given if a student completely drops out of college for the quarter. The refund policy is found in the catalog.

Students who officially withdraw after the end of the Add/Drop period but before 60 percent of the academic term has elapsed will receive a "W" on their transcripts. The student’s grade point average will not be affected by the "W" grade on the transcript; however, the credits will count toward cumulative credits attempted.
Students should be advised to contact the financial aid office prior to dropping below 12 credit hours, as this may result in less eligibility for financial aid and/or affect the immigration status of those on F-1 visas.

- Add Courses after Add/Drop Period: Only in extenuating circumstances will students be allowed to add courses after the first week of classes. If such an addition is approved, the Change of Registration form is completed with the appropriate signatures and submitted to the Registrar’s Office. In no case may students be added after the end of the second week of classes.

**Students Enrolled in Distance Learning Courses**

Students (or their academic deans) must complete the Change of Registration Request form at the Distance Learning Campus Web site (see Online Forms link) for online courses.
NATIONAL AMERICAN UNIVERSITY COPYRIGHT POLICY

Copyright Policy
National American University recognizes and respects intellectual property rights and is committed to fulfilling its ethical and legal obligations with respect to the use of copyright-protected works.

National American University students, faculty, staff, contractors, and agents may not reproduce any copyrighted work in print, video, or digital form, including email and peer-to-peer file sharing, in violation of the law. Works may be protected even if they are not registered with the U.S. Copyright Office and even if they do not carry the copyright symbol (©). Copyrighted works include, but are not limited to, books, articles from publications, television and radio programs, broadcast media or video in any form, music performances, photographs, training materials, manuals, documentation, software programs, databases, and web pages.

Just because information is readily available on the internet does not mean that such materials are necessarily part of the public domain or otherwise free for use without authorization. In general, the laws that apply to printed materials also apply to visual and electronic formats, including internet pages.

University students, faculty, staff, and agents who participate in any activity that violates copyright law may be subject to disciplinary action, including permanent suspension or termination of employment. Those who violate copyright law may also be personally subject to civil claims for monetary damages and, in some cases, criminal penalties.

Procedure - Copyright
Steps to be taken by faculty, staff, contractors, and agents to help ensure copyright compliance:
1. Review Copyright Fundamentals, available at MyNAU > Resources > Copyright > Copyright Fundamentals.
2. Consult the “Terms of Use” located on the document or web page. If it is not clear whether you have permission to use a copyrighted work, assume you are not permitted to do so.
3. Contact the publisher or copyright holder as necessary to determine procedural requirements for acquiring permission.
   • Follow the copyright holder’s instructions
   • Utilize templates provided on MyNAU > Resources > Copyright
   • For written materials, contact the Copyright Clearance Center (fees may apply)
4. Permissions obtained must be cited within the work regardless of media format. For example, “Reprinted with permission of the copyright holder.”
5. Document receipt of permission. See your department supervisor for your department’s permissions repository.
6. If, after following the above steps, questions still exist, please contact the system librarian for additional assistance.

CAUTIONS
1. In general, text and images available on the internet are subject to the copyright protections discussed above. Publication on the internet does not necessarily place a work in the “public domain.”
2. National American University is a for-profit institution.
   • It is necessary to exercise great care in the selection of intellectual property, including any use of copyrighted material under the Fair Use doctrine.
   • The TEACH Act, which applies to the performance or display of copyrighted works in a digital distance education setting, does not apply to for-profit institutions.
Course Numbering Policy

Each college course is identified by a two-letter prefix, designating a specific discipline, which is followed by a four-digit number. Courses numbered:

- 1000 to 2999 are considered to be introductory to the discipline and require little to no prerequisite preparation. These courses are generally considered to be freshman-or sophomore-level courses.
- 3000 to 4999 are considered to be upper-level courses in the discipline and require prerequisite knowledge or skills prior to enrollment. These courses are generally considered to be junior-or senior-level courses.

Special Topics courses are identified with a second digit of 9. Sequential courses are generally numbered so that the first course in the series is assigned the lowest number. Prerequisites for subsequent courses are clearly identified in the university catalog.

Course numbers at less than the 1000 level are considered to be pre-college developmental courses to help students succeed in college-level course work. These courses may be non-credit or credit-bearing and cannot be applied toward graduation requirements.
Course Substitution Policy

A course may be substituted for a required course in the following situations:

1. The course is of the same course code (i.e. MG, AC, EC) or discipline/content area and course level (i.e., 1000, 2000, 3000) or higher.

2. The course is in the information technology area and is of the same course code and course level or higher and of the same category—applications elective (A), CIS elective (C), Networking elective (N), Operating elective (O) or Programming elective (P) (i.e., CI2010 for CI1230). Exceptions to this policy must be approved by the system program chair for information technology.

   Capstone courses or courses required by programmatic accreditation cannot be substituted.

Procedure - Course Substitution

When the student’s academic advisor/academic dean deems that a course substitution is appropriate, he/she completes form FR112 and submits it to the Registrar’s office. Appropriate substitutions are the following:

1. The course is of the same course code (i.e. MG, AC, EC) or discipline/content area and course level (i.e. 1000, 3000) or higher.

2. The course is in the computer area and is of the same course code and course level or higher and of the same category—applications elective (A), CIS elective (C), Networking elective (N), Operating elective (O) or Programming elective (P) (i.e., CI2010 for CI1230). Exceptions to this policy must be approved by the system program chair for information technology.

   Capstone courses or courses required by programmatic accreditation cannot be substituted.

If in exceptional circumstances the requested substitution does not meet the above criteria, the academic dean must secure approval from the Associate Provost and System Vice President for Curriculum and Assessment.
NATIONAL AMERICAN UNIVERSITY CREDIT HOUR POLICY

Credit Hour Policy
This policy describes how credit hours for all courses and programs are awarded at National American University.

The university follows a quarter system for the undergraduate and master’s programs with each quarter in the academic year consisting of eleven weeks of instruction, examinations, submission of papers, case studies, or projects. The university follows a trimester system for the doctoral program, which consists of sixteen weeks of instruction, examinations, submission of papers, case studies, or projects. Compressed formats are available in both the quarter and trimester systems.

For purposes of the application of this policy and in accordance with 34 CFR § 600.2, a credit hour is an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates:

1. Not less than one hour of classroom or direct faculty instruction and a minimum of two hours out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time, or;

2. At least an equivalent amount of work as outlined in paragraph (1) of this definition for other academic activities as established by the institution, including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours.

This credit hour policy applies to all undergraduate and graduate courses that appear on an official transcript issued by the university, regardless of the mode of delivery. Academic units are responsible for ensuring that credit hours are awarded only for work that meets the requirements outlined in this policy.

The expectation of contact time inside the classroom and student effort outside the classroom is the same in all formats, regardless of the mode of delivery. Courses that have less structured classroom schedules, such as externships, internships, or practica, or any other academic work leading to the award of credit hours, at a minimum, should state clearly learning objectives and expected outcomes and workload expectations that meet the standards set forth above.

Credit Hour Standard by Instructional Method
The contact times below do not include breaks within a course meeting time or required out of class student work. Required out of class student work for each of these instructional delivery methods below is described in the National American University Instructional Modes of Delivery Guidelines.

Lecture/Seminar: Courses with multiple students that meet to engage in various forms of group instruction under the direct supervision of a university faculty member. A 4.5-credit course in the quarter will meet 2250 minutes over 10 weeks, and a three-credit course in the trimester will meet 2250 minutes over 15 weeks.

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<th>Lecture/Seminar hours required per credit – quarter system</th>
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<th>Lecture/Seminar hours required per credit – trimester system</th>
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<td>Credits awarded</td>
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Laboratory: Courses with a focus on experimental learning under the direct supervision of a university faculty member wherein the student performs substantive work in a laboratory or studio setting. The minimum contact time per credit is twice that of a lecture (2:1 ratio)

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<th>Laboratory hours required per credit – quarter system</th>
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<td>Credits awarded</td>
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Independent Study: Courses of study in which a university faculty member regularly interacts and directs student outcomes with weekly contact of at least 50 minutes per student.

Clinical/Externship/Internship/Practica/Field Experience: Courses of study in which a university faculty member regularly interacts and directs student outcomes with periodic contact. The learning experience also contains a site supervisor and directed activity or learning outside of a lecture setting. Required contact time is a minimum of 150 minutes each week during the 10-week period for each credit awarded.

Accelerated Courses: Courses offered: a) that are shorter in length than the standard quarter and trimester, b) in which contact time is reduced or c) both shorter in length and contact time. Contact time must be at least one-half of the values found in the lecture contact hour table. The content and substantive learning outcomes are the same as those in the standard quarter.

Distance Education (Online Courses): Courses offered entirely online without regard to face-to-face meetings. These courses have the same learning outcomes and substantive components of a standard lecture course with alternate delivery method. Contact time is satisfied by several means which can include, but is not limited to, the following: 1) regular instruction or interaction with a university faculty member once a week for each week the course runs or 2) Academic engagement through interactive tutorials, group discussions moderated by faculty, virtual study/project groups, engaging with class peers and computer tutorials graded and reviewed by faculty.

Blended Courses: Courses offered in blended format with one or more face-to-face class sessions per week and at least one or more online sessions with each containing direct interaction with a university faculty member. University faculty members demonstrate through the syllabi that the content and activities equate to a standard assignment of lecture credit.
National American University Dual Credit - High School Students Policy

Dual Use of Credit
National American University encourages high-performing high school students to extend their education through the completion of college-level courses while still enrolled in high school. In addition, with their high school district’s approval, these courses may also be applied to high school graduation requirements. High school students wishing to take college-level courses at NAU must meet the following requirements:

1. Satisfy the university’s requirements for enrollment into EN1150 Composition I and MA2050 College Algebra or have a minimum ACT score of 20 in English and math or a minimum SAT score of 500 in verbal and math;
2. Have a minimum 3.0 GPA on a 4.0 scale in all high school course work;
3. Complete the university’s dual credit application with the appropriate parental and high school administrator’s signatures;
4. Be a high school junior or senior. High school freshmen and sophomores with ACT or SAT scores in the 90th percentile or above may also be eligible for dual credit courses.

High school students enrolled in National American University dual-credit courses will be required to meet the same admissions and course requirements as regularly enrolled university students.

Procedure - Dual Credit - High School Students
High school students who wish to enroll in a dual-credit course must:

1. Communicate with a university admissions advisor and the appropriate high school administrator.
2. Apply for admission to the university as a special student as defined in the university undergraduate catalog.
3. Submit a completed dual credit application.
4. Register for course(s) listed in the university undergraduate catalog.
5. Satisfy the same course requirements as other university students, including requirements set forth in the master syllabus for the course.
6. Comply with university policies and procedures.

All dual-credit courses must be taught by instructors who satisfy the university’s faculty qualifications and comply with university policy and procedures.
NATIONAL AMERICAN UNIVERSITY FACULTY GRADE SUBMISSION POLICY

Faculty Grade Submission Policy
Faculty members are expected to award final grades within the time period set by the university. Only the instructor teaching a course may submit final grades for that course. Once posted, final grades cannot be changed, except in accordance with the university’s grade change policy.

Procedure - Faculty Grade Submission
1. Faculty will submit final course grades at the end of each academic term using the university’s online faculty portal.
2. Faculty will be able to enter final grades beginning the last week each term. Final grades must be posted within two days after the scheduled final examination date.
3. Faculty will ensure that all attendance has been updated for each student prior to grade entry.
4. A final grade must be assigned for each student before grades can be submitted.
5. If a student is eligible for an “Incomplete” grade, the faculty member will enter the grade earned at the end of the academic term and submit a completed Incomplete Grade Form, FR111, to the campus academic dean/designee for consideration.
NATIONAL AMERICAN UNIVERSITY RIGHT TO PRIVACY - FERPA POLICY

Right to Privacy - FERPA

The Family Educational Rights and Privacy Act (FERPA) of 1974 is a federal law which states: (a) that a written institutional policy must be established and (b) that a statement of adopted procedures covering the privacy rights of students be made available. The law provides that the institution will maintain the confidentiality of each student's educational records.

National American University accords all the rights of privacy under the law to students who are declared independent. Students who are minors are still accorded the protection of the law with the exception that a parent or guardian may have the right to information in the student's file. No individual organization outside the institution shall have access nor will the institution disclose any information from students' educational records without the prior written consent of students, except to personnel within the institution or officials of other institutions in which students seek to enroll. Persons or organizations providing students' financial aid, accrediting agencies carrying out their accreditation function, persons in compliance with a judicial order, and persons who, in an emergency, seek to protect the health or safety of students or other persons may also have access. Within the university, only those members of the faculty or staff individually or collectively acting in students' educational interests are allowed access to student records.

At its discretion, the institution may provide student directory information in accordance with the provisions of the Act to include the following: name, local and permanent addresses, local and permanent telephone numbers, e-mail address, date and place of birth, dates of attendance, class, college, major, most recent school attended, full-time or part-time status, honor roll, participation in officially recognized activities and sports, weight and height of members of athletic teams, degree(s) and honors conferred, and commencement program information.

A student may withhold directory information by notifying the office of the registrar or the branch campus administrative office in writing no later than the 15th day after the first day of the term in which the student is enrolled. Requests for nondisclosure will be honored by the university until removed by the student. Please note that such withholding requests are binding for all information to all parties other than for educational purposes.

In addition, FERPA affords students certain rights with respect to their education records. These rights include the following:

1. The right to inspect and review their education records within 45 days of the day the university receives a request for access;
2. The right to request an amendment of their education records that they believe are inaccurate or misleading;
3. The right to consent to disclosures of personally identifiable information contained in their education records, except to the extent that FERPA authorizes disclosure without consent (One exception that permits disclosure without consent is disclosure to school officials with legitimate educational interests. A school official is a person employed by the university in an administrative, supervisory, academic or support staff position.);
4. The right to file a complaint with the U.S. Department of Education concerning alleged failures by the university to comply with the requirements of FERPA. The name and address of the office that administers FERPA is: Family Policy Compliance Office, U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-5920.
NATIONAL AMERICAN UNIVERSITY FRESH START POLICY

Fresh Start Policy
The Fresh Start Policy provides a student who left National American University, without completing an academic program, an opportunity to return and start again with a new cumulative grade point average. The Fresh Start Policy is an option only for students who have not taken a course at National American University for at least five academic years.

The Fresh Start Policy student will retain previous credit that was completed with a grade of “C” or better. It will be applied to the requirements of the student's current academic program. An asterisk will denote courses deleted through the Fresh Start Policy on the transcript. For Satisfactory Academic Progress purposes, the grades the student earned during previous attendance must be calculated in the cumulative GPA, and the corresponding credit hours must be calculated in the successful completion rate.

The student must apply for consideration of the option at the time of readmission and the "Fresh Start" can be made only once during a student's academic career at National American University. The academic dean will review the student's request for entering the Fresh Start Program and his/her current academic goals before granting the student provisional admission into the Fresh Start Policy. The student will be considered on probation status until he/she has completed 12 new quarter hours. The eligible student will be granted Fresh Start Policy officially only after completion of 12 new quarter hours with a GPA of 2.0 or higher. Once accepted, the student cannot petition for any other transcript modification (such as a change of program with grade deletion).

Procedure - Fresh Start
Students who did not do well academically and have left National American University without completing an academic program may have the opportunity to return and start again with a new cumulative grade point average. The Fresh Start Policy option is available only for students who have not taken a course at National American University for at least five academic years. The procedure is as follows:

1. The student is advised by his/her academic advisor and/or admissions representative of the Fresh Start Policy upon readmission to the university. If the student has not taken a course at NAU for at least five years he/she qualifies for the policy.
2. The student completes form FR116 and submits it to the academic dean.
3. The academic dean forwards the form to the Registrar’s Office who files the form in the student’s file.
NATIONAL AMERICAN UNIVERSITY GRADE CHANGE POLICY

Grade Change Policy
Grades submitted by faculty at the end of each term are not subject to revision on the basis of additional work or a new examination. Grade changes, other than incomplete grades, are limited to computational and/or recording errors. Within one term following the issuance of a grade, an instructor may initiate a grade change due to a computational and/or recording error by submitting form FR106 to the Registrar’s office.

If a student questions a final grade, the student should first discuss the grade with the instructor and the academic dean. If the student still believes the grade is not appropriate, the student may request a hearing before a Grade Review Committee. The request for a hearing must be submitted prior to the end of the term following the term in which the grade was issued.

Work submitted beyond the due date for an incomplete grade is considered a student initiated appeal and requires the Campus Grade Review Committee to determine whether or not a grade change should be submitted.

Procedure - Grade Change

Grade Changes – Faculty
Grades submitted by faculty at the end of each term are not subject to revision on the basis of additional work or a new examination. Grade changes, other than incomplete grades, are limited to computational and/or recording errors. Within one term following the issuance of a grade, an instructor may initiate a grade change due to a computational and/or recording error by completing and signing the “Grade Change” portion of form FR106 and submitting it to the academic dean/Registrar’s office.

Grade Changes - Student
1. Committee Membership
   a. The membership of the Grade Review Committee shall consist of three students, three members of the faculty, and the learner services advisor or designee.
   b. The academic dean is responsible for appointing three faculty members to serve on the Grade Review Committee.
   c. The learner services advisor or designee is responsible for selecting three members of the student body to serve on the Grade Review Committee.
   d. The committee will meet and communicate its final decision in keeping with the procedures described below.

2. Filing Procedures
   a. Any student having a grievance concerning a grade that an instructor has submitted for any course at the university may submit the grievance to the Grade Review Committee at the campus that offered the course provided that:
      1. The student has first met with the instructor of the course and was not able to resolve the grievance.
      2. The student has thereafter met with the campus academic dean and was not able to resolve the grievance, and the academic dean has further advised the student of the procedure to submit the grievance to the Grade Review Committee.
   b. The student must use the FR109 Grade Grievance Form to document the reason for the request, as well as the statements of the instructor and the academic dean summarizing the discussion of both the instructor and the dean with the student about the grievance.
      The student must make a specific request, e.g., request a change of grade from a “D” to a “C.” The committee will decide if the student’s specific request is justified through a yes or no vote, based on the oral and written information provided at the hearing.
   c. Upon receipt of the completed Grade Grievance Form, indicating that the grievance has not been resolved at steps 1 or 2 above, the academic dean will notify the learner service advisor or designee that a student has submitted form FR109 and requests a grade review.
   d. The request for a grade review hearing must be submitted by the student prior to the end of the term following the term in which the grade was issued.

3. Committee Procedures
   a. Upon notice of an unresolved grievance, the academic dean shall appoint three faculty members to serve on the Grade Review Committee. If possible, the student should not have been enrolled previously in any of the faculty members’ classes.
A student who submits a grade grievance form for a course that was offered at another campus may request that one faculty member from his or her home campus serve on the Grade Review Committee. The academic dean at the home campus shall appoint the faculty member and notify the academic dean at the campus conducting the grade review in a timely manner.

b. The learner service advisor or designee shall select three members of the student body to serve on the Grade Review Committee. In order to serve, student members must be in good academic standing and should not have been enrolled in the course that is the subject of the grievance.

A student who submits a grade grievance form for a course that was offered at another campus may request that one student member from his or her home campus serve on the Grade Review Committee. The learner service advisor at the home campus shall appoint the student member and notify the learner service advisor at the campus conducting the grade review in a timely manner.

c. The appointment of faculty and students members to the Grade Review Committee will generally occur within approximately ten (10) working days of receipt of the Grade Grievance Form.

d. The learner service advisor will notify the student and the faculty member involved, in writing or by email, of the purpose, time and place of the meeting. Such notification shall be given to all parties at least five (5) working days prior to the meeting time.

If the faculty member is not teaching at the university, the learner service advisor shall make a reasonable attempt to contact the instructor and shall keep a permanent record of these attempts. If the instructor does not respond after reasonable effort has been documented, the hearing may proceed in the instructor’s absence.

e. All information discussed within the confines of the committee shall be treated as confidential, and all members shall not discuss the deliberations or decisions of the committee outside the committee meetings.

f. The student, by submitting such a grievance, waives his or her right to the confidentiality of the information submitted to the committee and the grades for the class in which the grievance has been filed. Previous educational records, including the transcript, will not be available to the committee so that the committee may make its decision solely on the basis of the student’s performance in the class in which he or she has made the subject of the grievance.

g. All sessions of the committee shall be closed except for persons appearing before the committee.

h. A quorum is required to conduct grievance hearings and will consist of at least two faculty members and two students in attendance.

i. The learner service advisor shall serve as the chair, and the committee will select a secretary from among the faculty members present. The secretary will keep a written record of the committee’s proceedings and summaries of the oral information provided.

j. If a member of the committee, the student and/or the faculty member is unable to be present, he or she may participate in the hearing by telephone. If the grievance is initiated by a student enrolled in an online class, the entire process may be conducted by the Distance Learning campus by telephone conference.

k. The student will be the first person to be called before the committee. The student will be allowed to present any materials, information, or individuals to substantiate his/her reason(s) for a change of grade. Although the student may be accompanied by counsel, counsel may not actively participate in the proceedings.

l. The faculty member will be the second person to be called before the committee. The faculty member will be allowed to present any materials, information, or individuals to substantiate his/her reason(s) for the grade given. Although the faculty member may be accompanied by counsel, counsel may not actively participate in the proceedings.

m. After all of the information has been presented, deliberations will begin. Those offering information may be recalled as required. Deliberations will end by a voice vote of the simple majority of all the members of the committee present.

n. Upon the completion of deliberations, the faculty and student members of the committee shall vote by secret ballot to approve or not approve the student’s request for a grade change. Both the chairperson and the secretary of the committee will count ballots. In order for the committee to change the questioned grade, at least two-thirds of the members present must so vote. Abstentions will not be counted in the vote.

If the grievance process is conducted by telephone conference as provided in Paragraph J above, each member shall vote by sending an e-mail to the chairperson and the secretary of the committee. The chairperson and secretary shall tally the votes but shall keep the manner in which individual committee members voted confidential. As provided in the preceding paragraph, in order for the committee to change the questioned grade, at least two-thirds of the members present must so vote. Abstentions will not be counted in the vote.

o. Within approximately two days of the hearing, the Grade Review Committee, through the learner service advisor will provide a written statement to the faculty member, the student and the academic dean, describing its decision to change or not change the grade and the reason for that decision. Upon receipt of a decision to change the student’s grade, the academic dean will forward the appropriate paperwork to the Registrar’s office to implement the committee’s decision.
A copy of the Grade Review Committee’s decision will also be forwarded to the system director for learner services.

p. Within one week of receiving the Grade Review Committee's statement describing its decision and the rationale for that decision, the academic dean will schedule a conference with the faculty member. The statement of the committee will be made part of both the student's permanent file and the faculty member's personnel file.

4. Appeal Procedures
   a. In the event the student or faculty member wishes to appeal the Grade Review Committee’s decision, he or she must submit a written request for appeal to the associate provost/system vice president for academic administration within 10 working days of the committee’s decision.
   b. The associate provost/system vice president for academic administration will review the documents submitted to the Grade Review Committee, as well as the written summary of the committee’s proceedings, and will issue a decision with approximately 15 working days of receipt of the request.
Academic Policies and Procedures

NATIONAL AMERICAN UNIVERSITY GRADUATION REQUIREMENTS - ASSOCIATE DEGREE POLICY

Associate of Applied Science/Associate of Science Degree Graduation Requirements
The requirements for obtaining an Associate of Applied Science or an Associate of Science degree are as follows:
1. A minimum 2.0 grade point average (GPA) is required overall and in the MAJOR CORE.
2. Each professional course in the paralegal studies, therapeutic massage, health information technology, medical assisting, medical administrative assistant, medical staff services management, pharmacy technician, and veterinary technology programs must be completed with a minimum "C" grade. For nursing minimum grade point average requirements, please refer to the school of nursing student handbook.
3. The university’s residency requirements for the MAJOR CORE are listed on the program status sheets which are included in the Academic Programs section of this catalog.
4. The FINAL 36 credits must be taken in residence at National American University. (Nontraditional credit does not apply to the residency requirement). If a student desires to take courses concurrently at another institution during the final 36 credits, the other institution must be accredited and prior written approval must be obtained from the associate provost/system vice president for curriculum and instruction. For nursing residency requirements, please refer to the school of nursing handbook.
5. In all associate programs, a minimum of 90-quarter hours of credit is required; however, specific program requirements may vary.

Online Requirements:
1. A minimum 2.0 grade point average (GPA) is required overall and in the MAJOR CORE.
2. At least 13.5 credits from the MAJOR CORE must be in residence at National American University (excluding internships). EXCEPTIONS--In the general education and information technology programs, 18 credits from the MAJOR CORE must be in residence at National American University.
3. The FINAL 32 credits must be taken in residence at National American University. (Credit by Exam and/or non-traditional credit do not apply to the residency requirement.) If a student desires to take classes concurrently at another institution during the final 32 credits, the other institution must be accredited and prior written approval must be obtained from the registrar.
4. In all associate programs, a minimum of 90-quarter hours of credit is required; however, specific program requirements may vary.

Procedure - Graduation Requirements - Associate Degree
1. Students must make written application, FR108, for graduation with the registrar's office two quarters prior to their anticipated graduation date.
2. Students must satisfy all financial obligations with the university.
3. Candidates for graduation must have official transcripts from all previous post-secondary institutions on file in the registrar's office. No student will be eligible for graduation while holding a special or non-degree status.
NATIONAL AMERICAN UNIVERSITY GRADUATION REQUIREMENTS - BACHELOR’S DEGREE POLICY

Bachelor of Science Degree Graduation Requirements

The requirements for obtaining a Bachelor of Science degree are detailed below:

1. CAPSTONE courses must be completed with a minimum "C" grade.

2. A minimum 2.0 grade point average is required overall in the MAJOR CORE and in the EMPHASIS CORE. For nursing minimum grade point average requirements, please refer to the school of nursing student handbook.

3. Each professional course in the paralegal studies, and healthcare management must be completed with a minimum "C" grade.

4. A student must successfully complete three 3000-level and three 4000-level courses at National American University. These courses are chosen from the MAJOR CORE and EMPHASIS CORE.

5. Residency Requirements:
   a. The university’s residency requirements for the MAJOR and EMPHASIS CORES are listed on the program status sheets, which are included in the Academic Programs section of this catalog.
   b. Twelve of the credits in the MAJOR CORE credits must be 3000- or 4000-level courses (excluding internships).
   c. The FINAL 54 credits must be taken in residence at National American University. (Non-traditional credit does not apply to the residency requirement). If a student desires to take courses concurrently at another institution during the final 54 credits, the other institution must be accredited and prior written approval must be obtained from the associate provost/system vice president for curriculum and instruction.

6. In all undergraduate bachelor’s degree curricula, a minimum of 180-quarter hours of credit is required, however specific program requirements may vary.

Online Requirements:

1. CAPSTONE courses must be completed with a minimum "C" grade.

2. A minimum 2.0 grade point average is required overall in the MAJOR CORE and in the EMPHASIS CORE. For nursing minimum grade point average requirements, please refer to the school of nursing student handbook.

3. Each professional course in the paralegal studies, healthcare management, and athletic training must be completed with a minimum "C" grade.

4. A student must successfully complete three 3000-level and three 4000-level courses at National American University. These courses are chosen from the MAJOR CORE and EMPHASIS CORE.

5. Residency Requirements:
   a. The university’s residency requirements for the MAJOR and EMPHASIS CORES are listed on the program status sheets, which are included in the Academic Programs section of this catalog.
   b. Twelve of the credits in the MAJOR CORE credits must be 3000- or 4000-level courses (excluding internships).
   c. The FINAL 54 credits must be taken in residence at National American University. (Non-traditional credit does not apply to the residency requirement). If a student desires to take courses concurrently at another institution during the final 54 credits, the other institution must be accredited and prior written approval must be obtained from the associate provost/system vice president for curriculum and instruction.

6. In all undergraduate bachelor’s degree curricula, a minimum of 180-quarter hours of credit is required, however specific program requirements may vary.

Procedure - Graduation Requirements - Bachelor's Degree

1. Students must make written application, FR108, for graduation with the registrar's office two quarters prior to their anticipated graduation date.

2. Students must satisfy all financial obligations with the university.

3. Candidates for graduation must have official transcripts from all previous post-secondary institutions on file in the registrar's office. No student will be eligible for graduation while holding a special or non-degree status.
Diploma Program Graduation Requirements

The requirements for obtaining a diploma are as follows:

1. A minimum 2.0 grade point average is required overall and in the MAJOR CORE.
2. Each professional course in the healthcare coding and therapeutic massage diploma program must be completed with a "C" grade. For nursing minimum grade point average requirements, please refer to the school of nursing student handbook.
3. The university’s residency requirements for the MAJOR CORES are listed on the program status sheets, which are included in the Academic Programs section of this catalog.
4. The FINAL 27 credits must be taken in residence at National American University. (Nontraditional credit does not apply to the residency requirement.) If a student desires to take courses concurrently at another institution during the final 27 credits, the other institution must be accredited and prior written approval must be obtained from the associate provost/system vice president for curriculum and instruction.

5. In all diploma programs, a minimum of 48-quarter hours of credit is required; however, specific program requirements may vary.

Procedure - Graduation Requirements - Diploma

1. A student must make written application for graduation, FR108, with the registrar's office two quarters prior to his/her anticipated graduation date. The deadline for application is the Friday of the week following midterm.
2. The student must satisfy all financial obligations with the university.
3. Candidates for graduation must have official transcripts from all previous postsecondary institutions on file in the registrar's office. No student will be eligible for graduation while holding a special or non-degree status.
NATIONAL AMERICAN UNIVERSITY GRADUATION REQUIREMENTS - MASTER'S DEGREE POLICY

Graduation Requirements - MBA and MM
The graduate degree is granted from National American University upon recommendation of the president and graduate faculty upon completion of all academic requirements for the degree. The requirements for obtaining a graduate degree are as follows:

• Successful completion of at least 54 quarter-credits composed of nine core courses and a minimum of three elective courses. If the student selects the thesis option, he/she must complete both thesis courses for nine credits, and
• Successful completion of MT6650 with a grade of "A" or "B", and
• A minimum grade point average of 3.0 in the core and elective courses, and
• A grade of "C" or below in no more than two core and elective courses. Courses in which a "C" or below is received may be repeated a maximum of two times by the student at his/her discretion. However, no program of study with more than two core and elective courses in which a "C" or below is received as a final grade in a graduate-level course will be approved for graduation.
• A graduation application must be completed by the student and sent to the registrar for evaluation of degree completion. After the student has completed the last course and sent in the necessary paperwork, the registrar will process the graduation application. The time frame for this process is four to six weeks. A diploma and final transcript will be mailed to the student providing they have met all academic requirements of the degree and have no financial obligations with National American University. The degree cannot be confirmed until this process has been completed.

Graduation Requirements - Online MSN
The MSN degree is granted from National American University upon recommendation of the president and graduate faculty upon completion of all academic requirements for the degree. The requirements for obtaining a MSN degree are as follows:

• Successful completion of 54 quarter-credits.
• Achieve a grade of "B" or better in all nursing courses.

Procedure - Graduation Requirements - Master's Degree
1. Students must make written application, FR108a, for graduation with the registrar's office two quarters prior to their anticipated graduation date.

   Online Graduate students only: Print, complete form, and mail to:

   National American University
   DL Graduate Office
   Roueche Graduate Center
   6836 Austin Center Blvd., Suite 270
   Austin, TX 78731

   Rapid City Graduate students only: Print, complete form, and submit it to your Financial Services Representative.

2. Students must satisfy all financial obligations with the university.

3. Candidates for graduation must have official transcripts from all previous post-secondary institutions on file in the registrar's office. No student will be eligible for graduation while holding a special or non-degree status.
Graduation Requirements - EdD
The requirements for obtaining a doctoral degree are as follows:

• Completion of at least 60 trimester-credits comprised of 15 courses and the successful defense of a dissertation;
• Maintaining a minimum grade point average of 3.0; and,
• Receiving a grade of "C" in no more than two courses. Courses in which a "C" is received may be repeated a maximum of one time by the student at his/her discretion. However, no more than two courses in which a "C" is received as a final grade in a doctoral-level course will be approved for graduation.

The doctoral degree is granted from National American University upon completion of all academic requirements for the degree and recommendation of the dissertation chair to the doctoral graduation review committee. The committee is comprised of the associate dean of doctoral students, the chair of the graduate faculty, and the dean of graduate faculty. The committee forwards the recommendation to the senior vice president of the Roueche Graduate Center for signature and recording of the degree, which is then awarded at graduation.
NATIONAL AMERICAN UNIVERSITY IMMUNIZATION POLICY

Immunization Requirements

Minnesota Students

Under Minnesota law, students need to submit a complete immunization record or meet one of the legal exemptions before being admitted to NAU. Students are exempt if they graduated from a Minnesota high school in 1997 or later, were previously enrolled in another college in Minnesota, or were born before 1956. Other exemptions include religious or philosophical objections to being immunized, in which the student needs to submit a notarized statement of his/her beliefs, or if the student has already had one of the diseases covered in the state immunization requirement. A doctor may sign an exemption if the student has another medical reason, for example, immune to the disease or currently pregnant. Please see an admissions representative for further details.

South Dakota Students

Under South Dakota law, students (born after 1956) who are entering a post secondary institution in South Dakota for the first time after July 1, 2008, must submit, within 45 days after the start of classes, certification from a licensed physician that the student has received or is in the process of receiving the required two doses of immunization against measles, rubella, and mumps. As an alternative to the requirement for a physician's certification, the student may present: (1) Certification from a licensed physician stating the physical condition of the student would be such that immunization would endanger the student's life or health; (2) Certification from a licensed physician stating the student has experienced the natural disease against which the immunization protects; (3) Confirmation from a laboratory of the presence of adequate immunity; or (4) A written statement signed by the student that the student is an adherent to a religious doctrine whose teachings are opposed to such immunizations. If the student is under the age of 18, the written statement shall be signed by one parent or guardian. Please see an admissions representative for further details.
**National American University Incomplete Grade Policy**

**Incomplete Policy - Undergraduate**
Students who do not complete all requirements of the course at the time of grading may receive an incomplete grade for the course. Incomplete grades will be given only when unusual circumstances beyond the student's control prevent completion of the work in a particular course. Incomplete grades and arranging for the completion of course work must be approved by the instructor prior to the end of the course. In the absence of extenuating circumstances, remaining course work must be completed within four weeks after the end of the course.

**Incomplete Policy - Graduate**
A student may request an incomplete grade ("I") if all requirements of the course are not completed at the time grade reports are submitted. Incomplete grades will be granted only if the student has successfully completed 60% of the course and has a passing grade at the time of the request. The student must also demonstrate that extenuating circumstances prevented completion of the coursework. Examples of extenuating circumstances include the death of a relative, serious injury or illness of the student, or other special circumstances. Documentation must be provided to verify qualifying extenuating circumstances.

Incomplete grades and arrangements for the completion of course work must be discussed with the instructor prior to the end of the course. If the instructor feels that the student will be eligible for an incomplete grade, the appropriate paperwork will be forwarded to the dean of the graduate school for approval. If granted an incomplete grade, the student will be allowed a four-week extension from the end of the course to complete all missing coursework, without penalty. In circumstances of military deployment or natural disasters, students may qualify for a one-year extension from the end of the course to complete their coursework. Please see the Military Deployment and Natural Disaster Academic Accommodation policies for more information. Financial aid eligibility under the Satisfactory Academic Progress (SAP) policy will not be evaluated for students who receive an incomplete grade until the incomplete grade has been converted to a final grade.

**Incomplete Policy - Doctoral**
Students who do not complete all requirements of a course at the time of grading due to highly unusual circumstances may receive an incomplete grade for the course. Incomplete grades and arranging for the completion of course work must be approved by the instructor prior to the end of the course. Incomplete grades will be given only when unusual circumstances beyond the student's control prevent completion of the work in a particular course. In the absence of unusual circumstances, remaining course work must be completed within four weeks after the end of the trimester.

**Procedure - Incomplete Grade**
1. The student requests the incomplete grade prior to the end of the quarter/term because he/she is unable to complete the work due to extenuating circumstances. The student must sign form FR111.
2. If approved, the instructor completes Part A of form FR111 indicating all of the tests, assignments and other work necessary for the student to complete the course, as well as the justification for the Incomplete grade. The instructor also must indicate what the grade will be if the student does not submit any additional work. This grade may become the student’s final grade, so accuracy is important. The instructor must sign Part A.
3. The instructor submits the completed form FR111 to the academic dean with his/her grade sheet and retains a copy for his/her records. For on-ground campuses, the copy will serve as the instructor’s Grade Change form if the student submits additional work. For the Distance Learning campus, an Incomplete Request will be submitted electronically.
4. The student has four weeks after the end of the course to complete and submit the required work to the instructor.

   **No Additional Work Submitted:** If the academic dean does not receive the copy of the form from the instructor with Part B (Grade Change) completed by the end of the fifth week after the end of the course, the Registrar’s office will enter the grade indicated in Part A.

   **Student Submits Additional Work:** The instructor has until the end of the fifth week following the end of the course to grade the student's work, complete Part B of form FR111 and submit the form to his/her academic dean. The academic dean will forward the form to the Registrar’s Office and the grade indicated in Part B will be entered. For the Distance Learning campus, an Incomplete Request will be submitted electronically.
**NATIONAL AMERICAN UNIVERSITY INDEPENDENT STUDY POLICY**

**Independent Study - Undergraduate**

Although most courses listed in the catalog may be taken by independent study, they are available only under extenuating circumstances. The student must consult with the academic dean to determine if he/she qualifies for an independent study.

In addition, the student must meet the following eligibility requirements:

1. Written approval of the academic dean must be obtained.
2. The student must have a minimum 2.5 cumulative grade point average.
3. The independent study cannot be used to improve an earned grade.
4. The student cannot enroll in an independent study if the course is listed on the on-campus or online class schedule.
5. No capstone course or therapeutic massage program course may be completed by independent study.
6. Indication of academic ability must be evidenced by:
   a. At least one year of successful college experience; or
   b. Successful completion of EN1150 or EN1300.

The independent study course will start on the first day of a term and end on the last day of the term. Students are expected to meet with the supervising faculty member at least one hour each week of the term. Independent study forms may be obtained by contacting the academic dean. Students are encouraged to submit forms prior to the start of the quarter. All forms should be submitted by the last day of the add/drop period.

**Independent Study - Graduate**

Independent study courses are available under extenuating circumstances. The student must consult with the graduate dean to determine if he/she qualifies for an independent study. Independent study courses may not be taken to improve a grade in a previously completed course or to complete a capstone course.

In addition, the student must meet the following eligibility requirements:

- Written approval by the graduate dean or designee.
- Indication of academic ability evidenced by one of the following:
  - Minimum undergraduate GPA of 3.0, or
  - Completion of one or more graduate-level courses with a minimum CGPA of 3.0

The independent study course will start on the first day of a term and end on the last day of the term. For NAU employees, CTA will not cover tuition for Independent Study courses.

**Procedure - Independent Study**

1. The student completes and signs the top portion of form FR101 and returns the form to his/her academic advisor/academic dean. Online students will communicate with the Distance Learning academic advisor/academic dean by e-mail, which will be attached to form FR101.
2. The student is advised that he/she will need to set aside one hour per week to meet with the faculty member to complete the independent study and that attendance will be taken weekly.
3. If the student agrees to the requirements for the independent study and the advisor/academic dean approves the request, the form is signed by both the advisor and academic dean. The original form is then forwarded to the Registrar’s Office.
4. The academic dean assigns a qualified instructor to teach the independent study and completes faculty contract procedures.
NATIONAL AMERICAN UNIVERSITY MILITARY TRAINING CREDIT POLICY

Military Training Credit
Transcribed military courses are treated the same as courses transferred from a higher education institution.

Military course completion certificates which are not recorded on official military transcripts may be evaluated separately and used to complement other military records. These evaluations are completed in the Registrar’s Office.

Military
The following documentation is required for the evaluation of military credit. Military completion certificates may be used to complement other records or when service courses are not recorded on official military transcripts. These certificates must include contact hours.

Air Force
Community College of the Air Force (CCAF) provides transcripts to all current and former active duty, guard, and reserve Air Force members who have completed training from November 9, 1972. A CCAF transcript may be obtained as follows:
1. Visit your Air Force education center. They can order your free transcript online.
2. Send a written request to the address below that includes your full name or former name if appropriate, social security number, and the address of the location you want the free transcript to be sent. Your signature is required for release of a transcript.
   CCAF/DESS
   100 South Turner BLVD
   Gunter Annex AL 36114-3011.
3. For a minimum charge, you can order a transcript through Credentials Inc. online or via telephone. Express shipping is offered through this service. https://www.credentialsisn.com
   1-800-646-1858 or 1-847-446-1027 from 0700 hrs to 1900 hrs (CST)
Notice: Transcript requests sent by fax or email will NOT be accepted.

Army
The Army/ACE Registry Transcript Service (AARTS) transcript is available to Soldiers and Veterans of the Army, Army National Guard, and US Army Reserve, who have not already completed their undergraduate degree, and Basic Active Service Date (BASD) is after October 1, 1981. An AARTS transcript may be obtained as follows:
1. AARTS is only available in electronic format via the following website:
   http://aarts.army.mil
   Choose the school "National American University-All Campuses"
2. Submit a certified DD295 application for the evaluation of learning experiences during military service, to the college for any training that is not documented on your AARTS transcript.
Notice: Transcript requests sent by mail will NOT be accepted.

Navy/Marines
Sailor/Marine ACE Registry Transcript (SMART) is available to individuals who are serving or have served in the Navy or Marine Corps after 1976. However, data older than 1994 may be missing or incomplete. The older the data, the greater the chance something could be missing. Transcripts may be obtained as follows:
1. Request online at https://smart.navy.mil/smart/welcome.do
   Follow the instructions listed at https://smart.navy.mil/official.html
2. Print, complete, and sign the transcript request form found at the link below:
   a. Mail the completed form to:
      Commanding Officer
      Center for Personal and Professional Development
      ATTN: Virtual Education Center
      1905 Regulus Avenue, Suite 234
      Virginia Beach, VA  23461-2009
U.S. Coast Guard

US Coast Guard transcripts are available to active duty members, reservists, civilian employees, spouses, and retired/separated personnel. Students must complete a request for Assessment, using form CGI-1561, Application for Voluntary Education Services prior to requesting an official transcript. Transcripts may be obtained as follows:

1. Complete the transcript request form found at the link below:
   http://www.uscg.mil/hq/cgi/forms/CG_Form_1561.pdf
   a. Active Duty Members/Reservists/Civilian Employees send the completed request to your ESO.
   b. Active Duty Members/Reservists/Civilian Employees and Retired/Separated and Spouses:
      1. Email the completed form to:
         CGI-PF-ed_transcripts@uscg.mil
      1. Fax the completed form to:
         405-954-7249
      2. Mail the completed form to:
         Commanding Officer (RO)
         USCG Institute
         5900 SW 64th St., Room 228
         Oklahoma City, OK 73169-6991

For questions regarding SMART, contact the Virtual Education Center at:
Phone: 1-877-838-1659
DSN Phone: 492-4684
E-Mail: vec@navy.mil
NATIONAL AMERICAN UNIVERSITY NATURAL DISASTER ACADEMIC ACCOMMODATION POLICY

Natural Disaster Academic Accommodation Policy
National American University is committed to accommodating students who are adversely affected by natural disasters. When a student suffers a loss or disruption due to a natural disaster, as defined by the U.S. Federal Emergency Management Agency (FEMA), the student may elect one of the options set forth in the following procedure. FEMA defines a natural disaster as “an occurrence of a natural catastrophe, technological accident, or human caused event that has resulted in severe property damage, deaths, and/or multiple injuries.”

Procedure - Natural Disaster Academic Accommodation
A student adversely affected by a natural disaster may submit a “Natural Disaster Academic Accommodation Form” to the campus academic dean/advisor selecting from the following options:

1. A student may request to complete classes by accelerating required coursework and completing the course prior to the end of the current term.
   Final grades will be posted at the end of the term. Financial aid will be processed in accordance with university policy.

2. If the natural disaster occurs within three weeks after the start of the term and financial aid has not been disbursed, the student may request to be “no-showed” from classes. All attendance and enrollment will be deleted from the system.
   The courses will not be recorded on the student’s transcript. The student will not be charged for the classes, and any requested financial aid will be canceled.

3. A student may request an incomplete grade by submitting an “Incomplete Grade Form” in accordance with the Incomplete Grade Policy. The student will have one year from the date the incomplete is granted to finish the classes.
   An incomplete grade will appear on the student’s transcript until all coursework is completed or a year has passed. If the coursework is not completed within one year, the final grade will be based upon the work submitted. Financial aid will be processed in accordance with university policy.

4. A student may withdraw from classes in accordance with the university’s Withdrawal Policy.
   A final grade of “W” will appear on the student’s transcript. Financial aid and any refund due will be processed in accordance with university policy.
NATIONAL AMERICAN UNIVERSITY REPEATED COURSE POLICY

Repeating Courses - Undergraduate
A student may be eligible to receive financial aid for a repeated course if the student previously withdrew from the course or received a failing grade. A student may also be eligible to receive financial aid one time to repeat a course in which the student previously received a passing grade. However, a student generally may not receive financial aid to repeat a course for which the student previously earned an "A".

When a course is repeated, the higher grade is used to calculate the student’s term and cumulative grade point averages, although the lower grade will remain on the transcript. For policies affecting nursing courses, please refer to the school of nursing student handbook.

Repeating Courses - Graduate
Any course may be repeated a maximum of two times, regardless of the letter grade earned, at the current cost per unit. A grade of "W" is considered a letter grade for determining the number of times a course has been attempted. When a course is repeated, the higher grade will be used in the computation of the grade point average and the other grade, while remaining on the transcript, will not be computed in the grade point average. Students who do not successfully complete a course after three attempts will be terminated from the graduate program.

Students should check with their financial aid advisor regarding eligibility for financial aid when repeating courses.

Repeating Courses - Doctoral
Any course may be repeated a maximum of one time regardless of the letter grade earned, at the current cost per credit hour. A grade of "W" is considered a letter grade for determining the number of times a course has been attempted. When a course is repeated, the higher grade will be used in computation of the grade point average and the lower grade, while remaining on the transcript, will not be computed in the grade point average. Students who do not successfully complete a course after two attempts will be terminated from the doctoral program. Students who appeal to the Academic Progress Committee (APC) comprised of the associate dean of doctoral students, the chair of graduate faculty, and the dean of graduate faculty, located at the Roueche Graduate Center. If unresolved in committee, review by the senior vice president of the Roueche Graduate Center, in consultation with the APC, provides a final step in the appeal process.

Students should check with their financial aid representative regarding eligibility for financial aid when repeating courses.
Course Load Policy - Undergraduate

In order to complete a degree in the standard time frame (two years for the associate degree and four years for the bachelor’s degree), the student course load would be about 16 credit hours for three quarters per year. The per quarter course load includes regular, accelerated, online, and independent study courses, as well as externships and internships. A minimum of 12 credits per quarter is required to be considered as a full-time student. Registration for course loads exceeding 18 quarter credits requires a minimum cumulative grade point average and signature as follows:

<table>
<thead>
<tr>
<th>Credit Hours</th>
<th>Min. Cumulative GPA</th>
<th>Signature(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>19-22.5</td>
<td>2.0</td>
<td>Advisor, Academic Dean</td>
</tr>
<tr>
<td>23-27</td>
<td>3.0</td>
<td>Advisor, Academic Dean, Associate Provost/System VP for Curriculum and Assessment</td>
</tr>
</tbody>
</table>

Student Course Load Policy - Graduate

In order to complete the graduate program in 18 months, the student course load would consist of nine credit-hours per quarter for six consecutive quarters. A minimum of nine credits per quarter is required to be considered as a full-time student. Students receiving federal financial aid should check with their financial aid advisor to determine if they meet the federal requirements for full-time status. Registration for course loads exceeding 13.5 quarter-credits requires a minimum cumulative grade point average (GPA) and approval as follows:

<table>
<thead>
<tr>
<th>Credit Hours</th>
<th>Min. Cumulative GPA</th>
<th>Signature(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>over 13.5</td>
<td>3.0</td>
<td>dean of the graduate school</td>
</tr>
</tbody>
</table>

Student Course Load Policy - Doctoral

Registration for course loads exceeding nine trimester credit hours requires a minimum 3.0 cumulative grade point average (GPA) and approval as follows:

<table>
<thead>
<tr>
<th>Credit Hours</th>
<th>Min. Cumulative GPA</th>
<th>Signature(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>over 9</td>
<td>3.0</td>
<td>associate dean of doctoral students</td>
</tr>
</tbody>
</table>

Procedure - Request for Course Overload - Undergraduate

1. During registration the student requests to be allowed to take 19 or more credit hours. If the student holds the minimum GPA required and the advisor deems the student has the ability to successfully complete the extra courses during the time allotted, the advisor completes and signs form FR102. The advisor forwards the form to the academic dean for approval.

2. If the academic dean approves the overload and the request is for:
   a. 19-22.5 credit hours, the form is submitted directly to the Registrar’s Office.
   b. 23 or more credit hours, the dean will submit the form to the associate provost/system vice president for curriculum and instruction. Proceed to step 3.

3. If the associate provost/system vice president for curriculum and instruction approves and signs the request, a copy will be forwarded to the academic dean and the original forwarded to the Registrar’s office before the end of the add/drop period each quarter. If the associate provost/system vice president for curriculum and instruction denies the request, the original form will be returned to the campus academic dean.
Satisfactory Academic Progress Policy - Undergraduate
To maintain satisfactory academic progress and qualify for Title IV federal financial aid, a student must (1) satisfy the academic requirements of the university and specific program requirements, and (2) make satisfactory academic progress, as required by federal law. Satisfactory Academic Progress (SAP) is measured using qualitative and quantitative standards, including periods during which federal financial aid was not received. Qualitative progress is measured by cumulative grade point average. Quantitative progress is measured by completion rate and maximum timeframe.

Cumulative Grade Point Average
- A student must maintain a minimum cumulative grade point average (CGPA) as calculated in the Satisfactory Academic Progress Table in this policy. If a student is enrolled in an educational program of more than two academic years, the student must have a CGPA of 2.0 or higher at the end of the second academic year.
- Satisfactory (S), Unsatisfactory (U), Withdrawal (W), and Withdrawal-Fail (WF) grades are not used in calculating CGPA. Credits earned by examination or transferred from another institution are also not used in calculating CGPA.
- When a student repeats an NAU course, the highest grade achieved in that course is used in calculating CGPA.

Completion Rate
- In addition to maintaining a minimum CGPA, a student must successfully complete 66.67% of all credit hours attempted, including those attempted in remedial and English as a Second Language (ESL) courses.
- Credits transferred from another institution are included as credits attempted and completed for the purpose of calculating completion rate.
- The grades of A, B, C, D, and S indicate successful course completion for purposes of this policy. The grades of F, W, WF, and U indicate a lack of successful course completion.

Maximum Timeframe
- A student must complete his/her academic program within a maximum of 150% of the published length of the education program as measured in credit hours. For example, a student completing a bachelor's degree requiring 186 credit hours may attempt 279 credit hours to complete that degree. (186 x 1.5 = 279)
- Credits transferred from another institution are included as credits attempted and completed for the purpose of calculating maximum timeframe.

Satisfactory Academic Progress Status
The satisfactory academic progress of each student is evaluated for the purpose of determining federal financial aid eligibility. SAP is evaluated by the Satisfactory Academic Progress Committee at each campus once per quarter. Students who have received an incomplete grade will be evaluated for SAP after expiration of the incomplete grade period and the determination of a final grade.

Good Standing – A student is in good standing status if the student has: (1) successfully completed a minimum of 66.67% of the credit hours attempted; (2) maintained at least the minimum CGPA; and (3) not exceeded the maximum timeframe.

Warning – A student will be placed in warning status if the student’s CGPA falls below the minimum or the student fails to successfully complete at least 66.67% of the credit hours attempted. A student in warning status will be given one quarter to return to good standing status. A student who does not return to good standing status within such time period will be placed in suspension status. Federal financial aid is available to eligible students in warning status.

Suspension – A student in warning status who does not return to good standing status after one quarter, or who exceeds the maximum timeframe, will be placed in suspension status. A student in suspension status is not eligible to receive federal financial aid, but may continue to attend classes if the student makes other payment arrangements. This status continues during periods of non-enrollment. A student may re-establish eligibility for federal financial aid as set forth in the following section entitled Re-Establishing Federal Financial Aid Eligibility.

Probation – A student in probation status has been granted such status by the SAP Committee in accordance with the following section entitled Re-Establishing Federal Financial Aid Eligibility. Federal financial aid is available to eligible students in probation status for one quarter, or longer, if the student meets the terms of an academic plan approved by the SAP Committee. If the student fails to return to good standing within one quarter or fails to meet the conditions of the academic plan, he/she will be returned to suspension status and will no longer be eligible for federal financial aid.

Students who have been placed in or removed from warning, suspension, or probation status, or who have exceeded the maximum timeframe, will receive notification letters stating their academic and financial aid status.
Re-Establishing Federal Financial Aid Eligibility

A student in suspension status may re-establish eligibility for federal financial aid if:

- The student continues to attend classes and improves his/her CGPA and/or completion rate to minimum standards without federal financial aid, or
- The student appeals the suspension and demonstrates that extenuating circumstances caused the student to be unable to make satisfactory academic progress, such as the death of a relative, serious injury or illness of the student, or other special circumstances. The student must also explain what has changed in the student’s situation that will allow the student to demonstrate satisfactory academic progress at the next evaluation.
  - The student must submit an Appeal of Academic Suspension Form no later than the last day of add/drop week of the quarter for which the student wishes to enroll.
  - The appeal form must be submitted to the academic dean of the campus at which the student intends to enroll, regardless of whether the student has previously attended another NAU campus.
  - A student may appeal no more than three times.

A student who has exceeded maximum timeframe cannot re-establish eligibility for federal financial aid.

Satisfactory Academic Progress Tables - Undergraduate

**Bachelor and Associate Degree Programs**

<table>
<thead>
<tr>
<th>Credits attempted and completed</th>
<th>Minimum CGPA</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-18.5</td>
<td>1.5</td>
</tr>
<tr>
<td>19-49.5</td>
<td>1.7</td>
</tr>
<tr>
<td>50-79.5</td>
<td>1.9</td>
</tr>
<tr>
<td>80+</td>
<td>2.0</td>
</tr>
</tbody>
</table>

**Diploma Programs**

<table>
<thead>
<tr>
<th>Credits attempted and completed</th>
<th>Minimum CGPA</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-18.5</td>
<td>1.5</td>
</tr>
<tr>
<td>19-45.5</td>
<td>1.7</td>
</tr>
<tr>
<td>46-71.5</td>
<td>1.9</td>
</tr>
<tr>
<td>72+</td>
<td>2.0</td>
</tr>
</tbody>
</table>

*Students taking preparatory courses for admission to a graduate program must maintain a 2.0 CGPA.*

Satisfactory Academic Progress Policy - Graduate

To maintain satisfactory academic progress and qualify for Title IV federal financial aid, a student must (1) satisfy the academic requirements of the university and specific program requirements, and (2) make satisfactory academic progress, as required by federal law. Satisfactory Academic Progress (SAP) is measured using qualitative and quantitative standards, including periods during which federal financial aid was not received. Qualitative progress is measured by cumulative grade point average. Quantitative progress is measured by completion rate and maximum timeframe. Foundation courses are not included in cumulative grade point average, completion rate and maximum timeframe calculations.

**Cumulative Grade Point Average**

- A student must maintain a minimum cumulative grade point average (CGPA) as calculated in the Satisfactory Academic Progress Table in this policy.
- Incomplete (I) and Withdrawal (W) grades are not used in calculating CGPA. Credits earned by examination or transferred from another institution are also not used in calculating CGPA.
- When a student repeats an NAU course, the highest grade achieved in that course is used in calculating CGPA.

**Completion Rate**

- In addition to maintaining a minimum CGPA, a student must successfully complete 66.67% of all credit hours attempted.
- Credits transferred from another institution are included as credits attempted and completed for the purpose of calculating completion rate.
• The grades of A, B, and C indicate successful course completion for purposes of this policy. The grades of F and W indicate a lack of successful course completion.

Maximum Timeframe
• A student must complete his/her academic program within a maximum of 150% of the published length of the education program as measured in credit hours. For example, a student completing a master’s degree requiring 54 credit hours may attempt 81 credit hours to complete that degree. \((54 \times 1.5 = 81)\)
• Credits transferred from another institution are included as credits attempted and completed for the purpose of calculating maximum timeframe.

Satisfactory Academic Progress Status
The satisfactory academic progress of each student is evaluated for the purpose of determining federal financial aid eligibility. SAP is evaluated by the Satisfactory Academic Progress Committee at each campus once per quarter. Students who have received an incomplete grade will be evaluated for SAP after expiration of the incomplete grade period and the determination of a final grade.

Good Standing – A student is in good standing status if the student has: (1) successfully completed a minimum of 66.67% of the credit hours attempted; (2) maintained at least the minimum CGPA; and (3) not exceeded the maximum timeframe. Students who have been placed in or removed from warning, suspension, or probation status, or who have exceeded the maximum timeframe, will receive notification letters stating their academic and financial aid status.

Warning – A student will be placed in warning status if the student’s CGPA falls below the minimum or the student fails to successfully complete at least 66.67% of the credit hours attempted. A student in warning status will be given one quarter to return to good standing status. A student who does not return to good standing status within such time period will be placed in suspension status. Federal financial aid is available to eligible students in warning status.

Suspension – A student in warning status who does not return to good standing status after one quarter, or who exceeds the maximum timeframe, will be placed in suspension status. A student in suspension status is not eligible to receive federal financial aid, but may continue to attend classes if the student makes other payment arrangements. This status continues during periods of non-enrollment. A student may re-establish eligibility for federal financial aid as set forth in the following section entitled Re-Establishing Federal Financial Aid Eligibility.

Probation – A student in probation status has been granted such status by the SAP Committee in accordance with the following section entitled Re-Establishing Federal Financial Aid Eligibility. Federal financial aid is available to eligible students in probation status for one quarter, or longer, if the student meets the terms of an academic plan approved by the SAP Committee. If the student fails to return to good standing within one quarter or fails to meet the conditions of the academic plan, he/she will be returned to suspension status and will no longer be eligible for federal financial aid.

Students who have been placed in or removed from warning, suspension, or probation status, or who have exceeded the maximum timeframe, will receive notification letters stating their academic and financial aid status.

Re-Establishing Federal Financial Aid Eligibility
A student in suspension status may re-establish eligibility for federal financial aid if:
• The student continues to attend classes and improves his/her CGPA and/or completion rate to minimum standards without federal financial aid, or
• The student appeals the suspension and demonstrates that extenuating circumstances caused the student to be unable to make satisfactory academic progress, such as the death of a relative, serious injury or illness of the student, or other special circumstances. The student must also explain what has changed in the student’s situation that will allow the student to demonstrate satisfactory academic progress at the next evaluation.
  • The student must submit an Appeal of Academic Suspension Form, Academic Plan Form, and documentation of extenuating circumstances no later than the first day of the term for which the student wishes to enroll.
  • The appeal form must be submitted to the academic dean of the campus at which the student intends to enroll, regardless of whether the student has previously attended another NAU campus.
  • A student may appeal no more than three times.

A student who is projected to reach maximum timeframe cannot re-establish eligibility for federal financial aid.

Satisfactory Academic Progress Table - Graduate

<table>
<thead>
<tr>
<th>Credits Attempted and Completed</th>
<th>Minimum CGPA</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-18.5</td>
<td>2.5</td>
</tr>
<tr>
<td>19-22.5</td>
<td>2.6</td>
</tr>
</tbody>
</table>
Satisfactory Academic Progress Status of Doctoral (EdD) Degree Seeking Students

Cumulative Grade Point Average (CGPA)
A student must maintain a minimum cumulative grade point average (CGPA) (see Grading Standards – Doctoral) as calculated in the Satisfactory Academic Progress Table in this policy.

Incomplete (I) and Withdrawal (W) grades are not used in calculating the CGPA. Credits earned by examination or transferred from another institution are also not used in calculating the CGPA.

When a student repeats an NAU course, the highest grade achieved in that course is used in calculating the CGPA.

<table>
<thead>
<tr>
<th>Credits attempted and completed</th>
<th>Minimum CGPA</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-18</td>
<td>2.7</td>
</tr>
<tr>
<td>18-30</td>
<td>2.8</td>
</tr>
<tr>
<td>30-45</td>
<td>2.9</td>
</tr>
<tr>
<td>46+</td>
<td>3.0</td>
</tr>
</tbody>
</table>

Completion Rate
In addition to maintaining a minimum CGPA, a student must successfully complete 66.67% of all credit hours attempted at National American University.

The grades of A, B, and C indicate successful course completion for purposes of the financial aid policy. The grades of F, I, and W indicate a lack of successful course completion. Only two grades of C are permitted for satisfactory progress in the doctoral program.

Maximum Timeframe
To qualify for federal financial aid, a student must complete his/her academic program within a maximum of 150% of the published length of the education program as measured in credit hours. For example, a student completing the CCLP EdD degree requiring 60 credit hours may attempt 90 credit hours to complete that degree. (60 x 1.5 = 90) Credits transferred from another institution are included as credits attempted and completed for the purpose of calculating maximum timeframe.

Satisfactory Academic Progress Status
The satisfactory academic progress (SAP) of each student is reviewed for the purpose of determining federal financial aid eligibility once each trimester. Students not making satisfactory progress must develop an academic plan in consultation with the associate dean of doctoral students, located at the Roueche Graduate Center. This plan will be reviewed for approval by the Doctoral Satisfactory Academic Progress Committee, comprised of the associate dean of doctoral students, the chair of graduate faculty, and the dean of graduate faculty. A review by the senior vice president of the Roueche Graduate Center, in consultation with the Doctoral Satisfactory Academic Progress Committee, will serve as the final appeal in due process.

Good Standing
A student is in good standing status if the student has: (1) successfully completed a minimum of 66.67% of the credit hours attempted; (2) maintained at least the minimum CGPA of 3.0; and (3) not exceeded the maximum timeframe.

Warning
A student will be placed in warning status if the student’s CGPA falls below the minimum or the student fails to successfully complete at least 66.67% of the credit hours attempted. A student in warning status will be given one trimester to return to good standing status. A student who does not return to good standing status within such time period will be placed in suspension status. Federal financial aid is available to eligible students in warning status.

Suspension
A student in warning status who does not return to good standing status after one trimester, or who exceeds the maximum timeframe, will be placed in suspension status. A student in suspension status is not eligible to receive federal financial aid, but may continue to attend classes if the student makes other payment arrangements. This status continues during periods of non-enrollment. A student may re-establish eligibility for federal financial aid as set forth in the section entitled Re-Establishing Federal Financial Aid Eligibility.
Probation
A student in probation status has been granted such status by the Doctoral SAP Committee in accordance with the following section entitled Re-Establishing Federal Financial Aid Eligibility. Federal financial aid is available to eligible students in probation status for one trimester or longer, if the student meets the terms of an academic plan approved by the Doctoral SAP Committee. If the student fails to return to good standing within one trimester, or fails to meet the conditions of the academic plan, he/she will be returned to suspension status and will no longer be eligible for federal financial aid.

Students who have been placed in or removed from warning, suspension, or probation status, or who have exceeded the maximum timeframe, will receive notification letters stating their academic and financial aid status.
NATIONAL AMERICAN UNIVERSITY STANDARDIZED EXAMINATION CREDIT POLICY

National Testing
Students enrolled at National American University may receive credit for specific courses by satisfactorily completing appropriate College-Level Examination Program (CLEP) or Defense Activity for Nontraditional Education Supports (DANTES) examinations. Exam scores must meet or exceed the minimum qualifying scores established by these testing agencies to be accepted. If minimum scores are not met, students must wait for a time period specified by the testing agency before attempting the same standardized exam again.

In order to receive credit, students must be enrolled at National American University and have an official score report submitted to the registrar’s office. Academic credit awarded through these standardized testing programs will be applied to the National American University degree requirement. Grades are not assigned on the academic transcript and exam results are not included in grade point average calculation.

Students may contact the academic deans at these campuses for further information about testing procedures and fees.

Credit for standardized tests will not be awarded if the student has received prior credit for the same course or an equivalent course.

Each college and university reserves the right to accept transfer credits on a course-by-course basis and will determine the number of hours to be accepted from transfer students. Results from standardized examinations may not be accepted in transfer by other institutions.

Procedure - Standardized Examination Credit
The following is the procedure for students wishing to take computer-based CLEP examinations.

1. The student should contact the academic dean to indicate an interest in taking a CLEP examination if available at the campus.

2. The student will pay CLEP for the computer-based examination by credit card or money order. In addition, an administrative fee of $15 must be paid to the university’s test proctor. The fee is forwarded to the Central Administration business office.

3. Unofficial results are available at the conclusion of the CLEP test. Office results are returned to the university in approximately four to six weeks. Exam scores must meet or exceed the minimum qualifying scores established by the testing agency to be accepted by National American University. Grades are not assigned on the academic transcript and exam results are not included in the grade point average calculation.

4. If the student fails to meet the minimum score, he/she may retest but must wait six months before attempting the same CLEP exam again. Other standardized examinations for the same topic may be completed in less than six months.
NATIONAL AMERICAN UNIVERSITY STUDENT REENTRY POLICY

Reentry Policy - Undergraduate
Students who reenter the university after more than four consecutive quarters of absence will be required to enter the university under current program requirements. For nursing readmission guidelines, please refer to the school of nursing student handbook.

An exception to this requirement will be made if the student has four or fewer courses left in his/her program, the reentry is within two years, and the university still offers the program. If the program is a limited enrollment program, the student will be readmitted on a space available basis. Students who leave the university due to military deployment may request special readmittance consideration.

If the student was in academic suspension status when he/she left the university, he/she will be required to appeal his or her status to the campus academic standards committee and his or her re-enrollment is conditioned upon a successful appeal with the committee.

Student Reentry - Graduate
Students who reenter the graduate program after more than four consecutive terms will be required to enter the university under the new program requirements. For nursing readmission guidelines, please refer to the School of Nursing Student Handbook.

An exception to this requirement may be made if the student has two or fewer courses left in his or her program, the reentry is within two years, and the university still offers the program. If the program is a limited enrollment program, the student will be readmitted on a space available basis. Students who leave the university due to military deployment may request special re-admittance consideration.

If the student was in academic suspension status when he/she left the university, he/she will be required to appeal his/her status to the graduate dean, and his/her reenrollment is conditional upon a successful appeal with the Academic Standards Committee.

If the student was admitted on a probationary basis, the student's academic progress will be evaluated to determine acceptance into the Graduate School upon reentry.

Program Time Limitations
Students are expected to complete the graduate degree within seven years of beginning graduate study at National American University with the exception of the MSN program in which the expected length of study is five years. Please see Time Limitations.

Student Reentry - Doctoral
Students who reenter the doctoral program after more than four consecutive terms will be required to enter the university under new program requirements.

An exception to this requirement may be made if the student has two or fewer courses left in his or her program, the reentry is within two years, and the university still offers the program. If the program is a limited enrollment program, the student will be readmitted on a space available basis (also, refer to "Cohort Participation" regarding completing missed courses). Students who leave the university due to military deployment may request special re-admittance consideration.

If the student was in academic suspension status when he/she left the university, he/she will be required to appeal his/her status to the associate dean of doctoral students and his/her reenrollment is conditioned upon a successful appeal with the Academic Standards Committee comprised of the associate dean of doctoral students and dean of graduate faculty, located at the Roueche Graduate Center.
TRANSCRIPT REQUEST POLICY

Transcripts of Records
An official transcript is a certified copy of a student’s permanent record that shows the academic status of the student at the time of issuance. The registrar in Rapid City will release transcripts upon formal written request by the student. Requests must include the student’s full name, as recorded while attending National American University; Social Security number or Student ID number; date of birth; campus last attended; current address, telephone number and e-mail address; number of copies desired; last term of attendance (if known); to whom and where the transcripts are to be sent; and the student’s original signature. Transcripts may be withheld because of indebtedness to the university.

1. One copy of an official transcript will be issued to a graduate free of charge.
2. A $10 charge will be assessed for all subsequent official transcripts. A $15 charge will be assessed for same-day processing of any transcript.
3. No charge will be made for official transcripts issued directly to the following agencies:
   a. Scholarship agencies (i.e. embassies, BIA)
   b. Company/military tuition assistance
   c. Exam agencies (i.e. CPA, ABA)
   d. Prospective employers
4. There is no charge for an unofficial transcript (computer listing of courses and grades) released to current students.

Procedure - Transcript Request

Current Student:
1. The student completes and signs form FR104 - Transcript Request Form and submits it along with the $10.00 fee (per transcript) to the Registrar’s office. The transcript request form is available at the Useful Forms and Academics links at www.national.edu.
2. The Registrar’s office verifies that the form is complete and processes the request.

Inactive Student:
1. The student completes and signs form FR104 - Transcript Request Form and submits it with the $10.00 fee (per transcript) to the following address:

   National American University
   Registrar
   Transcript Request
   5301 S. Highway 16
   Rapid City, SD 57701
2. The Registrar’s office checks to determine if the transcript request is complete and legible and then contacts the Central student accounts office.
3. The Central student accounts office notifies the Registrar’s office of the student’s account status. If the student’s account is cleared, the Registrar’s office will process the request that day. If the student’s account shows an outstanding balance, the Registrar’s office will inform the student that the request is on hold.
NATIONAL AMERICAN UNIVERSITY TRANSFER OF CREDIT POLICY

Transfer of Credit
Transfer credit will not be granted for designated capstone courses in the university's academic programs. For students residing outside the state of Oregon, credits earned at accredited business or technical schools, colleges, or universities may be transferred to National American University based on comparability of subject matter, applicability of the credit earned to the student's program, and if the student earned a final grade of "C" or better. For students residing within the state of Oregon, credits earned at regionally accredited schools or from nationally accredited schools approved to offer programs in Oregon may be transferred to National American University based on comparability of subject matter, applicability of the credit earned to the student's program, and if the student earned a final grade of "C" or better. Credit transfer may be restricted to that which has been completed within a recent time period. Students wishing to transfer credits must see that an official transcript of those credits is sent to the registrar. Transfer credits are also subject to the university's residency requirements.

A student who is enrolled at another university may also enroll for course work at National American University as a special student. It is the student's responsibility to request an official transcript of credits earned at National American University to be sent to the university at which he/she is a candidate for a degree.

Foundational nursing students eligible to receive transfer credits for one or more of their nursing foundation courses have the option to request that National American University not accept transfer credit in one or more of the nursing foundation courses. This request must be made at the time of admission and students must first see their nursing foundational core advisor to be advised regarding National American University’s admission criteria into the nursing clinical core. The decision to reject the transfer of courses into the nursing foundation core is not reversible.
Withdrawal Policy

Students may voluntarily withdraw or be administratively withdrawn from courses. Students withdrawing before the end of the add/drop period will have the course removed from their transcript, and tuition will not be charged. Students who officially withdraw after the end of the add/drop period but before 60 percent of the academic term has elapsed will receive a "W" on their transcripts. The student’s grade point average will not be affected by the "W" grade on the transcript, however the credits will count toward cumulative credits attempted.

Students who have completed more than 60 percent of the academic term may not be withdrawn from a course. Please refer to the academic calendar for withdrawal deadlines for each academic term. For additional nursing program withdrawal procedures, please refer to the school of nursing student handbook.
Withdrawals/Refunds

Students should give written notice of withdrawal to the university academic dean to officially terminate their enrollment. Students who do not give written notice will be withdrawn from courses when it is determined, by the university, that the student is no longer pursuing his or her educational objective.

Students completing at least one course during the term will not be eligible for a refund. Students who withdraw without completing any courses during the term will have a refund calculation completed.

The period of enrollment includes all courses for which the student is registered, from the first scheduled day of attendance through the last scheduled day of classes for this student.

The return of Title IV funds and the tuition reduction will be calculated based on the student’s last day of attendance. Refunds minus a $75 administrative fee will be made within 45 days of when the withdrawal date (last day of attendance) is determined.

The following refund policy from National American University applies to all students in all academic programs and all student categories at all campuses. The following refund policy does not apply to contract agreements or other arrangements where a separate refund policy is stated.

A prorated amount of Title IV funds must be returned to financial aid programs for students not completing 60 percent of the period of enrollment if the student was a financial aid recipient.

Students who completely withdraw from National American University during the first 60 percent of the term will have tuition and fees prorated based on the last day of attendance in accordance with the following calculation:

<table>
<thead>
<tr>
<th>Last Day of Attendance</th>
<th>Percent of Reduction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Withdrawal prior to the first day of classes</td>
<td>100%</td>
</tr>
<tr>
<td>Last day of attendance during the first week of classes</td>
<td>100%</td>
</tr>
<tr>
<td>Beyond first week but during first 60% of scheduled classes</td>
<td>daily proration*</td>
</tr>
<tr>
<td>Beyond 60% of scheduled classes</td>
<td>no refund</td>
</tr>
</tbody>
</table>

* Percent of term completed = Number of days from scheduled start of term through student’s last day of attendance ÷ Number of days in scheduled term

Percent to be refunded = 100% minus percent of term completed

Additional information for Indiana students

If a postsecondary proprietary educational institution utilizes a refund policy of their recognized national accrediting agency or the new United States Department of Education (USDOE) Title IV refund policy enacted by the 1992 Amendments to the Higher Education Act, the postsecondary proprietary educational institution must provide written verification in the form of a final refund calculation, upon the request of the commission, that its refund policy is, indeed, more favorable to the student than that of the commission's. Postsecondary proprietary educational institutions accredited by a nationally recognized accrediting agency must uniformly apply the commission's tuition refund policy or the refund policy of their recognized accrediting agency, as previously approved by the commission to all first-time students enrolled. Postsecondary proprietary educational institutions using a refund policy other than that of the commission's must list the complete policy and its origination in the institutional catalog and the enrollment agreement. (Indiana Commission on Proprietary Education; 570 IAC 1-8-4.5; filed Jan 17, 1995, 1:00 p.m.: 18 IR 1476; readopted and extended filed Jan 9, 2002, 10:58 a.m.: 23 IR 1731; readopted filed Sept 11, 2008, 9:53 a.m.: 20080924-IR-570080518RFA)

Additional information for Iowa students

The university shall make a pro rata refund of no less than ninety percent of the tuition for a terminating student to the appropriate agency based on the ratio of completed number of scheduled school days of the school term or course. If a terminating student has completed sixty percent or more of a school term or course that is more than four months in length, the university is not required to refund tuition for the student. If, at any time, a student terminates a school term or course due to the student’s physical incapacity or due to the transfer of the student’s spouse’s employment to another city, the terminating student shall receive a refund of tuition in an amount which equals the amount of tuition multiplied by the ratio of the remaining number of school days to the total school days of the school term or course. A refund of ninety percent of the tuition for a terminating student shall be paid to the appropriate
agency based upon the ratio of completed number of school days to the total school days of the school term or course. (Iowa Code Section 714.23)

Additional information for Oregon students
Students residing in Oregon are eligible for refunds pursuant to university policy, with the exception that refunds will be granted on a course-by-course basis. (OAR 583-030-0035(18)(c))

Withdrawals/Refunds - Doctoral
Students should give written notice of withdrawal to the associate dean of doctoral students to officially terminate their enrollment. Students who do not give written notice will be withdrawn from courses when it is determined, by the university, that the student is no longer pursuing his or her educational objective.

The period of enrollment includes all courses for which the student is registered, from the first scheduled day of attendance through the last scheduled day of classes for this student.

The return of Title IV funds and the tuition reduction will be calculated based on the student’s last day of attendance. Refunds minus a $75 administrative fee will be made within 45 days of when the withdrawal date (last day of attendance) is determined.

The following refund policy from National American University applies to all students in all academic programs and all student categories at all campuses. The following refund policy does not apply to contract agreements or other arrangements where a separate refund policy is stated.

A prorated amount of Title IV funds must be returned to financial aid programs for students not completing 60 percent of the period of enrollment if the student was a financial aid recipient.

Students who completely withdraw from National American University during the first 60 percent of the term will have tuition and fees prorated based on the last day of attendance in accordance with the following calculation:

<table>
<thead>
<tr>
<th>Last Day of Attendance</th>
<th>Percent of Reduction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Withdrawal prior to the first day of classes</td>
<td>100%</td>
</tr>
<tr>
<td>Last day of attendance during the first week of classes</td>
<td>100%</td>
</tr>
<tr>
<td>Beyond first week but during first 60% of scheduled classes</td>
<td>daily proration*</td>
</tr>
<tr>
<td>Beyond 60% of scheduled classes</td>
<td>no refund</td>
</tr>
</tbody>
</table>

* Percent of term completed = Number of days from scheduled start of term through student’s last day of attendance

Percent to be refunded = 100% minus percent of term completed.

State specific information about withdrawal and refund requirements are available from Dr. Jason Warr, Associate Provost for Academic Administration and Regulatory Affairs, 5301 S. Highway 16, Rapid City, SD 57701, or (605) 721-5274.
ADMISSIONS POLICIES AND PROCEDURES
Admission Requirements - Undergraduate

Regular Admission
For admission to one or more of National American University’s diploma or undergraduate degree programs, students must:
1. Complete and submit a Student Application for Admission (Go to www.national.edu); and
2. Have graduated from a recognized high school (or the U.S. Department of Education-accepted equivalent); or
3. Submit an official transcript from an accredited U.S. higher education institution indicating completion of a post-secondary education program of at least two years in length with a minimum cumulative grade point average of 2.0. The official transcript request must be completed during the application process for university approval during the first term of attendance. Students who received their secondary education outside the United States, United States territories, or Department of Defense-recognized U.S. high schools located on military bases outside the territorial United States must provide evidence of secondary-level education completion. Students must submit one or more of the following document(s) during the first term of attendance for university approval prior to the end of the first term:
   a. An official document evidencing completion of the equivalent of a U.S. high school education (Go to International Undergraduate Student Admissions at www.national.edu for further details on country-specific equivalencies of U.S. high school education.). International documentation may include an official academic transcript or marks sheet and/or examination results (Diplomas or certificates of government examinations must show the academic subjects passed, and grades/marks received. All records should be submitted in the original language, and credentials written in languages other than English must be accompanied by a certified English translation. Translations should be literal and not interpretive. A key to the marking system or grading scale should also be included if it is not indicated on the transcript.); or
   b. An original General Education Development (GED) examination report demonstrating passing marks for the overall examination; or
   c. An official transcript that indicates completion of a post-secondary program of at least two years in length with a minimum cumulative grade point average of 2.0/4.0 or the equivalent from (i) an international higher education institution that is approved by the country’s national ministry of education or appropriate approval body or (ii) an accredited U.S. higher education institution (Transcripts should show marks and credits earned for all post-secondary work. All records should be submitted in the native language, and credentials written in languages other than English must be accompanied by a certified English translation. Translations should be literal and not interpretive. A key to the marking system or grading scale should also be included if it is not indicated on the transcript.).

Non-Native English Speaking Students
In addition to the above-listed requirements, National American University requires all non-native English speaking students to demonstrate sufficient command of the English language necessary to succeed in college-level classes taught in English. The English proficiency requirement can be satisfied through one of the following before attending any course at the university. Students must:
1. Provide an official Test of English as a Foreign Language (TOEFL) score report indicating a minimum score of 520 for a paper-based, 190 for a computer-based, or 68 for an Internet-based exam. (The TOEFL must have been taken within the past two calendar years. Official test scores must be sent from the testing agency to National American University. When ordering TOEFL test results, include the university’s school code of 6464.); or
2. Provide an official Test of English for International Communication (TOEIC) score report indicating a minimum score of 750 (not applicable to students enrolled in the nursing program).
3. Provide an official International English Language Testing System (IELTS) score report with an overall minimum score of 5. (The IELTS must have been taken within the past two calendar years. Official test scores must be sent from the testing agency to National American University.); or
4. Provide evidence of completion of two semesters (or the equivalent) of college-level English (excluding ESL courses) with a grade of “C” or higher at an accredited college or university whose language of instruction is English; or
5. Provide evidence of English language proficiency by completing the Accuplacer ESL English assessment exam with minimum scores in the following categories:
   • Reading skills of 102 or higher.
   • Sentence meaning of 100 or higher.
   • Language usage of 95 or higher.
   • Writing sample of 5 or higher.
Additional documentation in support of an application under this provision may be requested as deemed necessary by National American University. The university reserves the right to reject documentation or to request verification of documentation as may be necessary. Admissions documentation is considered the property of the university and will not be returned to the applicant (some exceptions may apply). The university reserves the right to reject any submitted application for enrollment.

**Full-time Students**

Students who enroll for 12 or more credit hours per quarter are considered to be full-time.

**Part-time Students**

If a student chooses not to attend full-time, a schedule may be arranged for one or more courses. Credits earned may be applied to degree or diploma programs.

**Special Students**

A special student is one who is not enrolled in a diploma or degree program. Special students are generally not eligible for federal financial aid. However, alternative loan programs may be available. Contact a National American University Financial Services Representative for more information.

**Transfer Students**

Students who have successfully completed course work at other accredited post-secondary institutions may apply for admission to National American University. University policies on transfer credits, residency requirements, and other admissions requirements are outlined in this catalog.

**Admission Requirements - MBA and MM**

**Regular Admission Status**

- A minimum of a baccalaureate degree from an accredited institution of higher learning in the United States or from an international institution of higher learning recognized by the ministry of education or other appropriate government agency, and
- A minimum grade point average of 2.75 achieved for all undergraduate work, or
- A minimum grade point average of 2.9 achieved for the last one-half of the credits earned toward a baccalaureate degree, or
- A minimum grade point average of 3.0 in two or more graduate-level courses taken at a regionally accredited institution of higher learning or recognized foreign equivalent.
- Successfully completing a mandatory online orientation.

**Admission Requirements - Online MSN - School of Nursing**

1. **Policy:** NAU School of Nursing Online MSN program reviews applications and admits students every academic quarter. Admission decisions are made and communicated in writing once the program application and admission requirements have been completed and reviewed.

2. **Regular admission status includes the following:**
   a. Graduation from a baccalaureate degree program in nursing from an accredited institution (or approval of Online MSN program chair).
   b. Current active unencumbered registered (RN) license from any state within the United States. Evidence of current licensure must be present in the student’s departmental file.
   c. Minimum cumulative grade point average (CGPA) of 3.0 or above on a 4.0 scale during the baccalaureate degree completion.

3. All nursing prefix (NS) courses must be completed through NAU online.*

4. All international nurses must have a current active unencumbered registered nurse license to practice (in the state of their choice in the United States) and an international professional evaluation of their prior education credentials.

*Only the following NS courses may be transferred into the MSN program of study: Leadership in Health Care: A Collaborative Approach to Theory/Ethics/Health Policy and Evidence-Based-Nursing Practice.

The Online MSN program is offered through NAU Distance Learning in all states except Tennessee.

**Admission Requirements - EdD**

Admission to the Doctor of Education (EdD) in Community College Leadership Program (CCLP) requires the following:

- A completed online application
- A master’s degree or higher from a regionally accredited institution of higher education in the United States or from an international institution of higher education recognized by the ministry of education or other appropriate government agency.
Admissions Policies and Procedures

- A minimum cumulative grade point average of 3.00 (of a possible 4.00 GPA) achieved for all previous graduate coursework
- Three years of related professional experience
- Willingness to matriculate through the program of study as a member of a cohort (see Cohort Participation)

Applicants for admission to the Doctor of Education (EdD) in Community College Leadership Program (CCLP) must submit the following items:
- A completed online application
- Official transcripts reflecting all academic work completed at the baccalaureate and graduate level from a regionally accredited institution of higher education in the United States or from an international institution of higher education recognized by the ministry of education or other appropriate government agency
- Current résumé demonstrating three years of related professional experience
- Personal and professional goal statement (up to 500 words)
- Three letters of recommendation from professionals who are familiar with the applicant’s academic and leadership potential (NAU may contact these references)

To complete the online application, please go to: https://cclp.national.edu

Note: GRE scores will not be required.
**NATIONAL AMERICAN UNIVERSITY CASH AND CASH EQUIVALENTS POLICY**

**Procedure - Cash and Cash Equivalents**

**Bank Accounts**
A bank account has been established for each campus. The chief financial officer at central administration will initiate any changes made to the accounts, such as changing the signature card.

Financial institutions require a corporate resolution to open a business account. A corporate officer must sign the corporate resolution therefore, all new accounts and changes will be authorized at central administration.

All bank statements will be sent to the business office at central administration. Bank statements will be reconciled by the accountants and reviewed by the Controller each month.

**Petty Cash**
Certain campuses have a petty cash box. There should be two people that maintain the petty cash box. The purpose of this box is to make change for employees and students. The amount of cash for each campus will be $75. If a campus requires a differing amount, a letter requesting the new amount and explaining the need must be sent to CA CFO. Once approved, a copy of this letter must be retained in the business office.

A reimbursement check will be issued to the campus upon reconciliation of the petty cash box. The following information must be included with the check request: expense reconciliation with original receipts coded to the appropriate expense account. No expenses can be reimbursed without a receipt. Once the business office receives this information, a reimbursement check will be issued in accordance with our accounts payable check run schedule. The campus will take this reimbursement check and cash it at the bank to refill the petty cash box. Check requests can be sent quarterly if a campus does not have sufficient expenses to warrant a check being issued monthly.

The reconciliation of the petty cash box should include the following items:

- Balance per box
- Plus receipts for expenses
- Balance on general ledger at Central

Transcripts for students will be handled in the following manner (NAU does not pay for faculty transcripts). To obtain payments for transcripts, each student enters their information into the online transcript ordering application. This online process will initiate and automatically fax all orders paid with a credit card and the transcript will be sent to the applicable campus. The business office will process the requests that require payment by check or money order within 24 hours of the date of entry, excluding weekends. Once the checks or money orders are mailed, the business office will update the database for each transcript ordered.

**Student Senate**
Student Senate account funds will be recorded as a balance sheet line item at Central for each campus with the amount available to student senate. The purpose of the student senate balance sheet account is to provide financial means to fund student activities that promote student retention and enhance the quality of campus life. Student representation is required to determine the use of these funds.

Increases to the account will be done at central and will include the quarterly allocation from the university. Any income received as a direct result of fund raising efforts by the students will be deposited in the operating account at the campus with a receipt forwarded to central so the accountant can book it as an increase to the balance sheet. Expenditures should include items such as food for finals week, reduced price or free athletic tickets, movie tickets, etc. All expenditures should be planned for in advance with a check request being sent to central to fund the event prior to the event occurring. This request can be an estimate of the amount that will be spent. The campus will cash the check, pay for the expense (obtaining a receipt), book the expense on their excel spreadsheet, deposit any excess cash into the operating account with a receipt forwarded to central, and forward the receipts for the expenses to the business office within 7 days following the event. Any expenses over the estimated amount sent can be written up on an expense report and sent with the receipts to the business office. The amount owed the employee will be paid out on the next check run. The due date for check requests is Tuesday by noon for the Thursday check run. Any event needing payment before a central check run will need to be funded by a management person at the campus with an expense report forwarded to central for reimbursement on the next check run. Reconciliations of the balance sheet accounts will be done monthly at central. The campus is required to submit their excel spreadsheet to central to facilitate these reconciliations. (Please see the Student Senate Account Procedures)
NATIONAL AMERICAN UNIVERSITY REVENUE POLICY

Procedure - Revenue

Income
Income is created when services are rendered or products are sold. Tuition and fee revenue is recognized equally over the quarter. Other types of revenue include VA administration fees, vending commissions and room or facilities rental. All revenue sources must be reported to the business office for proper accounting.

Invoicing/billing
All invoices for miscellaneous income must be created and sent by the central administration business office. The campus will be responsible for collection of the invoice. The business office must receive the following information in order to prepare the invoice:

1. Name, address, phone numbers, and contact person of the company to invoice.
2. Purpose of the invoice, ex. room rental.
3. Timeframe of services rendered.
4. Terms of invoice (Due Date).
5. Amount to be billed.

Once the invoice has been prepared, a copy will be forwarded to the campus for collection.

Certain items, such as vending commission, will not be invoiced to the company from NAU. In these circumstances, funds received should be deposited in accordance with deposit procedures. At the point of the deposit, the revenue will be recorded and recognized.

Deposits
All funds received by the campus should be deposited into the campus operating checking account. Deposits should be prepared in accordance with the student account cash procedures found in the student accounts procedures manual.

In summary, all fund sources, whether student accounts or miscellaneous in nature should have a receipt written. Miscellaneous deposits should be done separately from the daily student account deposit. Receipts for the specific day should equal the daily deposit prepared. Daily deposit information including credit card information should be forwarded to busoff@national.edu for proper recording via e-mail no later than 1:00 pm Central time. Receipts should then be forwarded to the central administration business office. Deposits must be done daily. If a campus cannot get the deposit in for the day, DO NOT tell the business office you did. That will overdraft the account.
Procedure - Purchasing

Types of Expenditures
Different types of expenditures require different types of approval. The nature of the purchase will determine what level of authorization is required. Listed below are some of the different types of expenditures and the required authorization procedure.

Capital Expenditures
Any expenditure that has a useful life of longer than one year is considered to be a capital expenditure. ALL capital expenditures must be approved by the CFO prior to purchase and require the use of a Central Administration purchase order. The purpose behind this approval process is to better utilize university assets across the system. The individual requesting the capital purchase should create the order using a purchase order obtained from MyNAU in the Business Office dropdown and acquire the program chairs approval, if necessary. The program chair then needs to get the approval of the CFO prior to the order being placed.
Capital expenditures over $500 will be capitalized and depreciated over the asset’s useful life as determined by generally accepted accounting principals. Items less than $500 will be expensed directly to the campus budget.

Expense Reports
On occasion, it may be necessary for an employee to travel or make a purchase using personal funds. If this situation occurs, the employee must complete an expense report. The expense report must include the proper documentation as stated in the employee expense reimbursement procedure, found in Appendix A of this manual.

The employee’s immediate supervisor should verify the validity of the expense report and sign off authorizing payment as well as coding the expenses to the appropriate general ledger account. The expense report should then be forwarded to the central administration business office for payment processing.

PURCHASE ORDERS
All capital expenditure items purchased, whether product or service, require a Central Administration purchase order be complete prior to the purchase taking place. This policy gives the ability to track budget expenses prior to expenditures being recorded in the general ledger at the business office. If payment must accompany the order, a check request may be submitted in addition to the purchase order. Other expenditures are approved through the budget approval process and therefore do not require a purchase order.

To assure monthly expenditures are within budgetary limits, financial reports are run each month and compared to the approved budgets. These variance reports are printed and monthly meetings are held between the CFO, Chief Operations Officer (COO) and Campus Directors to review any discrepancies. A signed invoice verifying receipt of merchandise and service along with a signature of approval to pay must be sent to the Business Office to complete payment process. The account number where the invoice should be expensed to should also be written on the invoice. Please make certain the signature of approval is on the invoice and not on the remittance form.

CHECK REQUESTS
Occasionally it may be necessary to obtain payment prior to services being rendered or the product being delivered. In this type of situation, a check request form should be completed and submitted to the business office. An example of this type of situation includes establishing an account with a new vendor. These expenses will be coded to a prepaid expense account until the goods or services have been received and/or used at which time the amounts will be recoded to the appropriate expense account. If you have paperwork for the expense that you are going to prepay, please include it with the check request.

If a check request is needed for the payment of services rendered, and payment is being made to an individual, partnership or unincorporated company, a W-9 form is required to be submitted with the check request. The W-9 form obtains the taxpayer identification number for tax form 1099. Payment will not be released without the W-9 on file. A new W-9 should be completed each calendar year to update the information we have on file.

INVOICING/GENERAL LEDGER CODING
When an invoice is received, the invoice should be matched up with any receiving reports or packing lists. Once these items are matched up, the approver should sign to verify receipt of the correct quantity and the accuracy of the price charged for the goods or services received. Please make certain to sign on the invoice and not on the remittance form. The account number where the invoice should be expensed should be written on the invoice.

The coding of the invoice should correspond with the item or service purchased. For example, office supplies should be coded to office supplies expense. If funds are not available in a specific budget area, then budget funds from one area can be used to to cover additional expenditures in another specific area. An example of this situation follows:
$1,000 is budgeted in office supplies expense for the summer quarter. In August, you realize that you are going to run out of copier paper before the end of the week. Yet, you have already spent the $1,000 in your budget. What do you do?

After you review your entire budget, you realize that you did not need to make that equipment repair for $500 that you were expecting. So, you can use the $500 from equipment repairs to cover your copier paper expense.

BUSINESS EXPANSION AND DEVELOPMENT (BE&D)
Some expenses are not part of normal operations. Examples of these types of expenses include but are not limited to new programs, new advertising techniques, opening new facilities, etc. These expenses should be coded to BE&D. Please keep in mind that these types of expenses should only be coded to BE&D if you would not be incurring the expense if your BE&D was zero. BE&D is NOT where you code expenses you forgot to budget for. When you code a bill, please be very descriptive of your reasoning for it going to BE&D.

The Controller is the gatekeeper of this expense. All invoices coded to this account must have the controller’s signature on them prior to payment.

TIMELINES AND DEADLINES
The business office prints accounts payables checks once a week. Deadlines are as follows:

<table>
<thead>
<tr>
<th>Invoice Due Day</th>
<th>Check Printed Day</th>
<th>Check Distribution Day</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuesday, by noon</td>
<td>Thursday</td>
<td>Friday</td>
</tr>
</tbody>
</table>

Invoices should be submitted at least once per week to the business office. Please plan accordingly to meet the deadline listed above.

All invoices for any given month must be submitted no later than the 5th of the following month. For example, invoices for the month of June must be submitted by July 5. This requirement must be met in order to account for expenses in the proper accounting period.
NATIONAL AMERICAN UNIVERSITY BUDGETS POLICY
Procedure - Budgets

Process
The operational budget is a tool used to approve, monitor and control expenditures to achieve the desired/required profit margin for each divisional area. The budget process is ongoing throughout the year. An annual budget, based on our fiscal year ending May 31, is prepared for the board of governors for approval at the April meeting. An outline of the process and those responsible for each area is included in the Budget Process table.

Requirements
Each divisional area is responsible to create and maintain their respective budgets each year. Budgets are determined on a monthly basis with emphasis placed on the fiscal quarterly results. The revenue budget is based on historical performance and the credit hours projected in the university’s long-range plan.

Some benchmarks identified as key indicators of performance include the following:

- Total salary expense should not exceed 45% of gross profit.
- Net income should be at least 28% of gross profit.
- Total marketing expenditures should be around 15% of gross profit.

While each campus is unique, most of the benchmarks above hold true for all campuses.

One additional expense relating to the budget is the central administration fee which is 14.5% of gross profit.

Specific timelines for budgets will be communicated with the appropriate documentation and requirements approximately 2-3 weeks prior to the due date of each phase. Refer to Budget Process table for planning purposes.

Revisions
Prior to the start of each quarter, budget revisions will be required for those campuses that do not meet or exceed their budgeted credit hours. Each campus will be asked to find savings in expenses to offset the shortfall in revenue. Profit margin dollars must be realized at all costs to protect the overall university profit margin goals.

Budget cuts must be found prior to the start of the quarter to be fully realized over the quarter. This may include personnel cuts as well as expenditure cuts. While this may be a difficult task, it is truly necessary to protect the university’s goals and campus profitability.

Budget Process Table

<table>
<thead>
<tr>
<th>Month</th>
<th>Week</th>
<th>Activity</th>
<th>Responsible Parties</th>
<th>Others Involved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ongoing</td>
<td></td>
<td>Project long-range plan credit hours per campus</td>
<td>System President</td>
<td>VP of Enrollment, Management, Campus Directors, Campus Vice Presidents, Campus Presidents, Regional Presidents, Chief Financial Officer</td>
</tr>
<tr>
<td>January</td>
<td></td>
<td>Requests for tuition increases are processed and finalized.</td>
<td>Chief Financial Officer, Campus Directors, Campus Vice Presidents, Campus Presidents, Regional Presidents</td>
<td>Director of Student Accounts, Director of Financial Aid</td>
</tr>
<tr>
<td>February</td>
<td></td>
<td>Create revenue budgets based on long range planning numbers.</td>
<td>Campus VP, Pres, Director</td>
<td>Chief Financial Officer, Regional Presidents, Controller</td>
</tr>
<tr>
<td>March 1</td>
<td></td>
<td>Budgets distributed to campus directors, campus vice presidents, campus presidents, regional presidents and other central administration supervisors.</td>
<td>Campus Directors, Campus Vice Presidents, Campus Presidents, Regional Presidents, Central Administration Supervisors</td>
<td>Chief Financial Officer, Controller</td>
</tr>
<tr>
<td>Date</td>
<td>Event</td>
<td>Responsible Party</td>
<td></td>
<td></td>
</tr>
<tr>
<td>--------</td>
<td>--------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>March 2</td>
<td>Compilation and review of system budget.</td>
<td>Chief Financial Officer, Controller, System President</td>
<td></td>
<td></td>
</tr>
<tr>
<td>March 3-4</td>
<td>Budget revisions are completed.</td>
<td>Campus Directors, Campus Vice Presidents, Campus Presidents, Regional Presidents, Central Administration Supervisors</td>
<td></td>
<td></td>
</tr>
<tr>
<td>April 1-2</td>
<td>System budget is finalized.</td>
<td>Chief Financial Officer, Controller, System President</td>
<td></td>
<td></td>
</tr>
<tr>
<td>April 3-4</td>
<td>System budget is presented to board of governors for approval.</td>
<td>Chief Financial Officer, System President</td>
<td></td>
<td></td>
</tr>
<tr>
<td>April 4</td>
<td>Board of governors approves system budget.</td>
<td>Board of Governors</td>
<td></td>
<td></td>
</tr>
<tr>
<td>May 1</td>
<td>Approved budgets are submitted to campus directors, campus vice presidents, campus presidents, regional presidents, central administration supervisors.</td>
<td>Controller, Chief Financial Officer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>May 2</td>
<td>Summer budgets are reviewed and revised.</td>
<td>Chief Financial Officer, Controller, Campus Directors, Campus Vice Presidents, Campus Presidents, Regional Presidents, Central Administration Supervisors</td>
<td></td>
<td></td>
</tr>
<tr>
<td>August 2</td>
<td>Fall budgets are reviewed and revised.</td>
<td>Chief Financial Officer, Controller, Campus Directors, Campus Vice Presidents, Campus Presidents, Regional Presidents, Central Administration Supervisors</td>
<td></td>
<td></td>
</tr>
<tr>
<td>November 2</td>
<td>Winter budgets are reviewed and revised.</td>
<td>Chief Financial Officer, Controller, Campus Directors, Campus Vice Presidents, Campus Presidents, Regional Presidents, Central Administration Supervisors</td>
<td></td>
<td></td>
</tr>
<tr>
<td>February 2</td>
<td>Spring budgets are reviewed and revised.</td>
<td>Chief Financial Officer, Controller, Campus Directors, Campus Vice Presidents, Campus Presidents, Regional Presidents, Central Administration Supervisors</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
NATIONAL AMERICAN UNIVERSITY EMPLOYEE EXPENSE REIMBURSEMENT POLICY

Employee Expense Reimbursement Policy
NAU maintains an IRS "accountable" reimbursement policy. In order for reimbursement to be made under the "accountable" plan, the following conditions must be met:

1. Expenses must have a business connection. Proper documentation must be provided that indicates the business nature of the expense. For meal expenses, if reimbursement is being sought for multiple people, a list of individuals must be included with the receipt.

2. Expense reports must be submitted within 30 days after the expense was incurred.

3. If an advance was obtained for travel, any excess funds not used for expenditures must be returned with the expense report within 30 days of the travel dates.

If an advance was received, and the expense report for the use of the advance is not received in the 30-day timeframe, a reminder statement will be sent.

Any expense reports that do not meet the criteria above will be considered non-accountable according to IRS guidelines. Non-accountable expenses are considered income and will be reimbursed as wages through payroll.

In addition to the IRS requirements, NAU has established certain requirements for adequate documentation. Receipts must be detailed in nature, especially meal receipts. Credit card receipts alone are not adequate documentation. A detailed receipt must be included with the credit card receipt in order to validate the business expense. If the expense report fails to have properly detailed receipts, the business office will document the infractions and send a reminder. If three infractions occur, the next expense report is held.

If the expense is incurred internationally, additional documentation is needed for reimbursement. If the expense is paid with cash, documentation for the currency exchange transaction must be included with the expense report. If the expense was paid with a credit card, a copy of the credit card statement must be included to verify the currency exchange rate. In addition, receipts not written in English, must have translated documentation as to the items or services purchased.

When traveling, it may become necessary to charge additional items to the hotel bill, such as meals. A detail of the room charges must be included to breakdown expenses for lodging and food. If a meal is charged to the hotel bill, an itemized receipt of the meal charges must be included with the detailed hotel bill. Honor bar items are not considered reimbursable.

Following are additional university policies that relate to expense reports:

• Alcoholic beverages will not be reimbursed without the direct written authorization of the university president.
• Tips will only be reimbursed up to 18%.
• Mileage will be reimbursed at 48.5 cents per mile. Adequate documentation must be included with the mileage request including locations to and from and the purpose of the trip.

NAU has implemented a corporate credit card program which issues purchase cards (P-cards) to managers, directors and certain employees that make frequent purchases or who travel regularly. This card is to be used for all company expenses but does not supersede and previously mentioned policies or procedures related to expense reports or other expenditures, this program is simply an alternative form of payment. If you have been given a P-card, you will be given a username and password and will be required to upload your receipts into the online reporting portal and code them to the applicable general ledger account code. Failure to follow the procedures may lose this privilege. There are numerous tutorials and user guides located on MyNAU in the Business Office dropdown.
National American University Travel Expenses Policy

Travel Expenses Policy
The university will reimburse employees for authorized expenses incurred for approved or required travel as follows:

1. Mileage. The mileage reimbursement is established from time-to-time by the CEO and is published accordingly. Proper documentation must accompany all reimbursement requests.

2. Airfare. If authorized airline travel was not prepaid by the university, the employee must submit the ticket stub or receipt for reimbursement.

3. Meals. Employees are advised to stay within the recommended maximum of $40 per day for all meals. The university does not provide a daily per diem. Employees will be reimbursed up to the recommended maximum amount only when meal receipts are submitted.
   a. Meals will be reimbursed only in accordance with actual receipts submitted taking into consideration the recommended maximum amount.
   b. The university discourages the consumption of alcoholic beverages during employee work-related events or activities. Charges for alcoholic beverages are not subject to reimbursement except with the expressed written approval of the CEO.

4. Lodging. Employees are requested to stay within a moderately priced or regional average per night if at all possible.

5. Tips. If in excess of 18 percent of the amount owed, an explanation must be provided.

6. Telephone calls. Calls made for purposes of conducting university business are eligible for reimbursement. Expenses for personal calls (whether local or long distance) are not eligible for reimbursement, except that one or several short calls (not to collectively exceed thirty minutes per traveling day) is permitted to the employee’s home or family.

7. Automobile rental. When an employee rents a vehicle for approved university purposes, the vehicle should be rented in the name of National American University (not the employee’s individual name). The employee should sign the vehicle rental agreement as follows: National American University, by (employee’s name). It is not necessary to purchase additional insurance. Before renting a vehicle, please check with the business office regarding arrangements that the university may have with particular vehicle rental companies.
COLLECTIONS POLICIES AND PROCEDURES
NATIONAL AMERICAN UNIVERSITY COLLECTION POLICY

Collection Policy
Tuition and fees are due and payable on the first scheduled day of the term. Unless tuition and fees are paid in full by this day, the student must sign a NAU promissory note (normally for the academic year) making arrangements to pay the tuition and fees. All students must make satisfactory arrangements BEFORE they begin class.

The campus financial services representative (FSR) is assigned the primary responsibility of making any financial arrangements and collecting from the student. All other staff members must be supportive of this effort for the campus to be successful at ensuring that the student’s education with NAU is funded appropriately.

The FSR is to continue collection efforts on any unpaid balance for 90 days following the student’s last date of attendance.

The campus executive officer must be actively involved in monitoring and assisting the total collection activity.

There are a number of types of funding options available to students to pay the tuition and fee balances. The FSR will work with the student to determine the particular fund source(s) option that they may be utilizing. Some of the most common fund sources are:

• Federal Financial Aid
• Military Tuition Assistance (MTA)
• Company Tuition Assistance (CTA)
• Veteran’s Educational Benefits
• Personal Payment

If a student wishes to reenter NAU with an outstanding balance from prior attendance, refer to the Reentry Procedure found at: https://mynau.national.edu/Departments/StudentAccounts/Procedures/Forms/AllItems.aspx for the decision process. The decision regarding the student’s reentry with a balance is a collaborative effort involving the Campus Executive Officer, the Collections Manager and the System Director of Student Accounts.

Procedure - Collection

ACTIVE ACCOUNTS
Tuition and fees are due and payable on the first scheduled day of the term. Unless tuition and fees are paid in full by this day, the student must sign a NAU promissory note (normally for the academic year) making arrangements to pay the tuition and fees. All students must make satisfactory arrangements BEFORE they begin class.

Who is Responsible for Collection Efforts?

The campus financial services representative (FSR) is assigned this primary responsibility. All other staff members must be supportive of this effort for the campus to be successful at collecting their accounts receivable.

Weekly collection calls are required to assist in monitoring the activity at the campus level. The regional financial services representative will work with the campus FSR, audit reports and help direct the focus of the FSRs in their region. In addition, the campus executive officer must be actively involved monitoring and assisting the collection activity. The use of contact manager and the collection report is required to document collection activity and tickle future contacts.

It is recommended that any student who has not made satisfactory financial arrangements prior to starting class be blocked from class until the arrangements are completed.

If the student does not fulfill the requirement of the payment arrangement, the student does not have the right to continue with his/her studies. Any student who defaults on the terms of his/her financial arrangements will be contacted immediately to satisfy the terms of the financial arrangements, make alternative arrangements or risk being suspended from class.

There must be communication with the campus executive officer to determine the specific course of action that will be taken at each campus if the student does not meet their payment arrangements. If the student works with the FSR and is still unable to pay or complete the necessary processes, the campus executive officer may allow the student to complete the term. The time to remove a student from class is early in the term - not during finals. At that point it is often better to allow the student to take the finals but hold the grades and not allow the student to return the next term.

The FSR is to continue collection efforts for 90 days following the student’s last date of attendance. (See Collection Procedures for Inactive Accounts) After 90 days, the collection responsibility is transferred to the Collections department.
What are satisfactory payment arrangements?

Satisfactory payment arrangements include one or more of the following:

• Account balance is paid in full.
• A promissory note and if necessary, a signed payment plan detailing a payment schedule.

Documentation that may support the promissory note would include:

1. All appropriate financial aid documentation has been provided by the student and funding source eligibility has been determined (reviewed at central).
2. Verification of the student's employment and the details of their company tuition assistance policy for those requesting deferment (if using CTA).
3. A letter of authorization from a sponsoring agency such as BIA, state Rehab, VA Chapter 31, embassy, MTA.
4. All appropriate documentation completed for Veterans educational benefits (Chapter 33, MGIB Chapter 30, etc.).
5. Cash a minimum of 50% due at the beginning of the term and the remaining balance due at mid term, signed plan approved by the FSR. Any other plans approved by the campus executive.

Books are to be purchased with cash unless the charges are covered by financial aid or other form of assistance through direct billing.

Details on funding resources

Personal Payments
Cash is due by the first day of the term unless a signed payment plan must be on file, detailing the agreed upon payment schedule for the cash due for the current term. The FSR has the authority to set certain payment arrangements without additional approval. Any thing beyond that, the campus executive must approve.

The FSR may negotiate payment arrangements for cash due for the current start down to 50% due prior to the end of add/drop with the balance due by mid-term. (Specific dates are found in the FSR quarterly goal memo on MyNAU > Student Accounts).

The campus executive may approve other reasonable payment arrangements such as 1/3 every 30 days to be paid in full by the end of the term.

For non-regular terms starts the personal payments are due in full before the scheduled end of that non-regular term.

If a student fails to make payment as agreed upon:
• The student should be contacted the work-day following the due date resulting in:
  • Payment or alternative arrangements

Should the student fail to follow through or respond at all, the FSR needs to continue contacting the student including phone calls, emails, letters (both regular mail and certified), block the student from attending class, etc.

Should these methods not produce the desired results; the FSR will discuss the next course of action with the campus executive officer.

If a student has an outstanding balance at the end of the current term, he/she may be allowed to continue the next term under the following guidelines.

1. Future quarter obligations must be met and
2. If a payment plan is in place for the current term, the student complied with arrangements and the balance is minimal (under $200), the plan may continue provided the student's balance will be paid in full by mid-term.
3. If no payments were made on the current payment plan or the student was late on payments, the student must pay all personal funds in full for the current term prior to starting the next term. No payment plan would be available for the next term.

Company Tuition Assistance
NAU defers payment based on a company tuition assistance payment plan that is direct pay to NAU.

The FSR must have a copy of the company tuition assistance plan before the term start which needs to be imaged into the student’s FA project (or create one if need be). They must confirm the amount of the assistance, timing of the payment, requirements to make payment, billing process and payment directly to NAU.

The FSR will bill the company based on the authorization from the company. (Either after the add/drop period or at the end of the term with grades.) If payment is not received within 30 to 45 days of the billing (or as outlined in the authorization), the FSR will contact the company and continue to follow-up until payment is received. If payment is not received in a timely manner, the student
must be contacted to assist in obtaining the payment. If there are issues in receiving the payment, always keep the student informed since the student is ultimately responsible for the outstanding balance.

If the terms of the company authorization require grades before payment is made, the student may return for the second term as long as payment is monitored and received by mid-term.

Upon request, NAU may defer payment for company tuition assistance that is reimbursed directly to the student.

The FSR must have a copy of the company tuition assistance plan before the term start date. This document needs to be imaged into the student’s FA project (or create one if need be). A signed payment plan must be on file. They must confirm the amount of the assistance, timing of the payment, requirements to make payment, billing process and payment process.

The FSR will bill the company or provide a billing to the student based on the authorization from the company. (Either after the add/drop period or at the end of the term with grades.) If payment is not received within 30 to 45 days of the billing (or as outlined in the authorization), the FSR will contact the student and continue to follow-up until payment is received. If payment is not received in a timely manner, the student must be blocked until the issue is resolved.

If the terms of the company authorization require grades before payment is made, the student may return for the second term as long as payment is monitored and received by mid-term.

If the terms of the company authorization require a paid receipt, the student must make payment (have it posted on the ledger) before the paid receipt is provided to the company or student.

If the student has defaulted on the prior term deferred payment agreements, it will not be available to the student in the future.

NAU Tuition Assistance Program (TAP) is posted at central. The employee will confirm that they have filed the appropriate form with HR with their supervisor’s approval. The employee is responsible to pay for any fees or other charges not covered by the employee benefit. These fees or charges are due prior to the start of the term. (See the Employee handbook for details of the benefit).

Once the term begins, HR will forward the approved form to the employee, student accounts and financial aid. FA will package TAP and the student account auditor will post the TAP to the ledger.

Any issue will need to be resolved through the employee. The account must be resolved to continue the next term.

Military Tuition Assistance

The FSR must confirm that the student is authorized for the specific class before the student starts classes.

The System Military Finance Coordinators at the Central Administration Offices will handle the billing of the Military Tuition Assistance. Depending on the branch, the FSR may need to approve the invoice before it is submitted to the military to receive payment. If payment is not posted by the end of the term, the FSR needs to work with the System Military Coordinators to resolve the issue. If necessary, the student will need to be contacted to help resolve the issue. (See link for the detailed training on MTA and NAU)

VA Benefits

Prior to the student attending classes, the FSR must meet with any student using VA benefits as a funding resource. They must determine the benefit the student wishes to use, obtain the necessary paperwork, and confirm eligibility and amount of the benefit. Some benefits pay directly to NAU and some directly to the student. (See the link for the detailed training on VA benefits and NAU).

Payment directly to NAU – Chapter 31 – The FSR must confirm the authorization. The student may charge their books to NAU. The FSR will prepare the billing after the end of add/drop and post the payment when received. They need to monitor for receipt of payment and contact the VA office if payment is not received. If payment is not received by the end of the term, the student may only continue if the issue has been resolved and payment will be received within 30 days.

Payment directly to NAU – Chapter 33 - The FSR must confirm certification, amount billed, and time of payment. The student may not charge books unless it is determined that non VA funding sources are available to cover the costs. The FSR is responsible for monitoring payment. If payment is not received by the end of the term or sooner based on the certification, they will need to work with the system military coordinators to resolve the issue. The student may continue into the next term if it is determined that the issue is resolved and payment will be received within 30 days.

Payment made directly to the student – Chapter 30, VRAP, Chapters 35, 1606, 1607 - The FSR must confirm certification, amount of the benefit, and time of payment. The student may not charge books unless it is determined that funding sources are available to cover the costs. The student must sign a payment plan outlining the amounts and date payments are due. Payments arrangements based on veterans benefits delivered directly to the student may include deferring payment until the student receives / or is scheduled to receive payment. Normally, the benefits are paid monthly about 30 days in arrears. If the student receives payment and

Collections Policies and Procedures
fails to make payment to NAU, they must be contacted and blocked from class until the issue is resolved. They will not normally be eligible for deferred payment plans in the future. If the outstanding balance at the end of term is no more that an amount equal to the third payment for the term, (amount received in arrears) the student may continue to the next term and continue on a deferred payment plan.

Financial Aid

All financial aid paperwork should be submitted to the Central financial aid office prior to the end of the add/drop period in order for the student to attend class. At the very least, the Free Application for Federal Student Aid (FAFSA) must be completed. An ISIR should be on file by the student's start.

If the student is selected for verification, Central Financial Aid will send the verification notice to the student indicating the documents required and the date that these documents must be provided. The maximum time to complete this process is 30 days. However, if the student is not actively working to provide the required information, they need to be blocked from attending class.

Once the student’s financial aid is processed (verification process complete if necessary), the student is sent an e-mail notifying them of their award. They will receive an award letter on the portal and a paper award letter will be sent in the mail. If the student is receiving Federal Work Study, Parent Plus loan or a Perkins loan they are required to sign and return the award letter. FSRs need to follow up to ensure all students sign timely so that loans can be certified.

Should the student or the student’s parent be non-responsive in completing the financial aid process (including package pending and verification), the FSR must work together with the campus executive officer. The student must be blocked from class until the issue is resolved or remove the student from class if necessary.

If there is an outstanding balance at the end of the term and it involves financial aid, the student’s financial aid package must be complete and at central for review for the student to be able to continue into the next term. The amount of the package must be estimated to cover the balance.

When may a student with an outstanding balance reenter?

If a student has withdrawn from school and the account is being worked by the campus during the 90 day period or the account is in Central Administration Collection Department, the procedure outlined in the Reentry Procedure found at link must be followed.

If a student's account balance is listed with an outside collection agency, has been reported to the credit bureau the account must be paid in full including interest and collection fees.

Not all situations have been addressed. The success of collections at National American University rests on good communication and teamwork.
FACILITIES POLICIES AND PROCEDURES
NATIONAL AMERICAN UNIVERSITY SUPPLIES AND PROPERTY POLICY

University Supplies and Property Policy
Employees may not use university office supplies or office equipment for personal use.
FINANCIAL AID POLICIES AND PROCEDURES
Military Students Policy - 2010-11
The Military Tuition Rate is effective for budgets in the Fall 10 quarter and forward.

However, the Cost of Living Adjustment for any Military person or Dependent that is benefitting from the Basic Allowance for Housing, is effective for all 10/11 packages regardless of the quarter we are packaging.

Any student who reports an answer in 45g or 93g on the ISIR (housing and other living allowances) or who is active duty Military or spouse/dependent of active duty military (per their Military ID card) should have the Cost of Living Adjustment unless they have one of these exceptions:
- Dependent student who lives in the residence hall or off-campus housing not with their parent
- The FSR has documented Sent to Central/Campus activity and/or Campus FA Checklist, that the Housing and other living allowance is not military, i.e. clergy or other.

Active Duty Military and spouse/dependents of active duty military are still required to report the Basic Allowance for Subsistence (food) on their ISIR in 45g or 93g. If we have a copy of the Military ID showing active duty military but the Basic Allowance for Subsistence is not reported on the ISIR, we have conflicting information which must be resolved.

Procedure - Military Students - 2010-11
To resolve this conflicting information the student will either need to correct their ISIR or submit a signed and dated statement resolving the conflict. For instance: student joined the military January of 2010 and so we have an active duty military ID, but they would not have received BAS in 2009 to report on the ISIR.

Retired military, reserve and guard generally do not receive the Basic Allowance for Housing; unless they are called up to active duty.

Active Duty Military Student or spouse/dependent of active duty military:

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**NATIONAL AMERICAN UNIVERSITY FINANCIAL AID CHECKLIST POLICY**

Procedure - Financial Aid Package Checklist - 2014-15

If at any time in the processing of a student’s financial aid conflicting information is discovered, no further aid will be processed or disbursed and could result in previously paid aid being refunded. This may also result in the student being reported, to the DOE, as a Fraud situation. All conflicting information regardless of how or when it is discovered must be resolved.

The purpose of the FA Package Checklist is to notify Central FA when processing is required.

Based on the directions below, incomplete FA Package Checklist processes and/or processes completed incorrectly, missing documents, incomplete documents or documents completed incorrectly, will result in an error being assessed to the FSR, unless otherwise documented in the 2014-15 FA Package Checklist Process and/or may also result in the student being placed on package pending.

If possible, to avoid package pending, Central will correct and/or add documents to a student’s project, however, this will result in an error being assessed to the FSR.

- Do not send an FA Package Checklist to notify of adding additional documents to the project, if there is a checklist currently in workflow. When additional documents are added to the project, Campus FSRs need only document the information in the FA-14/15 Sent to Central Activity.
- Before Campus FSR’s send an FA Package Checklist for processing, FSRs should read all documentation in the Sent to Central Activity to determine if there is a checklist currently in the workflow or if all processing for the student’s Academic Year (BBAY) is complete. If an FA Package Checklist is in workflow, the Campus FSR should only document any new or pertinent information and not send a new FA Package Checklist, as this results in duplication of FA Package checklists. In addition FSRs must read notes in all Activities in CampusVue and Salesforce, and resolve any and all conflicting information prior to sending the checklist
- Campus FSR’s are to send an FA Package Checklist only when processing is required and there is not currently an FA Package Checklist in the workflow. All FA Package Checklists are routed to CA Financial Aid – Linking. Do not route projects, documents or SA documents to the CA Financial Aid –Linking queue.
- When sending an FA Package Checklist for a student who’s BBAY includes both 13-14 and 14-15, due to Summer crossover, be sure to include all the appropriate documents for both award years, in each of the student’s projects. If the Campus FSR indicates we are to process for both award years and there is no 2014-15 paperwork in ImageNow, the FA Package Checklist will not be processed.
- Campus FSRs need to ensure all documents imaged have a shortcut to the student’s 2014-15 project. After all documents are linked the Campus FSR can verify the document has a shortcut to the 2014-15 project following the steps below.
  - The student’s master screen must be open in CampusVue.
  - Click on the FA-Student ID 2014-15 application plan, from the applications drop down list on the ImageNow toolbar.
  - Right click on the document and select “view shortcut locations”. If the document has a shortcut established the project will open and all documents with a shortcut to the project will be shown.
  - If there is a document missing from the project but is in the student documents folder, the Campus FSR will need to create the shortcut by right clicking on the document. Select “create shortcut”, type the student’s name in the field “Container” (Last name, First name) and click Search.
  - All projects belonging to the student will appear in the Select the location box. The Campus FSR will click on the 2014-15 project and click ok.
  - This will ensure all documents are added to the student’s project.
- Starting the FA Package Checklist: All Sections of the FA Package Checklist must be reviewed.
- Check Applicable Award Year: Campus FSR needs to check the box to indicate which award year the FA Package Checklist applies to. If the FA Package Checklist is for both award years, mark both boxes and both completed projects must be in ImageNow. FSRs must indicate in the comments what processing they want Central to complete. FSRs need to be aware of the award year they wish to have processed and document what needs to be processed on the FA Package Checklist.
- Campus: List full campus name. (i.e….Albuquerque, Tulsa, Zona Rosa, etc…) Campus abbreviations are not consistent and may cause confusion as well as an error being assessed to the wrong campus which affects accuracy rates.
- Student Name: List student’s name as it appears in CampusVue. Student’s name in CampusVue must match the name listed on the ISIR and the MPN. If the student’s name does not match the ISIR, the student needs to have either the ISIR or CampusVue
updated to their legal name. Student’s legal name is the name on the student’s Social Security Card. If the student’s MPN is not completed in their legal name, the student needs to complete a new MPN with their legal name.

• Campus Advisor: Initials of the FSR preparing the checklist.
• Student ID: List student’s NAU ID #.
• BBAY: Campus FSR needs to document full BBAY for the checklist. (i.e….Sp/Su/F, Su/F/Wtr, F/Wtr/Sp, etc…)
• New Student: Campus FSR will checkmark if student is a first time student with NAU. New is defined as a student who has never attended and no aid received, this includes Re-Enroll students.
• Continuing Student or Re-Entry: Campus FSR will checkmark if student has been a student with NAU or is already packaged for the current BBAY or is beginning a new Academic Year (BBAY).

It is the Campus FSR’s responsibility to ensure all of the above information is correct and accurate.

Are the student and parent’s addresses the same? Campus FSRs need to look at the references in CampusVue. If the parents are listed, compare the address to the student’s address on the ISIR and in CampusVue. If there is a Parent Information Form on file compare the parent’s address to the student’s. Also, compare the housing status on the ISIR to verify what the student listed.

• If the ISIR says ‘with parent’ and we do not have a parent address(es) on file, the student will be processed as “with parent” and no further documentation will be required.
• If the ISIR says ‘off campus’ and we do not have parent address(es) on file, the student will be processed as “off campus” and no further documentation will be required.
• If the ISIR says ‘off campus’ and the student and parent address on file is the same, we need to clarify the student’s living situation. The clarification must be in writing, either a physically signed and dated statement or a statement from the student’s personal e-mail; as long as we can clearly see the e-mail came from the student. If the student is dependent, check the parent’s address on the PIF or PLUS MPN for additional information that may be on file. If there is a parent address on any other document in the file, add it to the references (as Parent for PLUS) in CampusVue.
• If the ISIR shows w/parent, and the parent(s) addresses are in CampusVue and they do not match the student’s address – student will be processed as “off campus” and no further documentation will be required.

Keep in mind:
• If the student is living w/parent and claims to be paying the parent rent – student is considered “with parent”, unless the student can prove the exception below.
  • Exception: If the parent has converted a portion of the house to an actual apartment, with its own separate mailing address, the student would be considered off campus.
• If the home is the student’s and the parent has moved in with the student, the student would be off campus. Obtain statement from student to clarify living situation and proof the residence is the student’s. The statement must be signed and dated or we can accept an email from the student as long as we can clearly see the email came from the student.
• Is the student a transfer student? (New, Re-Entry or Re-Enroll) If yes, the Campus FSR needs to check CampusVue, NSLDS, Salesforce and MN State Grant applications to ensure all transcripts have been requested.
• If transcripts have not been requested, received and evaluated, by the Registrar Office, for transfer credits and an official status sheet available:
  • Prior to mid-term, per the published dates in the 2014-15 Packaging Philosophy, do not send an FA Package Checklist, to Central.
  • If NSLDS updated after the FSR printed the NSLDS pages and additional schools are now listed, the student will go on package pending, to ensure the transcript is requested and received, however, no error is assessed to the FSR, unless the school(s) were documented in CampusVue or Salesforce with a date prior to the date the FA Package checklist was sent to Central.
  • After mid-term, send an FA Package Checklist to Central to have Federal Grants and Grade Level 1 Subsidized loans packaged.
  • The student will be processed for Pell and Grade Level 1 Subsidized loan only.

Please Note: The Admissions and Acceptance Letter sections are subject to change as SalesForce is implemented. Until further direction the processes below remain in effect.

Admissions Process: These items are the responsibility of the Admissions Representative to ensure completion, however, if not completed the student’s package cannot be processed. It is the Campus FSR’s responsibility to ensure a student’s package is complete before sending for processing. If the Admissions application is available through the registrar drawer, in ImageNow, Central FA will add the document to the project.
• Admissions Application: The student’s Start Date and Program of Enrollment on the Enrollment screen in CampusVue must match the Admissions Application and Acceptance Letter. The Admissions Representative can change the application for start date and major, as long as the application then matches CampusVue.

• New, never enrolled or attended NAU: Enrollment Agreement and new student Acceptance Letter including term start date and active degree. The FSR’s will document on the checklist “SalesForce”. Central FA will verify the Enrollment agreement is in the Registrar Drawer in ImageNow and verify the student’s program and start date on the Enrollment agreement matches Campus Vue. The enrollment agreement does not need to be printed into the student’s project.

• Re-Enroll, No Show, Student was enrolled but never attended NAU: Re-enroll or new admissions application and new student acceptance letter including term start date and active degree. A print screen of the Re-enroll application is acceptable instead of the application.
  • If the student starts prior to the start date on the Re-Enroll or new admissions application, a new application is not required but a new acceptance letter is required with the correct term start date and active degree.
  • If the student starts after the start date on the Re-Enroll or new admissions application, a new application is required and new acceptance letter with the correct term start date and active degree is required.

• Re-Entry-Student was enrolled and attended, but withdrew: Re-entry admissions application and re-entry acceptance letter.
  • Re-entry applications do not show if a change of program has taken place. (If the change of program is part of the reentry process or the change of campus process, there will not be an official COP form as the change is processed by the registrar office as part of the reentry or change of campus process.) Re-entry students who change their program on the re-entry/re-enroll application will not have an official COP as the registrar office completes the program change at the time they process the re-entry/re-enroll application.
  • If the student starts prior to the start date on the Re-Enroll or new admissions application, a new application is not required but a new acceptance letter is required with the correct term start date and active degree.
  • If the student starts after the start date on the Re-Enroll or new admissions application, a new application is required and new acceptance letter with the correct term start date and active degree is required.
  • The acceptance letter must have the program and the term start date in the letter.
  • If the active enrollment program has changed a status sheet for the new program must be on file, if the transfer credits are from an outside institution. If all credits are from NAU, a new status sheet is not required.
  • A print screen of the Re-entry application is acceptable instead of the application.

• Acceptance Letter: If the Acceptance Letter is not in the student’s project or the Acceptance Letter is not correct, the student will be placed on package pending. However, if the Acceptance Letter is available through the registrar drawer, in ImageNow, Central FA will add the document to the project.
  • Acceptance Letters for all programs must be on NAU letterhead, for the correct Campus and the correct term start date (some letters may only list the term and year; i.e... Spring 14, this is acceptable for the term start) and the active degree must match the admissions application and CampusVue.
  • If student changes enrollment before the start date of the term and does a COP prior to term start, the acceptance letter must have the original degree listed in the Acceptance letter, as the COP acts as acceptance into the new program.
  • If the program is changed administratively, from what is on the admissions application, the acceptance letter must have the active degree listed, per program in CampusVue. (There will not be a COP).
  • All programs other than Nursing must have letters signed by the Campus Executive Officer (CEO). If the CEO is not available the letters may be signed by additional authorized campus personnel. The RN to BSN program letters are to be signed by the CEO.
  • Nursing program letters must have the School of Nursing logo and must be signed by the Nursing department head. This does not include the RN to BSN program, which can be on regular campus letterhead.
  • Nursing students do not receive both a regular Acceptance Letter and a Nursing Acceptance Letter, only the Nursing Acceptance Letter.
  • If a Nursing student is a re-entry, they will receive the Nursing Acceptance Letter with the new term start date. This letter may have “re-entry” on it, but “re-entry” is not required.
  • Nursing students will not have an Acceptance Letter generated until they complete the Nursing Orientation. If a student is a re-entry and has previously completed the Nursing Orientation, the student is not required to complete the orientation again.
  • Nursing Acceptance letters must include the “Core” to which the student was accepted, either the Foundation Core or the Clinical Core, this includes re-entry students. Students who have completed the Foundation core and have been accepted into the Clinical Core must have the Clinical Core acceptance letter.
HS Transcript/GED/Self Certification:

- Education folder, click on name of the actual school/GED and then click on View and look for Transcript Type. Do not image the FA Package Checklist until the Transcript Type is Official/Final.
  - If the box is empty and the student is new, has Admissions processed the HS Self Certification form and sent it to Registrars?
  - If the box is empty and the student is a returning student, the Campus FSR needs to contact the Registrar’s office to have Transcript Type updated.
    - If there are issues and Registrars cannot update the Transcript Type, it is the campus’ responsibility to resolve the issue prior to sending the FA Package. Checklist
  - If the student is a re-entry student and has been out for more than 5 years, the student is required to complete a new HS Self Certification form.
  - Selected students will be required to provide proof of HS Completion and Identity, through the Verification process. (Campus FSRs, refer to the 2014-15 Campus Verification Process Overview for specific details.)

- For students who were Home Schooled, FSRs need to follow the steps below to verify the HST is on file.
  - To check for Official/Final for Home Schooled students:
    - The Ability to Benefit Code will be set to Home Schooled
    - The Date Completed is not the graduation date, it is merely the date the information was entered
    - There will then be a “dummy” college entered under Colleges
    - *Home Schooled State Credential Not Required
    - *Home Schooled State Credential Required
    - Click on the “dummy” College name under colleges
    - Click on View College
      - The Graduation Session will say Official
      - The Graduation date will be the correct graduation date

Application for Financial Assistance (AFA): All students are required to complete the AFA

- Name and NAU Student ID:
  - Verify the student’s Name. The student’s name must match the information in CampusVue and the ISIR. If the name is not the same in Campus Vue and on the ISIR the FSR needs to have the student correct Campus Vue or the ISIR as appropriate.
  - Verify the student’s address, phone number and email address. If they are more current that what is currently in CampusVue, the FSR must have CampusVue updated.
  - Verify the NAU Student ID. Some students enter their SSN instead of their NAU Student ID#. The AFA must have the student’s NAU ID # on the form, to ensure the document is linked to the correct student. If the ID# is not correct or not on the AFA, the Campus FSR must correct the information, before the AFA document is imaged.

- References Entered and Updated
  - Campus FSRs are required to enter the student’s references or update the previous references in CampusVue.
  - E-mail addresses for references are not required.

- Outside Resources/CTA Policy
  - Campus FSRs are required to check for any outside resources and collect the necessary documentation to ensure proper packaging of outside resources. (i.e., copy of CTA policy, letter from employer, BIA award letter or scholarship award notice). Campus FSRs are required to verify with students if prior year outside resources will be available for the current year. If the student will continue to receive the outside resource the Campus FSR is required to document in the Sent to Central Activity the resource remains in effect and if needed obtain the updated documentation (i.e., copy of CTA policy, letter from employer, BIA award letter or scholarship award notice) for 2014-15.
    - Example of Sent to Central Activity documentation: “1/1/14 dls confirmed with student no policy changes to CTA policy will remain the same for 2014-15.”
  - Outside Resources/CTA Policy
    - Campus FSRs are required to check for any outside resources and collect the necessary documentation to ensure proper packaging of outside resources. (i.e., copy of CTA policy, letter from employer, BIA award letter or scholarship award notice). Campus FSRs are required to verify with students if prior year outside resources will be available for the current year. If the student will continue to receive the outside resource the Campus FSR is required to document in the Sent to
Central Activity the resource remains in effect and if needed obtain the updated documentation (i.e., copy of CTA policy, letter from employer, BIA award letter or scholarship award notice) for 2014-15.

- Example of Sent to Central Activity documentation: “1/1/14 dls confirmed with student no policy changes to CTA policy will remain the same for 2014-15.

- If the student is eligible to receive CTA, the Campus FSR must obtain a current copy of the CTA policy. CTA policies are not consistent on when or how an employee becomes CTA eligible. As a result it may be necessary for the student to provide a statement from their employer, on company letterhead, verifying when the student became eligible to receive CTA. An emailed statement is acceptable as long as it can be determined the email was from the employer.

- If the student received CTA in the previous year, the FSR needs to confirm if the policy is still in affect or obtain an updated CTA policy. The FSR must document the details in the Sent to Central Activity.

- Example of Sent to Central Activity documentation: “1/1/14 dls confirmed with student CTA increased to $3500 annually. Imaged updated CTA policy.”

- If the student is no longer eligible for CTA or loses their CTA eligibility, and is still employed with the company; the student must provide a statement from the company, on company letterhead stating why the student is no longer eligible to receive the CTA. An emailed statement is acceptable as long as it can be determined the email was from the employer.

- If the student is no longer eligible for CTA because the student is no longer employed by that employer. The student must provide a signed and dated statement explaining why and when they lost their CTA eligibility. An emailed statement is acceptable as long as it can be determined the email was from the student.

- Title IV Authorization:
  - The Title IV Authorization is part of the AFA and a signature is not required. If the student wishes to charge books or any other items to their account, the Title IV Authorization on the AFA must have “I Agree” marked and the Title IV Authorization Activity must be in Contact Manager. The documentation in the activity should state “agreed” and the date will be the date the AFA was received or the date the Campus FSR added the Activity.
  - If a student marks “I Do Not Agree” the Title IV Authorization Activity must be in Contact Manager and the documentation should indicate the student does not agree or declined. Students who mark “I Do Not Agree” must pay for their books or any other items at the time of purchase and are not eligible for a book authorization.
  - If the student wishes to rescind the Title IV Authorization, they must write a statement, stating they want to rescind the Title IV Authorization and sign and date the statement. The Student must pay for their books or any other items at the time of purchase and are not eligible for a book authorization or for 14-15 can mark “I do not agree” on the AFA. Students who select this option must be counseled and advised they will pay cash for their books.
  - The Campus FSR will open and document the Title IV Authorization activity with the date the student’s AFA was received or the date the Campus FSR added the activity and which option the student elected.
    - If the Title IV Authorization Activity is not set up, Central will do so.
    - If the Activity is set up, with or without the date documented, no error will be assessed.

- NAU ETA Matching Grant – See full details posted on MyNAU>Financial Aid (Campus and Central)>ETA Matching Grant Information.

- Students eligible for the NAU ETA Matching Grant must complete the Employer Tuition Matching Grant Counseling and Acknowledgment Form. The FSR and the student must discuss the student’s funding options and how the student wants their CTA applied. The form must be fully completed including both the student and FSR physical signatures. The date the FSR signs the form must be the date the student was counseled. The date the student signs may be later than date counseled.
  - Should the student change how they want their CTA funds to pay, the student will need to complete a new ETA Counseling and Acknowledgement Form.
  - Incomplete forms will result in the student being placed on package pending and the FSR assessed an error.

Estimated Program Cost Worksheet (EPC)-All FSA: EPC worksheet must be included in the project for students receiving any type of Federal financial aid. FSRs will be required to send an FA Packaging Checklist and an EPC for all new or Re-Enroll students, as well as for each new Academic Year (BBAY) forContinuing or Re-Entry students. Failure to provide the fully completed worksheet, including all signatures will result in an error for the FSR, and the project being placed on package pending. The process to complete the EPC is posted on MyNAU for your reference. Below is a list of the most common errors but not limited to:

- Date prepared (if date prepared is later than date the EPC was signed)
- Active Degree and Program (Emphasis is not required as long as Credits required is correct)
- Credits required for active degree incorrect
- Student not initialing their selection, but indicating with an X. (An X will be accepted ONLY if student is requesting Direct Cost only)
• Missing student signature or signature is typed or otherwise digitally generated.
• Missing FSR signature
• Missing date signed – either student or FSR

Students requesting their maximum loan eligibility, when the remaining max loan is a negative are required to have a Loan Eligibility Letter on file signed by the student, the FSR and the Campus Executive Officer.

Academic Year Cost Estimate-All students: FSRs must counsel and provide students an estimate of costs for each Academic Year (BBAY). The Academic Year Cost Estimate must have both student and FSR signatures and must be dated by both, before the document is imaged.

• Student signature section: The student must then sign that they have been advised, by the FSR, of their estimated Academic Year costs. The date is the date the student was counseled or after. At this time, the only signature option that is available is for the student to physically sign the worksheet.
• FSR signature section: the FSR is required to provide their signature which certifies that they have advised the student of their estimated Academic Year costs, in person or over the phone. The date is the date the FSR advised the student.
• The Academic Year Cost Estimate is required before an FA Package Checklist can be sent for processing. Students who are 100% cash pay and pay their balance upfront are not required to complete the Academic Year Cost Estimate. This is the only exception.

Re-Entry/Re-Enroll Student Only:

• Prior Year NSLDS: Students who attended NAU prior to the implementation of ImageNow, (all campuses prior to 2010-11 and Albuquerque, Albuquerque West and Austin campuses prior to 2008-09) and the student is returning to NAU, the Campus FSR needs to pull the NSLDS pages from the student’s physical file and image the old NSLDS pages along with the current NSLDS pages.
• Prior year NSLDS pages already in ImageNow will be moved to the new project by Central Financial Aid. This is not an error to the FSR as they have only view access to the documents and cannot move or make changes to documents forwarded to the Central Financial Aid workflow.
• BBAY: Students who attended NAU prior to the implementation of ImageNow, (all campuses prior to 2010-11 and Albuquerque, Albuquerque West and Austin campuses prior to 2008-09) and the student is returning to NAU, the Campus FSR needs to pull the BBAY from the student’s physical file and add the BBAY to ImageNow in Version Control. If the prior BBAY is not added to ImageNow in Version control, Central Financial Aid will create the BBAY.
• BBAY’s already in ImageNow will be moved to the current year project by Central Financial Aid. If the prior BBAY is in ImageNow but not already in Version Control, Central Financial Aid will recreate in the Version Control format. This is not an error to the FSR as they have only view access to the documents and cannot move or make changes to documents forwarded to the Central Financial Aid workflow.
• Previous Transcripts and Transfer Credits: If the previously received transcripts, for MN campuses, are not in ImageNow, for students returning since ImageNow was put into place, the Campus FSR will need to pull them from the previous award year package (physical file) and image them into the student’s project.
• Prior year’s documents already in ImageNow will be moved to the new project by Central.
• If the student had prior transfer credits and they are not showing in CampusVue, Campus FSR needs to contact Registrars to have them added.
• If the transcript(s) for MN students are not imaged, Central will add the transcript(s) to the project.

COD/NSLDS/BBAY New/Continuing/Re-Entry/Re-Enroll, as applicable: If a student had a prior defaulted student loan and no new loans since the default, the student must complete new entrance counseling.
• Print Initial Entrance Counseling (IEC) detail page from COD:
  • www.cod.ed.gov >Batch>SSN on bottom of screen> Select All for Award Year>Search
  • Doc Type =EC (Entrance Counseling)
  • Award Type=Any code, it does not matter
  • Award No=Accepted
  • Click on Accepted to display the detail
  • Print Detail
  • The correct date to add to document tracking as date Entrance Counseling completed is the Document ID.
  • This is the only acceptable Entrance Counseling document. Any other document will be removed from the student’s project and the correct document added to the student’s project.
The only exception to this document is: if the Entrance Counseling document is not available in “Batch”, “Person” search may be used. The following would be imaged.

- www.cod.ed.gov >Person>SSN in middle of screen>Search
- On left side of screen select “Counseling”
- Click on “View HTML”
- The following will display and would be printed into the student’s project.

MPN - Print the Student’s MPN detail page from COD:
- www.cod.ed.gov >Batch>SSN on the bottom of the screen>Select All for Award Year>Search
- Doc Type =PN (Promissory Note)
- Award Type=DLS or DLU
- Award No=Accepted
- Click on Accepted to display the MPN detail.
- Print the detail page
- The correct date to add to document tracking as date MPN completed is the Document ID.
- The MPN Status will be a “P” if no loans have been linked to the MPN or “A” if loans have been linked to the MPN.
- This is the only acceptable MPN document. Any other document will be removed from the student’s project, and the correct document added to the student’s project.
- The only exception to this document is: if the MPN document is not available in “Batch”, “Person” search may be used. The following would be imaged.
  - www.cod.ed.gov >Person>SSN in middle of screen>Search
  - On left side of screen select “Promissory Notes”
- The following will display and would be printed into the student’s project.

NSLDS: Campus FSRs need to print new NSLDS pages each Award Year (New, Continuing, Re-Entry and Re-Enroll). Prior years NSLDS pages will be moved from the prior year project to the New Year’s project by Central. If the NSLDS pages in the student’s project are older than 60 days, Central will add updated NSLDS pages to the project to ensure the most current information is available, however, the date in document tracking is not changed. This is not an error to the FSR.

- Loan History - Print for All Students
  - Did the student come up as “No Student Found with the Name/SSN/Date of Birth provided”? 
    - Print the Loan History page, no other pages necessary.
  - Does the student have more than 20 loans?
    - Look for the down arrow at the end of the loan history and print the remaining loans. If all loan pages are not in the student’s project, Central will add them.
  - Are loan period(s) for a previous school(s), within the past 12 months of the student’s start date with NAU?
    - Does the previous loan affect our Academic Year (BBAY)? If yes: Complete the Transfer Monitoring Information Form, as a Version control document, add and notate Transfer Monitoring Activity, assign the activity to FA-Eligibility Review. See the Transfer Monitoring Process for details.
  - Are there any pending disbursements? If yes: Check COD: If the loan disbursements are zero the disbursement is cancelled. Print the COD page into ImageNow and include it with the Transfer Monitoring form.
    - If the loan is still pending in COD, and has actual disbursement amounts, the FSR needs to call the previous institution.
    - Call the previous institution to determine if previous disbursements will be paid or cancelled. FSRs must document the name of the school, person’s name who gave the information and the phone number called to reach them.
    - Notate the Transfer Monitoring Information Form and the Transfer Monitoring Activity. See the Transfer Monitoring Process for details.

If NSLDS is updated after the FSR printed the NSLDS pages and additional schools are now listed, the student will go on package pending to have the additional transcripts requested, received and evaluated by the Registrar office, however, no error is assessed to the FSR. The student will be processed for Pell and Grade Level 1 Subsidized loan only, if after the mid-point of the term.

Overpayment List - Print for New/Continuing/Re-Entry/Re-Enroll Students

Only need to print the Overpayment list if the Overpayment Warning icon is on the Loan History page.

Overpayment(s) must be Paid in Full or the student must be currently on Satisfactory Repayment Arrangements
• If not paid in full, student must contact reporting entity and submit documentation of current Satisfactory Repayment Arrangements (usually the Debt Collection Agency for the Department of Ed.)
• Documentation to clear the Overpayment C-Code must be faxed or scanned to ccode@national.edu. Central FA will review the document and if the C-code is cleared will document the C-Code process and close the Activity.
• If Overpayment is not paid in full or the student does not have current Satisfactory Repayment Arrangement, student not eligible for Federal Student Aid.
• C-Code Activity must documented and the activity in a closed status, before a FA Package checklist can be sent for processing.
• If NSLDS updates after the FSR printed the NSLDS pages and NSLDS is now reporting an overpayment, the student will go on package pending to have the Overpayment C-Code resolved, however, no error is assessed to the FSR.

Grants-Print for New/Continuing/Re-Entry/Re-Enroll Students

• Was any Pell grant disbursed at any previous school, within the current award year or within previous 12 months of student’s start date with NAU? If yes:
  • Complete the Transfer Monitoring Information Form, as a Version Control document, add and note Transfer Monitoring Activity, assign the activity to FA-Eligibility Review. See the Transfer Monitoring Process for details.
  • If NSLDS is updated after the FSR printed the NSLDS pages and NSLDS is now reporting disbursed Pell grant, Central FA will complete transfer monitoring or the student will be placed on package pending for the Campus FSR to contact the prior school and complete transfer monitoring, however, no error is assessed to the FSR.

Enrollment Summary-Print for New/Continuing/Re-Entry/Re-Enroll Students

• Has the student attended or is the student currently attending another institution?
  • If the student is still attending another institution contact the school and get an LDA (last day of attendance). FSRs must document the name of the school, person’s name who gave the information and the phone number called to reach them.
  • Complete the Transfer Monitoring Information Form, as a Version Control document, add and note Transfer Monitoring Activity, assign the activity to FA-Eligibility Review. See the Transfer Monitoring Process for details.
  • Have all transcripts from previous schools been requested, received and evaluated by the Registrar Office, for transfer credits? FSRs need to review all NSLDS pages, MNSG application, MOHE printout, CampusVue Activities and any other document that may potentially list another school. If there is documentation anywhere in CampusVue and Salesforce indicating the student attended an institution, the FSR is required to have the transcript requested. If all transcripts have not been requested, received and evaluated, by the Registrar Office, do not send FA Packaging Checklist. After the mid-point of a term, if all transcripts are still not requested, received and evaluated, by the Registrar Office, FSRs may send a checklist to have the student processed for Pell and Grade Level 1 Subsidized Stafford Loan only.
  • If NSLDS updates after the FSR printed the NSLDS pages and additional schools are now listed, the student will go on package pending to have the additional transcripts requested, received and evaluated, by the Registrar Office, however, no error is assessed to the FSR. The FSR will also complete the transfer monitoring process.

• SULA Usage: If the SULA icon is listed on NSLDS the FSR must print the SULA usage page, from COD into the student’s project, see page 19. Central will print subsequent SULA history for each new Academic Year (BBAY). Central will also print new SULA history for each new loan, for those students who are within one (1) Academic Year (BBAY) of their Maximum Eligibility Period (MEP).

• BBAY Tracking Sheet: For all new and Re-Enroll students the FSR will start the BBAY Tracking Sheet using Version Control, in ImageNow. For a Continuing/Re-Entry students the BBAY Tracking Sheet will be in ImageNow and Central will add it to the 2014-15 Project. FSRs need to check Re-Enroll students to determine if a prior BBAY was processed. If the student has a BBAY in a prior year project, Central will add it to the 2014-15 Project. If no prior BBAY exists the FSR will start the BBAY using Version Control. Check Re-Entry students with a last enrollment at NAU prior to the 2010-11 award year, if the BBAY is not in ImageNow, the FSR needs to pull the previous NSLDS pages and BBAY from the physical file and image the prior NSLDS pages and add the BBAY to Version Control, in ImageNow. There were 3 campuses utilizing ImageNow prior to 2010-11 and may have prior projects in ImageNow. They are Albuquerque, Austin and Albuquerque West (formerly known as Rio Rancho). Any previous BBAY in a student’s prior year project, but not in the Version Control Format will be added to Version Control by Central FA. This is not an error to the FSR.

• New for 14-15 BBAY Tracking sheets will be converted to the new Version control form which includes the SULA calculation.
  • FSRs will begin using the new form for all new students, effective 4/17/21014.
  • Central will convert those students who are continuing and required to have the SULA calculation, to the new Version control form. This is not an error to the FSR as FSRs only have view access to ImageNow documents.
  • Students who need to be tracked for SULA are:
    • All new students whose first disbursement of subsidized Stafford loan was 7/1/13 or after.
• Continuing students whose first disbursement of subsidized Stafford loan was 7/1/13 or after.
• Any student who has no outstanding Stafford loan balance prior to 7/1/13.
• NSLDS Loan History page will display the “Subsidized Usage Limit Applies” icon and each subsidized Stafford loan affected will be noted as “SULA Eligible”.
• Those students who have the SULA icon on NSLDS need to have the undergraduate usage history, from COD, printed into the students project. Using the person search in COD bring up the student’s Direct Loan information and click on “View Undergraduate Usage History”.
• The Usage history will show how many usage periods the student has and will show part of the information on the student’s BBAY.
• If the new student has previous loans, list all previous schools or consolidation loans from NSLDS, unless loan has an aggregate principle balance of zero ($0). Remember to list loans in order of oldest to newest.
• Previous school: Include total amount of Subsidized Stafford and Unsubsidized Stafford Loans and the most recent loan period at each school.
• Consolidation loan: Include total amount of Subsidized Stafford and Unsubsidized Stafford Loans and the date of each consolidation loan. You may need to look at the specific loan details to see how much of a consolidation loan is subsidized versus unsubsidized. Please remember to use the Agg OPB numbers.
• Determine if the student’s previous BBAY at the most recent school will conflict with ours. Check both start and end date of the most recent loan period. Refer to the Transfer Monitoring Process for details.
• The Department of Education regulation change as of October 2013, requiring schools to change the loan period end dates for students who withdraw, will require NAU to utilize a combination of NSLDS and COD. Institutions can no longer utilize the 30 week calculation to determine a student’s academic year (BBAY) for purposes of loan eligibility.
• If either the start or end date of the most recent loans on NSLDS are within 12 months of the students start date at NAU, the FSR needs to complete Transfer Monitoring to accurately determine the student’s BBAY (Academic Year). Refer to the Transfer Monitoring Process for details.
• In addition to reviewing NSLDS the FSR must review COD for those loans with begin or end dates within 12 months of the students start date with NAU. It is the Academic Year begin and end dates in COD which determine when the students last BBAY (Academic Year) began. Refer to the Transfer Monitoring Process for details.

ISIR New/Continuing/Re-Entry/Re-Enroll: Campus FSRs are responsible to ensure all ISIRs received are in the student’s 2014-15 project. Campus FSRs need to check ImageNow, as C-Coded ISIRs may have been added through the C-Code process, to avoid ISIR duplication. If any ISIRs are missing from the project, Central will add them. Any ISIR document received after the date the Campus FSR sent the checklist will be added to the project by Central, however, this is not an error to the FSR.

All ISIRs in Package: Print all of the student’s ISIRs (from Document-ISIR Details tab) for the award year into ImageNow.
• If an ISIR is not matched, e-mail Diana, Monica or JuliAnn to have the ISIR matched, so that you may print the ISIR.
• Does the student’s personal information (name, date of birth, SSN) on the most recent ISIR match the CampusVue Student Master? Campus FSRs should also verify the student’s address and determine if the ISIR or CampusVue has the most current address. If the ISIR is more current the Campus FSR needs to have CampusVue updated. If any or all do not match the FSR must resolve prior to sending an FA Packaging checklist. Failure to resolve any and all conflicting information may result in the student being placed on Package Pending and the FSR assessed an error.
• FSR’s need to review the student’s answer to the HS Diploma or GED Recvd question on the ISIR. If the answer on the ISIR does not match the Education Tab in Campus Vue the FSR must email caverification@national.edu to have the student selected for V4 verification. DO NOT HAVE THE STUDENT MAKE ISIR CORRECTIONS.
• Corrected ISIR if Dependent student now pursing MBA:
  • If a dependent student is now pursuing an MBA, the student must correct their ISIR, by submitting a change to FAFSA on the Web or by drawing one line through the answer on a physical ISIR, writing “yes” next to the answer, to question # 29 (Grade Level) and question # 48 (Working on Masters or Doctorate) initialing the change and signing and dating that page of the ISIR. The Campus FSR will then scan the ISIR with the changes to cafinaclalaid@national.edu, for Central FA to make the corrections.
  • If student has already made the correction, the Campus FSR must ensure the ISIR is in the student’s project, before the checklist is sent for processing. If the ISIR is not in the project, Central will add the ISIR.
• ISIR with no EFC:
  • Signature Page-Did either the student or the parent not sign the FAFSA? Review page 1 of the ISIR to determine what information is missing. The student and/or parent may need to provide additional information or submit corrections to conflicting information before an EFC will be calculated.
• Check for student and/or parent’s signature. If they did not sign, have them add their PIN to the FAFSA through FAFSA on the Web corrections (preferred). If they are not able to make the corrections electronically, print the actual signature page for the ISIR and obtain the appropriate signature. The FSR will then Fax or email the signature page of the ISIR with the appropriate signatures, to cafiscalaid@national.edu. A Central Financial Aid Senior Coordinator will submit the ISIR correction(s).

• Is there any conflicting information? Review documentation in all Campus View activities and Salesforce, for any conflicting information. For instance:
  - Adjusted Gross Income, Income Earned from Work and Taxes Paid are the same.
  - Income Earned from Work for both student and spouse (or each parent) is the same and the Adjusted Gross Income is only the amount of one Income Earned from Work.
  - Student’s Marital Status conflicts with dependency question, “Is the student Married?”
  - Student’s Marital Status on ISIR conflicts with statements the student made regarding their marital status as documented by another NAU representative.
  - Check the Degree/Certificate answer against the dependency question, “Working on Master’s/Doctorate Program?”
  - Is Number in Household Size consistent with answer for Marital Status and Have Children you Support or Dependents Other than Children/Spouse.
  - This is not an all-inclusive list and there may be other items causing conflicting information, such as BAS or other information the student has provided the FSR. It is the FSR’s responsibility to ensure all potential conflicting information is resolved. Any documentation in any CampusVue activities and Salesforce may cause conflicting information and must be resolved.

• Is Verification Complete? See the 2014-15 Verification Process Activity. If Verification is not documented as “Verification Complete” do not send the FA Package Checklist. When Verification and all C-Codes are complete the FSR may send the FA Package Checklist. If Verification is not complete and a checklist is received, the Sent to Central Activity will be documented that a FA Package Checklist was received, but Verification is not complete, no processing completed and the checklist will be destroyed. The FSR will be responsible for sending a new FA Package Checklist after it is documented that Verification is complete.

• Students may at times make changes to the ISIR after Verification has been completed, creating conflicting information and processing may be placed on hold. FSRs need to communicate with the student to determine why the student made the change. The student needs to provide a signed, dated statement to explain the changes. The FSR needs to send the student’s statement to the caverification@national.edu mailbox and Central will review the statement and if the student made the corrections in error or the corrections did not create additional conflicting information, Central will document in the FA 14/15 Verification Process Activity: “student made corrections to the # ISIR in error. The previously verified # ISIR remains the valid ISIR. If the student’s statement results in additional conflicting information, Central may need to rework the Verification process to establish a valid ISIR. In these cases the student would be notified of any additional paperwork or documentation required to complete the verification process. The Campus will be copied on these emails.

• Central FA may select a student for discretionary verification or a different “V” group to resolve conflicting information. At the time a student is selected for discretionary verification, a courtesy email will be sent to the campus generic email box.

• Are all C-Codes Comment (C) codes Complete? See the C-Code Process for Details.
  - All C-Codes must be resolved prior to the Campus FSR sending an FA Package Checklist for processing.
    • Campus FSR’s need to review the Sent to Central Activity, for documentation indicating the C-Code is resolved.
    • If the C-Code Activity has been assigned to the Campus FSR and is not resolved; the Campus FSR needs to collect the C-Code documentation from the student and submit to ccode@national.edu.
    • Central Financial aid must have documentation indicating the C-Code is resolved before the Campus FSR sends the student to Central for processing.

• Is the Student requesting Special Circumstance? See the Special Circumstance Process for Details.
  - Campus FSRs need to review the Sent to Central Activity, for documentation indicating the Special Circumstance is approved or denied.
  - If the Special Circumstance Activity has been assigned to the Campus FSR and is not resolved; the Campus FSR needs to collect the Special Circumstance documentation from the student and submit to specirc@national.edu.
  - Central Financial aid must have documentation indicating the Special Circumstance is resolved before the Campus FSR sends the student to Central for processing.

• Attach Paperwork to Support Independent Status: If the student answered “Yes” to any of the following dependency questions they will need to provide legal court documentation to prove status. Please refer to the Supporting Documentation for Independent Status section of the Awarding Philosophy, for additional information.
• At any time since you turned age 13, were both your parents deceased, were you in foster care or were you a dependent or ward of the court? See notes on page 9 of FAFSA.
• As determined by a court in your state of legal residence, are you or were you an emancipated minor? See notes on page 9 of FAFSA.
• As determined by a court in your state of legal residence, are you or were you in legal guardianship? See notes on page 9 of FAFSA.
• At any time on or after July 1, 2013, did your high school or school district homeless liaison determine that you were an unaccompanied youth who was homeless? See notes on page 9 of FAFSA.
• At any time on or after July 1, 2013 did the director of an emergency shelter or transitional housing program funded by the U.S. Department of Housing and Urban Development determine that you were an unaccompanied youth who was homeless? See notes on page 9 of FAFSA.
• At any time on or after July 1, 2013, did the director of a runaway or homeless youth basic center or transitional living program determine that you were an unaccompanied youth who was homeless or were self-supporting and at risk of being homeless? Comment code 299 will be on the ISIR. See notes on page 9 of FAFSA. Will need to be resolved through Special Circumstance or provide parent’s information.
• Non-Tax Filers form-Only the first page of the Non-Tax Filers form is imaged:
  • NEW-Same sex marriage. For federal tax purposes, individuals of the same sex are considered married if they were lawfully married in a state (or foreign country) whose laws authorize the marriage of two individuals of the same sex, even if the state (or foreign country) in which they now live does not recognize same-sex marriage. The term “spouse” includes an individual married to a person of the same sex if the couple is lawfully married under state (or foreign) law, however, individuals who have entered into a registered domestic partnership, civil union, or other similar relationship that is not considered a marriage under state (or foreign) law are not considered married for federal tax purposes.
  • Did student, spouse or parent claim they were eligible to not file a Federal Tax Return? Include the 2014-15 Non-Tax Filer for 2013 form with attached W-2s, for student, spouse or for parent(s) as appropriate. If student is married and the student and spouse were not required to file taxes, both need sign the Non-Tax Filer form or each must complete a separate form. If one spouse filed taxes (not a joint return) the other is required to complete the Non-Tax Filer form. The above information is the same for married Parents if both parents were not required to file taxes, both need to sign the Non-Tax Filer form or each must complete a separate form. If one spouse filed taxes (not a joint return) the other is required to complete the Non-Tax Filer form.
  • Students must submit a copy of the 2013 W-2 form for each separate source of employment income. Students ONLY-
    • Include Money received, or paid on your behalf in the Non-Taxable Income- List any money received or paid on the student’s behalf (e.g., payment of student’s bills). Enter the total amount of cash support the student received in 2013. Include support from a parent whose information was not reported on the student’s 2014-15 FAFSA, but do not include support from a parent whose information was reported. For example, if someone is paying rent, utility bills, etc., for the student or gives cash, gift cards, etc., include the amount of that person’s contributions unless the person is the student’s parent whose information is reported on the student’s 2014-15 FAFSA. Amounts paid on the student’s behalf also include any distributions to the student from a 529 plan owned by someone other than the student or the student’s parents, such as grandparents, aunts, and uncles of the student.
  • Does the Income Earned from Work or Non-Taxable Income on the ISIR match the information on the Non-Tax Filer form and the W-2s? If not, the student/spouse and/or parents need to correct whichever document is incorrect.
  • Housing/Food/Living Allowance (BAS/Clergy). If the student provided their Military Identification form to Student Accounts to receive the reduced tuition rate make sure there is BAS listed on the ISIR. If no BAS is reported the student will need to make corrections to add the BAS to the ISR and/or complete the NAU Conflicting Information Resolution 2013 Receipt of Housing/Food/Living Allowance form to document why they did not receive BAS/Clergy allowance.
  • If the student, spouse or parent(s) claim they are retired or separated from the military, the date of retirement or separation must be provided on the form. The form must be signed and dated by the student.
  • Students who have previously provided their retirement date, do not need to complete the form again, as this date will not change from year to year. Central FA will add the prior year document to the project.
  • If the student has not provided parent information on the form, a signed and dated statement from the parent may be required.
• The 2013 BAS per monthly rate is as follows:
  • BAS Enlisted Members effective 1/1/13– $352.27 per month, which means the maximum amount for the entire year for an enlisted service member would be $4227.
  • BAS Officers effective 1/1/13 – $242.60 per month, which means the maximum amount for the entire year for an Officer, would be $2911.
The following categories would require the student/spouse/parents to complete the NAU Conflicting Information Resolution 2013 Receipt of Housing/Food/Living Allowance form.

- Is the student receiving the Military Tuition Rate for Active duty, Guard or Reservist service member or as a Military spouse or dependent, but did not report a Housing/Food/Living Allowance during the 2013 calendar year on the FAFSA?
- Did student report, the student or a family member received a Housing/Food/Living Allowance during the 2013 calendar year on the FAFSA, but is not receiving a Military Tuition Rate?
- Is there conflicting information in regards to the student’s Military status?
- Is there a VA Certification Activity in CampusVue?
- Is there documentation in any other Activity in CampusVue indicating the student should have listed BAS on the ISIR?

Additional Items New/Continuing/Re-Entry/Re-Enroll, if applicable.

- Status Sheet w/Transfer credits included: have all transcripts been requested, received and evaluated, by the Registrar Office, for transfer credits? Check all of the NSLDS pages, MOHE, CampusVue Activities and MN Grant application for schools previously attended for New and Re-Entry students. If after student’s initial processing, NSLDS updates and now lists an additional school(s), the transcripts must be requested and all processing will be stopped until the transcript is received and evaluated, by the Registrar Office and the new status sheet completed and in ImageNow. In these cases no error is assessed to the FSR; however, he student will be placed on Package Pending to be resolved.
  - If the student has any transcripts, there must be a copy of the official status sheet, regardless of the number of transfer credits, completed by Registrar’s office, in the student’s project. If the student’s status sheet is already in ImageNow, note this on the Checklist. If the student is new or a re-entry you will need to include the “Official” status sheet in the project.
  - In most cases if the previous school was a Beauty School, most likely no credits will transfer. However, if the student is enrolled in the AAS Health & Beauty Management program we must collect the Beauty School transcripts. In addition, the student must provide a copy of their current Cosmetology license, when they enroll in the degree. The license must be sent to the Registrar office and on file in their ImageNow drawer, before the student is eligible to be awarded any financial aid. This is not an FSR responsibility to collect or send to Registrars, however, the FSR needs to ensure it has been processed before sending a checklist for awarding. If the FSR sends an FA Package Checklist and the Cosmetology license has not been sent to the Registrar office and is not in the Registrar drawer in ImageNow, the student will be placed on Package Pending, however, no error will be assessed if the Cosmetology license is the only reason the checklist is being placed on Package Pending.
  - If not enrolled in the Health & Beauty Management program: No status sheet required for transfer credits in this case, except: Minnesota students who may be eligible for MNSG: are required to request all transcripts, including those from Beauty Schools.
  - If the attendance at the Beauty school is over 5 years old, the student must write a statement including:
    - Name of School
    - Dates attended
    - Type of School-semester, quarter, clock hour
    - Complete list of Courses taken
    - Document if the student completed the program or not
  - Students with transcripts on hold need to have a HOLD letter in the Registrars drawer in ImageNow, in the student’s project, or the College Transcript Activity must be documented by the person who contacted the College. The documentation must include the name of the school, the phone number and the name of the person who provided the information, at the college. Minnesota students with HOLDS are not eligible for MNSG/MNCCG until the HOLD is resolved.
  - HOLD notifications may come from the Student Clearinghouse, in lieu of an actual hold letter from a specific school. These notices will be in an email format and will not have an individual’s name or phone number listed. The following is an example of the email. The email will come from the clearing house and have a Transcript Order number listed which is how the student is identified.
  - Transfer Credits Completed:
    - All transcripts are now received, evaluated, by the Registrar Office, a status sheet complete and in the project. Unsubsidized loan can now be awarded.
    - If the transcript(s) for MN students are not in the FA project, but are available from the Registrar drawer in ImageNow, Central will add the transcript(s) to the project.
    - Transcripts received for any MN campuses will be evaluated by Central FA, for MN State programs. This also includes students living in MN and attending the On-Line Campus.
• If the Official status sheet is not in the FA project, but is available from the Registrar drawer in ImageNow, Central will add the status sheet to the project.

• Campus FSRs who send an FA Package Checklist to package Unsubsidized loan before all transcripts have been requested, received, evaluated by the Registrar Office and a status sheet is not available, will result in no processing of the FA Package Checklist and a new FA Package Checklist will be required when all transcripts are accounted for and the status sheet available.

• If the Campus FSR sent the checklist for Pell and GL1 Subsidized Stafford loan only and before the awarding process is completed the status sheet becomes available and Unsubsidized loan can now be packaged, Central will add the status sheet to the FA project and award the Unsubsidized loan. This is not an error to the FSR.

• Graduation Evaluation New/Continuing/Re-Entry/Re-Enroll, as applicable: All students within 41 credits or less, of the required credits for their active program require a graduation evaluation be provided. If one is not available from the Campus Academic Dean must complete the Tentative Graduation Evaluation form, or the Campus Academic Dean can provide an updated status sheet listing the terms each of the remaining classes will be taken, document the expected graduation date and Dean needs to sign and date somewhere on the status sheet, or the information above can be sent via email from the Academic Dean at the campus, as long as all of the pertinent information is provided and it is clear the email is from the Dean.

For Example, for an Academic Year (BBAY) beginning summer term. To accurately determine the number of credits a student has remaining, the FSR needs to include the current number of credits the student is taking. The formula is: Total Credits Required minus Credits Earned minus number of Current Quarter Credits being taken = Credits Remaining to Complete. The credits earned include the number of transfer credit the student has received.

• Revised Tentative Graduation Evaluation New/Continuing/Re-Entry/Re-Enroll, as applicable:
  • Students may not always graduate as anticipated. If students will be attending beyond the term noted as the expected date to graduate, on a prior Graduation Evaluation, the Campus FSR is required to provide an updated Tentative Graduation Evaluation, completed by the Campus Academic Dean, documenting the remaining classes and the new expected graduation date or the Campus Academic Dean can provide an updated status sheet listing the terms each of the remaining classes will be taken, document the expected graduation date and Dean needs to sign and date somewhere on the status sheet, or the information above can be sent via email from the Academic Dean at the campus, as long as all of the pertinent information is provided and it is clear the email is from the Dean.
  • Students who’s “Progress Tab” shows the student is within 41 credits of completing the current program need a tentative graduation evaluation. Central relies on the Progress Tab only to determine the number of credits left to complete. The tentative graduation evaluation may indicate more credits are required which will eliminate the need to prorate the student’s loans.
  • Campus FSRs who send checklists without an updated Tentative Graduation Evaluation form will result in the student being placed on package pending.

• Change of Program (COP) New/Continuing/Re-Entry/Re-Enroll, if applicable:
  • Before an FA Package Checklist can be sent for processing due to a change of program, the registrar office must have completed the process and updated the program in CampusVue. Campus FSRs are aware of the students with a pending COP, as the FSR signs the COP form prior to it being sent to the registrar office for processing. Central FA cannot complete the COP process until after the registrar office processes the form. The registrar office will notify Central Financial aid and provide the official completed COP and the official status sheet for the new program. Central Financial Aid documents in the Sent to Central activity when the COP process is complete. Only after Central FA documents the COP process is complete, can the FSR forward an FA Packaging Checklist to Central for processing.
  • It is the FSR responsibility to ensure the official status sheet for the new program is in the student’s project, prior to sending an FA Package Checklist, even if no aid was previously processed.
  • Campus FSRs who send checklists before Central Financial Aid has documented in the Sent to Central activity the COP process is complete, will result in no processing of the checklist and a new checklist required after COP processing is documented as complete, by Central Financial Aid.

• Outside Aid from previous award years Continuing or Re-Entry, if applicable
  • Campus FSRs are required to check for any outside resources and collect the necessary documentation to ensure proper packaging of outside resources. (i.e., copy of CTA policy, letter from employer, BIA award letter or scholarship award notice). Campus FSRs are required to verify with students if prior year outside resources will be available for the current year. If the student will continue to receive the outside resource the Campus FSR is required to document in the Sent to Central Activity the resource remains in effect and if needed obtain the updated documentation (i.e., copy of CTA policy, letter from employer, BIA award letter or scholarship award notice) for 2014-15.
  • Example of Sent to Central Activity documentation: “1/1/14 dls confirmed with student no policy changes to CTA policy remains the same for 2014-15.”
If the student received CTA in the previous year, the FSR needs to confirm if the policy is still in effect or obtain an updated CTA policy. The FSR must document the details in the Sent to Central Activity.

Example of Sent to Central Activity documentation: “1/1/14 dls confirmed with student CTA increased to $3500 annually. Imaged updated CTA policy.”

If the student is no longer eligible for CTA or loses their CTA eligibility, and is still employed with the company; the student must provide a statement from the company, on company letterhead stating why the student is no longer eligible to receive the CTA. An emailed statement is acceptable as long as it can be determined the email was from the employer.

If the student is no longer eligible for CTA because the student is no longer employed by that employer. The student must provide a signed and dated statement explaining why and when they lost their CTA eligibility. An emailed statement is acceptable as long as it can be determined the email was from the student.

NAU Scholarship New/Continuing/Re-Entry/Re-Enroll, if applicable: Does the student have any NAU scholarships?

- Include the award letter or application, showing the amount awarded to the student.
- If a student previously received a scholarship and no new scholarship application is in the student’s project, Central FA will process without the scholarship application and assume the student is no longer receiving the scholarship.

BIA, Tribal, WIA, VocRehab or other outside Award Letter New/Continuing/Re-Entry/Re-Enroll, if applicable: Was student awarded BIA, Tribal, and WIA, VocRehab or any other outside scholarship? Did the student receive any of this type of aid in the previous award year? Campus FSRs must confirm if the student will continue to receive the aid, as well as collect the appropriate document(s), image those documents into the student’s project and document in the Sent to Central Activity.

- Include the award letter or other appropriate form or letter from the agency providing the funds, showing the amount awarded, clarify whether it is a yearly amount, quarterly amount or one time only.
- Campus FSR’s who send checklists without the appropriate form to document the amount and period the award is for, will result in the student being placed on package pending and the FSR assessed an error.

Important Note: Campus FSR’s are not to complete the Needs Analysis or information request forms. The forms are to be sent to cafinaid@national.edu for completion.

- Any Required Student Account Documents: Campus FSRs are required to ensure a student has completed all necessary documents, including those required by Student Accounts. Refer to the Student Account procedures for details.

PLUS Information New/Continuing/Re-Entry/Re-Enroll), if applicable: For Dependent students, unless it is documented in Sent to Central activity, the parent does not want a PLUS Loan, the following is required:

- Parents complete the MPN separate from the credit check for Direct Loan. Parents with a PLUS Credit Denial are not required to have a PLUS MPN on file:
  - Print the Parent’s MPN detail page from COD:
    - www.cod.gov >Batch>SSN on bottom of screen> Select All for Award Year>Search Doc Type =PN (Promissory Note)
    - Award Type=DLP
    - Award No=Accepted
  - Print the detail page by clicking on Accepted for the PN line
  - The correct date to add to document tracking as date MPN completed is the Document ID.
  - The MPN Status will be a “P” if no loans have been linked to the MPN or “A” if loans have been linked to the MPN.
  - This is the only acceptable MPN document. Any other document will be removed from the student’s project and the correct document added.
- Parent PLUS Application detail-Approval/Denial: The PLUS Application detail can be found at www.cod.ed.gov>Person>PLUS App Search>Parent’s SSN>Parent Last Name>Parent First Name>Search. FSRs will print the application detail into the student’s project.

The screenshot on the following page has the following items highlighted:

- Credit Decision – This will be and “A” for approved or “D” for denied. The FSR will document the decision in the comment section of the PLUS Credit Balance document in document tracking. Document either “approved” or “denied”.
- Credit Balance Option – (For approved credit decisions) This will indicate either the Student or Parent. The option (Parent or Student) will be documented in the comments of the document PLUS Credit Balance in document tracking.
- Credit Check date- this is the date entered into document PLUS Credit Balance, in document tracking. The Credit Check Expiration date will be noted in the comment section of the document.
- PLUS Information Form (New/Continuing/Re-Entry/Re-Enroll), if applicable: Required for all Dependent Students, who’s parent is approved for a PLUS loan. If the parent is denied the PLUS loan they do not need to complete this form. Student’s
If parent is in Default, or has an overpayment on a grant or loan, print the Loan History page for the parent from NSLDS showing the default and/or the Overpayment page, if the Overpayment icon or Default icon is on the loan repayment page. No credit check is required as the parent will be automatically denied due to the default. The NSLDS loan history pages with the icon must be added to the student’s project.

If parent answered yes to conviction or pled “no contest” to FSA fraud or has a lien for a debt owed to US Government, FSRs will collect the legal supporting documentation for the particular situation. No credit check is required as the parent will be automatically denied.

Parent PLUS approved credit checks are valid for 90 days. If the credit check approval has expired prior to the checklist being sent to Central for processing, the FSR needs to have the parent complete a new credit check and include the new PLUS Credit Approval/Denial in the project.

If the credit approval expires after the student is sent to Central for processing, a new credit check will be done by Central FA when the new Direct PLUS loan is certified. This is not an error to the FSR.

Parent PLUS Denials are good for the entire Award Year (2014-15) and do not expire.

PLUS NSLDS Loan pages (New/Continuing/Re-Entry/Re-Enroll), if applicable: Print for the parent who has submitted the PLUS Information Form, if has an approved credit check on file.

If the NSLDS pages for the Parent are not in the student’s project, Central will add them, unless the parent has a Plus Credit Denial on file then the NSLDS pages are not required.

CampusVue Document Tracking (Continuing/Re-Entry/Re-Enroll) if applicable:

• Application for Financial Assistance (AFA): Enter the date received.

• Initial Entrance Counseling (IEC): We can accept the Grad PLUS Stafford Entrance Counseling if the student completes it instead of the standard Entrance Counseling as it covers all of the same criteria.

• The correct date to add to document tracking as date Entrance Counseling completed is the Document ID. The Document Status is set to “On File”.

• If a student has previously completed FFELP Entrance Counseling they do not need to complete Direct Entrance Counseling, unless they have prior defaulted loans.

• If student has prior defaulted loans they must complete Entrance Counseling and the date of the new Entrance Counseling must be after the date of the default.

• If a student has prior loans from a previous school, they are not required to repeat IEC, the IEC date is entered as today’s date with notations in the Comments section of the Document that the student has prior loans and we will not require IEC.

• If a student chooses to complete IEC with us and has prior loans that are in good standing the IEC date should already be entered, make notations in the Comments section of the Document that the student completed the IEC again and document the date of the new confirmation page and image the new IEC confirmation page.

• Document MPN Complete Stafford/Plus: The screen shots below can be used for both the student’s Direct Stafford MPN and the Direct Parent PLUS MPN.

• The correct date to add to document tracking as date MPN completed is the Document ID date.

• Add the Document-FA-Direct Stafford Loan MPN/Direct PLUS MPN Required; date received is the Direct Loan MPN is the Document ID date, Document Status is set to “On File”.

• If the parent has not completed an MPN and we need to package for a PLUS loan the FSR will add the document to the document center with the Document Status set to Requested-Required.

• Document PLUS Credit Balance/Credit Decision: Enter the date the parent completed the PLUS application. In the comments section of the document PLUS Credit Balance, the FSR must document the decision (Approved/Denied). If the parent was approved, the FSR will document in the comments section, who the credit balance from the PLUS loan is to go to. Parent or Student as applicable. Set status as On File.

• Document NSLDS History Page Checked: Add the document “NSLDS History Page Checked” to the Document Center with the Date Received as the date the NSLDS pages were printed and the Document Status set to “On File”. This is the date at the bottom of the NSLDS pages. The date in the document center is the initial date NSLDS was printed for the Award Year (2014-15) and is not changed when additional pages are printed during the Award Year. Central Administration will recheck and add new NSLDS pages, if at the time of processing those in the project are older than 60 days old, to re-confirm the student’s eligibility. The date in document tracking will not be updated.

• Document Initial EFC Calculation Date: Enter the Processed Date on the first ISIR with an EFC and set the Document Status to “On File”. The processed date is located on right hand side of page 3 just below Office Information.
CampusVue Contact Manager (Continuing/Re-Entry/Re-Enroll) if applicable:

- Activity-Transfer Monitoring:
  - All students who have attended a prior University or College within 12 months, of the student’s start date at NAU, this includes prior students returning to NAU (students returning to NAU and have attended another institution in the meantime) and/or have had a grant disbursement or loan period start or end dates within 12 months of their start date at NAU, need to be checked for transfer monitoring.
  - Campus FSR prints and reviews the NSLDS Loan History, Grant, Overpayment, and Enrollment pages. See the Transfer Monitoring Process for details. If it is determined transfer monitoring is required, the campus FSR completes the Required Transfer Monitoring Information form, in Version Control, and documents the information from the form into the Transfer Monitoring Activity in Contact Manager, using the Transfer Monitoring Activity Template:

Date & FSR Initials
1. Last School(s) attended XYZ
2. LDA 1/9/14
3. 14/15 Pell $2823 50%
4. Last Academic Year (BBAY) 6/3/13 to 1/9/14
5. Sub $3500
   Unsub $6000
6. Pending Disbursements None
7. End of last Academic Year 1/9/14
8. NAU Start Term Spring 2014
9. Academic Year (BBAY) 3/10/14 to 11/23/14

   Add student to transfer monitoring.
   - If the student is listed on NSLDS with a status of less than half time at another institution and no loan or Pell have been paid, from the previous institution, and it is longer than 1 year or more from the previous institution’s status effective date, we do not need to call the other institution to get confirmation of the student’s LDA.
   - The Transfer Monitoring Information form must be included in the project.
   - Central Financial aid may if necessary correct the Transfer Monitoring Information form and if necessary the Transfer Monitoring Activity to reflect the correct information.

- Activity-Applicant Acknowledgement or Email Authorization (New/Continuing/Re-Entry/Re-Enroll), if applicable: Students are to be notified, by this activity that email is the primary form of communication and NAU will use any email address the student has on file with NAU. Campus FSRs are to ensure the activity is set up and the email notification sent to the student. E-Mail is the primary means of communication with students. Students could have either the Applicant Acknowledgement Activity or an E-Mail Authorization Activity in Contact Manger. If neither Activity is in Contact Manager, FSR’s will add the document “Authorization to Communicate via E-Mail” to the document center, for the student to access the document via their student portal.

   - The Campus FSR must do the following:
     - Add the document “Authorization to Communicate via E-Mail” (E-Mail Authorization) in document tracking with a document status as “Requested/Required”. This will place the E-mail Authorization on the student’s portal, for the student to print and complete. Below are the steps to set up the document.
     - Contact Manager>Documents. The Module needs to be set to “All Modules”.
     - Add the document with the document status set to Requested-Required. You will find the document towards the bottom of the list as it is not associated with an award year.
     - The completed form must be signed and dated by the student and the FSR will image the document into the student’s project in ImageNow.
     - The FSR will open the ***E-Mail Authorization*** Activity in Contact Manager and document the date the E-mail Authorization was signed.
     - Students can refuse E-mail communication and if they choose to refuse the ***E-Mail Authorization*** Activity in Contact Manager must be documented the student refuses to sign the authorization. In addition the Campus FSR will have the student’s email address removed from the student’s master screen in CampusVue.
     - If there is no Applicant Acknowledgement Email Activity or ***E-Mail Authorization Activity in Contact Manager or if requested no E-mail Authorization form in the student’s project, processing will not be held and no error assessed to the FSR. However, in these cases, no communication with the student can be via e-mail.
• Activity-MNSG/MN Child Care Stipend Authorization (New/Continuing/Re-Entry/Re-Enroll), if applicable: Campus FSR is required to set up the activity, document the receipt of the form (this is the date the student signed the form) and which option the student has chosen, and close the activity.

• Title IV Authorization Activity: If the Campus FSR does not add the Title IV Authorization Activity to Contact Manager, Central Financial Aid will add the activity. Refer to pages 8 and 9 for details.

• Activity Sent to Central (New/Continuing/Re-Entry/Re-Enroll): The Sent to Central Activity (for the appropriate award year) is to be set up at the time the Campus FSR images the checklist to the ImageNow CA Financial Aid Linking queue. Only one Sent to Central Activity is set up for the award year and will be used to document processing throughout the entire 2014-15 award year.

  • The Campus FSR is required to document the date the FA Packaging Checklist was imaged, their initials, the quarter(s) the student is to be awarded, and any other pertinent information.

  • The Campus FSR will also document any changes to the outside resources for the 2014-15 award year.

  • Campus FSRs need to be aware when routing checklists, if the FSR sends the checklist to complete it will not be processed as Central will not know it was imaged. FA Package Checklists must be routed to the CA FA Linking queue, for processing.

  • Only when the Campus FSR questions why the checklist hasn’t been processed, does Central become aware. It is from that date the checklist will be put into workflow, not the date the Campus FSR originally imaged the checklist.

Minnesota State Grant/Child Care Grant New/Continuing/Re-Entry/Re-Enroll, as applicable: MNSG Eligibility Questionnaire:

• New for 2014-15 MNSG Eligibility Questionnaire are completed using the paper application.

  • The FSR will add the 14/15 FA-Minnesota State Grant Eligibility Questionnaire to the document center, for the student to access on the student portal. The MNSG Eligibility Questionnaire is required for all students attending a MN location or a DL student with a MN address, to determine MNSG eligibility.

  • The student must answer all questions on the MNSG Eligibility Questionnaire. Campus FSRs need to review the application to ensure it is completed accurately.

  • Students must list all states of residence, including all dates and the reason.

  • Students must list all prior schools they have attend, including all dates of attendance. Failure to include a copy of all prior college transcripts in the project will result in the student being placed on package pending, unless the transcript is available from the registrar drawer. Central would then add the transcript to the project, however, in either case the FSR will be assessed an error.

  • Students must answer all questions at the bottom of the application, for their MNSG eligibility to be fully evaluated.

  • The MNSG Eligibility Questionnaire must be signed and dated.

• Child Care Grant Application New/Continuing/Re-Entry/Re-Enroll, if applicable:

  • Completed and signed by both the student and the provider

  • Look for conflicting information such as the hour per week multiplied by the hourly rate equal the weekly amount.

  • Make sure that the child’s date of birth is listed.

  • Attach supporting documentation if receiving MFIP or other child care assistance.

  • It is not an error if this document is not in the student’s file, as it is up to the student to apply.

  • FSRs will email all Child Care Grant Applications to: sfrey@national.edu

• MNSG/MNCCG Direct Deposit Authorization (New/Continuing/Re-Entry/Re-Enroll), if applicable: The MNSG/MNCCG Direct Deposit Authorization form, for the appropriate award year, is required to be in the project and the MNSG/Child Care Stipend Authorization activity set up, prior to the checklist being sent for processing.

  • Document Tracking - Add 14/15 FA-MNSG/MNCCG Direct Deposit document to document tracking, set to Requested/Required. Student can then access the document on their student portal. The Campus FSR is responsible to collect and include the document in the project.

  • Contact Manager: MNSG/Child Care Stipend Authorization. Campus FSR is required to set up the activity, document the receipt of the form (this is the date the student signed the form) and which option the student has chosen, and close the activity

• MN Program Holds & Holds Released-Print MOHE (New/Continuing/Re-Entry/Re-Enroll), if applicable:

  • Print the page from the MOHE website, for all students, showing if the student has any holds on MN programs.

  • If the student has now cleared their MN Hold and is now eligible for MNSG the Campus FSR is required to add the new MOHE page to the student’s project.

    • The Campus FSR will send a checklist indicating MN Hold cleared and to package the student’s MNSG.
Financial Aid Policies and Procedures

- If the new MOHE page is not in the student’s project, for either of the above situations, Central will add the page and process the checklist. If the hold is not yet cleared, the checklist will not be processed.

- MNSG Unit Tracking Sheet (New/Continuing/Re-Entry/Re-Enroll), if applicable: Campus FSR starts the Unit Tracking Sheet in Version Control and adds to ImageNow. For continuing students, Central will add the Unit Tracking Sheet to the 2014-15 project and update as necessary, for those students who have a previous Unit Tracking Sheet in a prior year project. (This is not an error to the FSR).
- If there is no MNSG Unit Sheet in a student’s project or the Campus FSR does not add the MNSG Unit Sheet, in Version Control format, Central will do so.

- College Transcripts (New/Continuing/Re-Entry/Re-Enroll), if applicable: A copy of all college transcripts must be included in the student’s project to be evaluated for MNSG. Check NSLDS, New Student AFA, all CampusVue activities, Salesforce and MOHE for previous schools. FSR’s also need to read notes in the admission activities for notes regarding potential schools the student may have previously attended and are not found elsewhere. This ensures all transcripts are requested for the student.
- All Minnesota students are required to request any and all School Transcripts, as they may be eligible for MNSG, including Beauty School transcripts.
- If all transcripts are not requested and received, do not send a checklist.
- You may have a transcript on hold letter from a previous school in lieu of a transcript (must be documented in the College Transcript activity).
- This will make the student ineligible for MNSG, until the Hold is resolved and the transcript received.
- If the attendance at a school is over 5 years old and the transcript is no longer available through the school or the school has since closed and the records not available, the student must write a statement including:
  - Name of School
  - Dates attended
  - Type of School-semester, quarter, clock hour
  - List all of Courses taken
  - Did student completed the program or not
  - If after student’s initial processing, NSLDS updates and now lists an additional school(s), the transcripts must be requested an all processing will be stopped until the transcript is received and the new status sheet completed. This would not be an error for the FSR.

- Continuing Student Prior Year’s MNSG Applications, MNSG MOHE Pages and Previous Calculation Worksheet(s) will not be moved to the current year, by Central Financial Aid. Only the prior year MNSG Unit Tracking sheet will be added to the current year projects. Only the current year MNSG Application, Child Care Application, MNSG-MNCCG Direct Deposit Authorization and MOHE pages need to be in the current year student project.

Comments: Be detailed in any documentation provided to ensure no confusion in student processing. For example: student’s BBAY will end with the current quarter or any other information that could be helpful in making a determination on how to process.

- Documents added to project and an FA Package Checklist already in workflow:
  - If the FSR adds documents to the student’s project after the FA Package Checklist was sent for processing, the FSR only needs to document in the Sent to Central Activity what was added. For example: An FA Package checklist was sent after midterm to have Subsidized Stafford and Pell packaged, due to a missing transcript. The transcript is received and the student’s FA Package checklist is still in processing. The FSR would document, “added transcript to project, package Unsub”.

- Package for Additional Terms:
  - FSRs need to document in the Comment section what processing they are requesting and document the same in Sent to Central Activity. If not indicated, on the FA Package checklist, Central will make the determination for processing. This is not an error.
  - If there are no notes from the FSR and Central determines no additional processing is needed, the Sent to Central Activity will be noted, “no processing required and the reason why”. The FA Package checklist will not be processed.

- Revise for Change in Credits:
  - FSRs need to document in the Comment section what processing they are requesting and document the same in Sent to Central Activity. If not indicated, on the checklist, Central will make the determination for processing. This is not an error.
  - If there are no notes from the FSR and Central determines no additional processing is needed, the Sent to Central Activity will be noted, “no processing required and the reason why”. The checklist will not be processed. (FSRs must keep in mind students are packaged for a full Academic Year (BBAY) and many students take uneven credits over the Academic Year (BBAY). This results in the student receiving a stipend one quarter or more and owing a balance for a quarter. FSRs should
not send checklists to process students for additional credits, unless the student’s total credits changed for the BBAY, from the initial processing and the student has remaining Pell or loan eligibility for the Academic Year (BBAY). The student would have been packaged for the total number of credits for the Academic Year (BBAY) and the additional checklist may result in an error if no processing is required.

• Central Request for Package due to Change of Registration (COR) Pending Memo:
  • FSRs need to document in the Comment section the project was requested by Change of Registration, to ensure the COR process is completed in a timely manner. It is not an error if the documentation does not indicate the checklist is for COR purposes, but could delay the COR process.

• Document to Resolve - Package Pending Unresolved Issues:
  • Campus FSRs need to document in the Comment section what was added to the student’s project and document the checklist is to clear an Unresolved Package Pending issue and also document the same information in the Sent to Central Activity.
  • Central will review the added document(s) and if the Unresolved Package Pending issue is cleared, will add the checklist to the workflow and process the student.
  • If Central determines the document(s) added to the project still do not clear the Unresolved Package Pending issue, the Sent to Central Activity will be documented as such and the student will again be added to Package Pending. The FSR will have 3 additional days to resolve, as this is a new FA Package Checklist.
Procedure - Financial Aid Transfer Monitoring

All students who have attended a prior University or College within 12 months, of the student’s start date at NAU, this includes prior students returning to NAU (students returning to NAU and have attended another institution in the meantime) and/or have had a grant disbursement or loan period start or end dates within 12 months of their start date at NAU, need to be checked for transfer monitoring. The Campus FSR prints and reviews the NSLDS Loan History, Grant, Overpayment, and Enrollment pages.

The Department of Education regulation change as of October 2013, requiring schools to change the loan period end dates for students who withdraw, will require NAU to utilize a combination of NSLDS and COD. Institutions can no longer utilize the 30 week calculation to determine a student’s academic year (BBAY) for purposes of loan eligibility. NSLDS will provide the information pertaining to a student’s enrollment (within 12 months), any Pell disbursements and loan borrowed, but COD will be used to determine the students’ Academic Year (BBAY) begin and ends dates. See the examples below:

Student A last attended Butler County Community College with a withdraw date of 7/31/13.

Student A also has loans from Butler. NSLDS reports loan periods, not Academic Year begin and end dates (BBAY). This student has 3 loans and the last loan period does not overlap the prior, but the loan amounts of the 3 loans total grade level 1 annual limit. Because NSLDS only lists loan period and not academic year dates, we do not know if the loans should be combined.

Because we can no longer use the 30 week calculation to determine the student’s Academic Year (BBAY) begin and end date, COD needs to be reviewed to determine what the academic year (BBAY) dates are for each loan. The Loan Detail will provide the Award ID to crosscheck with COD. In NSLDS click on “Loan Detail” and make note of the Award ID.

In COD search by Person, enter the students SSN and click on Search. Select Direct Loan. Change the Award Year to “All”, this will list all loans from all schools for the student.

The loans from Butler will be listed and need to be reviewed for Academic Begin and End dates. Click on the loan ID of each loan to display the loan details. Cross reference the loan ID from NSLDS to the loan ID in COD.

Verify the loan ID which is in the upper right corner on the COD record.

The Award Start Date and Award End Date is the same as the “Loan Period” which will change if the student withdraws from an institution, as such cannot be used to determine the students’ Academic Year (BBAY). The Academic Year (BBAY) does not change and is the indicator to determine which loans belong to any given Academic Year (BBAY).

The Academic Start and End dates are toward the bottom of the screen.

Compare the Academic Start and End dates on students’ loans within the last 12 months to determine the students’ Academic Year (BBAY). For this student the Academic Year (BBAY) is 8/20/12 thru 7/26/13. The student started with NAU Fall Interim. The 3 loans from Butler are all included in the Academic Year (BBAY) of 8/20/12 thru 7/26/13. The student will begin a new Academic Year (BBAY) with NAU as of Fall Interim. The Campus FSR prints, and reviews the NSLDS Loan History, Grant, Overpayment, Enrollment pages and the COD loan detail for all loans reporting on NSLDS within the last 12 months. The NSLDS and COD pages all need to be added to the student’s project in ImageNow. This information will be used when completing the Transfer Monitoring form and the Transfer Monitoring Activity.

If it is determined transfer monitoring is required, the campus FSR completes the Required Transfer Monitoring Information form, which is done in Version Control in ImageNow. The FSR then transfers the information from the Transfer Monitoring form to the Transfer Monitoring Activity in Contact Manager, in the following manner: There is a Transfer Monitoring template available on MyNAU so all the documentation is consistent.

Date initials

1. Last school(s) attended Butler County Community College
2. LDA 7/31/13
3. 13/14 Pell received 0
4. Last Academic Year (BBAY) 8/20/12-7/26/13
5. Sub 3500
6. Unsub 6000
6. Pending disbursements       None
7. End of last Academic Year   7/26/13
8. NAU start term             Fall Interim 9/24/13 to 11/18/13
9. Academic Year (BBAY)        9/24/13 to 5/25/14

Add student to transfer monitoring.

Campuses do not add the student to Transfer Monitoring in NSLDS, this will be done at Central.

When the students’ project is complete the Campus FSR sends a checklist to Central.

This information will be reviewed when the Checklist is sent to Central. The FSR will be notified of any conflicting information, which must be resolved. If the Transfer Monitoring form or the documentation in the Transfer Monitoring Activity is not correct, Central will, if possible, make the necessary adjustments or the student will be placed on package pending for the FSR to resolve and in either case an error will be assessed.
NATIONAL AMERICAN UNIVERSITY ESTIMATED PROGRAM COST POLICY

Procedure - Estimated Program Cost
NAU’s goal is to award students to cover their Direct Costs (tuition, books and fees) only in an effort to help reduce the amount of debt the student will have upon completion of their degree as well as potentially provide our students with the ability financially complete their degree.

This form is to be completed for all new students that want to receive any type of federal financial aid and continuing students who are starting a new bba. This counseling worksheet is to be completed once per Academic Year.

The following items are to be completed, by the FSR, before meeting with the student:

Student Name: this needs to match the name listed in campus vue.

Date: this is the date the FSR prepares the form.

Student ID: this is the student ID assigned by campus vue.

Campus: no abbreviations, the full campus name needs to be listed (i.e.: Rapid City, not RC).

Active Degree and Program: this is the student’s Active Degree in campus vue. This can be found on the Enrollment Screen. (See below) If the student has just completed a COP please list the degree program that will appear in campus vue once the COP has been processed by Registrars.

Credits Required for Program: this is the number of credits that are required for the student to graduate from their active degree. This can be found on the Enrollment Screen, Progress tab. (See below)

Credits Earned to Date: this is the number of credits that the student has earned. This can be found on the Enrollment Screen, Progress tab. (See below) If the student has just completed a COP you will need to have either your Academic Dean or Learner Services provide you with a tentative evaluation (updated status sheet) so that you have the best possible potential number of credits the student will have earned towards their new degree.

Independent or Dependent (for Undergraduate Students Only): this is the dependency status that is listed on the ISIR. The only exception to this is for students whose parents were denied credit for a PLUS loan or received a Special Circumstance due to Bankruptcy status. These students will be processed as an Independent student for loan purposes only. If you do not fill in either “I” for Independent or “D” for Dependent then the calculation will automatically default to the Dependent limits.

Subsidized Loan Borrowed to Date: this is the amount of Subsidized loan that the student previously borrowed from other schools and NAU. This amount needs to be taken from NSLDS. You must include any pending disbursements as well as any aid that NAU has recently awarded the student and may not be reflected on NSLDS yet. You will need to check the award screen in campus vue for any updated awards. If you have contacted the previous school in regards to their pending disbursements and they will be cancelled you do not have to count them.

Unsubsidized Loan Borrowed to Date: this is the amount of Unsubsidized loan that the student previously borrowed from other schools and NAU. This amount needs to be taken from NSLDS. You must include any pending disbursements as well as any aid that NAU has recently awarded the student and may not be reflected on NSLDS yet. You will need to check the award screen in campus vue for any updated awards. If you have contacted the previous school in regards to their pending disbursements and they will be cancelled you do not have to count them.

The rest of the calculation will auto populate based on the information that you provided. See below for an explanation of these items.

Estimated Cost to Graduate with Degree*: this estimated amount is based on the remaining number of credits and books potentially needed to complete the degree. The tuition is based on the current tuition rate.

Estimated Gross Loan needed to pay Estimated Cost: this estimated amount is the Estimated Cost to Graduate with the active Degree and estimated loan fees to give an estimated gross loan amount the student will need to borrow to complete their degree covering direct costs only.

Program Maximum Loan Eligibility**: This is the maximum loan amount that the student may borrow to obtain an undergraduate degree. This amount is based on the student’s dependency status.

Remaining Maximum Loan Eligibility: This amount is the Program Maximum minus the Estimated Gross Loan Needed. If this number is a negative number then the student may not have enough federal Stafford loan eligibility to pay the remaining tuition,
books and fees necessary to complete their degree. Students that have previously borrowed large amounts of federal Stafford loans may not have enough federal Stafford loan eligibility to cover their costs with us and will need to have other payment resources available.

Questions that you need to be able to answer:
• How can Direct Loans help pay for college or career school expenses?
• What kinds of Direct Loans are available?
• What are the eligibility requirements?
• How do I apply for aid?
• How do I take out a Direct Loan?
• How much can I borrow?
• What is the interest rate?
• Is there a charge for this loan?
• How will I receive my loan money?
• How will I repay my loan?
• When do I have to begin repaying my loan?
• How much time will I have to repay my loan, and how much will I have to repay each month?
• Can I ever postpone making loan payments?
• Can my loan ever be cancelled, discharged or forgiven?

Tools available to help you in counseling students:
• Direct Loan Basics for Students brochure.
• Federal Direct Loan website, http://www.direct.ed.gov/. There is a link to this website on our NAU website.
• Funding Your Education Beyond High School, http://studentaid.ed.gov/students/attachments/siteresources/12-13_Guide.pdf. There is a link to this website on our NAU website.
• Student Loan Repayment Calculator, http://www2.ed.gov/offices/OSFAP/DirectLoan/RepayCalc/dlentry1.html. There is a link to this website on our NAU website.
• Consolidation Loans, http://www.loanconsolidation.ed.gov/. There is a link to this website on our NAU website.

The FSR is required to counsel each student, new and continuing, using this estimated program cost worksheet. Students should be counseled in person, or over the phone if they are not available to do an in person session. If in person counseling is not available please make sure the student understands the importance of not having any distractions during the counseling session as they need to have a clear understanding of the impact of their decision.

There are four (4) options for the student to choose from. The option that they select must have their initials in the box.
• "I do not want to borrow for any educational costs or living expenses." This option means that regardless of the dollar amount listed on the Remaining Maximum Loan Eligibility line, the student has other fund sources available to them and does not want/need federal Stafford loans to cover any of their costs or living expenses for the Academic Year.
• "I want to borrow for Direct Costs only (tuition, books and fees) for the Academic Year." This option means that regardless of the dollar amount listed on the Remaining Maximum Loan Eligibility line, the student wants to only be awarded federal Stafford loans, in combination with other fund sources available to them, to cover their Direct Costs. The Direct Cost amount awarded to a student is an estimate for the Academic Year and may fluctuate based on actual credits, fees and book charges each term.
• "I want to borrow for Direct Costs (tuition, books and fees), and borrow the remainder of my available Annual Loan Amount for the Academic Year, to fund my living expenses (housing, utilities, food, gas, etc.)." This option means that the dollar amount on the Remaining Maximum Loan Eligibility line is a positive number and the student wants to borrow their full Annual Loan Amount for the Academic Year. Counseling this student should include, but is not limited to; the difference in the total amount of loan debt that the student would have and the estimated monthly payment the student will be responsible for. For example: if Joe only needs to borrow $36,000 to cover his direct costs and graduate in his degree, his estimated monthly payment would be $414.29 vs. Joe borrowing his full loan eligibility of $57,500 with an estimated monthly payment of $661.71. The student needs to make a clear and educated decision to borrow the excess.
• "I understand my "Remaining Maximum Loan Eligibility" is negative and may not have enough federal Stafford loan eligibility to pay the remaining tuition and fees necessary to complete my degree, however; I want to borrow for Direct Costs (tuition, books and fees), and borrow the remainder of my available Annual Loan Amount for the Academic Year, to fund my living expenses (housing, utilities, food, gas, etc.). I understand I will have to do additional counseling regarding my borrowing." This
option means that the student has a negative number in the Remaining Maximum Loan Eligibility line and that based on our current tuition and fees rate they will not have enough federal Stafford loan eligibility to pay the remaining costs of their degree and will need other fund sources to cover those costs. Students that select this option will be required to complete additional counseling with both the FSR and Campus Executive Officer (see below for the additional counseling). The FSR should complete the same type of counseling with the student as the student who has a positive Remaining Maximum Loan Eligibility before the student makes their final selection.

Once the FSR has counseled the student, in person or over the phone, there is a section for both the student and the FSR to sign. Student signature section: The student must then sign that they have been advised, by the FSR, on the amounts they have borrowed, the amounts they have left before reaching their maximum eligibility, what they may need to borrow versus what they want to borrow. The date is the date the student signed the form, not the created date. At this time, the only signature option that is available is for the student to physically sign the worksheet.

FSR signature section: the FSR is required to provide their signature which certifies that they have counseled the student, in person or over the phone, of the amounts they have borrowed, the amounts they have left before reaching their maximum eligibility and the difference between what they may "need" to borrow and what they "want" to borrow. The date is the date the FSR signed the form, not the created date. This date should be the date the FSR advised the student.

A copy of the signed EPC, by both student and FSR, must be given to the student as well as placed in the student’s financial aid project. This completed worksheet must be in project (package) when sent to Central for processing.

Loan Eligibility Letter:

Students that have a negative Remaining Maximum Loan Eligibility and choose to borrow their full Annual Loan Amount for the Academic Year will be required to complete additional counseling with both the FSR and the Campus Executive Officer. Keep in mind that our CEO has been very clear about the expectations and goals of Direct Cost borrowing. This is not a process to be taken lightly and the student must be made clearly aware of the impact of borrowing more than what is needed.

At the time of the EPC counseling session, if your student chooses to go with the option to borrow more than Direct Cost and has a negative Remaining Maximum Loan Eligibility you will need to complete the EPC form and set up an appointment time to meet with the student and the Campus Executive Office to complete the additional counseling letter.

The additional counseling letter must be completed prior to the meeting with the student so that both the FSR and Campus Executive Officer are prepared for the meeting. There are twelve (12) fields that must be filled in on the letter in order to properly counsel the student.

- Field 1 (top of page): Students Name
- Field 2 (top of page): Campus Executive Officer
- Field 3 (top of page): Date – this needs to be the date the letter is prepared.
- Field 4 (paragraph 1, 1st sentence): (Associate, Bachelor’s, Masters) – enter the type of degree program the student is enrolled in.
- Field 5 (paragraph 1, last sentence): (Program) – enter the students active degree program.
- Field 6 (bullet 1): As of today, you have borrowed $XX,XXX.00 - this amount needs to be pulled from NSLDS on the day the letter is completed. You must include any pending disbursements as well as any aid that NAU has recently awarded the student and may not be reflected on NSLDS yet. You will need to check the award screen in campus vue for any updated awards. This amount should, also, match the combined Subsidized and Unsubsidized amounts borrowed to date that are on the EPC.
- Field 7 (bullet 1): You have approximately $XX,XXX.00 remaining in total Stafford loan eligibility – this amount is the Maximum Loan Eligibility less the amount borrowed to date, Field 6.
- Field 8 (bullet 2): Since you began your studies at National American University during XXXXX term – this needs to be the term in which the student first started with NAU. You can find this date on the Enrollment Screen by looking at the oldest enrollment showing attendance.
- Field 9 (bullet 2): You have requested and received approximately $XX,XXX.00 in stipends – you will need to look at the student’s ledger card and total up any amount that is listed as Stipend, Refund to Student or Cash Disbursement. You can sort the ledger card by description to easily find the line items you need.
- Field 10 (bullet 3): You will need approximately $XX,XXX.00 to fund the remainder – this amount needs to be the same amount that is listed on the EPC as Estimated Gross Loan needed to pay Estimated Cost.
- Field 11 (bullet 3): To fund the remainder of the tuition and fees for your (Program Name) degree – this needs to be the same degree program as what is listed in Field 5.
- Field 12 (bullet 3): Which means you will have a shortfall of approximately $XX,XXX.00 in Stafford loan eligibility - this amount is the difference between Field 10 and Field 7.
For example (actual names have been removed): This example is for a new student with 31.5 transfer credits.

Your EPC looks like:

The information that you would fill in on your additional counseling letter will be:

Field:
1. Easter Bunney
2. Superwoman
3. 1/21/13
4. Bachelor’s
5. Criminal Justice
6. $17,000.00
7. $40,500.00
8. Winter 2012 or 12/3/12
9. $0.00
10. $55,782.00
11. Criminal Justice
12. $15,282.00

The counseling for this student should make it obvious to the student that due to the high amount of loans that they previously borrowed they will be short approximately $15,282.00 in loan funds to complete their BS Criminal Justice Degree. If the student should have other fund sources available to them then this amount may be lower however, they need to make their decision based on the loan funds only. Please see below for how the letter should be completed.

The student, FSR and Campus Executive must all sign the form. An unsigned copy of the letter should be provided to the student prior to the counseling session. Upon completion of the session the student needs to sign and date the letter. The letter should then be signed by the FSR and Campus Executive Officer. If the student is counseled over the phone you may scan the letter to the student for them to sign and return. Once the FSR and Campus Executive have signed and dated the letter a copy needs to be provided to the student showing all signatures. The original must be scanned into Image Now with the EPC. In these cases the EPC will be a two (2) page document.

Keep in mind: the letter must be signed by the Campus Executive Officer and this signature can not be delegated to any other NAU staff member to sign.

If the student has already completed an EPC and changes their mind you will need to see where they are at in the process to determine how to proceed. However, all students that change their mind will need to complete a new EPC with amounts that are reflective of "today" and not from the start of the academic year.

Students that have a negative amount listed on the Remaining Maximum Loan Eligibility line will need to complete the required additional counseling.

If the student has not been awarded yet you will need to scan in the new document(s) and notate in Campus Vue that there is a new EPC on file and to process off of the new form.

If the student has been awarded then you will need to scan in the new document(s) and send a new checklist for processing. These students will be processed in date order of receipt with all other students.

Keep in mind that our CEO has been very clear about the expectations and goals of Direct Cost borrowing. This is not a process to be taken lightly and the student must be made clearly aware of the impact of borrowing more than what is needed.
Procedure - Federal Work Study Processing Overview - 2012-13

1. Central Administration:
   a. FWS Campus Based Aid spreadsheet is created and posted to MyNAU>Financial Aid>Shared Spreadsheets.
   b. Spreadsheet is sorted by those students who requested FWS on their FAFSA first, then by date order in which their first ISIR was received. Any student who did not request FWS or answered "Don’t Know" on the FAFSA is not considered for FWS.
   c. Working in date order on the spreadsheet, it is determined if the student is enrolled at NAU, completed verification within the timeline, or was previously awarded FWS for the award year. If a student is not enrolled or was previously awarded for the award year, it is noted on the spreadsheet, and the student will not be awarded on the current spreadsheet. If the student did not complete verification within the timeline, it is noted on the spreadsheet and the student will not be eligible for FWS for the award year.
   d. Working in date order on the spreadsheet until the allocation is awarded for the campus plus a 200% over-award, the remaining eligible students are highlighted in yellow to be packaged for FWS and their Sent to Central/Campus activity is noted “xx/xx/xx mjg Please check for FWS eligibility.”
   e. An e-mail is sent to the campus generic e-mail box regarding those students who have possible FWS eligibility.
   f. As students are packaged for FWS, a paper FWS award letter is sent to the student and the campus generic e-mail box is copied.

2. Campus FSR:
   a. Once the student has signed and accepted the FWS on their paper award letter, the Campus FSR refers the student to FWS supervisors who have jobs available. (The Campus Director determines how many positions will be funded from their campus budget according to the 25% of the FWS wages which come from the campus budget and the campus’ FWS allocation.)
      1. If the student declines the FWS or does not obtain a position immediately, scan and send the FWS Award Letter to cafinancialaid@national.edu without the other necessary paperwork.)
   b. The possible positions available at all campuses are as follows (the Rapid City campus also has off-campus community service positions and Animal Health):
      1. Financial Services Student Worker
      2. Student Services Student Worker
      3. Academic Department Student Worker
      4. Library Student Worker
      5. Computer Lab Monitor
      6. Student Tutor
   c. If the student is hired for an FWS position, they report back to the Campus FSR for an FWS Authorization form for the position. (Some campuses will complete and hand the FWS Authorization form to the student for each position to which they are referred.)
   d. Campus FSR completes and signs Section 1 of the FWS Authorization using the comments in the FWS award in CampusVue:
      1. Hourly Wage=Listed in the Packaging Philosophy and determined by student’s grade level on the date packaged for FWS, the student’s campus and position.
      2. Start Date=Start date of the first quarter awarded or the latest signature date on the authorization; whichever is later.
      3. End Date=End date of the last quarter awarded or 6/30 of the award year; whichever is earlier.
      4. Maximum Earnings per Quarter=Amounts notated in the award comments.
   e. Student reads and signs the FWS Authorization form.
   f. Campus FSR prints and the student completes the FWS Requirements form.
g. Campus FSR prints and completes with the student the new hire paperwork located on MyNAU>Human Resources>New Hire Packets and Applications for Employment>Work Study Student New Hire Paperwork.

h. Campus FSR prints an FWS Bi-Weekly Timesheet for the student’s use.

i. Student takes the FWS Authorization form to the FWS supervisor for signature and returns the completed form to the Campus FSR.

j. Student is given a copy of the FWS Authorization form, attached Position Description, FWS Requirements form, and FWS Bi-weekly Timesheet.

k. Campus FSR scans and sends the FWS Award Letter to cafinafinancialaid@national.edu, and sends the physical FWS Authorization form, FWS Requirements form, and all New Hire paperwork to Central Administration/Monica Gannon by mail.

3. Central Administration:
   a. Evaluates paperwork for completeness and accuracy.
   b. Documents the receipt of the FWS Award Letter in the FWS award and the Sent to Central/Campus activity.
   c. Documents the signed authorization in the FWS award.
   d. Scans the FWS Award Letter, FWS Authorization, and FWS Requirements form into ImageNow.
   e. New Hire paperwork and a copy of the FWS Authorization (noted as checked) is forwarded to Human Resources for payroll processing.
   f. 2 pay periods after the end of each quarter, the Business Office gives Central Administration a report of all students FWS wages received for the previous quarter.
   g. Each students FWS award is updates for the previous quarters wages and the total amount of the FWS award amount is reduced by FWS wages not used by the student.
   h. Each student who is no longer enrolled also has their FWS award amount reduced to actual wages earned.
   i. The FWS spreadsheet is revised for the reduced FWS award amounts.
   j. If there is remaining FWS allocation to be awarded, a new spreadsheet is produced and the process starts at 1 above again.
Financial Aid Policies and Procedures

NATIONAL AMERICAN UNIVERSITY FINANCIAL AID PACKAGING PHILOSOPHY POLICY

Procedure - Financial Aid Packaging Philosophy
The following packaging philosophy for award year 2012/13 has been approved. The University's final funding levels for 2012/13 have been received; Campus Based Aid funding levels are final.

National American University will utilize two variations of student budgets for 2012/13: off campus and off campus living with parents. All budgets are calculated using a weighted average of the Cost of Living from all campus locations.

Sample nine-month budgets are provided below and represent the Rapid City Campus Undergraduate programs at 13.5 credit hours per quarter. See all campus locations budgets in the 2012/13 packaging philosophy.

Need to update with new prices.

<table>
<thead>
<tr>
<th>Off Campus</th>
<th>Off Campus Living w/ Parents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition</td>
<td>Tuition</td>
</tr>
<tr>
<td>$12,798</td>
<td>$12,798</td>
</tr>
<tr>
<td>Books</td>
<td>Books</td>
</tr>
<tr>
<td>$1,350</td>
<td>$1,350</td>
</tr>
<tr>
<td>SLA</td>
<td>SLA</td>
</tr>
<tr>
<td>$9,171</td>
<td>$2,016</td>
</tr>
<tr>
<td>Travel</td>
<td>Travel</td>
</tr>
<tr>
<td>$1,440</td>
<td>$1,440</td>
</tr>
<tr>
<td>Tech. Fee</td>
<td>Tech. Fee</td>
</tr>
<tr>
<td>$405</td>
<td>$405</td>
</tr>
<tr>
<td>Loan Fees</td>
<td>Loan Fees</td>
</tr>
<tr>
<td>?</td>
<td>?</td>
</tr>
<tr>
<td>Total</td>
<td>Total</td>
</tr>
<tr>
<td>$25,164</td>
<td>$18,009</td>
</tr>
</tbody>
</table>

Budgets will also be adjusted:
- To accommodate fees and/or special equipment needed for particular programs.
- Specific programs will include an average amount for Professional Liability Fees and Specialty course Fees according to the published average or block schedule whichever is appropriate.
- Loan fees are origination fees on a per loan basis.
- A one-time $75.00 matriculation fee will be charged to all students registering at National American University for the first time in a program of study.

National American University reserves the right to adjust these budgets under special circumstances/professional judgment, such as medical, travel, additional books, etc.

Per Federal Regulations, active duty military, military spouses and/or military dependents who live in housing located on a military base/post or for which a military housing allowance (BAH) is provided to them or their family, cannot have a Housing Allowance include in their Student Living Allowance. Therefore, the Student Living Allowance (SLA) for the above affected students is $672 per quarter for Campus and Distance Learning Students.

Exception:
- Dependent student whose parent receives BAH or lives on base/post, but the student lives off-campus not with their parent. The student will need to document in writing the circumstances of their living situation.
  - These students will continue to receive the normal SLA of $3,057 ($1988 Distance Learning) per quarter.

Please watch for these situations:
- The student or the student’s parent receives BAH or lives on base/post, there should be an amount in 44g or 92g for their food allowance (BAS). They would receive this (except for periods of training) either as an allowance in their pay or free meals at the chow/mess hall.
  - If nothing is disclosed in 44g or 92g, the student will need to correct their ISIR.
  - Per the Military since January 1, 2002 most enlisted members get full BAS instead of free meals at the dining hall, and they must pay for their own meals, even those provided by the government at the chow/mess hall.
  - Not all students who receive the Military Tuition Rate also receive a military allowances or live on base (normally only active duty receives BAH), these students might be retired or in the guard/reserve.
  - The student will need to document in writing the circumstances for not receiving the housing and other living allowance.
  - A student or parent could have an amount in 44g or 92g but not be affiliated with the military. It could be an allowance clergy receives or from some other type of employment.
• The student will need to document in writing the circumstances for receiving the housing and other living allowance.

Students cannot receive Federal Financial Aid for the following courses and they cannot be used when calculating the student’s enrollment status for Deferment purposes or the Student Status Confirmation Report.

• Remedial courses for which there will be no credits attempted.
• A course which does not apply to the student’s current active degree as either a required or elective course.
• A course a student is repeating for which they have previously received the highest grade possible (A, P, S).
• The second or higher repeat of a course for which a student has a passing grade (D or better, P, S) and the passing grade was received for a class Summer 2011 or beyond.
  • Regardless of the grade required for the program to graduate.
  • Regardless of whether the course is tied or linked to another course which was not passed.
  • Regardless of the grade received for the first repeat of the course.
  • Regardless of whether they withdrew from the first repeat of the course.

Students will be packaged to assist with their needs, as determined through individual need analysis calculations and as funding is available through individual program limitations. Need is determined as follows: Budget, minus expected family contribution and other outside resources to include, but not limited to: Institutional Loans, BIA, State Vocational Rehabilitation, Company Tuition Assistance, Military Tuition Assistance, etc.

All financial aid funds will be awarded in the following order:
1. Federal Pell Grant
2. Federal Iraq/Afghanistan Service Grant
3. Outside Aid
4. Federal Supplemental Educational Opportunity Grant (FSEOG)
5. State Grants
6. National American University Scholarships/Awards
7. Athletic Awards
8. Federal Work Study (FWS)
9. Federal Perkins Loan
10. Federal Direct Stafford Loan
11. Federal Direct Unsubsidized Stafford Loan
12. Federal Direct Parent Loan for Undergraduate Students (PLUS)

This order encourages the use of grant aid first and is supplemented with self-help aid in the form of work and loan programs. This philosophy should reduce loan burden and possible default.

In addition, National American University has developed a loan counseling philosophy that should help reduce student loan burden and loan default rate. National American University's goal is to counsel students to borrow for direct costs only.

At the time the Financial Service Representative meets with each applicant, a determination will be made of direct costs associated with attending National American University. (Note: Direct costs only include tuition based on the number of credits the student anticipates attending, associated fees and allowances, and books.

When counseling the student on their loans, consider all sources available to assist in covering the additional need. Do not forget investments, savings, work earnings, etc. A part-time job may be the answer rather than additional loan burden. Help the student to determine the best course of action.

Financial Aid Administrators may exercise professional judgment when denying the certification of a loan application or certifying a loan for an amount less than the amount the student requests on a case by case basis. Professional judgment action is to be documented in the student's file and explained in writing to the student. Loans will be certified to reflect the agreed upon student need.

PACKAGING CALCULATIONS

What follows is a detailed description of each program and level of expenditure of the program.

Federal Pell Grant: All awards are based on the 2012/13 Federal Pell Payment Schedule. Scheduled Annual Awards (full-time/full-year) range from $575 to $5,550 per year, funds are available to all eligible students, depending on EFC and enrollment status.
Undergraduate students may receive Pell Grant funds at an enrollment status of at least 1 credit hour or more. Students who have completed a Bachelors degree (even if the degree is from an unaccredited school or foreign school) are not eligible for Pell Grant. (In some cases, the student may state they have a Bachelors Degree from a foreign school; however, Registrars may determine that it was only a 2 or 3 year degree. This is not determined by the number of transfer credits but by the foreign school transcript.)

Federal Pell Grants for the 2012/13 award year cannot be disbursed before 7/1/12 and can be disbursed until 9/27/13.

Federal Pell Grant funds are awarded even if the student’s Cost of Attendance has been fully funded. For 2012/13 Pell Grant recipients are limited to a “Lifetime Eligibility Used” (LEU) of 600% of all Scheduled Annual Awards. This is documented on the Grants page of NSLDS.

Federal Iraq/Afghanistan Service Grant: A student whose parent or guardian has died as a result of military service in Iraq or Afghanistan after September 11, 2001, may be eligible for additional Title IV aid.

- Students who were 23 or younger at time of parent’s death
- Students who were 24 or older and enrolled in college at time of parent’s death

Pell Grant eligible students who meet these requirements will be considered to have a ZERO EFC for awarding all aid (Pell Grant, Campus Based Aid, Loans, etc.). They will be awarded a Federal Pell Grant, instead of a Federal Iraq/Afghanistan Service Grant.

Non-Pell Grant eligible students (due to EFC, not due to any other condition) who meet these requirements will receive the Federal Iraq/Afghanistan Service Grant calculated from the Zero EFC Pell Grant Chart. All other aid will be awarded using their ISIR calculated EFC.

These students will have comment code 298 on their ISIR, and the DOD Match Flag will be set to Y. The Parent’s Date of Death should print on the ISIR for the 2012/13 award year, if not you will need to e-mail Monica to check CPS Online for this information.

Check the parent’s date of death against the student’s age.

- If the student was 23 or younger at the time of the parent’s death, they are eligible for this benefit.
- If the student was 24 or older at the time of the parent’s death, you will need confirmation that the student was enrolled in college at the time (NSLDS Enrollment record or transcript).

It is possible that the student may be eligible for this benefit after they have been awarded, if their parent dies during the award year. Their awarding would have to be revised for the entire award year.

Federal Supplemental Educational Opportunity Grant (FSEOG): Qualifying students will be awarded FSEOG based on the following:

First Priority: Students who qualify for (are eligible to receive) Federal Pell with the lowest Expected Family Contribution.
Second Priority: Students who do not qualify for (are ineligible to receive) Federal Pell with the lowest Expected Family Contribution.

Funds will be awarded in the exact order of the lowest Expected Family Contribution on up until funds are exhausted. Students may receive FSEOG funds at an enrollment status of at least 1 credit hour or more. Students who have completed a Bachelors degree (even if the degree is from an unaccredited school or foreign school) are not eligible for FSEOG.

<table>
<thead>
<tr>
<th>Quarterly Enrollment Status</th>
<th>Quarterly Credits Hours</th>
<th>Per Quarter Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than Full-Time</td>
<td>Less than 12 credit hours</td>
<td>$500</td>
</tr>
<tr>
<td>Full-Time or Greater</td>
<td>12 or more credit hours</td>
<td>$900</td>
</tr>
</tbody>
</table>

Please note: The minimum FSEOG allocation per student is $100 for the year according to Federal Regulations. This means that if the student only has eligibility for $75 for the year, they can not be awarded FSEOG. The deadline for accepting applications for consideration of awarding FSEOG funds is listed below along with the amount of allocation for that deadline. Further details regarding campus based aid allocation deadlines and spreadsheets is published on page 29.

Funds awarded and not utilized for a particular spreadsheet deadline (for example, if a student for whom you have awarded FSEOG does NOT attend classes) shall be awarded to the next eligible students on that spreadsheet, until the spreadsheet for the following deadline is produced. Once the next spreadsheet has been produced the funds which were not utilized shall be carried over to the next spreadsheet’s allocation.

Since the majority of our students do not attend at a full-time status, it is recommended you package the student LESS THAN full-time for the award year, unless the student specifically notifies you he/she will not be attending or will be attending full-time for a specific term.

If the student should attend full-time, the award for that term only should be revised. Should funds not be available, a full-time student would continue to receive funding at the less than full-time level.
If a student withdraws, all future awards would be cancelled, unless he/she notifies you, he/she anticipates returning for a future quarter in the award year. Cancel the affected term(s) only in that case.

Awards may be made for prior quarters, which the student has completed as long as there is no break in attendance.

The FSEOG will use the same award year as the Pell Grant for the applicable quarter. FSEOG for the 2012/13 award year cannot be disbursed before 7/1/12 or after 6/30/13.

National American University's FSEOG award level for the 2012/13 academic year is $916,666. This amount includes the necessary institutional match.

<table>
<thead>
<tr>
<th>Allocation</th>
<th>4/23/12</th>
<th>5/23/12</th>
<th>8/21/12</th>
<th>11/19/12</th>
<th>2/20/13</th>
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<tr>
<td>871,666</td>
<td>15,000</td>
<td>15,000</td>
<td>7,500</td>
<td>7,500</td>
<td></td>
</tr>
</tbody>
</table>

State Grants MSGP (Minnesota State Grant Program), Minnesota State Child Care Grant, Minnesota GI Bill Scholarship, Minnesota Indian Scholarship funds are available to eligible students attending the National American University Brooklyn Center, Bloomington, Burnsville, Minnetonka, Rochester, Roseville campuses, as well as Minnesota residents listed with Distance Learning as their home campus. Eligibility requirements, application process, and delivery procedures may be obtained from those campus’ Financial Services Offices.

National American University Scholarships (Available to All Campuses):

NAU Scholarships may not be awarded if they are not a part of this packaging philosophy or an addendum to this packaging philosophy. If you have an NAU scholarship which is not part of this packaging philosophy or an addendum, please contact the System Director of Financial Aid.

NAU Affiliate/Corporate Scholarship Program (ACSP)

Awarding Criteria:
1. Student must complete the scholarship application each Federal Award Year (normally Summer through Spring or Fall through Summer).
2. Student must complete the scholarship application prior to the start date of the term to receive the scholarship for that term. (Awards are not retroactive before the scholarship application date.)
3. Student must be enrolled in an NAU degree program (special or Graduate Probation Admission does not qualify).
4. Student must be employed by a Partner Company or Affiliate College (staff or faculty), or have graduated from an Affiliate College. (See MyNAU>Student Accounts>Affiliate Scholarships>Partner Agreements, must have date signed.)

Awarding Limitations:
1. This is a tuition scholarship.
2. Undergraduate:
   a. Scholarship of up to $100 per course for the first 15 courses at NAU.
   b. If Remedial courses do not count as credits earned (and not paying for the course), the courses do not count towards the 15 courses for the scholarship; and the student does not receive the scholarship for this course.
   c. Courses for which the scholarship has been received are tracked on the FA-ACSP Activity.
3. Graduate:
   a. Scholarship of up to $165 per course for the entire program.
4. Scholarship will not be awarded for retakes of courses due to withdrawal or grade even if a portion of the scholarship is returned thru Return to Title IV calculation.
   a. Undergraduate-As the student does not receive the scholarship for a course retake, the course retake does not count in the 15 course limit.
5. Scholarship will use the same award year as the Pell Grant for the applicable quarter.
   a. If the student is not receiving Pell Grant and the BBAY (Academic year) is a cross over from Spring through Fall, Spring and Summer will be from the earlier award year and Fall will be from the next award year.
   b. If the student is later eligible for Pell Grant from the next award year, the Summer Scholarship will be refunded from the previous award year and award from the next award year.
6. Student is responsible for all other applicable fees and any other charges.
7. If the student is eligible for any other NAU scholarship, they can only retain the higher scholarship.
8. ACSP, all other NAU scholarships, NAU Employee Education Benefits, federal grants and outside resources must not exceed the total amount due for tuition per course, or the scholarship will be reduced. (Check for Company Tuition Assistance.)
Retention Requirements:
1. Student must continue to be enrolled in a degree program (special or Graduate Probation Admission does not qualify).
2. Student must submit a new scholarship application each Federal Award Year (normally Summer through Spring or Fall through Summer).
3. Student must maintain at least the appropriate a minimum cumulative GPA at National American University; this is checked each quarter at the time of disbursement (can regain eligibility for a subsequent quarter in the award year, if improves CGPA to required CGPA or greater).
   a. Undergraduate-Student must have a cumulative grade point average (CGPA) of at least 2.5.
   b. Graduate-Student must have a Graduate cumulative grade point average (CGPA) of at least 3.0.
4. Student must be Good Standing according to the Satisfactory Academic Progress standards to receive the scholarship; this is checked each quarter at the time of disbursement (can regain eligibility for a subsequent quarter in the award year, if returns to Good Standing).
5. If student withdraws and wishes to re-enter, student must complete a re-entry admissions application and a new scholarship application before the beginning of the term to repackaging the scholarship award for that term.
6. If scholarship dependent on employment by a Partner Company or Affiliate College, student must continue to be employed by Partner Company or Affiliate College.
7. If the student fails to meet any of these retention requirements, they lose eligibility for this scholarship until eligibility is re-established.
8. Approval of scholarships contingent upon annual funding approval by the Board of Governors.
9. Scholarships subject to changes in policy by the Board of Governors.

NAU Graduate of Community College or Technical Training Scholarship (CCTT)

Awarding Criteria
1. Student must complete the scholarship application each Federal Award Year (normally Summer through Spring or Fall through Summer).
2. Student must complete the scholarship application prior to the start date of the term to receive the scholarship for that term. (Awards are not retroactive before the scholarship application date.)
3. Scholarship applications and transcripts will be evaluated by the Assistant Director of Financial Aid and placed on a spreadsheet in date order of the student’s submission of the scholarship application.
4. Scholarship is awarded based on eligibility and date application is received, until the fund is exhausted.
5. Student must be enrolled in an NAU degree program (special does not qualify).
6. Student must be a new NAU Undergraduate student Fall 2011 or beyond.
7. Student must be a graduate of a program of study with a minimum of 45 quarter credit equivalents from an accredited Community College or Technical Training with a 3.0 CGPA from that school.
8. Scholarship cannot be awarded until transcript from Community College or Technical Training has been received

Awarding Limitations:
1. This is a tuition scholarship.
2. Scholarship of up to $200 per course with a limit of $2000 for the Federal Award Year.
   a. If Remedial courses do not count as credits earned (and not paying for the course the student does not receive the scholarship for this course.
   b. Scholarship will not be awarded for retakes of courses due to withdrawal or grade even if a portion of the scholarship is returned thru Return to Title IV calculation.
3. No minimum enrollment status required and student is awarded the scholarship for courses as soon as possible, until the $2000 limit has been reached for the Federal Award Year.
4. Scholarship will use the same award year as the Pell Grant for the applicable quarter.
   a. If the student is not receiving Pell Grant and the BBAY (Academic year) is a cross over from Spring through Fall, Spring and Summer will be from the earlier award year and Fall will be from the next award year.
   b. If the student is later eligible for Pell Grant from the next award year, the Summer Scholarship will be refunded from the previous award year and award from the next award year.
5. Student is responsible for all other applicable fees and any other charges.
6. If the student eligible for any other NAU scholarship, they can only retain the higher scholarship.
7. CCTT, all other NAU scholarships, NAU Employee Education Benefits, federal grants and outside resources must not exceed the total amount due for tuition per course, or the scholarship will be reduced. (Check for Company Tuition Assistance.)

Retention Requirements:
1. Student must continue to be enrolled in a degree program (special does not qualify).
2. Cumulative GPA of at least 2.5 at NAU-checked quarterly (can regain eligibility for a subsequent quarter in the award year, if improves CGPA to 2.5 or greater)
3. Student must be Good Standing according to the Satisfactory Academic Progress standards to receive the scholarship; this is checked each quarter at the time of disbursement (can regain eligibility for a subsequent quarter in the award year, if returns to Good Standing).
4. Student must submit a new scholarship application each Federal Award Year (normally Summer through Spring or Fall through Summer).
5. If student withdraws and wishes to re-enter, student must complete a re-entry admissions application and a new scholarship application before the beginning of the term to repackage the scholarship award for that term.
6. If the student fails to meet any of these retention requirements, they lose eligibility for this scholarship until eligibility is re-established.
7. Approval of scholarships contingent upon annual funding approval by the Board of Governors.
8. Scholarships subject to changes in policy by the Board of Governors.

NAU Employee of Community College or Technical Training Scholarship (ECCTT)

Awarding Criteria
1. Student must complete the scholarship application each Federal Award Year (normally Summer through Spring or Fall through Summer).
2. Student must complete the scholarship application prior to the start date of the term to receive the scholarship for that term. (Awards are not retroactive before the scholarship application date.)
3. Scholarship applications will be evaluated by the Assistant Director of Financial Aid and placed on a spreadsheet in date order of the student’s submission of the scholarship application.
4. Scholarship is awarded based on eligibility and date application is received, until the fund is exhausted.
5. Student must be enrolled in an NAU degree program (special does not qualify).
6. Student must be a new NAU Undergraduate student June 2012 or beyond.
7. Student must be employed by a Community College or Technical Training Institution.

Awarding Limitations:
1. This is a tuition scholarship.
2. Undergraduate:
   a. Scholarship of up to $83.50 per credit hour, with no limitation on the number of credits.
   b. If Remedial courses do not count as credits earned (and not paying for the course the student does not receive the scholarship for this course.
3. Graduate:
   a. Scholarship of up to $112.50 per credit hour, with no limitation on the number of credits.
4. Scholarship will not be awarded for retakes of courses due to withdrawal or grade even if a portion of the scholarship is returned thru Return to Title IV calculation.
5. Scholarship will use the same award year as the Pell Grant for the applicable quarter.
   a. If the student is not receiving Pell Grant and the BBAY (Academic year) is a cross over from Spring through Fall, Spring and Summer will be from the earlier award year and Fall will be from the next award year.
   b. If the student is later eligible for Pell Grant from the next award year, the Summer Scholarship will be refunded from the previous award year and award from the next award year.
6. Student is responsible for all other applicable fees and any other charges.
7. If the student eligible for any other NAU scholarship, they can only retain the higher scholarship.
8. ECCTT, all other NAU scholarships, NAU Employee Education Benefits, federal grants and outside resources must not exceed the total amount due for tuition per course, or the scholarship will be reduced. (Check for Company Tuition Assistance.)

Retention Requirements:
1. Student must continue to be enrolled in a degree program (special or Graduate Probation Admission does not qualify).
2. Student must maintain required Cumulative GPA at NAU-checked quarterly (can regain eligibility for a subsequent quarter in the award year, if improves to required CGPA or greater)
   a. Undergraduate-Student must have a cumulative grade point average (CGPA) of at least 2.5.
   b. Graduate-Student must have a cumulative grade point average (CGPA) of at least 3.0.
3. Student must be Good Standing according to the Satisfactory Academic Progress standards to receive the scholarship; this is checked each quarter at the time of disbursement (can regain eligibility for a subsequent quarter in the award year, if returns to Good Standing).
4. Student must submit a new scholarship application each Federal Award Year (normally Summer through Spring or Fall through Summer).
5. If student withdraws and wishes to re-enter, student must complete a re-entry admissions application and a new scholarship application before the beginning of the term to repackage the scholarship award for that term.
6. If the student fails to meet any of these retention requirements, they lose eligibility for this scholarship until eligibility is re-established.
7. Approval of scholarships contingent upon annual funding approval by the Board of Governors.
8. Scholarships subject to changes in policy by the Board of Governors.

NAU HDB Graduate School Scholarship:
Awarding Criteria:
1. Student must apply for and gain admission to the graduate school.
2. Student must meet be enrolled in a degree program and comply with all graduate school policies (special or Probation Admission does not qualify).
3. Student must complete the scholarship application each Federal Award Year (normally Summer through Spring or Fall through Summer).
4. Student must submit the scholarship application prior to the start date of the term at NAU to be eligible for the scholarship for that term. (Awards are not retroactive before the scholarship application date.)
5. Student must have graduated with a B.S. degree from NAU.
6. Student must have a Graduate cumulative grade point average (CGPA) of at least 3.0.

Awarding Limitations:
1. This is a tuition scholarship.
2. Student can receive up to $165 per eligible course.
3. Scholarship will not be awarded for retakes of courses due to withdrawal or grade even if a portion of the scholarship is returned thru Return to Title IV calculation.
4. Scholarship will use the same award year as the Pell Grant for the applicable quarter.
   a. If the student is not receiving Pell Grant and the BBAY (Academic year) is a cross over from Spring through Fall, Spring and Summer will be from the earlier award year and Fall will be from the next award year.
   b. If the student is later eligible for Pell Grant from the next award year, the Summer Scholarship will be refunded from the previous award year and award from the next award year.
5. Student is responsible for all other applicable fees and any other charges.
6. If the student is eligible for any other NAU scholarship, they can only retain the higher scholarship.
7. HDB Graduate School Scholarship, all other NAU scholarships, NAU Employee Education Benefits, federal grants and outside resources must not exceed the total amount due for tuition per course, or the scholarship will be reduced. (Check for Company Tuition Assistance.)

Retention Requirements:
1. Student must continue to be enrolled in a degree program (special or Probation Admission does not qualify).
2. Student must submit a new scholarship application each Federal Award Year (normally Summer through Spring or Fall through Summer).
3. Student must maintain a minimum cumulative GPA of 3.0 at National American University; this is checked each quarter at the time of disbursement (can regain eligibility for a subsequent quarter in the award year, if improves CGPA to 3.0 or greater).
4. Student must be Good Standing according to the Satisfactory Academic Progress standards to receive the scholarship; this is checked each quarter at the time of disbursement (can regain eligibility for a subsequent quarter in the award year, if returns to Good Standing).

5. If student withdraws and wishes to re-enter, student must complete a re-entry admissions application and a new scholarship application before the beginning of the term to repackage the scholarship award for that term.

6. If the student fails to meet any of these retention requirements, they lose eligibility for this scholarship until eligibility is re-established.

7. Approval of scholarships contingent upon annual funding approval by the Board of Governors.

8. Scholarships subject to changes in policy by the Board of Governors.

NAU Research Scholarship:
Awarding Criteria:
1. Student was enrolled at an NAU campus during the 2011/12 academic year.
2. Student has at least one quarter left in their program.
3. Student must be an Undergraduate student.
4. Student can not be enrolled as a special student.
5. Student must submit a research paper to the campus Academic Dean, which is the result of an assignment for an NAU class.
   a. The paper must have at least 6 citations.
   b. The paper must be at least 3 pages in length, excluding title and reference page.
   c. The paper must be written in APA format.
   d. Papers will be evaluated for format, content, style and grammar.
6. Submission deadline for the campus scholarship, June 1, 2012.
7. Winning campus Research Scholarship papers are then submitted for the system-wide scholarship. Submission deadline to the System Vice President for Academics, for the system wide scholarship, July 1, 2012.

Awarding Limitations:
1. This is a tuition scholarship.
2. $250 for the top research paper at each campus, this paper is then submitted for the system wide scholarship.
   a. Only one campus top research paper award per campus per award year.
3. $500 for the top research paper system wide.
   a. Only one system wide top research paper award for the entire system per award year.
4. The scholarship is awarded in one disbursement for the first quarter the student attends of the 2012/13 Federal Award Year.
5. This scholarship is to be applied to the student’s direct educational costs at NAU.
6. This scholarship is not retained for future years. The student must submit a new research paper for future years.

NAU Taller San Jose Scholarship (DL Locations Only)
Awarding Criteria
1. Student must complete the scholarship application each Federal Award Year (normally Summer through Spring or Fall through Summer).
2. Student must complete the scholarship application prior to the start date of the term to receive the scholarship for that term. (Awards are not retroactive before the scholarship application date.)
3. Student must be a new NAU Undergraduate student Winter 2011 or beyond.
4. Student must be enrolled in an NAU degree program (special does not qualify).
5. Student must have successfully completed a Taller San Jose program or be an employee of Taller San Jose (verified by Taller San Jose).

Awarding Limitations
1. This is a tuition scholarship.
2. Amount of the Scholarship:
   a. Current Price of tuition - $200 = Scholarship amount x number of credits attending
3. Scholarship will use the same award year as the Pell Grant for the applicable quarter.
a. If the student is not receiving Pell Grant and the BBAY (Academic year) is a cross over from Spring through Fall, Spring and Summer will be from the earlier award year and Fall will be from the next award year.

b. If the student is later eligible for Pell Grant from the next award year, the Summer Scholarship will be refunded from the previous award year and award from the next award year.

4. Student is responsible for all other applicable fees and any other charges.

5. Scholarship will not be awarded for retakes of courses due to withdrawal or grade even if a portion of the scholarship is returned thru Return to Title IV calculation.

6. If the student eligible for any other NAU scholarship, they can only retain the higher scholarship.

7. Taller San Jose, all other NAU scholarships, NAU Employee Education Benefits, federal grants and outside resources must not exceed the total amount due for tuition per course, or the scholarship will be reduced. (Check for Company Tuition Assistance.)

Retention Requirements:
1. Student must submit a new scholarship application each Federal Award Year (normally Summer through Spring or Fall through Summer).

2. Student must continue to be enrolled in a degree program (special does not qualify).

3. Cumulative GPA of at least 2.5 at NAU-checked quarterly (can regain eligibility for a subsequent quarter in the award year, if improves CGPA to 2.5 or greater)

4. Student must be Good Standing according to the Satisfactory Academic Progress standards to receive the scholarship; this is checked each quarter at the time of disbursement (can regain eligibility for a subsequent quarter in the award year, if returns to Good Standing).

5. If student withdraws and wishes to re-enter, student must complete a re-entry admissions application and a new scholarship application before the beginning of the term to repackaging the scholarship award for that term.

6. If scholarship is dependent on employment by Taller San Jose, student must continue to be employed by Taller San Jose.

7. If the student fails to meet any of these retention requirements, they lose eligibility for this scholarship until eligibility is re-established.

8. Approval of scholarships contingent upon annual funding approval by the Board of Governors.

9. Scholarships subject to changes in policy by the Board of Governors.

NAU Veteran’s Yellow Ribbon Scholarship: NAU participates in the Yellow Ribbon Scholarship program for eligible recipients of Chapter 33 Veteran’s benefits. Please see MyNAU>Student Accounts>Yellow Ribbon Program for further details.

Federal Work-Study (FWS): Undergraduate and Graduate students may qualify for FWS jobs to assist them with their educational expenses. Students may receive FWS funds at an enrollment status of at least 1 credit hour or more.

Question #31 of the FAFSA asks students whether they are interested in FWS. Students who leave the question blank, check No, or Don’t Know will not be considered when awarding FWS, these students will be listed on the spreadsheet as not interested in FWS. However, if at a later date these students want to be considered for FWS these students can change their answer by submitting a FAFSA correction. The student would then be added to the spreadsheet on the next deadline date.

Federal Work Study is a campus based fund awarded in spreadsheet order to those students who have financial need. All FWS funds awarded at the beginning of the award year using the first spreadsheet deadline.

Students receive the FWS funds by working the hours, if they do not work the hours the unearned funds will be added back to the allocation. When students withdraw from school, decline the award, or become ineligible for funds, awards are cancelled, these unearned funds will be added back to the unspent allocation and carried forward to the included with the allocations for succeeding spreadsheet deadlines.

The FWS fund is reconciled once the earnings have been posted for the previous quarter, and a new spreadsheet is produced using the spreadsheet deadline dates. Unearned FWS funds are added back to the allocation and awarded to the next qualifying student on the list. Further details regarding campus based aid allocation deadlines and spreadsheets is published on page 29.

The federal government pays 75% of the student's wages for the 2012/13 award year and the employer 25% (with the exception of America Reads these are paid 100% from Federal Funds). All students will be awarded FWS based on 100% of total earnings. Students may be awarded $200 (minimum award per quarter) to $2365 (maximum award per quarter) not to exceed their financial need. Once the student has started school their FWS award will not be reevaluated or changed due to change in enrollment status.

Qualifying students may work up to a maximum of 20 hours per week while classes are in session depending on the amount of their quarterly award. Students may work up to a maximum of 40 hours per week during some periods of non-attendance (quarterly breaks and Winter Holiday break) pending approval by the System Director of Financial Aid (Central Administration).
Grade level is determined using the same scale as for Federal Student Loans. Students in an Associate’s Degree (2 year degree) who have more than 80 credits, may still only receive the pay level of a Sophomore. Students in a Diploma Degree (1 year degree) who have more than 40 credits, may still only receive the pay level of a Freshman. Grade level for FWS will be determined in the first quarter in which the student is awarded FWS for that award year and will not be reevaluated or changed until the next award year.

Federal Work Study for the 2012/13 award year cannot be disbursed before 7/1/12 or after 6/30/13.

National American University's FWS award level is $150,000 (which includes the employer's share).

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<th>Allocated</th>
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<tr>
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Students will be paid at least minimum wage based on the following scale:

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</table>
Federal Perkins: A Federal Perkins Loan is a low interest (5%) loan for both undergraduate and graduate students with exceptional financial need. Students may receive Perkins loan funds at an enrollment status of at least 1 credit hour or more.

Funds will be awarded in order of the lowest expected family contribution (first priority Pell eligible students) on up until funds are exhausted or direct costs are met. The minimum Federal Perkins Loan is $250 per quarter. The annual maximums and aggregate limits by academic level are listed below.

The Federal Perkins Loan will use the same award year as the Pell Grant for the applicable quarter. Federal Perkins Loans for the 2012/13 award year cannot be disbursed before 7/1/12 and or after 6/30/13.

<table>
<thead>
<tr>
<th>Academic Level</th>
<th>Annual Maximum</th>
<th>Aggregate Limit</th>
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</thead>
<tbody>
<tr>
<td>Undergraduate</td>
<td></td>
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<tr>
<td>Diploma &amp; AAS</td>
<td>$5,500</td>
<td>$11,000</td>
</tr>
<tr>
<td>Bachelors</td>
<td>$5,500</td>
<td>$27,500</td>
</tr>
<tr>
<td>Graduate</td>
<td>$8,000</td>
<td>$60,000</td>
</tr>
</tbody>
</table>

Students in a Bachelor's degree who have not achieved third-year status are also limited to an aggregate maximum of $11,000. The Aggregate limit for a graduate student includes any Federal Perkins Loan borrowed as an undergraduate.

The deadline for accepting applications for consideration of awarding Federal Perkins Loans is listed below along with the amount of allocation for that deadline. Further details regarding campus based aid allocation deadlines and spreadsheets is published on page 29.

National American University's Federal Perkins Loan award level is $250,000 (which includes the institutional share).

<table>
<thead>
<tr>
<th>Allocation</th>
<th>4/23/12</th>
<th>5/23/12</th>
<th>8/21/12</th>
<th>11/19/12</th>
<th>2/20/13</th>
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<tr>
<td></td>
<td>$226,000</td>
<td>$8,000</td>
<td>$8,000</td>
<td>$4000</td>
<td>$4000</td>
</tr>
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</table>

Federal Direct Subsidized Stafford Loan: Qualifying students may borrow up to their annual grade level or until "need" is met.

The U.S. Department of Education pays (subsidizes) the interest that accrues on Subsidized loans while the student is in school at least half-time and during times of authorized deferment. The U.S. Department of Education does not pay the interest during the grace period, or during times of forbearance or repayment.

Federal Direct Unsubsidized Stafford Loan: The Unsubsidized Loan Program is a low interest loan. The primary difference between the Subsidized and Unsubsidized Federal Stafford Loan is the U.S. Department of Education pays the interest on a subsidized student loan during in school status and during authorized deferment periods. The student is responsible for paying the interest on an unsubsidized student loan during all periods. (Note: A student must apply for the full amount they are eligible for under the Federal Subsidized Stafford Loan program before they can apply for a Federal Unsubsidized Stafford Loan. Except in the case of a Dependent student whose parents refuse to complete a FAFSA, they are only eligible for Unsubsidized Loan.)

Dependent students whose parents refuse to complete the FAFSA and whose parents do not support them now nor will they in the future (including cash and non-cash support such as educational costs or room and board) are eligible to borrow Unsubsidized Loans only. These students are not eligible for any other type of Federal Student Aid. These students have not been determined Independent through a Special Circumstance request. Students and parents must complete the Special Circumstance Parent Refusal to Provide FAFSA Information form stating the above requirements, as well as the date they ceased to provide support for the student. (The Campus FSR can find this form on MyNAU>Financial Aid>FA Forms and Letters.) The Annual Loan Limit for these Unsubsidized loans is the Dependent Limit Subsidized and Unsubsidized combined for the student’s grade level, all as an Unsubsidized Loan.

Characteristics Common to Subsidized/Unsubsidized Stafford Loan Programs:

Funds are available to undergraduate students enrolled in 6 quarter credits or more and graduate students enrolled in 4.5 Quarter credits or more.

Qualifying students may borrow up to their annual grade level or until the Federal Need is met according to the following chart for each Borrower Based Academic Year (BBAY). Federal Need for Unsubsidized Loan is calculated without the EFC.

Annual grade level loan amounts cannot exceed the student’s program of study. For example: A dependent student in a 2 year program (Associates) cannot borrow more than a grade level 2 annual loan amount of $6,500 Subsidized and Unsubsidized Stafford combined regardless of credit hours earned.

*Graduate Students—Note that for 2012/13 loan periods starting on or after July 1, 2012, graduate students are no longer eligible to receive Direct Subsidized Stafford Loans. Their entire eligibility is through the Direct Unsubsidized Stafford Loan.

<table>
<thead>
<tr>
<th>Academic Level</th>
<th>Dependent Limits</th>
<th>Independent Limits</th>
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<tr>
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<td>Sub</td>
<td>Unsub</td>
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<td></td>
<td>Sub</td>
<td>Unsub</td>
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</table>
Undergraduate students who are first-time, first year borrowers cannot receive the first disbursement of their Stafford Subsidized and Unsubsidized loans (not PLUS) until 30 days after the start of their program of study. All other disbursements can be paid using the regular undergraduate disbursement dates.

Loan proration is necessary only when the undergraduate borrower will graduate at the end of the loan period and the loan period is less than an academic year (3 quarters) in length. When necessary, all loans are prorated on a proportional basis. Graduate students are not subject to proration.

Proportional proration: # credits taking/# credits in standard academic year x annual maximum loan limit.

Federal Direct PLUS Loan: Federal PLUS loans are for parents who want to borrow to help pay for their child’s education. A dependent student's parents may borrow the difference between the cost of attendance minus all other financial aid, providing they have a good credit history. There is no aggregate loan limit.

The credit check is done by the Federal government and looks for adverse credit only, the credit check does not check for debt to income ratio. Those parents, who have been denied due to credit check, are given the option to use an Endorser. A credit check through Direct Lending is good for 90 days. Direct Lending does not have a provision for parents to appeal a credit approval and the only recourse for a parent who is denied is to obtain an Endorser. *However, the student may be eligible for a Professional Judgment determination of Independent for loan purposes only, if the parent received a credit approval but the parent has declared bankruptcy and the court has ordered no new debt may be incurred until the bankruptcy has been discharged.

Dependent students whose parents are denied a PLUS loan due to adverse credit history may be eligible for Independent student Unsubsidized Loan limits, providing Professional Judgment determination of Independency is made for loan purposes only.

The U.S. Department of Education does not at any time pay any interest for the parent in the PLUS loan program. Funds are available to parents whose students are enrolled in six Quarter credits or more.

Characteristics Common to Subsidized/Unsubsidized Stafford Loan and PLUS Programs:
Aid will be awarded using a Borrower Based Academic Year (BBAY) philosophy, including cross-over loan periods. A BBAY consists of 3 quarters, starting with a quarter in which the student is eligible for and receives a Direct Loan.

Loan periods will always be for the entire Borrower Based Academic Year except in the following circumstances:
- The loan is for an increase in grade level, which happened after the start of the BBAY.
- The loan is for less than a full BBAY due to graduation before the end of the BBAY.
- The student withdrew or dropped to less than half-time status during the BBAY and must be re-awarded for the remainder of the BBAY.

Pell Grant and any other continuing aid is estimated for future quarters in which an ISIR has not yet been received, based on the current year’s EFC. Once the future quarter’s ISIR has been received, Pell Grant is revised based on the actual 2013/14 EFC. This may necessitate the revision of the Budget Worksheet and possible refund or adjustment of future quarter loan disbursements depending on the Federal Need. The EFC used for the budget calculation is not revised.

If the future quarters have a valid ISIR EFC an estimate of future quarter Pell Grant is not necessary, as the actual Pell Grant would be awarded.

EFC and Cost of Attendance (COA) for the entire BBAY (Stafford, PLUS, Alternative Loans) are determined by the award year used for the first term of the BBAY. The EFC is the appropriate month EFC for the entire length of the loan period. The COA is adjusted in these cases:
- The Books, SLA and Travel amounts are determined by the award year of the first quarter of the BBAY.
- The Tuition and Fees are determined for the individual quarter, as published at that time.
• If the Tuition, Fees, enrollment status and estimated aid have changed after the loans were awarded but before the loans were certified, these amounts must be updated to be current at the time of certification.

• If a student drops to less than half-time or withdraws all future disbursements are cancelled
  • If the student returns during the same BBAY but the loan period is now on or after July 1st
    • The award year and the loan origination ID will be for the next award year
    • The EFC and COA will be from the next award year
    • Once the loan has been certified the EFC and COA for the loan will not change.
  • All Financial Aid received for the BBAY regardless of the award year is used in determining the Federal Need, even if the aid is awarded after the loan has been certified
    • In this case, loan eligibility in regards to Federal Need would be re-evaluated

The minimum loan amount is as follows:
• $200 Combined Subsidized and Unsubsidized loan or
• $200 Subsidized loan if not simultaneously certified with an Unsubsidized Loan or
• $200 Unsubsidized loan if not simultaneously certified with a Subsidized Loan or
• $200 Parent Loan for Undergraduate Students

*If a Direct Cost loan is within $200 of the annual loan limit or prorated amount, the full annual loan limit or prorated amount will be awarded (unless limited by Federal Need).

*When calculating eligibility for an initial or subsequent loan, if the loan will be less than the above stated minimums, no loan will be awarded.

All students whose loan period is one quarter only, must receive Stafford Subsidized and Unsubsidized and PLUS loans in 2 disbursements. One disbursement at the regular date or 30 day delay date (whichever is applicable) and the 2nd disbursement past the ½ way point of the quarter.

The following origination and rebates apply to loans depending on first disbursement date. It does not make a difference when the loan was certified, the loan period or from which award year the student was awarded. If the loan is certified before July 1, 2012 but the first disbursement is not paid until after July 1, 2012; the loan will have to be refunded, cancelled and re-packaged with the higher fees.

<table>
<thead>
<tr>
<th>12/13 Direct Loan Origination and Default Fees</th>
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<tbody>
<tr>
<td>First Disbursement Paid Date</td>
<td>Stafford Origination</td>
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<tr>
<td>7/1/10 or after</td>
<td>1.00%</td>
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<tr>
<td>7/1/12 or after</td>
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</tbody>
</table>

The following interest rates apply to loans depending on first disbursement date. It does not make a difference when the loan was certified, the loan period or from which award year the student was awarded.

<table>
<thead>
<tr>
<th>Direct Loan Type</th>
<th>Effective on or after date</th>
<th>Interest Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subsidized Stafford Loan</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Undergraduate</td>
<td>1st Disbursement Paid-7/1/08</td>
<td>6.0%</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>1st Disbursement Paid-7/1/09</td>
<td>5.6%</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>1st Disbursement Paid-7/1/10</td>
<td>4.5%</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>1st Disbursement Paid-7/1/11</td>
<td>3.4%</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>1st Disbursement Paid-7/1/12</td>
<td>6.8%</td>
</tr>
<tr>
<td>Graduate</td>
<td>1st Disbursement Paid-7/1/06</td>
<td>6.8%</td>
</tr>
<tr>
<td>(as of 7/1/12 Graduate students are no longer eligible for Subsidized loans)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unsubsidized Stafford Loan</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Undergraduate</td>
<td>1st Disbursement Paid-7/1/06</td>
<td>6.8%</td>
</tr>
<tr>
<td>Graduate</td>
<td>1st Disbursement Paid-7/1/06</td>
<td>6.8%</td>
</tr>
<tr>
<td>PLUS</td>
<td>1st Disbursement Paid-7/1/06</td>
<td>7.9%</td>
</tr>
</tbody>
</table>

A borrower may choose to repay the loan by Electronic Debit Account; they would then receive a further .25% interest rate reduction at time of repayment.
No interest accrues (for a period of no more than 60 months) on Direct Loans first disbursed on or after 10/1/08, for eligible military borrowers while serving on active duty or performing qualifying national guard duty during a war or other military operation or other emergency, and serving in an area of hostilities qualifying for special pay.

Summer Quarter Awarding

National American University students are in general non-traditional and many students attend all 4 quarters of the year. Summer quarter is a regular quarter in terms of awarding aid.

The Federal Award Year is from July 1 – June 30, therefore; an Undergraduate Summer quarter is considered a crossover term as it starts before July 1st and continues beyond July 1st. As the Graduate Summer quarter starts after July 1st, it is not considered a crossover term.

In general, you may assign a Summer to whichever award year using the following 4 rules:

1. Assign the Summer quarter crossover period to the award year in which more than six months of a Pell Grant recipient’s payment period falls into one award year.
2. If a student was not awarded 11/12 Pell for Summer 11, we will award their remaining eligibility for 11/12 for Summer 12; even if the 12/13 amount would be greater.
3. If a student has used all of their 11/12 Pell and has no remaining eligibility for Summer 12 (regardless of whether they received 11/12 Pell for Summer 11 or not), they will be awarded Summer 12 Pell from 12/13.
4. Since a calendar year consists of 4 quarters, NAU will not award 5 quarters of Pell Grant or 2 Summers (Header and Trailer) out of the same Federal Award Year.

As summer quarter is a regular quarter for NAU students, the Summer quarter is normally awarded at the same time as the other quarters, and the student is notified of their awards through the normal award letter process.

The Federal Award Year EFC used for Summer awarding is determined on a student-by-student basis at National American University in the following manner (Eligibility for the Iraq/Afghanistan Service Grant would be determined in the same manner):

Pell Eligible from either 2011/12 or 2012/13:

New Summer 12 transfer students-based on the information at the time of awarding:
1. Did the student receive Pell for at least one quarter from the 2011/12 award year? (Check the NSLDS Pell page-if they received 2011/12 Pell at another institution must add our school code to the 2011/12 ISIR)
   a. Yes, Does the student have remaining 2011/12 eligibility?
      1. Yes, Award Summer 12 from the 2011/12 award year.
      1. No, Award Summer 12 from the 2012/13 award year.
   b. No, Award Summer 12 from the 2012/13 award year.
   c. For all of the above scenarios, the award year for the loan BBAY is the award year from which the Pell is awarded for the first quarter of the BBAY.

For New Summer 12 students (never attended any other institution): Award using the 2012/13 award year paperwork, regardless of the ISIR processed date as a crossover term must be assigned to the award year in which more than six months of a Pell recipient’s payment period fall into.

For Continuing students-based on the information at the time of awarding:
1. Did the student receive Pell for at least one quarter from the 2011/12 award year?
   a. Yes, Did the student receive Pell Summer 11 from the 2011/12 award year?
      1. Yes, Award Summer 12 from the 2012/13 award year.
      1. No, Does the student have remaining 2011/12 eligibility?
         • Yes, Award Summer 12 Pell from the 2011/12 award year.
         • No, Award Summer 12 from the 2012/13 award year.
   b. No, Award Summer 12 from the 2012/13 award year.
   c. For all of the above scenarios, the award year for the loan BBAY is the award year from which the Pell is awarded for the first quarter of the BBAY.

Non-Pell Eligible:

Continuing-we must have both the 2011/12 and 2012/13 award year paperwork.
Financial Aid Policies and Procedures

New students—we must have the 2012/13 award year paperwork. (If a new student has added our school code to the 2011/12 ISIR, we must also have the 2011/12 award year paperwork.)

1. Which of the following is true?

2. Summer starts the BBAY or begins loan period for mid-year transfer?
   a. Continuing students:
      1. Assign Summer to the award year with the lower EFC.
      2. If both EFCs are the same:
         • Assign Summer to the previous award year, unless #b applies.
         • The student is Dependent for the 2011/12 award year, but is Independent for the 2012/13 award year, assign Summer to the 2012/13 award year.
   b. New Students::
      1. Award using the 2012/13 award year, unless #2 applies.
      2. If we have the 2011/12 award year paperwork, refer to the rules for the Continuing students.

3. Summer is the middle of the BBAY?
   a. Loan period started in Spring, entire loan period is calculated with previous award year’s EFC.

4. Summer is the end of the BBAY?
   a. Loan period started in Winter, entire loan period is calculated with previous award year’s EFC.

Students previously packaged for Summer 12:

Student previously packaged for Summer 12 with an estimated 2012/13 Pell
- Information has changed and the student has Summer 12 Pell eligibility from the 2011/12 award year
  • Repackage the student for the Summer 12 Pell from the 2011/12 award year.

Student previously packaged for Summer 12 with an actual 2012/13 Pell
- Information has changed and the student has Summer 12 Pell eligibility from the 2011/12 award year
  • Do not repackage, student was awarded with the information available at the time of awarding.

Campus Based Aid is awarded using the same award year’s EFC and allocation as the Federal Pell Grant for FSEOG and Perkins Loan. FWS uses the same award year’s EFC and allocations as the actual federal year as students awarded from the previous award year are not allowed to work past 6/30, and students awarded from the upcoming award year are not allowed to work before 7/1. Federal Work Study for Summer is awarded to only those students in attendance Summer quarter.

When awarding Campus Based Aid, student will be awarded for summer quarter during the original awarding for the award year, if the student has a history of attending summer quarter.

If the student was not awarded Campus Based Aid for the Summer quarter and we are revising the award package to include Summer, the student can be awarded Summer Campus Based Aid if there is funding left in the allocation.

When awarding FWS for the summer quarter:
If the student was awarded for summer quarter from the previous award year, and FWS is added from the upcoming award year, the summer quarter FWS is added to the packaging worksheet and budget worksheet of appropriate summer quarter in the previous award year. This will ensure the student is not over awarded. If the FWS causes an over award for the summer quarter, the FWS will be reduced for the summer quarter in the previous award year.

During any quarter break, a student may work and earn FWS funds when approved by the System Director of Financial Aid (or their delegate). The FWS employer must e-mail the request for the student to work over the break to the System Director of Financial Aid.

When approving the student to work the System Director of Financial Aid reviews the following:
- Is the student pre-registered for the upcoming quarter?
- Does the student have FWS funds for the upcoming quarter?
- Will the student have enough FWS funding for the upcoming quarter if they also work during the quarter break?
- If the student does not have enough funding, can the student’s award be increased according to the student’s budget?

The approval to work during the quarter break by the System Director of Financial Aid is notated in the FWS award comments in Campus Vue and e-mailed to the FWS employer and payroll.

A BBAY that starts before July 1st and continues beyond July 1st is considered a crossover BBAY.
EFC and Cost of Attendance (COA) for the entire BBAY (Stafford, PLUS, Alternative Loans) are determined by the award year used for the first term of the BBAY. The COA is adjusted in these cases:

- The Books, SLA and Travel amounts are determined by the award year of the first quarter of the BBAY.
- The Tuition and Fees are determined by the published amounts effective for the individual quarter.
- If the Tuition, Fees, enrollment status and estimated aid have changed after the loans were awarded but before the loans were certified, these amounts must be updated to be current at the time of certification.
- If a student drops to less than half-time or withdraws all future disbursements are cancelled
  - The award year and the loan origination ID will be for the next award year
  - The EFC and COA will be from the next award year
  - Once the loan has been certified the EFC and COA for the loan will not change.
- All Financial Aid received for the BBAY regardless of the award year is used in determining the Federal Need, even if the aid is awarded after the loan has been certified
  - In this case, loan eligibility in regards to Federal Need would be re-evaluated

Pell Eligible Examples

<table>
<thead>
<tr>
<th>Summer 12 Enrollment Status</th>
<th>11/12 EFC</th>
<th>11/12 Summer 12 Pell Eligibility</th>
<th>12/13 EFC</th>
<th>12/13 Summer 12 Pell Eligibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>¾ time</td>
<td>$946</td>
<td>$383</td>
<td>$4132</td>
<td>$350</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
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<th>F11</th>
<th>W11/12</th>
<th>Sp12</th>
<th>Su12</th>
<th>F12</th>
<th>W12/13</th>
</tr>
</thead>
<tbody>
<tr>
<td>$767</td>
<td>$1150</td>
<td>$1150</td>
<td>$1150</td>
<td>$350</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>BBAY1</th>
<th>BBAY1</th>
<th>BBAY1</th>
<th>BBAY2</th>
<th>BBAY2</th>
<th>BBAY2</th>
<th>BBAY3</th>
</tr>
</thead>
</table>

- Student received 11/12 for Summer 11

<table>
<thead>
<tr>
<th>Summer 12 Enrollment Status</th>
<th>11/12 EFC</th>
<th>11/12 Summer 12 Pell Eligibility</th>
<th>12/13 EFC</th>
<th>12/13 Summer 12 Pell Eligibility</th>
</tr>
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<tbody>
<tr>
<td>½ time</td>
<td>$0</td>
<td>$925</td>
<td>$0</td>
<td>$925</td>
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<td>$925</td>
<td>$925</td>
<td>$925</td>
<td>$925</td>
<td></td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>BBAY1</th>
<th>BBAY1</th>
<th>BBAY1</th>
<th>BBAY2</th>
<th>BBAY2</th>
<th>BBAY2</th>
<th>BBAY3</th>
</tr>
</thead>
</table>

- Student did not receive 11/12 for Summer 11 and has remaining eligibility

<table>
<thead>
<tr>
<th>Summer 12 Enrollment Status</th>
<th>11/12 EFC</th>
<th>11/12 No Pell Eligibility</th>
<th>12/13 EFC</th>
<th>12/13 Summer 12 Pell Eligibility</th>
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<tbody>
<tr>
<td>½ time</td>
<td>$7561</td>
<td></td>
<td>$0</td>
<td>$925</td>
</tr>
</tbody>
</table>

<table>
<thead>
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<th>W12/13</th>
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<tbody>
<tr>
<td>$170</td>
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<td>$0</td>
<td>$925</td>
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<table>
<thead>
<tr>
<th>BBAY1</th>
<th>BBAY1</th>
<th>BBAY1</th>
<th>BBAY2</th>
<th>BBAY2</th>
<th>BBAY2</th>
<th>BBAY3</th>
</tr>
</thead>
</table>

- Student not Pell Eligible for 2011/12

New Student Summer 12-no previous institutions

<table>
<thead>
<tr>
<th>Summer 12 Enrollment Status</th>
<th>11/12 EFC</th>
<th>11/12 Summer 12 Pell Eligibility</th>
<th>12/13 EFC</th>
<th>12/13 Summer 12 Pell Eligibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>½ time</td>
<td>$0</td>
<td>$925</td>
<td>$0</td>
<td>$925</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Su11</th>
<th>F11</th>
<th>W11/12</th>
<th>Sp12</th>
<th>Su12</th>
<th>F12</th>
<th>W12/13</th>
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</thead>
<tbody>
<tr>
<td>$925</td>
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<table>
<thead>
<tr>
<th>BBAY2</th>
<th>BBAY2</th>
<th>BBAY3</th>
</tr>
</thead>
</table>

- Student not Pell Eligible for 2011/12

New Student Summer 12-no previous institutions
• New student—never attended any other institution

Non-Pell Eligible Examples:

Continuing Students:
11/12 EFC = 13524 11/12 Summer 12 Pell Eligibility = $0
12/13 EFC = 7561 12/13 Summer 12 Pell Eligibility = $0

<table>
<thead>
<tr>
<th>Su11</th>
<th>F11</th>
<th>W11/12</th>
<th>Sp12</th>
<th>Su12</th>
<th>F12</th>
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<tr>
<td></td>
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<td>12/13</td>
<td>12/13</td>
</tr>
<tr>
<td></td>
<td>BBAY1</td>
<td>BBAY1</td>
<td>BBAY1</td>
<td>BBAY1</td>
<td>BBAY2</td>
<td>BBAY2</td>
</tr>
</tbody>
</table>

• 12/13 is the lowest EFC

11/12 EFC = 9845 11/12 Summer 12 Pell Eligibility = $0
12/13 EFC = 11231 12/13 Summer 12 Pell Eligibility = $0

<table>
<thead>
<tr>
<th>Su11</th>
<th>F11</th>
<th>W11/12</th>
<th>Sp12</th>
<th>Su12</th>
<th>F12</th>
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<tr>
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<td>BBAY1</td>
<td>BBAY1</td>
<td>BBAY2</td>
<td>BBAY2</td>
</tr>
</tbody>
</table>

• 11/12 is the lowest EFC

New Student Summer 12
11/12 EFC = 13524 11/12 Summer 12 Pell Eligibility = $0

• Can’t award, need 2012/13 award year paperwork

12/13 EFC = 11231 12/13 Summer 12 Pell Eligibility = $0

<table>
<thead>
<tr>
<th>Su11</th>
<th>F11</th>
<th>W11/12</th>
<th>Sp12</th>
<th>Su12</th>
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<th>W12/13</th>
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</thead>
<tbody>
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<td>12/13</td>
<td>12/13</td>
<td>BBAY1</td>
<td>BBAY1</td>
</tr>
</tbody>
</table>

• 12/13 is the only paperwork we had at the time of awarding

11/12 EFC = 13524 11/12 Summer 12 Pell Eligibility = $0
12/13 EFC = 7561 12/13 Summer 12 Pell Eligibility = $0

<table>
<thead>
<tr>
<th>Su11</th>
<th>F11</th>
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<td>BBAY1</td>
<td>BBAY1</td>
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</table>

• 12/13 is the lowest EFC

11/12 EFC = 9845 11/12 Summer 12 Pell Eligibility = $0
12/13 EFC = 11231 12/13 Summer 12 Pell Eligibility = $0

<table>
<thead>
<tr>
<th>Su11</th>
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<tr>
<td></td>
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<td>11/12</td>
<td>11/12</td>
<td>BBAY1</td>
<td>BBAY1</td>
</tr>
</tbody>
</table>

• 11/12 is the lowest EFC

Campus-Based Aid Deadlines

The tables illustrated on pages 6, 15, and 18 provide quarterly campus allocations based on total funds available to the university on a system-wide basis. The computations are based on the following criteria/considerations:

a. 2011/12 Winter Quarter credit hours
b. Anticipated enrollment growth
c. Student need (0 EFC)
d. Program usage/applicability

A certain percentage of funds have been set aside for each spreadsheet deadline throughout the year. Spreadsheets are produced based on the processed date of the first 2012/13 ISIR received. (Note: The spreadsheet will be produced by the Central Office.)

Students who have not registered for the quarter will be noted on the campus based spreadsheet as not enrolled and will be considered for the next spreadsheet.
The spreadsheets will be posted to MyNAU within 6 working days of the deadline date. The FSEOG and Perkins spreadsheets are sorted by the EFC and then by ISIR processed date. The FWS spreadsheet is sorted by a Yes answer to the interested in FWS question and then by ISIR processed date.

Following the guidelines listed on the preceding pages, Central Administration will award the funds for the FSEOG and Federal Perkins programs in the exact order on the spreadsheet from the lowest expected family contribution to the highest, until the allocation is exhausted for that particular spreadsheet (even if you go beyond your 0 EFC students). Central Administration will also award FWS funds following the guidelines in the FWS section, in the exact order of ISIR processed date, unless the student did not answer "yes" they were interested in FWS, until the funds are exhausted.

Should all eligible students be funded and the allocation not fully utilized, carry forward the remaining allocation to be included with the allocations for succeeding spreadsheets. When students withdraw from school or become ineligible for funds and awards are cancelled, those dollars will be awarded to the next eligible applicants on the spreadsheet.

Central Administration will monitor the packaging of these Campus Based Funds carefully and stay within the allocated amounts.

Central Administration will request the financial aid packages/checklists of the students to be awarded within 1 week of creating each spreadsheet. Campuses are to return these packages/checklists within 1 week of receiving the request for these packages.

If you should have any questions regarding any of this information, please contact me or the Assistant Director of Financial Aid, Monica Gannon.
HUMAN RESOURCES POLICIES AND PROCEDURES
**NATIONAL AMERICAN UNIVERSITY 401(k) PLAN POLICY**

401(k) Plan Policy
The university offers a 401(k) Plan to its eligible employees. An employee will be eligible to participate in the Plan once the employee satisfies the Plan’s age and service requirements.

The employee will have met the age requirement when the employee attains age 21 and the service requirement when the employee completes one year of service, as defined in the Plan documents.

Generally, the employee will have completed a year of service if, at the end of the employee’s first twelve consecutive months of employment with the university, the employee has been credited with at least 1,000 hours of service. If the employee has not been credited with 1,000 hours of service by the end of the employee’s first twelve consecutive months of employment, the employee will have completed a year of service once the employee completes the required hours of service during any plan year, beginning with the plan year that includes the first anniversary of the employee’s employment date.

Procedure - 401(k) Plan
All new enrollment and beneficiary forms must be completed and returned to the human resources department as follows:

<table>
<thead>
<tr>
<th>Enrollment Date</th>
<th>Deadline Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>March 1</td>
<td>February 2</td>
</tr>
<tr>
<td>June 1</td>
<td>May 31</td>
</tr>
<tr>
<td>December 1</td>
<td>November 30</td>
</tr>
</tbody>
</table>

Any enrollment or beneficiary forms submitted after the deadline date will not be processed until the following enrollment date. If you do not enroll in the plan when you are first eligible to, you may enroll effective any following enrollment date.

All employees are 100% vested upon enrollment.

The university’s 401(k) match is discretionary. The university’s fiscal year runs from June 1 to May 31 each year. Based on audited financial statements, if the university makes a pre-tax 15% profit margin, the university will make a matching contribution dollar for dollar up to 5% of the employee’s recognized compensation for plan purposes. For example, if an employee contributes 2% of his or her recognized compensation to his or her 401(k) account, the university will match 2% of his or her recognized compensation if the university has made a pre-tax 15% profit margin. If an employee has contributed 10% of his or her recognized compensation to his or her 401(k) account, the university will match 5% of his or her recognized compensation if the university has made a pre-tax 15% profit margin. In order to be eligible to receive the match, an employee must be participating in the Plan and be employed on May 31 of the matching year.

Detailed information regarding the 401(k) Plan and Plan provisions may be obtained from the university intranet under human resources, third party administrator or by contacting the human resources department.
Addendum to Insider Trading Policy

I. Overview

To help prevent inadvertent violations of the federal securities laws and to avoid even the appearance of trading on inside information, National American University Holdings, Inc.’s (“NAU” or the “Company”) board of directors has adopted this Addendum to Insider Trading Policy (this “Addendum”). This Addendum applies to directors, executive officers subject to Section 16 of the Securities Exchange Act of 1934 (“executive officers”) and certain designated employees and consultants of the Company and its subsidiaries (“covered persons”) who have access to material nonpublic information about the Company. The positions of the covered persons subject to this Addendum are listed on the attached Schedule I. The Company may from time to time designate other positions that are subject to this Addendum and will amend Schedule I from time to time as necessary to reflect such changes.

This Addendum is in addition to and supplements the Company’s Insider Trading Policy.

II. Pre-clearance Procedures

The Company’s directors and executive officers (but not covered persons) are covered by the following pre-clearance procedures.

Directors and executive officers, together with their family members and other members of their household, may not engage in any transaction involving the Company’s securities (including a stock plan transaction such as an option exercise, or a gift, loan, pledge or hedge, contribution to a trust or any other transfer) without first obtaining pre-clearance of the transaction from the Company’s Compliance Officer. A request for pre-clearance should be submitted to the Compliance Officer at least two business days in advance of the proposed transaction. The Compliance Officer is under no obligation to approve a trade submitted for pre-clearance and may determine not to permit the trade. The Compliance Officer himself or herself may not trade in Company securities unless the CEO has approved the trade(s) in accordance with the procedures set forth in this Addendum.

Directors and executive officers who obtain pre-clearance for a transaction from the Company’s Compliance Officer remain subject to this Insider Trading Policy and are obligated to comply with the restrictions set forth above. The pre-clearance process in no way subjects the Company to any liability related to the purchase or sale of NAU’s securities by the Company’s directors and executive officers.

III. Trading Window

All directors, executive officers and covered persons are subject to the following trading window procedures.

You may only trade in the Company’s securities during the 30-day period that begins on the third business day after the Company has issued a press release disclosing quarterly or annual earnings and results (each, a “Trading Window”); provided, however, that you may not trade (i) during any of the 14 calendar days immediately preceding the last day of any of the Company’s four fiscal quarters, or (ii) if you are in possession of any Material Nonpublic information.

IV. Blackout Procedures

All directors, executive officers and covered persons are subject to the following blackout procedures.

From time to time, you may be notified by the Company through e-mail or written correspondence or through other public broadcasts that no trading in the Company’s securities should occur (a “Blackout Period”). This prohibition will supersede a Trading Window. A Blackout Period is intended to prevent or avoid an illegal trading transaction, or even the appearance of illegal or improper activities. You may not trade in the Company’s securities once a Blackout Period has been announced, unless you have been informed that the Blackout Period has expired or you have sought and obtained clearance from the Company, as described above.

Even if a Blackout Period is not in effect, at no time may you trade in Company securities if you are aware of material nonpublic information about the Company.

V. Exception for Approved 10b5-1 Plans

Trades by covered persons in the Company’s securities that are executed pursuant to an approved 10b5-1 plan are not subject to the prohibition on trading on the basis of material nonpublic information contained in the Insider Trading Policy or to the restrictions set forth above relating to pre-clearance procedures, Trading Windows and Blackout Periods.

Rule 10b5-1 provides an affirmative defense from insider trading liability under the federal securities laws for trading plans that meet certain requirements. In general, a 10b5-1 plan must be entered into before you are aware of material nonpublic information. Once the plan is adopted, you must not exercise any influence over the amount of securities to be traded, the price at which they are...
to be traded or the date of the trade. The plan must either specify (including by formula) the amount, pricing and timing of transactions in advance or delegate discretion on those matters to an independent third party.

The Company requires that all 10b5-1 plans be approved in writing in advance by the Compliance Officer. 10b5-1 plans generally may only be adopted during a Trading Window and only when the person adopting the plan is not aware of material nonpublic information.

VI. Hedging Transactions

Certain forms of hedging or monetization transactions, such as zero-cost collars and forward sale contracts, involve the establishment of a short position in the Company’s securities and limit or eliminate your ability to profit from an increase in the value of the Company’s securities. Therefore, you are prohibited from engaging in any hedging or monetization transactions involving Company securities.

VII. Post-Termination Transactions

If you are aware of material nonpublic information when you terminate employment or services, you may not trade in the Company’s securities until that information has become public or is no longer material. In all other respects, the procedures set forth in this Addendum will cease to apply to your transactions in Company securities upon the expiration of any Blackout Period that is applicable to your transactions at the time of your termination of employment or services.

VIII. Company Assistance

Your compliance with this Addendum and the Company’s Insider Trading Policy is of the utmost importance both for you and for the Company. If you have any questions about this Addendum, the Insider Trading Policy or their application to any proposed transaction, you may obtain additional guidance from the Compliance Officer.

IX. Certification

All directors, officers and other employees and consultants subject to the procedures set forth in this Addendum must certify their understanding of, and intent to comply with, the Company’s Insider Trading Policy and this Addendum on the form attached to this Addendum.
NATIONAL AMERICAN UNIVERSITY CASUAL DAYS POLICY

Casual Days Policy
Casual days may be announced for employees at university campuses or departments. Casual days may be held in conjunction with an appropriate approved event – such as a campus picnic day, special or holiday gala, special "jeans day" event in support of the United Way, etc.

Dress code on casual days may include: denim jeans, casual knit tops, denim skirts, capri pants, casual shoes (other than tennis shoes), sweatshirts, etc. Ripped, torn, faded, stained or clothing in disrepair is not appropriate. It is the university's expectation that individual discretion will be exercised in determining what is appropriate for casual days, and that supervisors will provide appropriate guidance and corrective action as needed.

While it is recognized that some departments (e.g., nursing, custodial and maintenance) may have different needs, the following examples would NOT fall in the category of “appropriate casual day dress" for either men or women.

Inappropriate attire:

- Hats
- See-through clothing
- Beach attire
- Tube, halter or crop tops
- Sport sandals
- Tank tops (uncovered) or mesh shirts
- Flip flops or other beach sandals
- Spandex pants or leggings
- Athletic shoes
- Excessively short, tight or revealing clothing
- Hiking shoes
- Excessively wrinkled clothing
- Professional sports jerseys
- Excessively baggy clothing
- Strapless tops or dresses
- Tee-shirts (unless NAU logo)
- Sweatpants or sweat suits
- Mini-skirts, short dresses, short skirts*
- Soiled, stained clothing
- Sweatshirts (unless NAU logo)
- Shorts
- Clothing with offensive language or artwork
- Camisoles (uncovered)
- Clothing advertising alcohol, sex or drugs
- Pajamas
- Ripped, torn or noticeable holes in clothing

*Skirts or dresses are to be worn near knee length or longer. Any skirt or dress that is mid-thigh is inappropriate.

Procedure - Casual Days
Designated casual days shall be at the discretion of the university president, CEO, regional presidents or campus executive officers and shall be communicated to employees.

If an employee is unsure whether a clothing item is appropriate for casual attire, the employee should not wear it.
NATIONAL AMERICAN UNIVERSITY CODE OF BUSINESS CONDUCT AND ETHICS POLICY

Code of Business Conduct and Ethics Policy
This Code of Business Conduct and Ethics (the “Code”) sets forth legal and ethical standards of conduct applicable to all employees, officers and directors of National American University Holdings, Inc. and its subsidiaries (the “Company”). This Code is intended to deter wrongdoing and to promote:
• Full, fair, accurate, timely and understandable disclosure in reports and documents that we file with, or submit to, the Securities and Exchange Commission and in other public communications made by us;
• Compliance with applicable laws, rules and regulations;
• Prompt internal reporting of violations of the Code;
• Accountability for any violation of the Code; and
• A culture of compliance and ethics.

It is our policy to conduct business ethically, to halt any unethical or unlawful behavior that may occur as soon as reasonably possible after its discovery, and to discipline those who engage in such behavior. We will also discipline those individuals who allow such behavior by their subordinates to go undetected by failing to exercise appropriate supervision and oversight or failing to act on their knowledge.

As employees, officers and directors, you have an important obligation related to appropriate and ethical business conduct. You are expected to be familiar with the Code and to adhere to the principles and procedures explained in this document. This Code should be read in conjunction with all of our other policy statements and compliance procedures.

This Code is administered by our Compliance Officer who is identified on our website. The Company’s Compliance Officer will facilitate and manage the review of information, approvals and responses to inquiries contemplated by this Code and may forward information and delegate duties to other management personnel at the Company as appropriate. Information disclosed to the Compliance Officer will be held in confidence to the maximum extent possible. If you are unsure about a proper course of conduct, you should consult the Company’s Compliance Officer or call the Company’s Hotline, as described in this Code.

Compliance with Laws, Rules and Regulations
We are committed to conducting business ethically. You are expected to comply with all applicable laws and regulations in the cities, states and countries in which we operate.

The purpose of this Code is to provide a summary of key policies and procedures. This Code is just one element of our overall efforts to ensure the lawful and ethical conduct of the Company. You are expected to be familiar with and comply with the policies set forth in our Employee Handbook and to use good judgment and common sense in seeking to comply with all applicable laws, rules and regulations. You are urged to seek assistance for any situation where uncertainty may arise.

Avoidance of Conflicts of Interest
It has always been our policy to conduct business activities in conformity with applicable laws and the highest ethical standards. You, as employees, officers and directors, have a duty of loyalty to the Company, which includes avoiding situations that involve or may involve a conflict of interest. A conflict of interest exists when your interests or benefits conflict with the interests or benefits of the Company, or your personal interest interferes in any way with the performance of your duties.

You have a responsibility to disclose to the Compliance Officer any material transaction or relationship that reasonably could be expected to give rise to an actual or perceived conflict of interest. If you are unsure as to whether your interests conflict with or appear to conflict with those of the Company, you are encouraged to seek guidance from the Company’s Compliance Officer.

The following are examples of situations involving actual or potential conflicts of interest:
• You or your spouse, domestic partner or a member of your family receive personal benefits from a student, supplier or competitor of the Company as a result of your position in the Company;
• You engage in activities that interfere with your loyalty to the Company or your ability to perform your Company duties or responsibilities effectively;
• You or your spouse or domestic partner or a member of your family, has a financial interest in, or is an employee or consultant of, a supplier, competitor, regulatory organization or accrediting agency that interacts with the Company, which is significant enough to cause you to have divided loyalty with the Company or the appearance of divided loyalty;
• You divulge or use the Company’s confidential information, such as financial data, student information or computer programs, for your own personal or business purposes; or
• You use your personal influence to arrange for the Company to do business with a company in which you, your spouse, domestic partner or a family member or a friend have an interest, or otherwise derive a direct or indirect personal gain.
• In addition, should your spouse, domestic partner or other family member be employed either directly or indirectly by any governmental, accreditation or private agency that has oversight responsibility for any program offered by the Company, you should disclose this situation to the Compliance Officer. Federal regulations prohibit commissions, bonuses or other incentive payments to employees based directly or indirectly upon success in securing enrollments or financial aid by any university employee.

Outside Employment

You shall not accept simultaneous employment or consulting with any other company, where such employment or consulting may cause a conflict (or the appearance of a conflict), unless you obtain prior and express written approval by the Compliance Officer. You shall not engage in any self-employment that is in competition with the Company.

Corporate Opportunities

You are prohibited from taking for your own personal gain (or directing to a third party) a business opportunity that is discovered through the use of Company property, information or position, unless the opportunity is first fully disclosed in writing to the Company’s Compliance Officer. The Compliance Officer will consult with the appropriate management personnel to determine whether the Company wishes to pursue such opportunity. The Company must inform you that it has declined the business opportunity before you may avail yourself of the opportunity personally.

Gifts and Entertainment

No business gift, gratuities, entertainment or other favors should ever be offered, given, provided or accepted by any employee, officer or director, or by any spouse, domestic partner or family member of such person, unless it:
• Is consistent with customary business practices;
• Cannot be construed as a bribe or payoff;
• Does not violate any laws or regulations; and
• Does not imply that additional business opportunities are contingent upon the gift/gratuity.

Please note that many government agencies, including the U.S. Department of Education (“DOE”), prohibit receipt of any gift, gratuity or entertainment and, accordingly, none should be offered. Please reference the Foreign Corrupt Practices Act policy located in this Code for additional information pertaining to foreign officials and political candidates.

Preferred Lenders

We regularly do business with several preferred lenders for the provision of student loans. You and your spouse, domestic partner and family members are prohibited from either giving or receiving gifts, gratuities, entertainment or other favors of any value to or from any current or prospective preferred lender if such activity is in any way connected to the Company or its business. If you have any questions in this regard, please contact the Compliance Officer.

Bribery

You may not give or receive bribes or kickbacks in any form under any circumstances. Bribery is defined as accepting or agreeing to accept money or anything of value (other than in trust for the Company) from a person, other than the Company, in return for using or agreeing to use your position for the benefit of the other person. A kickback is a form of bribery in which an employee directs business to a supplier in exchange for the “kickback” to the employee of a portion of the amounts paid by the Company to the supplier. Bribery and kickbacks are criminal acts strictly prohibited by law.

Other Situations

Other conflicts of interest may arise which have not been addressed within this Code. If proposed transaction or situation raises any questions as to whether a conflict of interest is present or potential, please contact the Compliance Officer.

If you are found to be engaged in unauthorized activities that involve a conflict of interest, as defined above, you will be subject to disciplinary actions, up to and including termination of your employment.

Business Standards

We are committed to maintaining the highest standards of business conduct in every respect. Several specific business standards are set forth below.

Document Retention
All Company documents and other records should be retained and destroyed in accordance with the Company’s Records Retention Policy. In the event of actual or expected litigation or governmental investigation, you are expected to preserve all possibly relevant Company documents.

Securities Law and Insider Trading

Federal securities laws prohibit any person from trading in a company’s securities while in possession of material nonpublic information concerning that company which has not already been disclosed to the investing public, or from disclosing such information to another person who may trade in such company’s securities.

If you have material nonpublic information about the Company or other companies, including suppliers and partners, as a result of your relationship with the Company, you are prohibited by law and Company policy from trading in the Company’s securities or those of such other companies, as well as from communicating information to others who may trade on the basis of that information. Information is considered “material” if there is a substantial likelihood that a reasonable investor would consider it important in deciding whether to buy, hold, or sell a security. These rules also apply to your spouse, domestic partner, minor children and members of your household.

Our Insider Trading Policy can be found within the Employee Handbook. The policy contains detailed information on trading guidelines and trading restrictions and should be consulted each time you are preparing to engage in securities trading. You are expected to be familiar with both this Code and the Insider Trading Policy.

Department of Education Regulations

We are subject to many laws and regulations related to the nature of our business, including but not limited to Title IV of the U.S. Higher Education Act of 1965, laws and regulations administered by the DOE and laws and regulations related to the establishment and relationship with preferred lenders for student financial aid. It is essential to our business that we are at all times in compliance with these and other applicable laws and regulations. Depending on the nature of your role with the Company, you will be informed of actions you may need to take and processes to which you may be subject in order to ensure our compliance, and your cooperation will be expected. We employ several people with expertise concerning these laws and regulations, and the laws and regulations may change frequently. You should not attempt to interpret the Company’s responsibilities without consulting our experts in this area. If you have questions concerning your obligations in this regard, please contact the Compliance Officer.

Antitrust Law

Antitrust laws are designed to create a level playing field in the marketplace and to promote fair competition. These laws generally prohibit:
- Agreements, formal or informal, with competitors, including price fixing and allocation of territories or contracts;
- Agreements, formal or informal, that unduly limit a business partner or a potential business partner from selling a product or service, including establishing the resale price of a product or service or conditioning the sale of products or services on an agreement to buy other products or services from the Company; and
- Attempts to monopolize, including pricing a product or service below cost, in order to eliminate competition.

Information regarding competitors must be gathered with care. This includes discussions with competitors and suppliers in informal settings such as conferences and meetings, as well as in formal discussions and inquiries. Understanding the requirements of antitrust and unfair competition laws of the various jurisdictions where we do business can be difficult, and you are urged to seek assistance from the Compliance Officer whenever you have a question relating to those laws.

Foreign Corrupt Practices Act

The Foreign Corrupt Practices Act (“FCPA”) prohibits making a payment, buying services, giving or offering a gift, promising to give or authorizing to give anything of value to a foreign official or political party, political candidate or employee of international organizations for the purpose of obtaining or retaining business. A “foreign official” includes employees of state owned commercial businesses.

The FCPA applies to all employees of the Company as well as to its officers, directors, joint venture partners, intermediaries, agents or contractors.

Employees are expected to abide by the FCPA everywhere in the world that we do business, even if such a payment or gift is not prohibited by local law.

There may be cases where a “facilitating payment” is allowed under the FCPA. Facilitating payments might include payments to obtain routine business permits, visa processing, utility services or similar functions that are performed by the government. In order to determine if a payment would qualify under this provision, employees must contact the Compliance Officer prior to offering or making any facilitating payments. The Compliance Officer will review the request for payment and respond accordingly.
To the extent a payment, entertainment expense or gift is made to a party covered by the FCPA, the expenditure must be properly and accurately recorded in the Company’s accounting systems and related records.

If an employee believes that there has been an FCPA violation, the employee must be immediately reported to the Compliance Officer for review.

Accounting Practices

It is essential that the company have appropriate internal controls that ensure all of our financial reports and records accurately and fairly reflect the transactions and activities of the Company in reasonable detail and in accordance with approved accounting practices and procedures and applicable government regulations. Accordingly, the following policies apply at all times:

• All invoices rendered by the Company must accurately reflect the price and terms for products sold or services rendered;
• The Company must retain accounting records related to its political contributions and any payments made to government official;
• Administrative and accounting controls should be adopted and complied with to assure that our financial and other reports are accurately and reliably prepared, and fully and fairly disclose pertinent information;
• False or misleading entries in the Company’s books and records are prohibited under all circumstances and undisclosed or unrecorded bank accounts or assets may not be established for any purpose;
• All payments and commissions and discounts shall be made with a separate Company check, draft to the payee or electronic transmission;
• No employee may authorize any payment knowing that any part of that payment will be used for any purpose other than what is described in documents supporting the payment; and
• Employee may seek reimbursement only for legitimate business expenses actually incurred and properly documented in accordance with Company policies.

Lobbying and Political Contributions

We comply with all laws and regulations regarding lobbying and government procurement. While lobbying may be defined differently in various countries, it generally includes contact with government officials for the purpose of influencing legislation or rulemaking. When dealing with the U.S. federal government, the Company must report to the U.S. government: (i) an individual’s contact with legislators, executive branch officials or their staff; (ii) government contract sales and marketing activities; and (iii) government procurements for specific purposes. The Company typically only engages in lobbying activities through outside professional lobbyists. Before you engage in any contact with government officials, including engagement of third-party consultants, you must first contact the Compliance Officer and receive approval. Please notify the Compliance Officer if you need to engage in any activity of this nature.

While corporations are allowed to set up employee political committees, solicit voluntary contributions from eligible employees and make contributions to candidates from Political Action Committees, state requirements vary widely. Therefore, you may not contribute the Company’s funds, property or services to any political party, committee or candidate for any governmental office without advance authorization. For example, you may not use mail, stationery, postal services, phone lines or mailing lists to promote a candidate, use Company time to perform volunteer work for political candidates or pressure any business colleague, student or vendor to make any political contribution or support any political party or candidate, even implicitly, except with advance authorization from the Compliance Officer.

Equal Opportunity, Discrimination and Harassment

We are an equal opportunity employer and make employment decisions on the basis of merit and business needs. It is our policy to comply with all applicable employment and labor laws and regulations. The Company will not tolerate any discrimination or harassment of any kind with regard to race, ethnicity, religion, gender, age, national origin, disability, veteran status or any other category protected by federal, state or local law. Any violations or concerns regarding conduct of this nature should be reported to the Compliance Officer or on the Company’s Hotline.

Confidentiality

Confidential information is a valuable asset. Confidential information includes, without limitation, names and lists of students, financial information, business plans, marketing plans, academic strategy and agreements, technical information and other similar information. Confidential information also includes certain types of information relating to past and present Company employees. This information is the property of the Company and may be protected by patent, trademark, copyright and trade secret laws. All confidential information must be used for Company business purposes only and must be safeguarded. You are expected to maintain the confidentiality of information entrusted to you by the Company, its students, suppliers and competitors, except when disclosure is authorized by management or legally mandated. The obligation to preserve confidential information continues even after
employment with the Company ends. Please refer to the Confidential Nature of Work Policy in the Employee Handbook for additional information regarding confidential information.

Communications with Students, Fellow Staff Members, Auditors and the Public

In the business environment as well as the classroom environment, you are acting representatives of the Company. It is critical that you demonstrate ethical behavior, professionalism and discretion in all your interactions.

You are permitted to interact with students to provide advice and counseling as appropriate; however, such interactions should not include completing assignments for the student or helping the student to fabricate, plagiarize or unlawfully acquire or use copyrighted material.

Only specifically authorized personnel are entitled to act as Company spokespersons and you may not hold yourself out as speaking on behalf of the Company if you do not have that specific authority. If you are uncertain about the scope of your authority in this regard, check with the Compliance Officer.

When discussing matters with internal auditors, external auditors or regulators, it is crucial that the auditors and regulators receive accurate and complete information. Accordingly, you may not knowingly make a false or misleading statement to our internal audit team, external auditors or regulators, nor may you conceal or fail to reveal information necessary to make the statements true.

Use of Company Resources

You are permitted to use good judgment and discretion when using any Company resources, including computers, telephones, internet access, e-mail, voice-mail, copiers, fax machines, vehicles or other equipment and facilities. We realize that minor, incidental and infrequent personal use of Company resources is sometimes inevitable and the Company accepts such use as long as it does no compromise our interests. Personal use is not acceptable if it significantly depletes the value of a Company asset, adds significant costs to the Company, interferes with productivity of the employee or places the Company at risk of liability.

Communications with Students, Fellow Staff Members, Auditors and the Public

In the business environment as well as the classroom environment, you are acting representatives of the Company. It is critical that you demonstrate ethical behavior, professionalism and discretion in all your interactions.

You are permitted to interact with students to provide advice and counseling as appropriate; however, such interactions should not include completing assignments for the student or helping the student to fabricate, plagiarize or unlawfully acquire or use copyrighted material.

Only specifically authorized personnel are entitled to act as Company spokespersons and you may not hold yourself out as speaking on behalf of the Company if you do not have that specific authority. If you are uncertain about the scope of your authority in this regard, check with the Compliance Officer.

When discussing matters with internal auditors, external auditors or regulators, it is crucial that the auditors and regulators receive accurate and complete information. Accordingly, you may not knowingly make a false or misleading statement to our internal audit team, external auditors or regulators, nor may you conceal or fail to reveal information necessary to make the statements true.

Use of Company Resources

You have a responsibility to be prudent about expenditures of Company funds or use of Company property. You are expected to use good judgment and discretion when using any Company resources, including computers, telephones, internet access, e-mail, voice-mail, copiers, fax machines, vehicles or other equipment and facilities. We realize that minor, incidental and infrequent personal use of Company resources is sometimes inevitable and the Company accepts such use as long as it does no compromise our interests. Personal use is not acceptable if it significantly depletes the value of a Company asset, adds significant costs to the Company, interferes with productivity of the employee or places the Company at risk of liability.

Prompt Reporting of a Violation or Suspected Violation; Hotline

You have a responsibility to report promptly any suspected violations of this Code or any law, rule or regulation by any of your co-workers or supervisors, or any third party doing business on behalf of the Company. Any suspected violation should be reported to the Compliance Officer, Paul Sedlacek, or reported on the Company Hotline. The Company Hotline is available 7 days a week on a 24-hour basis at (605) 394-4952 or email submission to psedlacek@national.edu. Violations or suspected violations of this Code may be disclosed by the Compliance Officer to the Company’s Board of Directors. Failure to report a matter is itself a violation of this Code. Complaints submitted via the Internet, intranet or via e-mail may be considered non-secure and thus not confidential transactions as the information is not encrypted.
Nothing in this Code should discourage you from reporting any illegal activity, including a violation of any securities law, DOE regulation or antitrust law, or any other federal, state or foreign law, rule or regulation, to the appropriate regulatory authority.

The Company will maintain confidentiality and protect the identity of any complainant to the maximum extent possible. Confidentiality means that the Company will not disclose the identity of the individual reporting the allegation unless it is determined during the course of investigation that such disclosure is unavoidable or the Company is required by law to disclose the information.

You cannot be discharged, demoted, suspended, threatened, harassed or in any other manner discriminated or retaliated against for reporting a violation. Likewise, you cannot discharge, demote, suspend, threaten, harass or in any other manner discriminate or retaliate against those who report a violation. If you make a knowingly false report of a possible violation, you will be subject to disciplinary action.

Enforcement

If the Company receives information regarding an alleged violation of this Code, we will take prompt action to evaluate the information and determine whether it is necessary to conduct an informal inquiry or a formal investigation and, if so, initiate an inquiry or investigation. If it is found that a violation has occurred, we will take whatever disciplinary or preventative action we deem appropriate. Violation of this Code may result in disciplinary action up to and including termination.

Amendments and Waivers

All employees, officers and directors of the Company must strictly adhere to the policies contained in this Code. Any waiver of application of this Code to officers and directors may only be made by the Board of Directors or the Audit Committee. Any waiver of application of this Code to other employees may be made by the Chief Executive Officer or Chair of the Board of Directors. Waivers of application of this Code to officers, directors and certain financial managers may have to be reported in the Company’s publicly available filings with the Securities and Exchange Commission or on the Company’s website.

This Code is readily available to all stakeholders, including stockholders, students, vendors and the public, via the Company website, http://www.national.edu.

Procedure - Code of Business Conduct and Ethics

This Code is administered by our Compliance Officer who is identified on our website. The Company’s Compliance Officer will facilitate and manage the review of information, approvals and responses to inquiries contemplated by this Code and may forward information and delegate duties to other management personnel at the Company as appropriate. Information disclosed to the Compliance Officer will be held in confidence to the maximum extent possible. If you are unsure about a proper course of conduct, you should consult the Company’s Compliance Officer or call the Company’s Hotline, as described in this Code.
Dress Code Policy

Professional personal appearance and appropriate business dress are expected of all university employees. Although the university dress code policy is an effort to establish some broad parameters, some departments and offices have some uniqueness in terms of operating needs, such as university and public expectations.

All employees are required to follow “business dress.” For the purposes of this policy, “business dress” is defined minimally as slacks, skirt or dresses of reasonable lengths with shirt or blouse or cardigan, dress shoes and socks or hose. Some positions may require a tie, sport coat, or suit, at the discretion of management. As a general rule, the higher level the position and the more contact with the public, the higher the dress standard.

Business casual dress may be announced from time to time for employees at university campuses or departments for functions such as off-site business meetings, seminars, conferences, etc. The principal differences between business dress and business casual are increased informality, such as the absence of a tie, the substitution of a polo shirt for a dress shirt, and more informal skirts, dresses, pants and shoes for women. As a general rule, the higher level the position and the more contact with the public, the higher the dress standard even with business casual attire.

- Business casual dress for men may consist of: khaki slacks, Dockers or chinos, oxford shirts, polo shirts with collars, sport coats or blazers, casual shoes such as loafers, sweaters, cardigans or vests, ties optional, but no blue jeans or jean material.
- Business casual dress for women may consist of: slacks, polo shirts, casual shoes and sweaters, but no blue jeans or jean material.
- Exception: Anytime scheduled meetings or other work commitments involve the general public, outside business representatives or students, good judgment in choice of attire is expected. This will normally mean wearing business dress for that day.

While it is recognized that some departments and employees (e.g., nursing, custodial and maintenance) may have different needs, the following examples would NOT fall in the category of "appropriate business or business casual dress" for either men or women.

Inappropriate attire:
- Hats
- See-through clothing
- Beach attire
- Tube, halter or crop tops
- Sport sandals
- Tank tops (uncovered) or mesh shirts
- Flip flops or other beach sandals
- Spandex pants or leggings
- Athletic shoes
- Excessively short, tight or revealing clothing
- Hiking shoes
- Excessively wrinkled clothing
- Professional sports jerseys
- Excessively baggy clothing
- Sweatshirts
- Strapless tops or dresses
- Sweatpants or sweat suits
- Mini-skirts, short dresses, short skirts*
- Denim jeans/skirts/jackets/shirts
- Soiled, stained clothing
- Shorts
- Capri pants
• Clothing with offensive language or artwork
• Clothing advertising alcohol, sex or drugs
• Pajamas
• Ripped, torn or noticeable holes in clothing
• Tee-shirts
• Cargo pants

*Skirts or dresses are to be worn near knee length or longer. Any skirt or dress that is mid-thigh is inappropriate.

Procedure - Dress Code
Generally speaking, supervisors and department heads have responsibility to ensure appropriate business attire for all employees under their immediate supervision.

Employees in violation of the university’s dress code may be asked to go home to change. In that event, the employee will be charged for loss of work time or pay.

Exceptions to the university’s dress code may be made for medical reasons (with appropriate documentation) with prior authorization of the immediate supervisor or department head.

If an employee is unsure whether a clothing item is appropriate attire, the employee should not wear it.
NATIONAL AMERICAN UNIVERSITY HOLIDAYS POLICY

Holidays Policy
The university is closed on the following holidays:
• New Year's Day (January 1 or, if New Year's Day falls on a weekend, the Friday before or Monday after January 1).
• Martin Luther King Day (Third Monday of January).
• Good Friday (The Friday before Easter).
• Memorial Day (Last Monday in May).
• Independence Day (July 4 or, if Independence Day falls on a weekend, the Friday before or Monday after July 4).
• Labor Day (First Monday in September).
• Thanksgiving Day (Fourth Thursday in November).
• The Friday after Thanksgiving Day.
• Christmas Eve (December 24). If Christmas Eve Day and/or Christmas Day (or both) fall on a weekend, a memorandum from the university president will be issued to clarify which days the university will be closed in celebration of the holiday(s).
• Christmas Day (December 25). If Christmas Eve Day and/or Christmas Day (or both) fall on a weekend, a memorandum from the university president will be issued to clarify which days the university will be closed in celebration of the holiday(s).

Procedure - Holidays
1. Upon written PRIOR approval of the CEO, each campus executive officer and/or regional president shall have the discretion to substitute for designated campus employees an alternate holiday for a listed holiday. For example, exchanging Labor Day for another designated day. Limited to one substitution per year.
2. Eligible classified and/or other non-exempt full-time employees receive holiday pay at the employee's current rate of pay. Holiday time is not counted as time worked for purposes of determining whether overtime rates are paid for any part of the work week.
3. The holiday schedule can be viewed on human resources department page of MyNAU.
NATIONAL AMERICAN UNIVERSITY INSIDER TRADING POLICY

Insider Trading Policy
I. Overview
National American University Holdings, Inc.’s (“NAU” or the “Company”) board of directors has adopted this Insider Trading Policy for our directors, officers, employees and consultants with respect to the trading of the Company’s securities, as well as the securities of publicly traded companies with whom we have a business relationship.

Federal and state securities laws prohibit the purchase or sale of a company’s securities by persons who are aware of material information about that company that is not generally known or available to the public. These laws also prohibit persons who are aware of such material nonpublic information from disclosing this information to others who may trade. Companies and their controlling persons are also subject to liability if they fail to take reasonable steps to prevent insider trading by company personnel.

It is important that you understand the breadth of activities that constitute illegal insider trading and the consequences of insider trading, which can be severe. Both the U.S. Securities and Exchange Commission (the “SEC”) and the National Association of Securities Dealers investigate and are very effective at detecting insider trading. The SEC, together with the U.S. Attorney’s Office, pursues insider trading violations vigorously. Cases have been successfully prosecuted against trading by employees through foreign accounts, trading by family members and friends, and trading involving only a small number of shares or dollar value.

This policy is designed to prevent insider trading or allegations of insider trading, and to protect the Company’s reputation for integrity and ethical conduct. It is your obligation to understand and comply with this policy. Should you have any questions regarding this policy, please contact the Company’s Compliance Officer at (605) 394-4952.

II. Penalties for Noncompliance
Civil and Criminal Penalties. Potential penalties for insider trading violations include (1) imprisonment for up to 20 years, (2) criminal fines of up to $5 million, and (3) civil fines of up to three times the profit gained or loss avoided.

Controlling Person Liability. If the Company fails to take appropriate steps to prevent illegal insider trading, the Company may have “controlling person” liability for a trading violation, with civil penalties of up to the greater of $1 million and three times the profit gained or loss avoided, as well as a criminal penalty of up to $25 million. The civil penalties can extend personal liability to the Company’s directors, officers and other supervisory personnel if they fail to take appropriate steps to prevent insider trading.

Company Sanctions. Failure to comply with this policy may also subject you to Company-imposed sanctions, including dismissal for cause, whether or not your failure to comply with this policy results in a violation of law.

20/20 Hindsight. Remember, anyone scrutinizing your transactions will do so with the benefit of hindsight. As a practical matter, before engaging in any transaction, you should consider carefully how enforcement authorities and others might view the transaction after the fact.

III. Scope of Policy
Persons Covered. As a director, officer, employee or consultant of the Company or its subsidiaries, this policy applies to you. The same restrictions that apply to you apply to your family members who reside with you, anyone else who lives in your household and any family members who do not live in your household but whose transactions in Company securities are directed by you or are subject to your influence or control (such as parents or children who consult with you before they trade in Company securities). You are responsible for making sure that the purchase or sale of any security covered by this policy by any such person complies with this policy.

Companies Covered. The prohibition on insider trading in this policy is not limited to trading in the Company’s securities. It includes trading in the securities of other firms, such as customers or affiliates of the Company and those with which the Company may be negotiating major transactions, such as an acquisition, investment or sale of affiliate relationship. Information that is not material to the Company may nevertheless be material to one of those other firms.

Transactions Covered. Trading includes purchases and sales of stock, options to purchase common stock, warrants, derivative securities such as put and call options and convertible debentures or preferred stock, and debt securities (debentures, bonds and notes). Trading also includes certain transactions under Company plans, as follows:

- Stock Option Exercises. This policy’s trading restrictions generally do not apply to the exercise of a stock option. The trading restrictions do apply, however, to any sale of the underlying stock or to a cashless exercise of the option through a broker, as this entails selling a portion of the underlying stock to cover the costs of exercise.
• 401(k) Plan. This policy’s trading restrictions do not apply to purchases of Company stock in the 401(k) plan resulting from your periodic contribution of money to the plan pursuant to your payroll deduction election. The trading restrictions do apply, however, to elections you may make under the 401(k) plan to (a) increase or decrease the percentage of your periodic contributions that will be allocated to the Company stock fund, (b) make an intra-plan transfer of an existing account balance into or out of the Company stock fund, (c) borrow money against your 401(k) plan account if the loan will result in a liquidation of some or all of your Company stock fund balance, and (d) pre-pay a plan loan if the pre-payment will result in allocation of loan proceeds to the Company stock fund.

IV. Statement of Policy

No Trading on Inside Information. You may not trade in the securities of the Company, directly or through family members or other persons or entities, if you are aware of material nonpublic information relating to the Company. Similarly, you may not trade in the securities of any other company if you are aware of material nonpublic information about that company which you obtained in the course of your employment with the Company.

No Tipping. You may not pass material nonpublic information on to others or recommend to anyone the purchase or sale of any securities when you are aware of such information. This practice, known as “tipping,” also violates the securities laws and can result in the same civil and criminal penalties that apply to insider trading, even though you did not trade and did not gain any benefit from another’s trading.

No Exception for Hardship. The existence of a personal financial emergency does not excuse you from compliance with this policy.

Internet Prohibition. You may not disclose Company information on the internet and more specifically in forums (chat rooms) where companies and their prospects are discussed. You may not discuss the Company or Company related information in such a forum regardless of the situation. Despite any inaccuracies that may exist, posts in these forums can result in the disclosure of material nonpublic information and may bring significant legal and financial risk to the Company and are therefore prohibited without exception. Any post that is made by you, or information supplied by you for someone else to post, will be treated as a violation of this Policy.

Trading Window and Pre-Clearance Procedures. To help prevent inadvertent violations of the federal securities laws and to avoid even the appearance of trading on the basis of inside information, the Company’s board of directors has adopted an Addendum to Insider Trading Policy (the “Addendum”) that applies to directors, executive officers subject to Section 16 of the Securities Exchange Act of 1934 (“executive officers”), and certain designated employees and consultants of the Company and its subsidiaries who have access to material nonpublic information about the Company. The Company will notify you if you are subject to the Addendum.

The Addendum generally allows persons covered by it to trade in the Company’s securities only during the 30-day period that begins on the third business day after the Company has issued a press release disclosing quarterly or annual earnings and results (each, a “Trading Window”); provided, however, that such persons are prohibited from trading (i) during any of the 14 calendar days immediately preceding the last day of any of the Company’s four fiscal quarters, or (ii) if such person is in possession of any material nonpublic information.

Blackout Procedures. From time to time, you may be notified by the Company through e-mail or written correspondence or through other public broadcasts that no trading in the Company’s securities should occur (a “Blackout Period”). A Blackout Period is intended to prevent or avoid an illegal trading transaction, or even the appearance of illegal or improper activities. You may not trade in the Company’s securities once a Blackout Period has been announced, unless you have been informed that the Blackout Period has expired. At the Company’s discretion, this policy may apply to all employees of, and consultants and contractors to, the Company or may apply solely to individuals subject to Section 16 reporting, pursuant to the Blackout Procedures section of the Addendum.

V. Definition of Material Nonpublic Information

Note that inside information has two important elements—materiality and public availability.

Material Information. Information is material if there is a substantial likelihood that a reasonable investor would consider it important in deciding whether to buy, hold or sell a security. Any information that could reasonably be expected to affect the price of the security is material. Common examples of material information are:

• Actual or estimated class start results
• Projections of future earnings or losses or other earnings guidance
• Earnings that are inconsistent with the consensus expectations of the investment community
• A pending or proposed merger, acquisition or tender offer or an acquisition or disposition of significant assets
• A change in management
Human Resources Policies and Procedures

- Major events regarding the Company’s securities, including the declaration of a stock split or the offering of additional securities
- Severe financial liquidity problems
- Actual or threatened major litigation, or the resolution of such litigation
- New program announcements of a significant nature
- New major contracts, orders, suppliers, customers or finance sources, or the loss thereof

Both positive and negative information can be material. Because trading that receives scrutiny will be evaluated after the fact with the benefit of hindsight, questions concerning the materiality of particular information should be resolved in favor of materiality, and trading should be avoided.

Nonpublic Information. Nonpublic information is information that is not generally known or available to the public. One common misconception is that material information loses its “nonpublic” status as soon as a press release is issued disclosing the information. In fact, information is considered to be available to the public only when it has been released broadly to the marketplace (such as by a press release or an SEC filing) and the investing public has had time to absorb the information fully. As a general rule, information is considered nonpublic until the second full trading day after the information is released. For example, if the Company announces financial earnings before trading begins on a Tuesday, the first time you can buy or sell Company securities is the opening of the market on Thursday (assuming you are not aware of other material nonpublic information at that time). However, if the Company announces earnings after trading begins on that Tuesday, the first time you can buy or sell Company securities is the opening of the market on Friday.

VI. Additional Guidance

The Company considers it improper and inappropriate for those employed by or associated with the Company to engage in short-term or speculative transactions in the Company’s securities or in other transactions in the Company’s securities that may lead to inadvertent violations of the insider trading laws. Accordingly, your trading in Company securities is subject to the following additional guidance.

Short Sales. You may not engage in short sales of the Company’s securities (sales of securities that are not then owned), including a “sale against the box” (a sale with delayed delivery).

Publicly Traded Options. You may not engage in transactions in publicly traded options, such as puts, calls and other derivative securities, on an exchange or in any other organized market.

Standing Orders. Standing orders should be used only for a very brief period of time. A standing order placed with a broker to sell or purchase stock at a specified price leaves you with no control over the timing of the transaction. A standing order transaction executed by the broker when you are aware of material nonpublic information may result in unlawful insider trading.

Margin Accounts and Pledges. Securities held in a margin account or pledged as collateral for a loan may be sold without your consent by the broker if you fail to meet a margin call or by the lender in foreclosure if you default on the loan. A margin or foreclosure sale that occurs when you are aware of material nonpublic information may, under some circumstances, result in unlawful insider trading. Because of this danger, you should exercise caution in holding Company securities in a margin account or pledging Company securities as collateral for a loan.

VII. Post-Termination Transactions

This policy continues to apply to your transactions in Company securities even after you have terminated employment or other services to the Company or a subsidiary, as follows: if you are aware of material nonpublic information when your employment or service relationship terminates, you may not trade in Company securities until that information has become public or is no longer material.

VIII. Unauthorized Disclosure

Maintaining the confidentiality of Company information is essential for competitive, security and other business reasons, as well as to comply with securities laws. You should treat all information you learn about the Company or its business plans in connection with your employment as confidential and proprietary to the Company. Inadvertent disclosure of confidential or inside information may expose the Company and you to significant risk of investigation and litigation.

The timing and nature of the Company’s disclosure of material information to outsiders is subject to legal rules, the breach of which could result in substantial liability to you, the Company and its management. Accordingly, it is important that responses to inquiries about the Company by the press, investment analysts or others in the financial community be made on the Company’s behalf only through authorized individuals.

Please consult the Company’s Code of Business Conduct and Ethics for more details regarding the Company’s policy on speaking to the media, financial analysts and investors.
IX. Personal Responsibility

You should remember that the ultimate responsibility for adhering to this policy and avoiding improper trading rests with you. If you violate this policy, the Company may take disciplinary action, including dismissal for cause.

X. Company Assistance

Your compliance with this policy is of the utmost importance both for you and for the Company. If you have any questions about this policy or its application to any proposed transaction, you may obtain additional guidance by contacting the Company’s Compliance Officer at (605) 394-4952. Do not try to resolve uncertainties on your own, as the rules relating to insider trading are often complex, not always intuitive and carry severe consequences.

Addendum to Insider Trading Policy

I. Overview

To help prevent inadvertent violations of the federal securities laws and to avoid even the appearance of trading on inside information, National American University Holdings, Inc.’s (“NAU” or the “Company”) board of directors has adopted this Addendum to Insider Trading Policy (this “Addendum”). This Addendum applies to directors, executive officers subject to Section 16 of the Securities Exchange Act of 1934 (“executive officers”) and certain designated employees and consultants of the Company and its subsidiaries (“covered persons”) who have access to material nonpublic information about the Company. The positions of the covered persons subject to this Addendum are listed on the attached Schedule I. The Company may from time to time designate other positions that are subject to this Addendum and will amend Schedule I from time to time as necessary to reflect such changes.

This Addendum is in addition to and supplements the Company’s Insider Trading Policy.

II. Pre-clearance Procedures

The Company’s directors and executive officers (but not covered persons) are covered by the following pre-clearance procedures.

Directors and executive officers, together with their family members and other members of their household, may not engage in any transaction involving the Company’s securities (including a stock plan transaction such as an option exercise, or a gift, loan, pledge or hedge, contribution to a trust or any other transfer) without first obtaining pre-clearance of the transaction from the Company’s Compliance Officer. A request for pre-clearance should be submitted to the Compliance Officer at least two business days in advance of the proposed transaction. The Compliance Officer is under no obligation to approve a trade submitted for pre-clearance and may determine not to permit the trade. The Compliance Officer himself or herself may not trade in Company securities unless the CEO has approved the trade(s) in accordance with the procedures set forth in this Addendum.

Directors and executive officers who obtain pre-clearance for a transaction from the Company’s Compliance Officer remain subject to this Insider Trading Policy and are obligated to comply with the restrictions set forth in this Insider Trading Policy. The pre-clearance process in no way subjects the Company to any liability related to the purchase or sale of NAU’s securities by the Company’s directors and executive officers.

III. Trading Window

All directors, executive officers and covered persons are subject to the following trading window procedures.

You may only trade in the Company’s securities during the 30-day period that begins on the third business day after the Company has issued a press release disclosing quarterly or annual earnings and results (each, a “Trading Window”); provided, however, that you may not trade (i) during any of the 14 calendar days immediately preceding the last day of any of the Company’s four fiscal quarters, or (ii) if you are in possession of any Material Nonpublic information.

IV. Blackout Procedures

All directors, executive officers and covered persons are subject to the following blackout procedures.

From time to time, you may be notified by the Company through e-mail or written correspondence or through other public broadcasts that no trading in the Company’s securities should occur (a “Blackout Period”). This prohibition will supersede a Trading Window. A Blackout Period is intended to prevent or avoid an illegal trading transaction, or even the appearance of illegal or improper activities. You may not trade in the Company’s securities once a Blackout Period has been announced, unless you have been informed that the Blackout Period has expired or you have sought and obtained clearance from the Company, as described above.

Even if a Blackout Period is not in effect, at no time may you trade in Company securities if you are aware of material nonpublic information about the Company.

V. Exception for Approved 10b5-1 Plans
Trades by covered persons in the Company’s securities that are executed pursuant to an approved 10b5-1 plan are not subject to the prohibition on trading on the basis of material nonpublic information contained in the Insider Trading Policy or to the restrictions set forth above relating to pre-clearance procedures, Trading Windows and Blackout Periods.

Rule 10b5-1 provides an affirmative defense from insider trading liability under the federal securities laws for trading plans that meet certain requirements. In general, a 10b5-1 plan must be entered into before you are aware of material nonpublic information. Once the plan is adopted, you must not exercise any influence over the amount of securities to be traded, the price at which they are to be traded or the date of the trade. The plan must either specify (including by formula) the amount, pricing and timing of transactions in advance or delegate discretion on those matters to an independent third party.

The Company requires that all 10b5-1 plans be approved in writing in advance by the Compliance Officer. 10b5-1 plans generally may only be adopted during a Trading Window and only when the person adopting the plan is not aware of material nonpublic information.

VI. Hedging Transactions

Certain forms of hedging or monetization transactions, such as zero-cost collars and forward sale contracts, involve the establishment of a short position in the Company’s securities and limit or eliminate your ability to profit from an increase in the value of the Company’s securities. Therefore, you are prohibited from engaging in any hedging or monetization transactions involving Company securities.

VII. Post-Termination Transactions

If you are aware of material nonpublic information when you terminate employment or services, you may not trade in the Company’s securities until that information has become public or is no longer material. In all other respects, the procedures set forth in this Addendum will cease to apply to your transactions in Company securities upon the expiration of any Blackout Period that is applicable to your transactions at the time of your termination of employment or services.

VIII. Company Assistance

Your compliance with this Addendum and the Company’s Insider Trading Policy is of the utmost importance both for you and for the Company. If you have any questions about this Addendum, the Insider Trading Policy or their application to any proposed transaction, you may obtain additional guidance from the Compliance Officer.

IX. Certification

All directors, officers and other employees and consultants subject to the procedures set forth in this Addendum must certify their understanding of, and intent to comply with, the Company’s Insider Trading Policy and this Addendum on the form attached to this Addendum.
NATIONAL AMERICAN UNIVERSITY LEAVE DUE TO INCLEMENT WEATHER POLICY

Leave Due to Inclement Weather Policy
When necessary, physical location closures will be authorized by regional presidents or a designated campus executive officer.

Procedure - Leave Due to Inclement Weather
1. Certain employees designated by the regional president may be required to work during the period when the location is officially closed. With supervisor approval, non-exempt employees may make up hours during the same work week; otherwise, the employee shall use annual leave, personal leave or leave without pay.

2. When the physical location remains open during inclement weather, employees unable to report to work shall notify their supervisor. With supervisor approval, non-exempt employees may make up hours during the same work week; otherwise, the employee shall use annual leave, personal leave or leave without pay.
NATIONAL AMERICAN UNIVERSITY SUBSTANCE ABUSE: ALCOHOL AND ILLEGAL DRUGS
POLICIES, SANCTIONS, HEALTH RISKS, AND RESOURCES

Drugs and Alcohol
National American University desires to have its facilities free of alcohol and illicit drugs and to operate all of its academic and co-curricular programs accordingly. The possession, distribution or consumption of alcoholic beverages is prohibited on all university property, whether owned or leased. The possession, distribution or consumption of alcoholic beverages is prohibited at all student-attended, university-sponsored functions, regardless of location.

The university prohibits the unlawful possession, distribution, or use of illegal drugs and/or controlled substances on any property leased or owned by the university or in any program or activity sponsored by the university in any location.

Students who violate the prohibition against illegal drugs and alcohol are subject to discipline. Sanctions will reflect the particular violation and its severity. Depending on the circumstances of the violation, disciplinary action may include, but is not limited to: warning, fine, referral to chemical health treatment or support resources, suspension, or expulsion. Referral for criminal prosecution may occur where appropriate.

Legal Sanctions

Students must be aware that there are significant criminal penalties, under state and federal law, for the unlawful possession or distribution of alcohol and illegal drugs. Penalties include:

1. Consumption of alcohol by a minor: up to a $700 fine/up to 90 days in jail;
2. Illegal sale of alcohol: up to a $3,000 fine/up to 1 year in jail;
3. Possession of a small amount of marijuana: up to a $700 fine/up to 90 days in jail;
4. Sale or possession of controlled substances such as cocaine, hallucinogens, marijuana: up to a $1,000,000 fine/up to 30 years in jail.

Students who are concerned about specific circumstances should consult applicable local, state, and federal laws and/or seek legal counsel.

Health Risks

• Alcohol
Alcohol is a widely abused drug on college campuses across the United States. Liquor, beer and wine contain ethyl alcohol which acts on the central nervous system as a depressant. Abuse can cause intoxication, impaired motor skills, unconsciousness and death. Alcohol is chemically addictive and can cause brain cell damage, liver, pancreas and kidney damage; heart problems, stomach ulcers, high blood pressure and birth defects, such as fetal alcohol syndrome. Alcohol is one of the most socially problematic drugs in this country. Many lives can be destroyed through its abuse. Driving while intoxicated has been a serious problem and issues especially relevant to college campuses within the last decade. Alcohol is frequently associated with instances of rape, violence, and many types of accidents.

• Marijuana
Marijuana is the most widely used illegal drug in this country; however, many fail to recognize its many harmful effects. Use of marijuana is detrimental to one’s physical, emotional and mental well-being. Marijuana smoke is even more toxic and carcinogenic than cigarette smoke, causing similar and more serious respiratory problems. Habitual use weakens the immune system, increasing the chance of sickness. Evidence from studies shows that marijuana reduces one’s ability to perform tasks requiring concentration, impairs short-term memory and motor skills and affects a noticeable decrease in motivation. Although claimed to be non-addictive, marijuana is a habit-forming substance that can be as hard to quit as any chemically-addictive drug. In other words, marijuana is a social drug that has the potential to become the center of one’s life. The potency of this drug has increased 275% in the past three decades, giving even more weight to its negative effects. Marijuana use impedes one’s participation with the academic community, damaging the intellectual atmosphere of the university.

• Hallucinogens
Hallucinogenic drugs distort the perception of reality. Common hallucinogens include LSD, magic mushrooms, mescaline and peyote. An individual’s reaction to these drugs is completely unpredictable, and “bad trips,” which can cause permanent personality changes, are common. Under the influence of hallucinogens, the senses of direction, distance and time become disoriented. These drugs can produce unpredictable, erratic and violent behavior in users that sometimes leads to serious injuries and death.

• Cocaine
Cocaine is a strong central nervous system stimulant that is extremely addictive. Derived from coca leaves, it produces
euphoria, hallucinations and a temporary increase in physical strength. Common symptoms include irritability, runny nose, increased temperature and blood pressure and chronic sinus/nasal problems. More serious side effects include severe depression, seizures, respiratory arrest, cardiac arrest and strokes. Cocaine, which is used as a social drug, initially produces an intense physical stimulus, but this quickly disappears. The user typically becomes addicted after the first use. Prolonged use can cause nervous-system damage, delusions, physical deterioration, weight loss and a stronger addiction.

- **Heroin**
  Heroin, a highly addictive opiate, causes physical and psychological problems such as shallow breathing, nausea, panic, insomnia and a need for increasingly higher doses of the drug to get the same effect. Attempts to stop using the drug lead to painful physical withdrawal symptoms. Heroin is primarily taken by injection, often with grave consequences. Uncertain dosage levels (due to differences in purity), unsterile equipment, contamination with cutting agents, or heroin use in combination with other drugs as alcohol or cocaine can cause serious health problems such as serum hepatitis, skin abscesses, inflammation of the veins and cardiac disease (sub acute bacterial endocarditis). Of all illegal drugs, heroin is responsible for the most deaths. Needle sharing by IV drug users is a leading cause of new AIDS cases. Heroin used during pregnancy is associated with stillbirths and miscarriages. Symptoms of heroin overdose include shallow breathing, pinpoint pupils, clammy skin, convulsions and coma.

- **Designer Drugs**
  Designer drugs, such as Ecstasy, among countless others, are chemically manufactured substances. Produced in underground labs, these are often pre-existing drugs that are modified in order to produce a more potent effect. Since these drugs are usually mixtures of several compounds, their toxicity is much higher, and the chance for negative side-effects or overdose increases. Because designer drugs are often used in a social atmosphere, there exists a high chance for psychological dependence. Many of these synthesized drugs are also chemically addictive.

- **PCP**
  PCP, a hallucinogenic drug used as an anesthetic for animals, induces a profound departure from reality, which may leave the user capable of bizarre behavior and severe disorientation. PCP-induced effects may lead to serious injuries or death to the user while under the influence of the drug. PCP often produces feelings of mental depression, and among regular users disturbs memory, perception functions, concentration and judgment. Chronic use may lead to permanent changes in cognitive ability (thinking), memory and fine motor function.

Counseling, Treatment and Rehabilitation

- Drug and alcohol counseling, treatment, and rehabilitation/reentry programs for employees and students are available from a variety of sources. Anyone who recognizes a personal drug or alcohol problem, is concerned about a student or co-worker, or may wish to know more about drug and alcohol abuse may contact the human resources department.

- Campus and community resources may be found on MyNAU or by contacting a campus executive officer or the human resources department.

Resources for substance abuse include:

- **Alcohol/Drug Helpline • 1-800-662-HELP**

*Updated September 2014*
INFORMATION TECHNOLOGY POLICIES AND PROCEDURES
NATIONAL AMERICAN UNIVERSITY BRING YOUR OWN DEVICE POLICY

Bring Your Own Device Policy

Purpose

This policy provides a process whereby selected employees can choose to use a personally owned wireless device for access to university systems in place of one provided by the university. By choosing their own device, employees can more easily access both personal and corporate information and gain increased mobility, satisfaction and productivity. This policy does provide for a stipend to offset the cost of adding data service to an employee’s personal wireless service.

Policy

Employees who are authorized and issued a company cell phone may choose to use a personal cell phone with compatible service in place of the device with service provided by the university. Individuals who elect to use a personal cell phone will receive a monthly stipend of $30. One half of the monthly stipend will be awarded each pay period and will be listed as a line item on the employees paycheck stub. NAU will assume all licensing costs for the software to secure and manage the device. The IT department will support the device to the same extent it does company issued cell phones.

Authorized employees may also connect one additional mobile device to corporate resources, but will not receive a stipend for the second device. For example, an employee may decide to participate in the policy with an iPhone and an iPad, but would only receive a stipend for the iPhone.

NAU requires that personal mobile devices comply with the following company security policies before being granted access to corporate resources.

• Mobile device usage is governed by NAU’s information security policy and acceptable use policy. Users will be asked to read and agree to the current policies upon connecting the device.

• Users must install software on the device that NAU uses for securing, managing and supporting the device. This includes establishing a strong password on the device.

• The NAU IT department may disapprove and remotely remove applications on the device that have been found to be malicious or conflicts with company policy.

• Users also agree to the installation of remote wiping software in case the device is lost, stolen or if the employee leaves NAU. The remote wiping software will only remove NAU information from the device.

• The device must be an NAU approved device. Current approved devices are Blackberry phones (BlackBerry OS 6.0 or higher) and Apple IOS devices (with iOS version 4.2 or higher).

• Users must contact IT immediately if a device is lost or stolen.

Eligibility

Employees that are required to carry a company issued cell phone or that are granted approval from their cabinet member are eligible to participate in the policy. Employees are limited to one stipend and two devices connected to corporate resources. Special considerations such as porting of phone numbers, device eligibility or other items not specifically addressed in this policy require cabinet level approval and approval from the IT department for compatibility with NAU’s IT environment.

This policy may be amended periodically to address changes in technology, applications, procedures, legal and social imperatives and unanticipated dangers.
NATIONAL AMERICAN UNIVERSITY COMPUTER SECURITY INCIDENT RESPONSE POLICY

Computer Security Incident Response Policy
National American University (NAU) responds to computer security incidents, classifies the severity levels of incidents that may impact the university, establishes the roles and responsibilities for incident response, and provides definitions and examples of incidents likely to be encountered. The goals of this policy and associated procedure are to:

• Confirm or dispel whether an incident occurred
• Promote the accumulation and documentation of accurate information
• Promote effective and efficient internal coordination
• Protect privacy rights established by law and policy
• Minimize disruption to business and network operations
• Allow for legal or civil recriminations against perpetrators
• Provide accurate reports and useful recommendations to management
• Provide timely and accurate communication to management and impacted parties

This policy applies to all NAU employees and IT and network resources owned or leased by NAU.

Procedure - Computer Security Incident Response

Stages

Accomplishing the goals of this policy requires an adaptable process that can respond to a variety of incidents. NAU has adopted the following methodology, based upon a variety of industry best practices.

Failure to comply with the procedure associated with each stage may delay or degrade the incident response process, resulting in further loss or damage to data.

Stage 1: Preparation. The purpose of this stage is simply to prepare the organization for responding to incidents. Preparation includes policy and procedures reviews, training personnel, legal review, and management approval.

Stage 2: Detection and Escalation. In most cases, initial information regarding IT security-related incidents should be reported through the established Help Desk/Help Star ticketing system. This important resource should be leveraged as a communication and reporting tool whenever possible. The IT management team and Help Desk remain in frequent communication such that security events are quickly escalated and emerging threats or trends are identified and addressed appropriately. The System Vice President of IT (SVPIT) will make the determination whether to notify and activate the Computer Security Incident Response Team (CSIRT), based on the information available and the severity level.

Stage 3: Containment. Once activated, the CSIRT will formulate a response strategy and implement measures to contain the incident to reduce further exposure or expansion of the incident to other systems or network segments. Specific measure will be dependent upon the situation, information available, systems affected, and other considerations as may be necessary.

Stage 4: Investigation. Every effort shall be made to investigate the root cause and circumstances surrounding the incident. This stage may involve collecting and preserving all relevant evidence sources considered in-scope to the incident, and properly conducting and documenting all investigative actions. NAU may engage external third parties or law enforcement agencies to conduct investigative activities.

Stage 5: Eradication. The purpose of the eradication stage is to identify and eliminate all elements responsible for the incident. Actions include, but are not limited to, scanning and identifying exploited vulnerabilities, safely removing malicious code and improving defenses.

Stage 6: Recovery. The goal of the recovery stage is the resumption of a normal operating state, in a secure manner. During recovery efforts, designated IT personnel will harden and restore systems to a normal operating state, as applicable, to prevent the recurrence of similar incidents. This stage may also involve rebuilding systems from a trusted baseline image or original media, and monitoring the affected systems or network segments for an appropriate period of time.

Stage 7: Post-Incident Activities. Upon achieving full recovery from the incident, the SVPIT will direct the effort to fully document significant findings, actions taken for containment, eradication and recovery, and other information as necessary. A Lessons Learned meeting should be conducted within five business days of incident closure and will include the CSIRT and all other
personnel involved in the response effort. The overall purpose of the Lessons Learned meeting is to identify areas of improvement for responding to future incidents.

Roles and Responsibilities

System VP of Information Technology – The SVPIT has overall responsibility for incident response within NAU. The VP will either assume or assign the role of incident response manager, activates the CSIRT when an incident occurs, and facilitates incident-related communications flow to senior-level management.

Incident Response Manager – The incident response manager is responsible for directing all efforts of the CSIRT. This includes, but is not limited to: 1) directing technical incident response actions; 2) facilitating information flow to other entities involved in the incident response process; and 3) ensuring timely updates are provided to the appropriate management personnel. In the absence of the primary incident response manager, an alternate, as may be assigned by the IT director, will assume the aforementioned responsibilities.

Computer Security Incident Response Team (CSIRT) – The CSIRT is responsible for implementing the appropriate computer security incident handling procedures, as determined by the IT director or designated incident response manager. These procedures include, but are not limited to the following: 1) detection and initial analysis of computer security incidents; 2) containing and eradicating the incident; 3) collecting and preserving evidence; and 4) recovering from the incident. CSIRT members may include both technical personnel as well as non-technical personnel, such as HR, legal, and management, which may have key roles in responding to incidents of various types.

Information Technology Departments – IT technical experts (e.g., system administrators, network administrators and software developers), by virtue of their specialized technical skills and intimate knowledge of the technology they work with on a daily basis, are well-suited to assist during an incident. As such, CSIRT membership will include various IT resources and leverage their capabilities, as needed, to assist with incident response efforts. Specific NAU entities and external vendors whose expertise, cooperation, and assistance may be necessary in responding to an incident include, but are not limited to, the following:

- Desktop Support and Help Desk
- Network and Application Analysts
- Web Development and Support
- Learner Services Group

Human Resources – In the event of a computer security incident directly involving an employee or employee data (e.g., employee is a victim of the incident or is suspected of causing the incident), the human resources department may be required to provide assistance. This may include, but not be limited to, assistance with disciplinary proceedings, employee termination or counseling.

University Communications - In the event a media or public release statement is required, corporate communications will be responsible for filtering information outside the company. Depending on the nature and impact of the incident, corporate communications may have to confer with other parties in the incident response process (senior management, CSIRT, legal, etc.) to ensure the press release or public statement complies with constraints imposed by business, security and law enforcement interests.

Office of General Counsel – The office of general counsel should be available to provide guidance during all phases of the incident response process to ensure compliance with local, state, and federal laws, as well as industry regulatory requirements. In addition, the office of general counsel should provide oversight if there is reason to believe that an incident may have legal ramifications, including evidence collection, prosecution of a suspect or a lawsuit.

Physical Security – Computer security incidents involving the theft, physical abuse, or destruction of NAU IT resources or data, may require the assistance of physical security personnel. The physical security department will, upon request, provide investigative services and assistance to incident response efforts as may be necessary.

End Users – End users are responsible for being familiar with and adhering to all company policies regarding use and security of IT resources, to include this policy. Users shall immediately report all computer security incidents and suspicious IT events to the Help Desk.

Disciplinary Action

Individuals who fail to comply with the foregoing policies and procedures may be subject to disciplinary action in accordance with applicable NAU policies.
NATIONAL AMERICAN UNIVERSITY COMPUTER SYSTEMS BACKUP POLICY

Computer Systems Backup Policy
National American University requires that computer systems maintained by the information technology department be backed up periodically, that the backup media be stored at a secure off-site location, and that recovery tests be performed on a regular basis. The purpose of the systems backup is to provide a means to restore the integrity of the computer systems in the event of a hardware or software failure or physical disaster and provide a measure of protection against human error or the inadvertent deletion of important files.

Procedure - Computer Systems Backup
Scope
Information services will adhere to information technology best practices which call for daily, weekly, monthly, and yearly systems backups. This scheme allows systems to be restored with, at most, one working day’s data missing. Systems backups are not intended to serve as an archival copy or to meet records retention requirements.

Frequency
1. Incremental backups will be performed hourly for most critical systems and daily for others. Incremental backups will be saved for a full week.
2. A full systems backup will be performed daily on critical systems and weekly for all others. Weekly backups will be saved for a full month.
3. The last weekly backup of the month will be marked as a monthly backup. Monthly backups will be saved for one year.
4. The last monthly backup of the year (December) will be marked as the yearly backup. Yearly backups will be saved for five years.
5. Incremental, weekly, monthly, and yearly backup media that is no longer needed will be recycled or destroyed.

Storage
1. Incremental backups will be stored in the data center in Englewood, Colorado and replicated to the data center in Richardson, Texas.
2. Weekly, monthly and yearly backups will be stored at the data center in Richardson, Texas.

Recovery Testing
1. Information technology technicians will perform quarterly tests (January, April, July, and October) on all of their systems backups to determine if the files and data can be restored.
2. The results of these tests will be logged on National American University’s intranet and documented in the helpdesk application HelpStar.
Information Security Policy
National American University (NAU) requires that university information be accurate and available for authorized use. NAU adheres to the generally accepted information security principles of confidentiality, integrity, and availability to protect its information resources from accidental or intentional unauthorized access, modification, and damage.

- Confidentiality limits information access to authorized users.
- Integrity protects information against unauthorized modification.
- Availability ensures that information is accessible when needed.

This policy governs all other university policies and procedures pertaining to IT usage, including policies and procedures related to the following topics:

1. Information that NAU or its agents use in the course of conducting university business is an institutional resource.
2. Although individual persons, departments, or programs, may have responsibilities for creating and maintaining portions of university information and university records, the university retains ownership of, and responsibility for, the information.
3. University information technology policies will specify controls to manage risks to the confidentiality, integrity, and availability of university information and related assets.
4. The university will conduct periodic risk assessments to determine the effectiveness of such controls and perform audits to measure levels of compliance.
5. The university will comply with all applicable legislative, regulatory and contractual requirements concerning information security. University information security standards may exceed legally prescribed requirements.
6. All faculty members, staff, students and other users of information technology resources are responsible for protecting the privacy and security of university information and the integrity of applications, computer systems, and networks.
7. Users of NAU’s information technology resources must adhere to all relevant information security policies and report suspected violations to university management.
8. NAU will investigate suspected violations, and may recommend disciplinary action in accordance with university policies or applicable laws. Sanctions may include one or more of the following:
   a. Suspension or termination of access.
   b. Disciplinary action, including termination of employment.
   c. Student discipline in accordance with applicable university policy.
   d. Civil or criminal penalties.

This policy may be amended periodically to address changes in technology, applications, procedures, legal and social imperatives, and unanticipated dangers.
Information Technology Change Management Policy

National American University seeks to reduce the risk of adverse incidents that may occur during changes to its information technology infrastructure. This policy and procedure apply to all changes to the live environment, including:

- The university’s IT infrastructure, including but not limited to hardware, software, operating systems, data and voice networks
- Software applications
- Data and databases

Procedure - Information Technology Change Management

Any change to the IT infrastructure must be planned, tested, documented, and approved prior to implementation, as follows:

1. Submit the proposed change request to HelpStar with the following information:
   a. Impact assessment
   b. Pre-deployment test plan
   c. Back-out plan
   d. Post-deployment test plan
   e. Change date
   f. Person implementing change

2. Test the change, if a test environment is available. If a test environment is not available, provide a detailed discussion and utilize limited simulations.

3. Obtain written approval from both the department affected by the change and appropriate IT management.

4. Implement the change.

5. Perform post-deployment testing and execute the back-out plan, if necessary.

6. Document the steps of the change management process.

7. Close the change request in HelpStar.
NATIONAL AMERICAN UNIVERSITY PASSWORD POLICY

Password Policy
National American University (NAU) requires the creation of strong passwords, the protection of those passwords, and frequent changes to those passwords to reduce the risk of network intrusion, user impersonation, and loss, exposure, and corruption of sensitive information.

This policy applies to all faculty, staff, students, vendors, and other persons who have or are responsible for an account (or any form of access that supports or requires a password) on any system that resides at any NAU campus, facility, or property, or any system that has access to the NAU network or stores any non-public NAU information. This policy also applies to certain non-IT systems accounts that provide access to sensitive or confidential university information and third party systems and accounts that access sensitive or confidential university information.

Procedure - Password

Creating a Password
1. The password must be at least six characters long.
2. The password must contain the characters from at least three of the following four categories:
   a. English uppercase characters (A-Z)
   b. English lowercase characters (a-z)
   c. Numerical Digits (0-9)
   d. Non-alphanumeric (Examples: !, $, #, or %)
3. The password cannot contain more than three consecutive characters from the user’s first, middle or last name or account name.
4. Characteristics of a strong password:
   a. Contains both upper and lower case characters.
   b. Includes numbers, letters, and punctuation characters.
   c. Is at least fifteen alphanumeric characters long and is a passphrase.
   d. Is not a word in any language, slang, dialect, or jargon.
   e. Is not based on personal information, names of family, etc.
5. Any staff, faculty, or vendor responsible for creating a system or user account that accesses any NAU network, system, or information must create the account using a password that is individually different from any other new account created in the past or force the system or user account password to be changed upon first logon.

Protecting Passwords
1. Do not reveal a password to ANYONE, including supervisors, co-workers, friends, and family members. If someone demands a password, refer the person to this policy or have them contact the IT help desk.
2. Do not talk about a password in front of others.
3. Do not hint at the format of a password (e.g., "my family name").
4. Do not write passwords down and store them anywhere in your office.
5. Do not use the “Remember Password” feature of applications.
6. Do not store passwords in a file on any computer system without encryption.
7. Do not reveal a password on questionnaires or security forms.
8. Do not use the same password for NAU accounts as for other non-NAU access (e.g., personal ISP account, personal email account, etc.).
9. Where possible, do not use the same password for multiple NAU access needs. For example, select one password for administration systems and a separate password for IT systems.
10. If more than one operating system is used, do not use the same password for each.
Changing Passwords
1. Passwords must be changed at least every quarter (120 days).
2. A user must immediately change a password, if the user’s account credentials, system, or device are suspected to have been disclosed or otherwise compromised.

Disciplinary Action
1. 1. An employee who violates this policy or procedure may be subject to disciplinary action, including termination of employment.
2. A student who violates this policy or procedure may be subject to disciplinary action in accordance with applicable university policy.
Technology Use and Social Media Policy

This Technology Use and Social Media Policy provides guidance regarding the university’s expectations for the use of its technology resources generally, including its expectations for use of the Internet and e-mail. This policy also addresses the university’s expectations for employees’ use of social media when such use is connected with an employee’s work with the university, whether or not it involves use of the university’s technology resources.

The university provides a variety of technology resources to employees to assist them in all areas of their direct and indirect service to students and prospective students. Technology resources provided by the university include computers and mobile devices, as well as network access, email, and Internet use. These resources represent a considerable financial commitment by the university.

“Social media” is a term used to describe a range of online tools that people use to communicate, including:

- Blogs (web-based journals) and micro-blogs (e.g., Twitter);
- Social networking sites (e.g., MySpace, Facebook, LinkedIn, social gaming sites, chat rooms);
- Message boards and electronic mailing lists (e.g., LISTSERV);
- Wikis (collaborative web sites, e.g., Wikipedia);
- Video sharing (e.g., YouTube), picture sharing, and music sharing;
- Comments on news sites; and
- Podcasts (multimedia files distributed over the Internet).

The technology resources and social media give every individual an immense and unprecedented ability to create impressions of the university and to tell our story. Unlawful or inappropriate use of these resources may also create negative publicity for the university and expose the university to significant legal liabilities. Special care must be taken to maintain the integrity, clarity, and consistency of the university’s image when using these resources. As a condition of employment, all university employees must comply with this policy when using the university’s technology resources and when their engagement in social media is related to their work.

a. General Principles

The following general principles apply to employee use of the university’s technology resources, as well as to employee engagement in social media both on and off the technology resources that is related to their work.

1. Comply With All Applicable University Policies. All existing university policies apply to the use of the technology resources and social media, especially (but not exclusively) those that deal with privacy, information and data security, intellectual property protection, misuse of university resources, non-discrimination, sexual harassment, and confidentiality. Violation of this or any other university policy will be handled in the university’s discretion.

2. Limited Personal Use. Technology resources are educational and business tools of the university. Users are expected to use these resources primarily for university education and business-related purposes. However, the university permits employees to use the technology resources on a limited, reasonable basis for personal matters, as long as the personal use is minimal, does not interfere with or impact an employee’s ability to complete his or her work, does not impact the university’s normal operations, complies with all university policies, does not compromise the security or reputation of the university, and does not burden the university with incremental costs.

3. Keep Student and Business Information Confidential. The university’s policies with respect to privacy, confidentiality, and student information, including its Student Right to Privacy policy, apply to the use of technology resources and social media activity just as they apply to other ways in which employees may communicate with others. Employees must not disclose through the technology resources or engagement in social media any confidential information belonging to or in the possession of the university, including but not limited to: confidential student information, student lists, prospect lists, financial information, proprietary educational materials and education programming plans of the university, new business, education, and product ideas, marketing strategies and plans, university databases and the information contained therein, technical product information, computer software source codes, computer network access codes, and details of business partnerships.

4. Don’t Expect Privacy on the technology resources. No user has or should have any reasonable expectation of privacy as to his or her use of the technology resources of the university. The university has the capability to monitor and record such use, and reserves the right to examine the contents of computer files and email messages to ensure compliance with university policies and for other business purposes. In addition, users who make their social media communications publicly available,
should not expect that such communications are private or unavailable to the university, even if posted outside of the university’s technology resources. The university may use search tools and software to monitor social media and other Internet sites for references to the university.

5. Use About or on Behalf of a Third Party. When using the university’s technology resources, employees must refrain from soliciting for, and from sending email or other electronic communications about or on behalf of, any third party for any purpose other than conducting the business of the university; except that solicitation may be allowed on behalf of a charitable organization or cause, but only with the explicit permission of the human resources department. Furthermore, employees must not use the technology resources for personal gain or profit or for any activity that has, in whole or part, a commercial purpose not directly related to the university’s educational or business activities.

6. No Solicitation During Working Time – Period. Even when not using the technology resources, an employee may not solicit any other employee during the working time of any employee involved, as set forth in the university’s policy on Solicitation, Distributions and the Use of Bulletin Board.

7. Identify Yourself Truthfully. Employees using the technology resources or social media should identify themselves honestly, accurately, and completely; and should make clear they are expressing only personal views, not those of the university or its other employees. No employee may speak on behalf of the university without the permission of the chief executive officer. An employee assumes full responsibility and any liability for the content of any personal postings. In addition, employees who make online statements in support of the university or its services are required for legal reasons to disclose their affiliation with the university.

8. Obey the Law. Do not use the technology resources or social media connected with your work at the university in any manner that violates the law, such as material that is obscene, profane, defamatory, threatening, unlawfully discriminatory or harassing, or that violates the privacy rights of someone else. The university reserves the right to report any illegal activities to appropriate authorities.

9. Respect The Intellectual Property Rights of Others. Employees of the university must respect the copyrights, software licensing rules, property rights, privacy and prerogatives of others and those of the university, just as in any other business or educational activities. Identify all copyrighted or borrowed material with citations and links and obtain permissions when necessary. The university retains the copyright to any material created or posted by an employee where authorization to use technology resources or social media has been given for work-related purposes.

b. Internet Use

Every connection made on the Internet can be traced back to the originator, leaving a trail of “business cards” easily tracked by others back to the university. Employees should not visit sites where they or the university would be reluctant to leave a “business card.” Employees should not access the Internet on the technology resources for tasks or in ways that they or the university would not want logged or made public. This includes website visits, including chat rooms, newsgroups or email sites, and each file transfer into and out of the university’s internal networks.

Employees should refrain from making or posting lewd, pornographic, obscene, offensive or sexually explicit remarks, proposals, or materials. The display of any kind of sexually explicit or other off-color image or document on the technology resources is a violation of the university’s policies, including those on harassment and nondiscrimination. In addition, sexually explicit or off-color material may not be archived, stored, distributed, edited or recorded using the technology resources.

Unless there is a specific business-related use, employees may not employ “streaming” [e.g., Internet radio] or “Push” [e.g., real-time weather or stock market updates] technologies.

1. Examples of Unacceptable Internet Use

The practices below are unacceptable at any time when using the technology resources, including but not limited to breaks, lunch, and when connecting to any of the technology resources from any remote location, including home.

- Viewing, copying, altering, or destroying data, software, documentation, or data communications belonging to the university or another individual without authorized permission.
- Using any university system for gambling, interactive game playing, or any illegal activities.
- Intentionally interfering with the normal operation of the computer network, including propagating computer viruses, or engaging in a sustained high volume of network traffic that substantially hinders use of the network.

2. E-mail

E-mail is a critical mechanism for education and business communications at the university. Important official communications are often delivered via email. As a result, employees of the university with email accounts are expected to check their email in a consistent and timely manner so that they are aware of important university announcements and updates, as well as for fulfilling educational and business tasks. However, use of the university’s email systems and services is a privilege, not a right, and therefore must be used with respect for and in accordance with the goals and standards of the university.
As with all use of the technology resources, the university reserves the right to examine the contents of computer files and email messages to ensure compliance with the university’s policies and for other business purposes. Employees should be aware that when an email message is erased, it is still possible to retrieve and read the message and that the use of passwords for security does not guarantee confidentiality.

c. Social Media

1. General Rules for Employee Use of Social Media

Employee use of social media can present special risks for the university. Employees whose profile information or email address identifies the university as their employer may unintentionally leave an impression that they speak for the university. Furthermore, employees who speak about their university employment on social media may create liability for the university. As a result, employees who use social media either on or outside of the university’s technology resources should follow these guidelines when they identify the university as their employer, communicate regarding matters related to their employment with the university, and when their comments could be traced back to the university.

• Be Respectful. Employees must be respectful in all social media communications.

• Use Good Judgment. Because what employees say online is accessible to the public, including the university and its employees, use good judgment in social media communications. Employees should refrain from posting anything that would potentially embarrass themselves or the university, or call into question the employee’s or the university’s reputation, including photographs or other images in forums open to or accessible by the general public.

• If it Gives You Pause, Pause. If even the slightest bit uncomfortable about a possible posting, an employee should review the guidelines in this policy and think about why he or she is uncomfortable and whether he or she should post the material. Employees should not post material unless they are completely comfortable with the posting from a professional perspective. Employees who have any questions about whether certain material is appropriate for posting should speak with the human resources department.

• Read and Understand the Terms of Use. Before using social media, employees should read, understand, and comply with the site’s terms of use. Any concerns or questions about the terms of use may be directed to the university’s human resource department.

• Don’t Import Contacts. Many networking sites permit users to search for or import contact information for the user’s contact list. Due to confidentiality and privacy concerns, employees are prohibited from importing or uploading any student contacts to any networking site.

• Follow university Policy When Posting Recommendations or Endorsements. Some social networking sites, such as LinkedIn, allow users to post recommendations of colleagues and business contacts. Other sites provide easy forums for endorsing individuals, companies, products, and services. University employees must follow the university’s policy regarding all requests for recommendations of employees and former employees on social media sites or must request an exception to that policy from the system director for human resources. Employees should also be aware that an online endorsement might implicate laws regulating false advertising and defamation laws. Employees who post recommendations or endorsements on social media sites must be extremely cautious to ensure they are complying with applicable laws and rules, that the posting is truthful, and that the benefits of the posting outweigh the potential liability or other risks associated with an online endorsement or recommendation. Further, any recommendation on a social networking site that is connected to an employee’s work at the university should contain a clear disclaimer that the posting reflects the personal views of the writer and not of the university. For example, “this recommendation is my own and does not necessarily represent the view of my employer.”

• Ask for Help. If employees have any questions about what is appropriate to include in social media communications, ask the human resources department. Employees should get the human resources department involved if they become aware of inaccurate, defamatory, or negative comments about the university, its employees or students in any online forum accessible to the general public.

2. Special Rules for Professional Use of Social Media

The professional use of social media by employees presents unique opportunities and unique risks for the university as an educational institution. Social media may be used to convey information about university products and services, promote and raise awareness of the university brand, search for potential new markets or prospective students, communicate with employees and students about curricula or to brainstorm, issue or respond to breaking news or negative publicity, and discuss corporate, campus, business-unit, or department-specific activities and events. The goal of authorized use of social media is to become a part of the industry conversation and promote web-based sharing of ideas and exchange of information.

University employees who use social media as part of their professional work, whether it be an official blog, postings on the blogs of others, participation on specialty message boards or ListSers, LinkedIn, or other forums, must be particularly careful that their participation in such forums is consistent with all university policies and the law, and maintains the university’s brand.
identity, integrity, and reputation. In addition to the rules above, below are guidelines employees should know and follow with respect to professional use of social media.

- **Write Well and Be Interesting.** Before posting content to a social media site, employees should ensure that the posting is accurate, truthful, respectful, spelled correctly, and contains appropriate grammar, punctuation, capitalization, language, and tone. Use the same judgment in writing social media postings that employees would use in writing any formal letter. Employees should only post content that they would be comfortable having the university, their colleagues, and the general public read, hear, or see. Make postings direct, to the point, and interesting. Strive to add value to an online conversation or blog. Be informed and be credible. Employees should think carefully about postings and refrain from postings that merely convey opinions or that are on a subject on which the employee is not well-informed. Each employee should make sure that their online presence conveys a reputation of credibility and trust.

- **The university Reserves the Right to Monitor, Review or Block Content.** Although university employees using social media must take primary responsibility to ensure that social media postings comply with university policy and the law, the university reserves the right to use content management tools to monitor, review, or block content on university-sponsored social media.

- **Obtain Permission for Official Use.** No university employee may host or maintain a website, blog, or any other social media presence using the technology resources or connected to the employee’s work with the university, without the prior permission of the system director of IT. Any such website, blog, or other social media presence must include appropriate disclaimers, which disclaimers will be provided by the university. The university logo may not be used without permission of the office of general counsel.

d. **Network Access**

Unnecessary or unauthorized use of the technology resources adversely impacts other users, takes away from work time, consumes supplies, and ties up other shared university resources. Network and Internet access at the university is controlled through individual accounts and passwords. Each user of the university network is required to read this Technology Use and Social Media Policy and sign the Technology Use and Social Media Policy Acknowledgment prior to receiving a network and Internet access account and password.

e. **Security**

While use of the university’s technology resources offers many potential benefits, it can also present significant risks to university data and systems if users do not follow appropriate security measures. Computer security should be a concern for everyone.

Employees may not use any university computer to do any of the following: download or distribute pirated software or data; download or install any software program not authorized by the IT department; deliberately propagate any virus, worm, Trojan horse, or trap-door program code; disable or overload any computer system or network; or circumvent any system intended to protect the privacy or security of another user.

Employees are prohibited from attempting to disable, defeat, or circumvent any university security measure.

Network and Internet accounts and passwords help maintain individual accountability for Internet use. University policy prohibits the sharing of accounts or passwords. Passwords must be kept confidential and not posted or written where others can access them. From time to time, university IT officials may provide direction on necessary password strength for network passwords, application and website passwords, and screensavers.

f. **Software Licenses**

The university manages the selection, purchase, installation, and maintenance of the technology resources. Those with a need for particular resources should contact their supervisor, who will assist them in submitting a request. Decisions will be made by the supervisor and the IT department as necessary.

Any software or files on the university’s technology resources are the property of the university. Such files or software may be used only in ways that are consistent with their licenses or copyrights. University software may not be loaded on non-university equipment such as personal laptops or home computers.

The university may perform routine, periodic audits of all programs loaded onto the network or individual computers. The audits may be for various purposes, including maintaining the university’s compliance with copyright law and licensing restrictions.

g. **Policy Violations**

Sanctions for violation of this Technology Use & Social Media Policy may include the following:

1. Temporary or permanent revocation of access to some or all of the university’s technology resources, including but not limited to its computing and networking resources and facilities;
2. Disciplinary action up to and including termination of employment; and
3. Legal action in accordance with applicable laws and contractual agreements.
Academic Integrity

The National American University Mission and Purposes describe the university’s commitment to assist students in further development of ethical values and behavior. A significant aspect of one of the purposes relates to academic integrity and the encouragement of honesty and ethical behavior on the part of students and graduates. Academic dishonesty includes, but is not limited to, plagiarizing and/or cheating on assignments, tests or projects; or assisting someone else in these actions.

Students

Students are encouraged to model behaviors that reflect honesty and integrity, and, therefore, may not engage in or tolerate cheating, plagiarism or other forms of academic dishonesty and/or related misconduct. Students should work in collaboration with each other to accomplish educational objectives; however, they are also responsible for their own understanding of the academic content and for their own work. Students who are unclear about the academic dishonesty examples listed below should seek clarification from a faculty member or staff members with appropriate expertise.

The most common forms of academic dishonesty include but are not limited to:

**Cheating:**
- Using or attempting to use unauthorized assistance, material or student aids in examinations or other academic work. Examples: using a cheat sheet on an exam, copying from another student’s exam, copying an exam before it is given, collaborating on an assignment without course instructor’s consent, or altering exam answers and resubmitting the exam for a better grade.

**Plagiarism:**
- Using the ideas, data or language of another without specific and proper acknowledgement. Examples: failing to cite a reference or to use quotation marks where appropriate, or misrepresenting another’s work as one’s own original creation.

**Fabrication and Falsification:**
- Submitting contrived or altered information in an academic exercise. Examples: inventing data, research results, information or procedures in an academic exercise, reporting false information about internship or practicum experiences, or altering the record of data or experimental procedures or results.

**Multiple Submission:**
- Submitting, without prior permission, substantial portions of the same academic work for credit more than once.

**Complicity in Academic Dishonesty:**
- Knowingly helping or attempting to help another commit an act of academic dishonesty; failing to report instances of academic dishonesty of which the student is aware.

Students are responsible for seeking information about accurate documentation of citations and references for specific content areas. Students who are unclear about the cheating and plagiarism examples listed above should seek clarification from a faculty member or staff members with appropriate expertise.

Faculty

The university trusts the members of the faculty to enforce policies and to establish procedures in their classes that will encourage honesty and ethical behavior on the part of students. The university expects that faculty members will not only make the determination of academic dishonesty but that they will impose the sanctions described below as appropriate.

Penalties

Penalties are given at the discretion of the academic dean and/or provost and are determined based on the severity of the violation and any prior history of academic dishonesty. Penalties include the following:

1. Failing grade for test, assignment, or project
2. Failing grade for course
3. Temporary or permanent suspension (assigned only by the provost)

A student may not withdraw from the course or change the grading option for the course before an allegation of academic dishonesty has been resolved. Generally, if a student has either admitted to the allegation or has been found responsible for academic dishonesty, the student will not be permitted to withdraw from the course or change the grading option for the course.
Procedure - Academic Integrity

When a faculty member suspects academic dishonesty, the faculty member may either choose to meet with the student to discuss the concerns or move directly to completing the Academic Dishonesty Form. For minor or inadvertent violations, the faculty member may choose to informally correct the student’s conduct.

If, after meeting with the student, the faculty member concludes that the student engaged in academic dishonesty or in cases where the faculty member chooses to move directly to the formal process, the faculty member will complete the Academic Dishonesty Form and submit it to the academic dean. The academic dean will consult with the SVPAOLS to determine the appropriate penalty, taking into consideration any prior incidents of academic dishonesty.

A first act of dishonesty must result in a failing grade for the test, assignment or project. If a second act occurs at the university, regardless of the course or campus, the penalty will be a failing grade for the course. A third act of academic dishonesty on the part of a particular student (or conduct that is especially egregious despite whether a first or subsequent act of dishonesty occurred), may result in temporary or permanent suspension from the university.

After the Academic Dishonesty Form has been completed, the student is provided a copy of the form and must choose one of the following options:

1. Accept responsibility and consent to the penalty. If the student chooses to accept responsibility for the violation and consents to the penalty, the student must sign the Academic Dishonesty Form and submit it to the academic dean for the campus within 72 hours from the student’s receipt of the Academic Dishonesty Form. The dean will provide a copy of the form to the SVPAOLS, and the form will be kept in the student’s permanent academic file.

2. Request review by the academic standards committee. If the student chooses to contest the determination of academic dishonesty or the penalty, the student must sign the Request for Review section of the form and submit it to the academic dean for the campus within 72 hours from the student’s receipt of the Academic Dishonesty Form. The dean will provide a copy of the form to the SVPAOLS, and the form will be kept in the student’s permanent academic file. If the student does not sign and return the Academic Dishonesty Form by the deadline, the determination and penalty will be final.

The academic integrity committee consists of three members selected by the SVPAOLS from the list of individuals below:

- Campus Deans
- System Director of Curriculum
- Dean of the Graduate School
- Associate Provost
- System Program Chairs
- Dean of the School of Nursing
Americans with Disabilities Act Policy - Undergraduate

National American University strives to make its programs and facilities accessible to all individuals, in compliance with Section 504 of the Rehabilitation Act of 1973 and Title III of the Americans with Disabilities Act of 1990. The goal of the university is to create and maintain an environment in which students may achieve their fullest potential, limited to the least extent possible by individual disabilities.

Disability

Recognized disabilities include physical and mental impairments that substantially limit one or more of the major life activities, including walking, seeing, hearing, speaking, learning, breathing, working, taking care of oneself, and performing manual tasks. A temporary medical condition may also qualify as a disability. Examples of temporary disabilities include broken bones, other injuries, and short-term impairments following surgery or medical treatments.

A student is not required to disclose a disability. However, to be considered for an accommodation, a student must submit a request as explained below.

Reasonable Accommodations

A reasonable accommodation is a modification or adjustment to a course, program, service, activity, or facility that enables a qualified student with a disability to have an equal opportunity to attain the same level of performance or enjoy equal benefits and privileges available to students without disabilities. The accommodation sought must be related to the student’s disability and cannot require the university to fundamentally alter programs or services, lower standards, or provide anything “overly burdensome.” Students with disabilities are not automatically entitled to the accommodation they may prefer or have received in other educational settings.

While National American University desires that all students achieve academic success, it does not guarantee success in its offerings and activities. A student must possess the mental capabilities needed to participate in the university’s academic programs and be "otherwise qualified" to meet the academic requirements of the university. A disability may not be so profound that, even with accommodations, the student is unable to perform basic requirements such as analytical reasoning or writing. Students taking online courses or courses with online components must possess the minimum computer skills and software that are required to successfully attend and complete the course. Accommodations will not be provided for the remediation of these basic skills and software.

Requesting an Accommodation

All inquiries and requests for accommodation should be submitted to the System ADA Coordinator, who serves as a resource for students with disabilities, verifies and maintains documentation, considers accommodation requests, and determines reasonable accommodations.

Dr. Meg Whiston
System ADA Coordinator
National American University
5301 S. Highway 16, Rapid City, SD 57701
Telephone: (605) 721-5328 | Fax: (605) 721-5241
mwhiston@national.edu

To request an accommodation:

Step 1 –
Contact your campus Academic Dean or Academic Coordinator and request an ADA Accommodation Request Form.

Step 2 –
Submit a completed ADA Accommodation Request Form and all required documentation to your campus Academic Dean or Academic Coordinator no less than three weeks prior to the beginning of classes, or when a disability becomes known. Required documentation includes the following, provided by a licensed professional:

- A clear statement of the diagnosed disability;
- A description of the functional limitations resulting from the disability as they pertain to the educational environment;
- The duration of the disability; and
- The recommended accommodation(s).

If you request an accommodation for a disability relating to learning or attention difficulties, comprehensive and diagnostic testing may be required, at your expense.
The System ADA Coordinator will review the request and supporting documentation and will communicate with you and other persons as appropriate.

If the System ADA Coordinator determines that an accommodation is warranted, you will receive an ADA Student Accommodation Agreement, indicating the accommodation granted. **Accommodations will not be applied retroactively.**

**Step 3**
Provide each on-ground instructor with a copy of the ADA Student Accommodation Agreement, obtain the instructor’s signature, and deliver the signed Agreement(s) to your campus Academic Dean or Academic Coordinator. If you register for online classes, contact uservices@national.edu prior to the start of each academic term so that the accommodations may be implemented in the online classes.

Contact the System ADA Coordinator if an accommodation is not effectively implemented. If your request for an accommodation is not granted, contact the System ADA Coordinator with any questions you may have. If you wish to have the matter reconsidered, contact the Associate Provost for Academic Administration and Regulatory Affairs. While it is hoped that any concerns can be resolved within the university process, you may also contact the U.S. Department of Justice, Civil Rights Division.

**Americans with Disabilities Act Policy - Doctoral**
National American University strives to make its programs and facilities accessible to all individuals, in compliance with Section 504 of the Rehabilitation Act of 1973 and Title III of the Americans with Disabilities Act of 1990. The goal of the university is to create and maintain an environment in which students may achieve their fullest potential, limited to the least extent possible by individual disabilities.

**Disability**
Recognized disabilities include physical and mental impairments that substantially limit one or more of the major life activities, including walking, seeing, hearing, speaking, learning, breathing, working, taking care of oneself, and performing manual tasks. A temporary medical condition may also qualify as a disability. Examples of temporary disabilities include broken bones, other injuries, and short-term impairments following surgery or medical treatments.

A student is not required to disclose a disability. However, to be considered for an accommodation, a student must submit a request as explained below.

**Reasonable Accommodations**
A reasonable accommodation is a modification or adjustment to a course, program, service, activity, or facility that enables a qualified student with a disability to have an equal opportunity to attain the same level of performance or enjoy equal benefits and privileges available to students without disabilities. The accommodation sought must be related to the student’s disability and cannot require the university to fundamentally alter programs or services, lower standards, or provide anything “overly burdensome.” Students with disabilities are not automatically entitled to the accommodation they may prefer or have received in other educational settings.

While National American University desires that all students achieve academic success, it does not guarantee success in its offerings and activities. A student must possess the mental capabilities needed to participate in the university’s academic programs and be "otherwise qualified" to meet the academic requirements of the university. A disability may not be so profound that, even with accommodations, the student is unable to perform basic requirements such as analytical reasoning or writing. Students taking online courses or courses with online components must possess the minimum computer skills and software that are required to successfully attend and complete the course. Accommodations will not be provided for the remediation of these basic skills and software.

**Requesting an Accommodation**
All inquiries and requests for accommodation should be submitted to the System ADA Coordinator, who serves as a resource for students with disabilities, verifies and maintains documentation, considers accommodation requests, and determines reasonable accommodations.

Dr. Meg Whiston  
System ADA Coordinator  
National American University  
5301 S. Highway 16, Rapid City, SD  57701  
Telephone: (605) 721-5328 | Fax: (605) 721-5241  
mwhiston@national.edu

To request an accommodation:

**Step 1**
Contact the associate dean of doctoral students and request an ADA Accommodation Request Form.

**Step 2**
Submit a completed ADA Accommodation Request Form and all required documentation to the associate dean of doctoral students no less than three weeks prior to the beginning of classes, or when a disability becomes known. Required documentation includes the following, provided by a licensed professional:

- A clear statement of the diagnosed disability;
- A description of the functional limitations resulting from the disability as they pertain to the educational environment;
- The duration of the disability; and
- The recommended accommodation(s).

If a student requests an accommodation for a disability relating to learning or attention difficulties, comprehensive and diagnostic testing may be required, at your expense.

The System ADA Coordinator will review the request and supporting documentation and will communicate with you and other persons as appropriate.

If the System ADA Coordinator determines that an accommodation is warranted, you will receive an ADA Student Accommodation Agreement, indicating the accommodation granted. **Accommodations will not be applied retroactively.**

**Step 3**
The student will provide each instructor with a copy of the ADA Student Accommodation Agreement, obtain the instructor’s signature, and deliver the signed Agreement(s) to the associate dean of doctoral students who will contact uservices@national.edu prior to the start of each academic term so that the accommodations may be implemented in the online classes.

The student will contact the System ADA Coordinator if an accommodation is not effectively implemented. If a student's request for an accommodation is not granted, he/she should contact the System ADA Coordinator with any questions. If the student wishes to have the matter reconsidered, contact the Associate Provost for Academic Administration and Regulatory Affairs. While it is hoped that any concerns can be resolved within the university process, you may also contact the U.S. Department of Justice, Civil Rights Division.
NATIONAL AMERICAN UNIVERSITY STUDENT CONDUCT POLICY

Conduct
As a student at National American University, appropriate conduct and integrity are expected. In some instances of student misconduct, the university will issue a warning or will place the student on disciplinary probation, suspension, or will dismiss the student from the university. Procedural fair play and due process will be provided in every instance. Proper safeguards for the welfare, safety and educational opportunity will be provided for all students.

Institutional obligations include, but are not limited to, upholding the law and maintenance of regulations regarding academic honesty and restricting prejudicial behavior, physical abuse or harassment, impropriety of personal behavior, or illicit use of drugs or intoxicants, especially as these relate to institutional and educational goals. Respect and tolerance are key words in the institutional expectations of students in their interaction with each other and with other members of the university community.

Student Code of Conduct
1. Acts of dishonesty, including but not limited to the following:
   a. Furnishing false information to any university official, faculty member, or office.
   b. Forgery, alteration, or misuse of any university document, record, or instrument of identification.
2. Disruption or obstruction of teaching, administration, disciplinary proceedings, other university activities on or off campus, or of other authorized non-university activities when the conduct occurs on university premises.
3. Physical abuse, verbal abuse, threats, intimidation, harassment, coercion, and/or other conduct which threatens or endangers the health or safety of any person.
4. Attempted or actual theft of and/or damage to property of the university or property of a member of the university community or other personal or public property, on or off campus.
5. Failure to comply with directions of university officials or law enforcement officers acting in performance of their duties and/or failure to identify oneself to these persons when requested to do so.
6. Unauthorized possession, duplication or use of keys to any university premises or unauthorized entry to or use of university premises.
7. Violation of any university policy, rule, or regulation published in hard copy or available electronically on the university website.
8. Violation of any federal, state or local law.
9. Use, possession, manufacturing, or distribution of marijuana, heroin, narcotics, or other controlled substances except as expressly permitted by law.
10. Use, possession, manufacturing, or distribution of alcoholic beverages, or public intoxication.
11. Illegal or unauthorized possession of firearms, explosives, other weapons, or dangerous chemicals on university premises or use of any such item, even if legally possessed, in a manner that harms, threatens or causes fear to others.
12. Participating in an on-campus or off-campus demonstration, riot or activity that disrupts the normal operations of the university and/or infringes on the rights of other members of the university community; leading or inciting others to disrupt scheduled and/or normal activities within any campus building or area.
13. Obstruction of the free flow of pedestrian or vehicular traffic on university premises or at university sponsored or supervised functions.
14. Conduct that is disorderly, lewd, or indecent; breach of peace; or aiding, abetting, or procuring another person to breach the peace on university premises or at functions sponsored by, or participated in by, the university community. Disorderly Conduct includes but is not limited to: Any unauthorized use of electronic or other devices to make an audio or video record of any person while on university premises without his/her prior knowledge, or without his/her effective consent when such a recording is likely to cause injury or distress.
15. Theft or other abuse of computer facilities and resources, including but not limited to:
   a. Unauthorized entry into a file, to use, read, or change the contents, or for any other purpose.
   b. Unauthorized transfer of a file.
   c. Use of another individual's identification and/or password.
   d. Use of computing facilities and resources to interfere with the work of another student, faculty member or university official.
   e. Use of computing facilities and resources to send obscene or abusive messages.
f. Use of computing facilities and resources to interfere with normal operation of the university computing system.

g. Use of computing facilities and resources in violation of copyright laws.

h. Any violation of the university’s Internet, Netiquette, and Prohibited Use policies.

Sanctions

1. The following sanctions may be imposed upon any student found to have violated the Student Code of Conduct:

   a. Warning—A notice in writing to the student that the student has violated university policy.

   b. Probation—A written reprimand for violation of specified university policies. Probation is for a designated period of time and includes the probability of more severe disciplinary sanctions if the student is found to have violated university policy during the probationary period.

   c. Suspension—Separation of the student from the university for a definite period of time, after which the student is eligible to return. Conditions for readmission may be specified.

   d. Permanent Suspension—Permanent separation of the student from the university.

   e. Revocation of admission and/or degree—Admission to or a degree awarded from the university may be revoked for fraud, misrepresentation, or other violation of university standards in obtaining the degree, or for other serious violations committed by a student prior to graduation.

2. More than one of the sanctions listed above may be imposed for any single violation.

Procedure and Appeals

1. Any staff or faculty member may file charges against a student for violations of the Student Code of Conduct. A charge shall be prepared in writing and directed to the campus executive officer within 30 days of the alleged violation.

2. Students who are disruptive, damage university property, or pose a threat to any person on the campus may be immediately suspended and escorted from premises (or removed from the NAU online classroom) by the academic dean or campus executive officer.

3. If the campus executive officer observes or otherwise becomes aware of a violation of the Student Code of Conduct, the campus executive officer or designee may either choose to meet with the student to discuss the concerns or move directly to convene a student conduct committee. For minor or inadvertent violations, the campus executive officer may choose to informally correct the student’s behavior.

4. The student conduct committee will investigate reported violations of the Student Code of Conduct. The committee is composed of the campus executive officer (or designee), the academic dean, a learner services coordinator, and one student. The student must be independent of incident and student under investigation. The student conduct committee will determine if the charge(s) of misconduct have merit and/or if the charge(s) can be disposed of administratively.

5. The student will be provided written notice of the time and date for a disciplinary hearing from the student conduct committee. The disciplinary hearing will be scheduled within 5 days of notification to the student.

6. The student is permitted to be assisted by an advisor (such as a parent, relative, or a member of the university community) present during the disciplinary hearing, but the advisor will not be permitted to speak or participate directly in the hearing. The student will not be permitted to bring an attorney to the hearing.

7. Witnesses with relevant knowledge of the alleged violation of the Student Code of Conduct may be presented on behalf of the student or the university.

8. The student conduct committee’s decision will be provided to the student on the Student Conduct Form within five days of the hearing. If the student conduct committee determines that a violation of the Student Code of Conduct has occurred, appropriate sanctions will be imposed. Sanctions of permanent suspension or revocation of admission and/or degree may only be imposed by the system vice president for academic administration and regulatory affairs upon recommendation from the student conduct committee.

9. The student has a right to appeal the decision of the student conduct committee to the system vice president for academic administration and regulatory affairs for sanctions identified in paragraph 1 a–c. This request must be made on the Student Conduct Form and delivered to the system vice president for academic administration and regulatory affairs within 72 hours of the student conduct committee’s decision. The system vice president for academic administration and regulatory affairs will convene a student conduct appeals committee, composed of three university administrators, to review the proceedings of the student conduct committee. Any sanctions imposed pursuant to paragraph 1 d–e will be automatically appealed to the student conduct appeals committee.

10. The student conduct appeals committee will render a decision within 5 business days after receipt of the student’s appeal. The decision of the student conduct appeals committee is final.
NATIONAL AMERICAN UNIVERSITY APOSTILLES AND AUTHENTICATIONS OF DOCUMENTS FOR INTERNATIONAL USE POLICY

Procedure - Apostilles and Authentications of Documents for International Use
Students from time to time request authentication of various documents for use overseas.

The Office of the Secretary of State provides authentication and apostille services to both U.S. Citizens and foreign nationals for this purpose. Types of documents include educational items such as diplomas, transcripts, and letters relating to degrees.

The apostille stamp is affixed to documents to be used in Hague Convention countries.

Authentication and Apostilles cannot be completed on the same set of documents; a second set must be produced.

The diploma and transcript require a notary public statement affixed, which includes the signature and statement from the stamp signature used on the transcript. Currently this is the registrar. Several notary public officials work at National American University and can provide this service. The notarized paper is stapled together in the upper left hand corner to the bottom left corner of the diploma and the upper right corner of the transcript. This packet of documents then requires the cover letter be affixed with a paperclip.

All documents submitted must include:
• An original signature
• An original South Dakota notary signature
• $5.00 fee per document (check or money order payable to Secretary of State)
• The diploma & transcript are stabled together, so only one $5.00 fee is charged.

A cover letter must accompany the request, and must include:
• The name of the country where the documents will be sent
• A daytime phone number where the individual may be reached for questions
• Information about where the documents should be mailed after processing

(The Secretary of State’s Office uses only first class mail services—for any other mailing/tracking method, a postage paid, addressed envelope must be included)

NAU mails 2nd Day air and provides a postage paid envelope for return service.

Authentications also require the U.S. State Department of Authentications stamp to be completed. This set of documents costs an additional $8 and a form filled out through the Authentications office.


NAU charges to have the authentication and apostille processes completed through the SD Secretary of State Office and the U.S. State Department of Authentication Office.

Authentication - $150
Apostille - $75
Authentication & Apostille (completed at the same time) - $200
**NATIONAL AMERICAN UNIVERSITY CHANGE OF REGISTRATION PROCESSING GUIDELINE POLICY**

**Procedure - Change of Registration Processing Guideline**

**Print and Prepare COR forms**
- Print forms from Change of Reg email (changeofreg@national.edu)
- Circle campus codes at the top of each form
- Stamp top, right-hand corner with "Official Registrar’s" stamp
- Alphabetize forms by campus and student name.

*You must check all filled in portions of the form and return the form to the campus if the information is not correct.*

**Process forms**
- Bring up student in CampusVue
- Go to "Schedule"
- Click on "Term" to sort by term date
- Find courses on schedule screen that are on COR form
- Click to highlight course listed on COR form
- Make sure the term start date in CampusVue matches the term start date on the top of the form. Cross out the date and write the correct term start date on the form if it is not correct.
- Click on "Attendance"
- Check that the last day student posted attendance in the course according to CampusVue matches what the form says (write the correct date on the form if it is not correct)
- Determine the date of determination for each course on the form and write it on the form.
- After you have verified attendance, close the attendance screen and you should be back on the schedule screen
- Highlight the course that is to be dropped
- Click "Drop"
- A prompt will ask "Drop this course from the student’s schedule?"
- Click "Yes"
- Enter the same DOD for the course that is written on the form and a "W" for the grade
- Click "OK"
- The student has been dropped from the course

**Determining the Date of Determination (DOD) for a dropped course**

The DOD is either 14 calendar days after the last posted day of attendance OR the form date, which ever is the earlier of the two dates. The DOD cannot be a date that has not happened yet.

**NOTES**

A student can be "no showed" from a course if they do not post attendance past day 7 of the term.
A student cannot drop a course if attendance has been posted past 60% of the course.
A student cannot be in a zero credit foundations course without also being in a regular course.
NATIONAL AMERICAN UNIVERSITY ELECTRONIC TRANSCRIPT PROCEDURE

Procedure - Electronic Transcript

When an electronic transcript is received, the campus is responsible for verifying and printing the transcript.

The email containing the transcript link must be sent directly to NAU from the sending institution. If the email is sent to the student, the transcript is not accepted as official.

To print the transcript correctly, follow the prompts from the sending institution. Print each page of information when being prompted through the process of obtaining the electronic transcript. Printing each page allows the Registrar’s Office to verify the transcript is official.

To accept the printed copy as official, the original email from the institution and the verification process must be sent with the transcript to the Registrar’s Office. The transcript will not be accepted as official if the verification process and original email are not sent with the transcript.

Please call the evaluator of your campus for assistance, if needed.
**National American University Health & Beauty Management Policy**

Health & Beauty Management Policy

The Health and Beauty Management program prepares the licensed cosmetologist to own or operate a beauty parlor, salon or spa or to manage his or her own booth. This degree is designed for individuals who have earned a cosmetology certificate or diploma and have successfully passed their state board of cosmetology exam. A maximum of 60 quarter credit hours from a cosmetology certificate or diploma program is required to transfer into the health and beauty vocational core. If the 60 credits are not met, the student can make up the remaining credits using business electives (courses coded AC, EC, FN, MG, MT, OL, OM).

Students must have a Cosmetology License. Barber, Esthetician, and Nail Tech degrees are not accepted for the Health & Beauty Management program.

**Requirements:**

- Clear Copy of a Current Cosmetology License
  - (Mail with transcript, do NOT email/scan/fax)
- Official Cosmetology Transcript

OR, if a Cosmetology transcript cannot be obtained due to school closed/no records,

- The State Board of Cosmetology, (from the state the student completed the Cosmetology program), should be contacted for a letter showing the Student’s name, Cosmetology hours completed/Date, and which school the student attended.

  ***Without the requirements above, other transcripts received in the Registrar’s Office will be returned***

Accreditation rules are the same as all other transcripts received. If the school is/was not accredited at the time the student attended, transfer credit will not be awarded from that school.

Some Cosmetology credits may have been earned while in High School. High School credits are NOT acceptable for transfer credit. The student will receive 0 Cosmetology transfer credits if they do not have a College Cosmetology transcript or letter from the State Board.

***These requirements are only for the Health & Beauty Management program. If the student is not enrolled in the Health & Beauty Management program, the Registrar’s Office will not need any of the required documents above.***
NATIONAL AMERICAN UNIVERSITY HEALTH CARE DEGREES POLICY

Procedure - Health Care Degrees

**Health Care Degrees**

*Approved for Option 2 of BS Healthcare Management*

Allied Health Sciences (CCAF Associate of Applied Science degree with at least 44.5 credits in allied health)

- Anesthesiologist Assistant
- Billing and Coding Specialist
- Biomedical Equipment Technology
- Cardiovascular Technologist
- Clinical Laboratory Technician
- Cytotechnologist
- Dental Assisting

**Dental Hygiene/Hygienist**

- Diagnostic Medical Sonographer
- Electroneurodiagnostic Technologist
- EMT – Paramedic
- Exercise Physiology
- Exercise Science
- Healthcare Administration
- Health Information Technology
- Hospital and Health Services Management
- Kinesiotherapist
- Medical Assisting/Assistant (Clinical) (Administrative)
- Medical Billing
- Medical/Healthcare Coding Technology
- Medical Insurance Billing and Coding
- Medical Laboratory Technician
- Medical Office Administration
- Medical Record Technology
- Medical Transcriptionist
- Nursing (LPN) (Practical Nursing)
- Occupational Therapy Assistant
- Ophthalmic Medical Technician
- Optical Science
- Orthotist/Prosthetist
- Perfusionist
- Personal Fitness Trainer

*No for Option 2 of BS HCM*
Pharmacy Technology
Physical Therapist Assistant
Polysomnographic Technologist
Radiologic Technology or Technician (X-Ray)
Respiratory Therapy or Respiratory Therapy Technician
Specialist in Blood Bank Technology
Surgical Assistant
Surgical Technology/Technologist
Therapeutic Massage Therapy

Updated 9/16/14
NATIONAL AMERICAN UNIVERSITY HOLD LETTERS AND NO RECORD LETTERS POLICY

Procedure - Hold Letters and No Record Letters

The following information is a NAU requirement and evaluations will not be completed unless the correct and complete documentation is received by the Registrar’s Office.

• When requesting Hold or No Record letters, ask the academic institution to include the following information if possible: (Student Name, School Name and Address, Sender’s Title).
• It is rare an academic institution will not send documentation verifying a student has a hold or no records are found for the student. **Exhaust all possible resources to obtain a formal letter.**
  • **Postal Mailed Letters**
    This is the preferred method of receiving Hold and No Record letters. Typically these letters are sent on a letterhead.
  • **E-mail or Fax Letters**
    In some instances academic institutions only provide an email or fax indicating a student has a hold or no records were found. Emailed and faxed letters from an academic institution are acceptable.
  • **Transcript Requests**
    Some academic institutions will return a transcript request form and indicate with a note the student has a hold or no record. This form of documentation is acceptable, but not preferred.
  • **Closed Schools/Destroyed Records**
    Some academic institutions may be closed or records may have been destroyed from closed schools. In most instances a governing board such as the State Department of Education or another school will house the records if any are available and will send a letter stating the school is closed or all records have been destroyed. If no letter will be released, document in CampusVue all sources researched and also document a letter will not be sent and the reason the letter will not be sent.
  • **Phone Verification**
    In some instances academic institutions only provide confirmation over the phone that a student has a hold or no records were found. First attempt to receive a letter. If a letter will not be sent, document in CampusVue a letter was requested and will not be sent. Then document the school would only provide verbal confirmation over the phone and include the name of the person who verified the hold and list a contact number for that person.

• Mail all hold and no record letters to the Registrar’s Office along with all other college transcripts.
• If CampusVue indicates a hold or no record letter was received at the campus, but was not sent to the Registrar’s Office with the other transcripts, the transcript packet will be returned to the campus until all documents are received.
• If CampusVue indicates a Hold or No record letter was received from an older date at the campus and the Registrar’s Office did not receive the letters, the letters may need to be requested again. If the campus has a copy of the letters or an email or fax in the campus student file, send the letters to the Registrar’s Office.
• Deleting or altering information previously entered into CampusVue alters a student’s permanent record. If information is incorrect or needs to be updated, create a newly dated entry or create a new activity and document the correction or update.
NATIONAL AMERICAN UNIVERSITY HUMANITIES AND BEHAVIOR/SOCIAL SCIENCE GUIDELINES POLICY

Humanities and Behavior/Social Science Guidelines Policy

Students enrolled at National American University must complete courses in the humanities and behavioral/social sciences to meet the university’s general education core curriculum requirements.

The university offers the following Humanities courses:

- EN2050 Intro to Literature
- EN2500 Legal Writing
- EN3010 Creative Writing
- EN3040 Mass Communications and Society
- EN3120 Classical Rhetoric in a Digital Age
- EN3150 American West Fact and Fiction
- EN3275 Transcultural Literature
- EN3300 Detective Fiction
- HU2150 World Religions
- All ES Coded Courses
- All FL Coded Courses
- All HU Coded Courses

In addition, the university will accept courses in transfer from the disciplines of the arts, creative writing, critical thinking (logic), dance, drama, ethics, languages and linguistics, literature, music, philosophy, photography, religion, and theatre.

The university offers the following Behavioral/Social Science courses:

- EC2050 Macroeconomics
- EC2100 Microeconomics
- EC3100 International Economics
- HI2050 American History Since 1877
- HI2155 World Religions
- HI3500 American West Fact and Fiction
- PS3250 Organizational Behavior
- PS3500 Consumer Behavior
- SO1100 Intro Legal Principles
- SO2120 Domestic Relations
- SO4150 Business and Society
- All PO Coded Courses
- All PS Coded Courses
- All SO Coded Courses

In addition, the university will accept courses in transfer from the disciplines of anthropology, economics, geography, history, human relations, political science, psychology, and sociology.

Other humanities or behavioral/social science courses not listed above will be evaluated for transfer of credit on an individual basis.
# NATIONAL AMERICAN UNIVERSITY IMAGENOW QUEUE BREAKDOWN POLICY

## Procedure - ImageNow Queue Breakdown

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<tr>
<td>Registrar Evaluator</td>
<td>Status sheets, college transcripts, int’l transcripts, grad apps, grad reports</td>
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<td>Colorado Springs South</td>
<td>Georgetown</td>
</tr>
<tr>
<td>Distance Learning Graduate</td>
<td>D/L Expansion</td>
<td>Global Health</td>
</tr>
<tr>
<td>Independence</td>
<td>Ellsworth</td>
<td>Indianapolis</td>
</tr>
<tr>
<td>Lees Summit</td>
<td>Houston</td>
<td>Lewisville</td>
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<tr>
<td>Minnetonka</td>
<td>New Jersey</td>
<td>Mesquite</td>
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<tr>
<td>Overland Park</td>
<td>Rapid City</td>
<td>Richardson</td>
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<td>Rapid City Graduate</td>
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<td>Weldon Spring</td>
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</table>
Wichita
Wichita West
Zona Rosa
Registrar Policies and Procedures

NATIONAL AMERICAN UNIVERSITY IMAGENOW TRANSCRIPT SEARCH OPTION POLICY

Procedure - ImageNow Transcript Search Option
This search will create a list of all of the transcripts which are scanned separately to Image Now.
Transcripts scanned as a group cannot be found by using this search.

Step-by-Step Instructions:
1. Click on Documents
2. Click on Registrar Office
3. Click the “Search” tab at the top of the screen
4. Click the GREEN (+) sign
5. Constrain by: Change to “Document Property”
6. Type: Normal
7. Field: Change to “Notes”
8. Operator: Works best as “equal to” or “starts with”
9. Value: Type in the transcript word or phrase you want to find.
10. Click on OK
11. Click on GO
12. Click on the phrase: “Notes is equal to...” –OR– “Notes starts with…” to change the search.

Institution Abbreviations:
College = Coll
Community = Comm
Institute = Inst
International = Int’l
Junior = Jr
Saint = St
Technical = Tech
University = Univ

* No states are being abbreviated
* No periods are being used
NATIONAL AMERICAN UNIVERSITY INTERNATIONAL EVALUATION PROCEDURE

Procedure - International Transcript Evaluation

Effective immediately, this will be the process for the evaluation of international documents for acceptance to the university and for documents submitted for evaluation of possible transfer credit from international schools. Please refer to the NAU catalog, pages 11-14, for additional admissions requirements. This new process replaces Item #3 under regular admission and Item #2 under admission for international students.

For admission to one or more of National American University’s diploma or degree programs, a student educated outside of the U.S. must:

1. Produce an original General Education Development (GED) examination report demonstrating passing marks for an overall examination; OR

2. Produce an official transcript from an accredited domestic college or university certifying a degree of two years or more on the transcript. This transcript must be ordered by NAU just like any other transcript is ordered for credit evaluation. Student held documents are considered UNOFFICIAL. When a domestic college document is sent for this purpose, it must be clearly marked on the document that it is to be used first to clear high school. If other domestic transcripts are to be sent for transfer evaluation, the evaluator for that campus will hold the transcript sent up first for high school clearance until all college documents ordered are received for evaluation; OR

3. Produce an official document evidencing completion of the equivalent of a U.S. high school education. This must be in the form of a credential evaluation report from one of the approved services (see list attached) which certifies completion of high school based on documents evaluated, or certifies a college degree of two years or higher (U.S. equivalent) from an accredited college or university abroad. This report must be an original report and must include copies of all documents evaluated by the service. Credential evaluation reports are ordered and paid for by the student and are NOT returned after receipt by NAU as they become the original document for the student file. If the name on the credential report/documents evaluated is different than the name the campus has for that student, a name change document will also be required at the time documents are sent to Central. (a copy of the name change document is sufficient) *

When a student has college transcripts from abroad which must be evaluated for transfer credit, the student must:

1. Produce a credential evaluation report from one of the approved services (see list attached). This report must be an original report and must include copies of all documents evaluated by the service. If the service does not provide copies of documents evaluated, then the student is responsible to attach copies. Credential evaluation reports are ordered and paid for by the student and are NOT returned after receipt by NAU as they become the original documents for the student file. If the name on the credential report/documents evaluated is different than the name the campus has for that student, a name change document will also be required at the time documents are sent to Central. (a copy is sufficient)

2. Credential evaluation reports and document copies must be sent with all domestic transcripts so that ALL transcripts arrive together for evaluation.

Effective immediately, all students with international documents will be required to submit them to a credential evaluation service as per the directions above.

*PLEASE BE AWARE that the use of a two year degree or higher to meet the high school requirement as described above may not meet the new Financial Aid requirements for the award of Federal Financial Aid. For a two year degree or higher to be used to clear high school and qualify the student for FA, all credits listed on the transcript must be transferrable to a degree program at NAU.

If you have questions about how this requirement applies to documents submitted by a particular student, please contact your Financial Aid advisor.
NATIONAL AMERICAN UNIVERSITY JST TRANSCRIPT REQUESTS PROCEDURE
Army/Coast Guard/Marines/Navy

Procedure - JST Transcript Requests - Army / Coast Guard / Marines / Navy

1. **The student is responsible for requesting JST transcripts.**
   - How a student can register for a JST account: https://jst.doded.mil
   - How to order transcripts once student has registered account: https://jst.doded.mil/official.html

2. **How to establish an account for your campus location to receive electronic transcripts:**
   - To have an account established to enable online viewing of official JSTs for your institution, please send the name, e-mail address, and phone number for each point-of-contact you wish to have an account established. (Include the transcript processor and Academic Dean) Please also include the physical mailing address for the campus you need the account established, as this will ensure the account is established for the correct location.

   Requests should be sent directly to the JST Tech/Operations Center: jst@doded.mil
   - Please reference this link when setting up your account and read thoroughly: https://jst.doded.mil/institution.html
   - For any point of contact changes, email jst@doded.mil with the name of the individual to remove and the name, e-mail and direct phone number of the new point of contact.
NATIONAL AMERICAN UNIVERSITY RECORD RETENTION AND DESTRUCTION POLICY

Record Retention and Destruction Policy

Purpose

This Record Retention and Destruction Policy (this “Policy”) provides for the systemic review, retention and destruction of documents received or created by National American University (“NAU”). This Policy covers all records and documents, regardless of physical form, and contains guidelines for how long certain documents should be kept and how and when records should be destroyed. NAU is committed to effective record retention to preserve its history, maintain compliance with federal and state law, optimize the use of space, minimize the cost of record retention and ensure that outdated and useless records are destroyed.

Scope

This Policy is applicable to all NAU employees, including deans, faculty and administrative staff, as well as NAU students and anyone accessing NAU records who create, maintain, use or dispose of NAU records.

All records produced or received by any employee of NAU in the transaction of NAU business are the property of NAU and subject to this Policy. NAU records should be maintained according to the Record Retention Guidelines (the “RRG”) attached to this Policy, which serves as the formal institutional policy for the retention and disposition of all types of records. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of the RRG.

No NAU records shall be discarded, destroyed or transferred from the custody of NAU or otherwise disposed of prior to the period specified in the RRG. As it is not possible for the RRG to be exhaustive, please follow all regulatory guidelines when determining if a record not included in the RRG needs to be maintained or destroyed, or consult the NAU’s compliance officer.

Policy

NAU requires record retention and disposal to be a standardized process. NAU requires that different types of records be retained for specific periods and has designated official repositories for their maintenance. These records must be managed according to procedures that are outlined in this Policy and the specific RRG which list documents and their retention periods.

This Policy is intended to ensure that NAU:

• Complies with state and federal laws addressing record retention
• Optimizes the use of electronic and physical storage space
• Minimizes the cost of record retention
• Maintains the history of NAU
• Destroys outdated and useless records

All NAU records are the property of NAU regardless of their physical location, even when they are in the possession of individuals and, as such, may not be permanently removed from NAU or destroyed except in accordance with this Policy. No NAU faculty, staff, student or volunteer, by virtue of his or her position, has any personal or property right to such records even though he or she may have developed or compiled them.

Definitions

For the purpose of this Policy, “record” shall be defined as:

any papers, books, photographs, tapes, films, recordings or other documentary materials, or any copies thereof, regardless of physical form or characteristics, made, produced, executed or received by any agency, officer or employee of NAU in the transaction of its business. Not included in the definition of records as used in this Policy are faculty research or lecture notes, library materials and materials not published by NAU.

The term “electronic record” means any record that is created, received, maintained or stored on NAU local workstations or central services. Examples include, but are not limited to:

• Electronic mail (e-mail)
• Word processing documents and spreadsheets
• Webpages
Databases – all data generated via automated information systems including but not limited to student records, academic records, financial accounting records and payroll records.

“Official records” are the records maintained by the various NAU departments or units. Examples include, but are not limited to:

- Business Office – all financial records and payroll records
- Information Technology Department – electronic records
- Registrar’s Office – student academic records
- Provost Office – faculty records
- Human Resources Office – personnel records, employee insurance records
- President’s Office – Board minutes
- Financial Aid Office – Eligibility, awarding, exit counseling, and data transmission
- Student Accounts Office – reports, ledgers, student billing, and student institutional loan records

Types of Records

The RRG lists several categories of records, as well as specific records that contain specific retention periods. All records not provided for in the RRG or described herein shall be classified into three types: (1) Temporary Records, (2) Final Records, and (3) Permanent Records.

Temporary Records

Temporary records include all NAU documents that have not been completed. Such records include, but are not limited to, dictation to be typed in the future, reminders, etc.

Temporary records can be destroyed or permanently deleted if in electronic form at any time.

Final Records

Final records include all NAU documents that (i) are not superseded by modification or addition, or (ii) given or sent (via electronic form) in draft or temporary form to any third party. Final records include, but are not limited to, documents given or sent to any third party not employed by NAU, including final memoranda and reports, correspondence, handwritten telephone memoranda not further transcribed, etc. All accounting records shall be deemed final records.

Except as provided for in the RRG, all final documents are to be discarded ten (10) years after the close of a project.

Permanent Records

Permanent records include all business documents that define the scope of NAU’s activities and functions, publications and expressions of professional opinions. Permanent records include, but are not limited to contracts, proposals, materials referencing expert opinions, annual financial statements, federal tax returns, payroll registers, copyright registrations, patents, etc. Except as provided for in the RRG, all permanent documents are to be retained indefinitely.

Storage

Tangible Records

Tangible records are those required to be physically moved to store, such as paper records (including records printed versions of electronically saved documents), photographs, audio recordings, advertisements and promotional items. Active records, records that need to be easily accessible and inactive records may be stored in NAU’s office space or equipment.

Electronic Records

Electronic records should be either printed and stored as hard copies or saved to the network if they contain information that is required to be retained according to the RRG.

Destruction/Deletion

Tangible Records

Tangible records should be destroyed by shredding or some other means that will render them unreadable.

Electronic Records

E-mail records must be deleted according to the RRG. Where duplicate records are involved, both copies must be destroyed/deleted where proper.

Record of Destruction/Deletion
A list of files destroyed will be maintained permanently.

Cessation of Record Destruction/Deletion

In the event of a governmental audit, investigation or pending litigation, record disposition may be suspended at the direction of the compliance officer or deputy compliance officer. When litigation against NAU or its employees is filed or threatened, the law imposes a duty upon NAU to preserve all documents and records that pertain to the issues. As soon as NAU is made aware of pending or threatened litigation, the compliance officer or deputy compliance officer will notify the appropriate NAU employees. The litigation hold directive overrides any records retention schedule that may have otherwise called for disposal or destruction of relevant documents. The compliance officer or deputy compliance officer will inform employees when the litigation hold is cleared.

Any electronic documents such as e-mail and computer accounts will need to be immediately maintained by the appropriate departments as well as IT until the hold is released. No employee who has been notified of a litigation hold may alter or delete any electronic record that falls within the scope of that hold. Violation of the hold may subject the individual to disciplinary action, up to and including termination of employment, as well as personal liability for civil and/or criminal sanctions by the courts or law enforcement agencies.

NAU Archives

(This section is currently under development.)
National American University Re-entry and Re-enroll Procedures

Procedure - Re-entry and Re-enroll

Re-entry / Re-enroll applications should be sent to reenroll-reentry@national.edu. Applications cannot be processed from personal email addresses. Each campus should have one point of contact for sending and receiving re-entry /re-enroll applications and communication.

Applications are printed and processed Monday – Friday starting at 8AM MST and at 3PM MST. Anything received after 8AM will be processed at 3PM, anything received after 3PM will be processed the following business day.

Before submitting a Re-entry or Re-enroll, please check for the following:

- Original enrollment application
  - All re-enrolls and re-entries must have the original paper enrollment application or an enrollment agreement on file in the Registrar’s Office before they are processed.
- High School – Official/ Final (Re-entry students only)
  - Re-entry students must have their High School Official/Final or they will be placed on Registration Hold.
- Nursing students - ASN or BSN Orientation completed and documented in Activities
- Change of Program (COP)
  - Change of Program forms must be signed by the student and dean and be scanned and attached to the re-entry/re-enroll. Sending the COP for a re-entry/re-enroll to the COP email will delay processing.
  - If a student re-enters and was previously in a program that is no longer available, ie. Travel and Tourism, a program change must be submitted before the application can be processed.
  - Students who have graduated must submit a program change form to add another program.
  - Students changing from the graduate program back to an undergraduate program must complete a Change of Campus (COC) and Change of Program (COP) form. If the student has never attended an undergraduate campus, a new enrollment agreement must be completed.
- Change of Campus (COC)
  - Change of Campus forms must be signed and dated by both campus directors and be attached to the re-entry or re-enroll, which speeds up the processing.
  - Students who have been out more than 5 consecutive years do not require a change of campus form.
- Is the student registered for classes?
  - Students registered for classes for one term cannot be re-enrolled for another term until classes are unregistered. For example, a student with Fall classes (9.8.14) cannot be re-enrolled for Fall Interim (9.29.14) until the Fall classes are unregistered from CampusVue.

Note: If required information is missing and the Re-entry/Re-enroll cannot be processed, the campus is emailed immediately with information regarding why the application cannot be processed. The application is printed into ImageNow, attached to the student as a Pending Application and information is added to the "Notes" section of the document regarding what is missing. Campus DOA’s have access to view the Pending Applications in ImageNow.
NATIONAL AMERICAN UNIVERSITY REGISTRAR'S MAIL LIST POLICY

Procedure - Registrar's Mail List

Kay
ALL Campus Transfers
ALL Graduate Paperwork
ALL Incomplete Forms

Diane
ALL Academic Dishonesty Forms
ALL Attendance Paperwork
ALL CLEP/DANTES for students not in CampusVue
ALL Grade Changes
ALL Student Information Change Form

Grad Apps, COPs for:
Bloomington
Brooklyn Center
Burnsville
Centennial
Denver
Independence
Lee’s Summit
Minnetonka
Overland Park
Rochester
Roseville
Sioux Falls
Watertown
Weldon Springs
Wichita
Wichita West
Zona Rosa

Grad Apps, COPs for:
Albuquerque
Albuquerque West
Allen
Austin
Austin South
Bellevue
Colorado Springs
Colorado Springs South
Distance Learning
Ellsworth
Georgetown
Houston
Indianapolis
Lewisville
Mesquite
Rapid City
Richardson
Tigard
Tulsa

NOTE: WHEN STACKS OF GRAD APPS ARE RETURNED FROM STUDENT ACCOUNTS WITH THE BOTTOM SECTION FILLED IN, PLEASE LEAVE THEM IN THE ENVELOPE THEY CAME IN. THEY DO NOT NEED TO BE DATE STAMPED.
Procedure - Registrar's Office Processing Information

Change of Campus (COC)
COC forms may be sent to the Registrar’s Office via fax, email or interdepartmental mail. If the COC is being done with a Re-entry/Re-enroll application it must be sent with the application to the Re-entry/Re-enroll email. All required signatures must be on the form before it will be processed.

- New, Re-entry and Re-enroll students will be processed daily, as time allows. If required information is missing and the COC cannot be processed, the campus is emailed with information regarding why the COC cannot be processed.
- Current & current term dropped students are processed during the quarter break. The COC must first be cleared by Central Student Accounts.

Change of Program (COP)
COP forms and a tentative evaluation need to be emailed to the COP email changeofprogram@national.edu with all required signatures included.

- Active students will be processed during the quarter break per Central Financial Aid request.
- New or Re-entry students will be processed during the quarter as time allows.
- Drop, No Show, or Inactive students will be processed when the Re-entry or Re-enroll application is received and processed.

Change of Registration (COR)
COR forms should be sent to changeofreg@national.edu. Forms are printed every morning at 8:00AM MST.

- COR forms are processed every day. If required approvals/information is missing and the COR cannot be processed, the campus is emailed immediately with information regarding why the COR cannot be processed. The campus needs to resubmit all information to the COR email before the COR will be processed. Processed COR forms are emailed to Central Financial Aid and Central Student Accounts the day they are processed.

Re-entry/Re-enroll
Re-entry /Re-enroll applications should be sent to reenroll-reentry@national.edu. Applications are printed and processed Monday – Friday at 8:00AM MST and at 3:00PM MST. Depending on volume, it may take several hours to process all received applications.

- If required information is missing and the Re-entry/Re-enroll cannot be processed, the campus is emailed immediately with information regarding why the application cannot be processed. The application is printed into ImageNow, attached to the student in Pending Applications and information is added to the “Notes” section of the document regarding what is missing.
- Re-entries with COC’s and/or COP’s or who have been out more than four quarters require additional processing time.
- Re-enrolls moving from one academic year to the next require additional processing time.
- All students in a graduate status require a change of program.

Evaluations

New Evaluations
Transcript packets are received daily in the Registrar’s Office via interdepartmental mail. Mail is opened, date stamped and distributed. Contact Manager Activities for all college transcripts received are updated and assigned to the proper evaluator.

- New evaluations are completed by the evaluators within 3 business days and are sent to the campus within 2 additional business days for a total of 5 business days. During each quarter start, these times may be pushed back due to high volume.

Change of Program (COP) Evaluations

- COP’s for Active students are processed during quarter break.
  - Evaluations for COP forms processed during the quarter break are completed as time allows due to the high volume.
- COP’s for New or Re-entry students are processed during the quarter.
  - Evaluations for COP forms received during the quarter are completed as time allows, most being completed within 5 business days.
Re-entry/Re-enroll Evaluations

Re-entry/Re-enroll evaluations are completed as time allows, most being completed within 5 business days.
NATIONAL AMERICAN UNIVERSITY ROTATING IMAGES IN IMAGE NOW POLICY

Procedure - Rotating Images in ImageNow

To add Save Image Rotation to Server icon to your toolbar:

- Open Document
- Click View on the top toolbar
- Highlight Toolbars
- Click Customize
- Click on the Commands tab
- Highlight View in the Categories box
- Click and drag Save Image Rotation to Server to your main toolbar

To rotate document:

- Click the blue arrow to Rotate 90° Right or Rotate 90° Left according to what you need
- Once the document is in the orientation you want, click the Save Image Rotation to Server
- The rotated image is now saved
National American University Sending College Transcripts to Registrar's Office Guidelines

Procedure - Sending College Transcripts to Registrar's Office Guideline

1. **Student Enrollment**
   All students must be enrolled with NAU for transcripts to be accepted for evaluation.
   
   **NOTE:** If a student is showing "app received" or "pending applicant" status in CampusVue the transcripts will be returned to the campus.

2. **Admissions Application, Self Certification, High School Transcript and GED Transcript**
   - Photocopy the forms sent to the Registrar’s Office and retain the photocopies for the student’s record at the campus.
   - Send the Self Certification Statement, High School Transcript or GED Transcript to the Registrar’s Office before the college transcripts are sent to the Registrar’s Office.
   
   **NOTE:** If the original Admissions Application is not on file at the Registrar’s Office at the time the college transcripts are received, the college transcripts will be returned to the campus.

3. **Cover Sheet and Transcripts**
   - Complete one cover sheet per student (not one cover sheet per transcript).
   - Print clearly and ensure all information is correct, most importantly the student’s name, student ID number and campus.
   - Order the transcripts received from oldest dates to newest dates from when the student took the courses. (Don’t factor in transfer credit dates if they are listed, simply look for actual dates the student attended the school).
   - Use only one staple for all documents. Attach the cover sheet to the upper left hand corner of the packet, across the short side of the transcripts. (Staple should be in the upper left hand corner of packet) Do not use paper clips.
   - Do not attach transfer request forms or copies of transcripts.
   - Do not attach envelopes. If the transcripts state they were "Issued to Student", regardless if it was mailed directly to NAU, they will still be considered Unofficial and will need to be reordered.
   - Do not send credit card information or checks to the Registrar’s Office. If a check is being returned, send it to the Business Office.

4. **Requesting Transcripts**
   **Collecting Transcripts**
   - Confirm with the student the list of schools they attended.
   - Confirm with Financial Services the list of schools which should be requested.
   - If a school is closed, utilize resources such as the Department of Education, Google, the student, etc. to research where or who possesses the records. If no records are found after exhausting all resources, document no records found in CampusVue. If records have been destroyed, document in CampusVue.
   - Request all transcripts be mailed to the campus where the student is enrolled.
   - Photocopy all transcripts received for a student and retain the copies for the student’s record at the campus before sending the original documents to the Registrar’s Office.

   **Transfer Credit**
   - Look for transfer credit on all transcripts received. Transfer credit is usually listed at the beginning or end of the transcript. However, it may be listed throughout the transcript. Most transfer credit is listed as "Transfer Credit", "TC", "TR" or a different school name may be listed on the transcript, including military credits.
   - If transfer credit is listed, request the transcript, unless it has already been requested.
   - If a transcript lists transfer credit but no school name, contact the student, financial services or the college listing the transfer credit to determine where the transfer originated.
   
   **NOTE:** When any new transcript is received, look for transfer credit. College transcripts will be returned to the campus if a transcript is missing for a student.

   **Official Transcripts**
• Transcripts must be sent directly to your campus to be accepted as official. Transcripts hand delivered by students either in a sealed or non-sealed envelope are unofficial.

• Transcripts issued to NAU are official. Transcripts issued to students are unofficial.

• Official transcripts have a signature and/or seal.

• If a transcript is student issued and/or does not have a signature and/or seal, re-request the transcript with corrections made. Example: College issued instead of student issued. Seal and/or signature added.

• The campus cannot pick up transcripts. Transcripts must be mailed or will be considered unofficial.

• Although mailed directly to NAU, in a sealed envelope, if transcripts states "Issued to Student", the transcript will still be considered unofficial.

**Date of Birth**

• Verify the DOB matches the student’s information in CampusVue.

• If the DOB is incorrect in CampusVue: 1. Contact the student and make arrangements to secure a copy of their Driver’s License. 2. Ensure the Driver’s License copy is clearly readable. 3. Attach the name change form (cross out name and pencil in DOB change) and send it with the Driver’s License copy by campus mail to Diane Lang.

• If the DOB is correct in CampusVue: 1. Order a corrected transcript. 2. Return the transcript to the Registrar’s Office once the new transcript has been received.

**Social Security Number**

• Verify the SS# matches the student’s information in CampusVue.

• If the SS# is incorrect in CampusVue: 1. Contact the student and make arrangements to secure a copy of the SS card. 2. Ensure the SS card copy is clearly readable. 3. Attach the SS# change form and send it with the SS card copy by campus mail to Diane Lang.

• If the SS# is correct in CampusVue: 1. Order a corrected transcript. 2. Return the transcript to the Registrar’s Office once the new transcript has been received.

**Student Names**

• Use red ink to parenthesize previous names and write the current name on each page of the transcript needing updated. (Ex. Suzie Brown changed her name to Suzie Johnson. Parenthesize (Brown) and write Johnson next to the parenthesized name on each page of the transcript needing updated.)

• Use this procedure for first names and last names.

**Hold and No Record Letters**

• Refer to Hold and No Record Letters document.

**College Board - AP Scores, CLEP and DANTES**

• Advanced Placement (AP) Scores, CLEP and DANTES are transcripts which need to be requested.

• College Board issues AP Scores, CLEP and DANTES transcripts. http://www.collegeboard.org

**Military Transcripts**

• JST Army / Coast Guard / Marines / Navy: https://jst.doded.mil/official.html

• Also refer to the JST Transcript Procedure document.

**Electronic Transcripts**

• When an electronic transcript is received, the campus is responsible for verifying and printing the transcript.

  • The email containing the transcript link must be sent directly to NAU from the sending institution. If the email is sent to the student, the transcript is not accepted as official.

  • To print the transcript correctly, follow the prompts from the sending institution. Print each page of information when being prompted through the process of obtaining the electronic transcript. Printing each page allows the Registrar’s Office to verify the transcript is official.

  • To accept the printed copy as official, the original email from the institution and the verification process must be sent with the transcript to the Registrar’s Office. The transcript will not be accepted as official if the verification process and original email are not sent with the transcript.

• Please call the evaluator of your campus for assistance, if needed.

5. **CampusVue Activities**

Refer to the CVue Activities document for more information.
High School Transcripts

- Do not use the "College Transcript" or "College Transcript to Registrar" activities for documenting or sending High School transcripts to the Registrar’s Office.

"CTRF – College Name" Activity

- Refer to College Transcript Request Process document

"College Transcript Needed" Activity

- This activity should be used when the student has not completed a TRF and ordered their transcript or in the instance when the student cannot order the transcript online.
- It may also be used if a student requests a transcript on their own to be sent to NAU directly and it was not done through the student portal or the campus.
- Do NOT assign this activity to the Registrar’s Office when sending transcripts.

Example:
7/1/13 – ba Waiting on TRF for Univ of Phoenix
7/3/13 – ba Received TRF, Transcript ordered.

Or
7/1/13 – ba Received TRF for Univ of Phoenix, student cannot order through Student Portal.
7/5/13 – ba Received Official transcript.

Or
7/1/13 – ba Received Univ of Phoenix – Student ordered.

Closing Activities

- All activities should be left as pending until the final outcome for the transcript has been received.
- Once the activity is complete, close the activity base upon the following choices:
  - "Transcript No Record"
  - "Transcript on Hold"
  - "Transcript Received"

"College Transcript to Registrar" Activity

- Create one "College Transcript to Registrar" activity once ALL transcripts have been received.
- When ALL transcripts are ready to be sent, assign the "College Transcript to Registrar" activity to "Registrar, College Transcript To" and immediately send the transcripts to the Registrar’s Office via campus postal mail.
- If additional college transcripts, hold letters or no record letters are ordered after the initial mailing of college transcripts and/or letters are sent, document the additional transcripts and letters in the same "College Transcript to Registrar" activity. Do not create a new "College Transcript to Registrar" activity.

Example "College Transcript to Registrar" activity:
12/26/12 ws Sending 2 of 2 Official transcripts Sending 1 of 1 hold letter to the Registrar’s Office

NOTE: Do not abbreviate too much when creating activities, enough information should be documented so anyone can easily determine what is written. For example: “UP" might be interpreted as Univ. of Pennsylvania or Univ. of Phoenix.
- The evaluator will close the activity with "Task Completed" once the evaluation is complete.

6. Receiving Additional Transfer Credit

Course Description & Course Syllabus

If additional transfer credit is requested after a student’s initial evaluation is completed by the Registrar’s Office, the campus is asked to request a course description and/or course syllabus for the same course (code and name) and date (term and year) the student was actively taking the course.

Course description and course syllabus information may be submitted by e-mail to the evaluator in the Registrar’s Office.

7. Nursing Students

Nursing Orientation
• Nursing students must complete nursing orientation before an evaluation is completed.
• Verify the completion of Nursing Orientation in CampusVue before sending college transcripts to the Registrar’s Office.
• The following activities in CampusVue verify a student’s completion of Nursing Orientation for the Associate or Bachelor programs:

ASN Foundation Core – Task Complete
BSN Foundation Core – Task Complete

NOTE: If the Nursing activity does not show "Task Complete" the college transcripts will be returned to the campus.

Nursing Student Transfer Election
• When submitting a Nursing Student Transfer Election, fully complete the form and submit the form along with all college transcripts to the Registrar’s Office at the time of the student’s first evaluation.
• NOTE: If the Nursing Student Transfer Election does not accompany the college transcripts, the form will not be accepted and the student will receive transfer credit for all applicable courses.
National American University Admission Criteria for BSN and Articulation Policy for LPN to BSN Students Policy

Bachelor Degree Nursing Program (BSN)

Subject: Admission Criteria for BSN and Articulation Policy for LPN to BSN Students

Admission to the nursing foundational core is based on the National American University admission criteria.

Date: Revised June 27, 2012

Policy: Admission to the nursing foundational core does not guarantee admission in the nursing clinical core. Admission to the nursing clinical core is selective and highly competitive. Completed applications must be received at least 90 days prior to the start of each nursing clinical core cohort; the application deadline is June 1* for the following fall quarter start.

The criteria to be eligible for application to the clinical core of the BSN program:

Admission to National American University (NAU) must be made before application to the clinical core.

All foundational core courses must be completed by the clinical core application deadline.

Minimum cumulative grade point average (CGPA) of 2.8 on all nursing foundational courses must be accomplished.

All required foundational core courses must be completed with a minimum grade of "C."

All science courses must have been completed within five (5) years of application to the nursing foundational core.

Applicant must provide a copy of state specific verification of active certification of a nursing assistant (CNA), licensed vocational nurse (LVN), or licensed practical nurse (LPN).

Prior to application to the nursing clinical core, applicants must successfully complete a pre-entrance examination, Test of Essential Academic Skills (TEAS). The student must take the TEAS test at a NAU School of Nursing campus program location or arrange for an official transfer of the scores from Assessment Technologies Institute (ATI) to the program of application. The TEAS provides means to determine the potential for professional competency. The TEAS score will remain valid as entry criteria for six months. Applicants may retake the test if desired in an attempt to gain a higher score with no less than 14 days between testing.

Acceptance is based on the overall ranking of the following items:

- TEAS test scores.
- CGPA of foundational core courses.

Students who have completed nursing foundational course work at NAU will be given priority consideration but not guaranteed admission into the nursing clinical core.

Prior completion of a bachelor’s or master’s degree in any program of study.

Grades from Human Anatomy and Physiology I and Human Anatomy and Physiology II.

The following items must be submitted with the application (the cost of the items is the student’s responsibility):

- Completed application. Incomplete applications will not be considered for admittance.
- Non-native English speaking students must provide evidence that they are in compliance with the university and the respective state board of nursing requirements for English competency**.
- Successful background check through an agency selected by the NAU School of Nursing.
- State specific verification of active CNA, LVN, or LPN must be on the completed application for admission into the nursing clinical core.
- Copy of current active CPR certification (American Heart Association for Healthcare Providers).
- Evidence of a health examination (current within six month of admission) if applicable. Check with the respective program office.
- Evidence of active health insurance.
- Evidence of up-to-date immunizations or evidence of serologic immunity as required by clinical agencies signed by a healthcare provider.
Prior to applying to the nursing program clinical core, students must meet with the financial service representative at the respective campus to discuss program costs. This advising session will be documented in the student application packet.

The following policy applies ONLY to the LPN Bridge to BSN program offered at the NAU Overland Park and Wichita West, Kansas campuses.

**Date:** Revised June 27, 2012

**Policy:** LPNs who desire to become professional nurses with a BSN degree will take the NS3315 LPN to RN Transition course. Admission for articulation is based on academic criteria and complies with Kansas State Board of Nursing policies, 1202 commission report, and follows recommendations of the Council for Nursing Articulation in Kansas.

All LPNs will make application for acceptance into the BSN program and complete the following requirements. Acceptance is based on available resources and overall ranking in the following areas:

Admission to NAU must be made before application to the nursing clinical core.

In-state applicant must be a graduate of a Kansas State Board of Nursing approved practical nursing school/program with a CGPA of 2.8 or above. Individual evaluation of credits will be accomplished by reviewing an official transcript from the previous nursing school/program and course syllabi. Validation of nursing competencies in selected skill sets will be conducted following the recommendations of the Council for Nursing Articulation in Kansas. Non-nursing course credits may be transferred according to NAU policy.

Out-of-state graduates from other state board of nursing approved practical nursing schools/programs will be evaluated individually by reviewing applicants’ official transcripts and course syllabi. Validation of nursing competencies in selected skill sets will be conducted following the recommendations of the Council for Nursing Articulation in Kansas. Non-nursing course credits may be transferred according to NAU policy.

Current active unencumbered LPN license from any state within the United States.

The NS3315 LPN to RN Transition course, 4.5 credit hours, to be taken in the fall quarter with provisional admission into the nursing clinical core. This course must be completed with a minimum grade of "C" to gain full admission status. Failure to meet this requirement will result in removal from the program.

Nine (9) credit hours will be held in escrow for the LPN bridging student. The student must successfully pass the first nursing courses NS3320D, NS3330, and NS3331 to have the nine (9) hours credits fully transferred/accepted into the program.

Students who have completed nursing foundational course work at NAU will be given priority consideration but not guaranteed admission into the nursing clinical core.

Criteria to be considered for acceptance into the nursing clinical core:

- Minimum CGPA of 2.8 on all nursing foundational courses must be accomplished by the student.
- All nursing foundational courses must be completed by application.
- All nursing foundational core courses must have been achieved with a minimum grade of "C."
- All science courses must have been completed within five (5) years of application to the nursing foundational core.
- All nursing foundational core courses may be transferred into the program.

Prior to application to the nursing clinical core, applicants must successfully complete a pre-entrance examination, TEAS. The student must take the TEAS test at a NAU School of Nursing campus program location or arrange for an official transfer of the scores from ATI to the program of application. The TEAS provides means to determine the potential for professional competency. The TEAS score will remain valid as entry criteria for six months. Applicants may retake the test if desired in an attempt to gain a higher score with no less than 14 days between testing.

* For a new start BSN clinical core, the application timeline may be modified.

** NOTE: Per Kansas State Board of Nursing requirements, non-native English speaking students at the Overland Park and Wichita West, Kansas campuses must successfully pass, meeting the required minimum scores, one form of testing of the official Test of English as a Foreign Language (TOEFL). The two forms of testing are the Test of English as Foreign Language (TOEFL iBT) or the Test of Spoken English (TSE). The TOEFL-iBT minimum requirements to pass are with writing 20; speaking 20; reading 19; listening 20 (each area must meet the minimum requirements). The TSE minimum score is 50.

The general education transfer courses for the nursing foundational core must meet the same NAU admission criteria. All nursing prefix (NS) courses must be completed at NAU.
NATIONAL AMERICAN UNIVERSITY ADMISSION CRITERIA FOR THE ASN CLINICAL CORE POLICY

Associate Degree Nursing Program (ASN)

Subject: Admission Criteria for the ASN Clinical Core

Admission to the nursing foundational core is based on the National American University admission criteria.

Date: Revised June 27, 2012

Policy: Admission to the nursing foundational core does not guarantee admission in the nursing clinical core. Admission to the nursing clinical core is selective and highly competitive.

Completed applications must be received at least 90 days prior to the start of each nursing clinical core cohort. Spaces for the nursing clinical core are assigned on a competitive and space available basis for each admission period.

Acceptance is based on available resources and overall ranking in the following areas:

Admission to National American University (NAU) must be made before application to the nursing clinical core.

Students who have completed nursing foundational course work at NAU will be given priority consideration but not guaranteed admission into the nursing clinical core.

Criteria to be considered for acceptance into the nursing clinical core:

- Minimum cumulative grade point average (CGPA) of 2.8 on all nursing foundational courses must be accomplished by the student.
- All nursing foundational courses must be completed by application.
- All science courses must have been completed within five (5) years of application to the nursing foundational core. All science courses must have been achieved with a minimum "C."
- General education nursing clinical core courses (SC1201, SC1370, PS2000, SO1050, or PS1050) may be completed prior to acceptance into the nursing clinical core. They are not nursing foundational courses and will not be calculated into the nursing foundational core needed 2.8 CGPA.
- State specific verification of active certification of a nursing assistant (CNA) must be on the completed application for admission into the nursing clinical core.

Prior to application to the nursing clinical core, applicants must successfully complete a pre-entrance examination, Test of Essential Academic Skills (TEAS). The student must take the TEAS test at a NAU School of Nursing campus program location or arrange for an official transfer of the scores from Assessment Technologies Institute (ATI) to the program of application. The TEAS provides means to determine the potential for professional competency. The TEAS score will remain valid as entry criteria for six months. Applicants may retake the test if desired in an attempt to gain a higher score with no less than 14 days between testing.

The following must be submitted with the application (the cost of the following items is student’s responsibility):

- Non-native English speaking students must provide evidence that they are in compliance with the university and the respective state board of nursing requirements for English competency.
- Successful background check through an agency selected by the NAU School of Nursing.
- State specific verification of active CNA must be on the completed application for admission into the nursing clinical core.
- Copy of current active CPR certification (American Heart Association for Healthcare Providers).
- Evidence of a health examination (current within six months of admission) completed and signed by a healthcare provider if applicable. Check with the respective program office.
- Evidence of active health insurance.
- Evidence of up-to-date immunizations or evidence of serologic immunity as required by clinical agencies signed by a healthcare provider.
- Documentation of a negative TB skin test (taken within one year) or chest x-ray (taken with five years) signed by a licensed professional.

The ASN student applying to the nursing clinical core should review and sign the functional abilities form. The signature implies the student can meet the physical needs to support the physical duties required of a nursing student.
Prior to applying to the nursing program clinical core, students must meet with the financial service representative at the respective campus to discuss program costs. This advising session will be documented in the student application packet.

The general education transfer courses for the nursing foundational core must meet the same NAU admission criteria. All nursing prefix (NS) courses must be completed at NAU.
Clinical Remediation Plan

Subject: Clinical Remediation Plan (CRP) Guidelines
Not applicable to the Online RN to BSN and MSN programs.

Date: Revised April 9, 2012

Policy: The clinical remediation plan (CRP) is a written contract initiated and implemented by faculty and/or the nursing program chair. This contract is a means of communication to students who are at risk of failing a clinical course by:
• not meeting established clinical standards at the expected level of the student's progression or
• violating established standards of practice for professional nursing.

Purpose:
The CRP communicates to the student verbally and in writing the following:
• areas of serious concern, a plan of action, and a time frame in which the plan goals should be accomplished, and
• confirmation that the student has or has not overcome the deficiencies and met the clinical objectives in the specified time frame.

Implementation:
The CRP is utilized when the faculty and/or the nursing program chair have significant concerns that the student does not demonstrate safe practice and/or professional conduct as defined in the National American University (NAU) School of Nursing (SON) student handbook. This written contract is intended to address student behavior(s) that indicate(s) "a pattern that is unsafe or likely to become unsafe" in more depth than the formative and summative clinical evaluation tools provide. The written plan outlines the behavior and steps to be taken to resolve it. The plan becomes a part of the student’s permanent record.

This CRP may be implemented at any time before, during, or after the student's current clinical assignment. It may include clinical skills lab review, clinical practice, or counseling.

Upon receiving the CRP, the student will be given the opportunity to provide verbal and written input into the plan. The meeting will include the student and faculty member and/or nursing program chair. The nursing program chair, faculty advisor, and/or other NAU representative(s) may be included in this initial meeting and subsequent meetings with the student.

Resolution:
As noted on the CRP, the student and faculty and/or nursing program chair will meet for a follow-up conference. At that time, the faculty and/or nursing program chair will identify if the student "has overcome deficiencies and now meets objectives" or "has not overcome deficiencies and does not meet objectives."

A student who does not overcome the deficiencies or meet the objectives will fail the specified clinical course. The policies and procedures presented in the NAU undergraduate catalog and the NAU SON student handbook communicate to the student program expectations, professional conduct, course failures, reentry, and the appeal/grievance process.

The student has the right to appeal/grieve in accordance with NAU and SON policies.
School of Nursing Grading Policy

Subject: Grading Policy

Date: Updated August 1, 2011

Policy: Faculty members will communicate their course grading procedure in writing on the course syllabus. The cumulative grade point average (CGPA) reflects all courses/grades to date.

The following grade/percentage points are used by the School of Nursing:

A  94-100%
B  86-93%
C  78-85%
D  66-77%

There is no rounding of percentages when calculating grades or evaluations.

A minimum 2.8 CGPA is necessary on previous coursework to apply to the nursing foundational core.*

The minimum of 2.8 CGPA on all nursing foundational courses is necessary to apply for the nursing clinical core.*

All science courses must have been completed within five (5) years of application to the nursing foundational core.*

A minimum of "C" in all science courses must be earned by potential students.**

A minimum of "C" must be maintained in all courses within the nursing clinical core.*

* Not applicable to the Online RN to BSN and Online MSN programs.

** BSN program: All nursing foundational core courses must have been achieved with a minimum grade of "C".

Grading Scale

Not applicable for Online MSN program. Please see the NAU graduate catalog for MSN grading scale.

A - Outstanding mastery of course materials and objectives. Written work, discussions, and presentations display an excellent presentation of the cognitive levels of knowledge, comprehension, application, analysis, synthesis, and critical thinking skills. Writing is scholarly with accuracy, coherence, and citation.

B - Good mastery of course materials and objectives with movement toward exemplary scholarship. Course work displays a good presentation of the cognitive levels of knowledge, comprehension, application, analysis, synthesis, and critical thinking skills.

C - Average in mastery of course materials and objectives. Course work displays a basic presentation of the cognitive levels of knowledge, comprehension, application analysis, synthesis, and critical thinking skills. Work demonstrates a need for more thought, reflection, and review of literature.

D - Deficient in mastering of course materials and objectives. Application of content in written work, discussions, and presentations demonstrate limited acquisition of knowledge.

F - Unacceptable performance.
Late Exam Policy

Subject: Late Exam Policy

The School of Nursing follows the university guidelines outlined in the National American University (NAU) student handbook. Please review Examinations section of the NAU student handbook.

Note that all requests for exam extensions must be approved by the nursing program chair/ faculty prior to the scheduled exam time.
Student Reference Policy

Subject: Student Reference Policy

Date: Revised March 31, 2010

Policy: Faculty and staff are often asked to provide references for students and graduates. The Family Educational Rights and Privacy Act of 1974 (FERPA) protects the education records of university students including information that may be disclosed in a reference, whether written or verbal.

To comply with FERPA requirements, faculty and staff may not disclose information from a student’s education record without first obtaining the student’s written consent to such disclosure. References may only be provided by using the Student/Graduate Reference Request and Student/Graduate Reference Forms adopted by the School of Nursing.

Procedure:

The student or graduate submits the Student/Graduate Reference Request to the nursing program administrative assistant.

The administrative assistant completes the Student/Graduate Reference Form using the student or graduate’s clinical rubric and comments from his/her most recent clinical rotation.

The nursing program chair signs the completed form after verifying its accuracy.

A copy of the signed form is placed in the student or graduate’s file.

The administrative assistant mails the completed form directly to the parties listed in the Student/Graduate Reference Request.

Forms: Student/Graduate Reference Request and Student/Graduate Reference.
NATIONAL AMERICAN UNIVERSITY CLINICAL/SAFE PRACTICE GUIDELINES POLICY

Clinical/Safe Practice Guidelines

Subject: Clinical/Safe Practice Guidelines

Not applicable to the Online RN to BSN and MSN programs.

Date: Revised April 9, 2012

Policy:

A. Safe practice is defined as behavior that demonstrates the knowledge, skill, judgment, and accountability necessary to reasonably ensure that no physical or emotional harm is inflicted upon others (clients, families, co-workers, peers, and faculty) or self.

Faculty have the professional obligation to safeguard patient well-being and to protect student rights. Faculty are expected to:

• specify expectations in measurable terms.
• assess significant behaviors.
• give frequent, constructive feedback.
• provide experience appropriate to students’ level of experiences.
• document student endeavors.
• identify all areas in which expectations are not being met.

Students are expected to:

• assume responsibility for own actions.
• prepare in advance for clinical experience.
• report unsafe practice.
• apply safety measures to nursing interventions.
• function within guidelines and policies of the institution in which they are practicing.
• maintain personal, physical, and emotional stability.
• communicate appropriately, adequately, truthfully, verbally, and in writing.
• recognize own limitations and the need for appropriate supervision.
• provide appropriate care for all individuals regardless of age, sex, race, or diagnosis.
• judiciously protect information of a confidential matter.

B. A student who exhibits unsafe behaviors will be removed from the clinical setting and fail the course. The student may also be dismissed from the program.

A student whose behavior is unsafe or likely to become unsafe will be given feedback via a clinical evaluation tool and/or a Clinical Remediation Plan (CRP). A CRP outlining the problem and steps to be taken to resolve the problem will be created. This plan may include clinical skills lab review, clinical practice, or counseling. Students have the right to have input into the plan. The faculty or the student may also ask for input from a consulting faculty. Copies of warnings and contracts will be given to the nursing program chair and the student’s academic advisor.

Students have the right to appeal in accordance to the university’s policy.

C. Guidelines for clinical evaluation will be presented in each course.
NATIONAL AMERICAN UNIVERSITY SON GENERAL GRIEVANCE POLICY

General Grievance Procedure

Subject: General Grievance Policy and Procedure
SON specific policy and procedure.

Date: Revised November 4, 2010

Policy: This policy is to assure fair and equitable treatment of all students through open communication between students, faculty, administration, and staff; to provide students with a direction to voice concerns; to protect students’ rights under the 14th Amendment; to protect faculty’s right to freedom of instruction; and to ensure equal and fair student evaluation by the faculty.

A grievance is a student’s claim of unfair and/or non-equitable treatment regarding established policies, procedures, rules, and regulations of the National American University (NAU) School of Nursing (SON). The student has the right to express grievances without prejudice, penalty, or recrimination.

All steps of the procedure must be completed in proper sequence with no more than seven (7) working days elapsing between each step. If a solution of the grievance is obtained in any given step, the resolution is considered final. The student may seek counsel at any time from appropriate persons such as student services staff, faculty advisor, or administration.

Procedure Step 1:
The student shall schedule a conference with the involved party. The conference must be scheduled within seven (7) working days of the occurrence. Students should:

• Arrange to meet with the involved party outside of class, at a mutually convenient time to discuss his/her concern. (This should be a meeting in a confidential setting.)
• Provide review of the incident based on facts, in writing.
• Provide the resolution he/she is seeking, in writing.

If the concern is with an adjunct faculty, the lead faculty should be involved in the conference.

Procedure Step 2:
If the student is unable to resolve the issue directly with the involved party, he/she may file and submit a Grievance Form to the nursing program chair.

The nursing program chair will review the concern. The nursing program chair shall arrange to meet individually and/or together with both the student and the involved party. Within five (5) working days following the conference, the student will receive a reply and a statement of decision from the nursing program chair.

The original form of the documents from both parties shall be maintained in the respective nursing program office in a confidential and secure grievance file.

Procedure Step 3:
If the grievance remains unresolved, either party may request in writing that the nursing program chair notify the Faculty Review Committee. The Faculty Review Committee includes all full-time nursing faculty, program chair, and the campus academic dean. This committee reviews the Grievance Form and the written recommendations. The committee shall conduct this meeting for the purpose of formulating a recommendation regarding the student’s grievance following the guidelines outlined below:

• Meetings are closed, formal, and confidential. The nursing program chair directs the flow of the meeting but does not vote. An appointed secretary shall take minutes.
• To the extent that new information is pertinent to the case under consideration, the panel or either party may ask members of the academic community (students, faculty, administration, and staff) to present information.
• The members of the panel may question both parties. Questions must be relevant to the issues of the grievance. The confidential nature of these records shall be safeguarded.
• The student and/or involved party may bring another NAU student, faculty, or staff member for support if they so desire. The support member may not address the committee but may answer questions directed by the committee.
• Proceedings of the meeting may not be audio recorded without permission of all of the participants and the committee.
• A simple majority shall be required to make a decision.
The committee shall prepare a written recommendation. Two copies shall be made; the original is placed in the confidential and secured grievance file, and a copy is provided to the involved parties within five (5) working days.

**Procedure Step 4:**

In the event the student or party does not accept the recommendation of the committee, the student or involved party may request the SON dean review the student’s grievance and the action taken. This decision is provided within five (5) working days. The decision made by the SON dean may be appealed to the university provost.

**Forms:** Grievance Form
NATIONAL AMERICAN UNIVERSITY SON BACKGROUND CHECK POLICY

Background Check

Subject: Background Check

Date: Revised March 23, 2010

Policy: The National American University (NAU) School of Nursing (SON) requires an annual background check for each nursing student who meets the criteria for entry into the nursing clinical core of the nursing programs, with the exception of the Online RN to BSN and Online MSN programs. These background checks are intended to satisfy statutory requirements and ensure that each student is eligible to participate in the required clinical experience.

Each nursing student is required to submit to an annual national background check which may include but is not limited to the following:

- social security number verification.
- criminal search (seven years or up to five criminal searches).
- employment verification to include reason for separation and eligibility for re-employment for each employer.
- violent sexual offender and predatory registry search.
- HHS/OIG list of excluded individuals/entities.
- GSA list of parties excluded from federal programs.
- United States Treasury, Office of Foreign Assets Control (OFAC), list of specially designated nationals (SDN).
- applicable state exclusion list, if one exists.

The SON will provide students with contact information for an approved agency to conduct the background check. The student is responsible for the cost of the background checks.

The initial background check must be completed no earlier than six (6) months prior to commencement of the clinical portion of the nursing program but with sufficient time for review by the SON.

The SON may deny admission into the nursing clinical core of the program to any student whose background may pose a threat to an individual, the university, the nursing profession, or the community or is otherwise unacceptable to clinical agencies. A student may be denied admission into the nursing clinical core or continuation in the nursing program for any of the following reasons:

- arrests, charges or convictions, or a criminal history that may limit employment possibilities in certain careers or prohibit licensure as a nurse.
- failure to disclose a criminal history.
- pursuant to the clinical experience agreement, university policy, or legal requirement.
NATIONAL AMERICAN UNIVERSITY CORE PERFORMANCE STANDARDS - FUNCTIONAL ABILITIES POLICY

Core Performance Standards - Functional Abilities

Subject: Core Performance Standards (Functional Abilities)

Date: Updated August 31, 2012

Policy: National American University (NAU) strives to make its programs accessible to all individuals, in compliance with Section 504 of the Rehabilitation Act of 1973 and Title III of the Americans with Disabilities Act of 1990. Its purpose is to create and maintain an environment in which students may achieve their fullest potential, limited to the least extent possible by individual disabilities. Such disabilities include physical or mental impairment that substantially limits major life functions. All faculty, staff, and students of the university are expected to adhere to this philosophy of equal access to educational opportunity and to assume broad responsibility for its implementation.

Disclosure of a disability is not required, but if disclosed, it is the responsibility of the individual to seek available assistance and make needs known. The system student services office is the designated office at NAU that maintains disability-related documents, certifies eligibility for services and determines and provides reasonable accommodations for students with disabilities. It is located at 5301 South Highway 16, Rapid City, South Dakota 57701.

All requests for accommodation, documentation reports, and inquiries should be forwarded to:

Mr. Jason Warr
System Vice President for Academic Administration and Regulatory Affairs
System ADA Coordinator
5301 South Highway 16
Rapid City, SD 57701
(605) 721-5274
jwarr@national.edu
School of Nursing Reentry Guidelines

Subject: Reentry Guidelines

SON specific guidelines. Not applicable to the Online RN to BSN and Online MSN programs.

Date: Revised November 4, 2010

Policy for reentry to the campus nursing program/clinical core: All nursing courses are sequential, and the successful completion of each course is a prerequisite for the next level or successive course. Any student who has interrupted progression for one quarter or more in the nursing program and not on approved leave of absence (LOA) will need to apply for reentry. Students may apply for reentry once, and reentry is not automatic:

• Reentry applications are reviewed on an individual basis, and the campus nursing faculty reserves the right to deny reentry.
• Reentry is allowed on a space available basis as determined by the campus nursing faculty and program chair.

The campus nursing faculty and program chair may specify criteria necessary for reentry.

Students whose absence from the associate-level nursing program exceeds two (2) quarters and do not have an approved leave of absence must return to the pool of candidates and apply to the nursing program through the competitive review process.

Students whose absence from the baccalaureate-level nursing program exceeds two (2) quarters and do not have an approved leave of absence must return to the pool of candidates and apply to the nursing program through the competitive review process.

Process for reentry to the campus nursing program/clinical core: For a student to be considered for reentry to the nursing program, a plan for reentry must be completed with the Exit Interview Form (see Exit from the Nursing Program – Clinical Core guidelines).

Students will be sent a letter and a Reentry Form.

For the associate-level nursing program, completed Reentry Forms must be returned to the program administrative assistant within two (2) months from the last day of the quarter that was not completed.

For the baccalaureate-level nursing program, completed Reentry Forms must be returned to the program administrative assistant within six (6) months from the last day of the quarter that was not completed.

Students will be called to set up a reentry meeting with the nursing program chair/faculty representative, and a reentry contract will be drawn up.

If the student was in academic suspension status when she or he left the university, she/he will be required to appeal her/his status to the Campus Academic Standards Committee and her/his reentry is conditional upon a successful appeal with the committee.

Student will return to an appropriate educational pool of candidates upon pending decision of the program chair.
NATIONAL AMERICAN UNIVERSITY HIPAA COMPLIANCE POLICY

HIPAA Compliance

Subject: Health Insurance Portability and Accountability Act (HIPAA) Compliance

Date: Revised April 9, 2012

Policy: HIPAA is a federal law established in 1996 to ensure patient privacy through safeguarding data integrity, confidentiality, and security of protected health information (PHI).

Goals of HIPAA are to establish the right of individuals to maintain insurance coverage with employment changes, establish the Privacy Rule, and increase patients’ rights over their own medical records and PHI. The Privacy Rule provides national standards for privacy of individually identifiable health information. The transmission of PHI for any reason other than treatment, payment, or operations requires the patient’s authorization. This applies to medical records and health information of any format (oral, written, or electronic) created by and/or maintained by health care providers.

National American University School of Nursing must meet HIPAA requirements in clinical and institutional areas by implementing, maintaining, and using appropriate administrative, technical, and physical safeguards to prevent the improper use or disclosure of all PHI:

• Students and faculty will comply with current HIPAA regulations to ensure the confidentiality of all health or health-related information.
• HIPAA regulations will be followed in all areas that involve PHI.
• All students will be familiar with HIPPA policies and procedures in each of their clinical settings.
• Current guidelines will be available to students and faculty at all times in the nursing program office.
• If the student violates the Privacy Rule, an entry will be noted in the student’s record. A second violation will result in failure of the clinical course and possibly dismissal from the program.
• If a clinical facility prohibits a student from returning to a clinical experience due to a violation of the Privacy Rule, the student will be dismissed from the program.

For details regarding HIPAA compliance, please refer to http://www.hhs.gov/ocr/privacy/.
Immunization Records and CPR Certification

Subject: Immunization Records and CPR Certification

Not applicable to the Online RN to BSN and Online MSN programs.

Date: Revised April 9, 2012

Policy:

All immunizations and CPR (American Heart Association for Healthcare Providers) certification must remain current and up-to-date.

The student must provide a photocopy of current CPR certification card and immunization documentation to the nursing department or the student will not be permitted to enter the clinical areas. There are no exceptions.

A month prior to the start of a new quarter, a statement is sent to students who have immunizations or CPR certification that will expire during the upcoming quarter.

Below is an example of the notification students will receive. The form will be used interchangeably for immunizations and CPR certification renewal.

National American University
Nursing Program

[Circle appropriate requirement]

(Immunization/CPR Certification) Expiration Notice:

To: NAME_______________________

Your __________________ will expire on ___________(date). The immunization(s) or CPR certification update must be completed and returned to the nursing program office on or before ______________(date), or you, the student, will NOT be allowed to return to the clinical assignment. Proper proof of immunization update and/or showing updated CPR certificate is required.

Date: ___________________ Signature: _________________________________
Preceptor Guidelines

Subject: Preceptor Guidelines

Date: Revised April 9, 2012

Policy:

Course faculty responsibilities:

• assume responsibility for the coordination of the student’s clinical experience; match student to preceptor.
• provide the preceptor with the course syllabus, course outcomes, objectives, and specific directions on how to assist the student in meeting these objectives; provide preceptor with the appropriate evaluation tools.
• establish and maintain effective communication between preceptor and student.
• monitor student progress in achieving course objectives and provide ongoing feedback.
• meet with the preceptor and student to discuss students progress and share ideas/suggestions. There will be at least one face-to-face meeting as well as contact via telephone or email.
• maintain responsibility for the final evaluation and grade for the student.
• provide the student the opportunity to evaluate the experience.
• discuss with the student any information received from the student’s evaluation of the experience.

Preceptor’s responsibilities:

• complete a Preceptor Letter of Agreement.
• discuss learning needs with faculty and student related to course.
• orient student to practice setting including identification of faculty policies and procedures.
• serve as a role model, practitioner, teacher, and mentor.
• provide ongoing supervision and direction of student, at the direction of the faculty, consistent with the learning objectives.
• assist student in professional development, with opportunities to explore the nursing role.
• demonstrate ways in which the professional nurse interacts collaboratively.
• provide ongoing feedback to faculty and student regarding performance and expectations.
• contact course faculty with the formal evaluation of the student’s progress at the end of the experience.

Student responsibilities:

• adhere to all clinical facility policies and procedures.
• adhere to all university policies and procedures identified in the National American University (NAU) catalogs and the NAU School of Nursing (SON) student handbook; failure to exhibit integrity, ethical conduct, or compliance with professional standards may warrant dismissal from the program.
• comply with health and other professional requirements of the clinical facility prior to the start of the experience.
• maintain professional appearance and behavior.
• attend all agreed upon days for experience; notify preceptor and faculty if unable to attend; comply with NAU and SON policies on attendance.
• communicate effectively with preceptor and course faculty.
• seek feedback regarding completion of objectives.

Nursing preceptor policy:

NAU defines preceptors as qualified individuals who work one-to-one with students in the management or clinical area to promote attainment of student learning outcomes. Preceptors are licensed registered nurses who have a minimum of a baccalaureate nursing degree and at least two years of professional experience. Preceptors are not nursing program faculty and not considered in determining faculty to student ratios.

Preceptors are utilized only in designated nursing courses and serve as role models and mentors. Preceptors do not replace faculty but work closely with faculty in facilitating student success. Nursing program faculty maintain the responsibility for final student evaluation and student grades.
Course faculty are responsible for developing guidelines specific to their course for preceptor use.

- Faculty responsibilities for utilization of preceptors in their course:
  - Faculty will discuss with agency personnel the coordination of clinical and identification of preceptors.
  - Each preceptor will be provided with a copy of the course syllabus and directions on how to assist students in fulfilling course outcomes.
  - Faculty will meet with students and preceptor to discuss student’s progress, ensure communication between the university and facility, and exchange idea/suggestions to meet course outcomes.
  - Faculty will maintain a written record of the specific dates/times student and preceptor will be working together.
  - Faculty will provide the final student evaluation and assignment of grade.
  - Faculty are responsible for ensuring a clinical contract in effect between NAU and the facility.
  - Faculty will ensure preceptor has signed a Preceptor Letter of Agreement.
  - Faculty are responsible for ensuring all student files are up to date (i.e., confidentiality statements, immunizations, etc.)
  - Faculty are responsible for ensuring that preceptor and student complete the appropriate evaluations.

**Forms:** Preceptor Letter of Agreement and Preceptor Data Form.
Online MSN Program

Subject: Admission Criteria for the Online MSN Program

Date: Revised January 12, 2012

Policy: The Online MSN program reviews applications and admits students every academic quarter. Admission decisions are made and communicated in writing once the program application and admission requirements have been completed and reviewed.

Admission criteria include the following:

Graduation from a baccalaureate degree program in nursing from an accredited institution (or approval of Online MSN program chair).

Current active unencumbered registered nurse (RN) license from any state within the United States. Evidence of current licensure must be present in the student’s departmental file.

Minimum cumulative grade point average (CGPA) of 3.0 or above on a 4.0 scale during the baccalaureate degree completion. Applicants who do not meet the CGPA requirement are reviewed on a case by case basis and may be admitted under probationary status.

All nursing prefix (NS) courses must be completed through National American University online.*

All international nurses must have a current active unencumbered registered nurse license to practice (in the state of their choice in the United States) and an international professional evaluation of their prior education credentials.

* Only the following NS courses may be transferred into the MSN program of study: Leadership in Health Care: A Collaborative Approach to Theory/Ethics/Health Policy and Evidence-Based Nursing Practice.

Apply online https://mycampus.national.edu/Applicant/ApplyOnline_Login.aspx.
Online RN to BSN Program

Subject: Admission Criteria for the Online RN to BSN Program

Date: Revised June 27, 2012

Policy: The Online RN to BSN program reviews applications and admits students every academic quarter. Admission decisions are made and communicated in writing once the program application and admission requirements have been completed and reviewed.

Admission criteria include the following:

• Admission to National American University (NAU) before application to the Online RN to BSN program.
• Graduation from an associate degree program in nursing or a diploma nursing program.*
• Current active unencumbered registered nurse (RN) license from any state within the United States.* Evidence of current licensure must be present in the student’s departmental file. If the applicant is a recent graduate (has graduated less than 90 days) of an approved and/or accredited associate degree or diploma program and does not hold an RN license, the applicant will be accepted into the program pending receipt of passing the NCLEX-RN® exam. The student must take and pass the NCLEX-RN® exam within the first quarter of enrollment. If the student does not take or fails the NCLEX-RN®, the student will not be allowed to continue with enrollment the subsequent quarter. The student can, however, re-apply for admission and may be accepted upon successful completion of the NCLEX-RN®.
• Minimum cumulative grade point average (CGPA) of 2.8 or above from the graduated associate degree program in nursing or diploma nursing program. Applicants who do not meet the CGPA requirement are reviewed on a case by case basis and may be admitted under probationary status.
• Minimum CGPA of 2.8 on all transferred general education courses.
• All nursing prefix (NS) courses must be completed through NAU online.

*All international nurses must have a current active unencumbered RN license from any state within the United States and an international professional evaluation of their prior education credentials.

Apply online https://mycampus.national.edu/Applicant/ApplyOnline_Login.aspx.
STUDENT ACCOUNTS POLICIES AND PROCEDURES
National American University Campus Credit Balance - Cash Disbursement Procedures Policy

Procedure - Campus Credit Balance - Cash Disbursement

Federal regulations require that credit balances involving Title IV funds must be made available to the student/parent within 14 days of the credit being created. National American University chooses to automatically release these funds to the student/parent. The date the credit is created is the date the funds are applied to the account. As entries are posted to the student's account, review each ledger for a credit and request the stipend immediately. The campus should monitor the credit balances to assist in disbursing the funds timely.

Be sure to counsel the student if these funds are needed to cover future term's charges. It would be in the student's interest to reduce future loan indebtedness at this time if these funds are not needed for other educational expenses. If the credit involves a PLUS loan, the stipend is to be made payable to the parent. If the parent chooses to provide these funds to the student to assist with other educational expenses, he/she may do so when the stipend is received.

Stipends are requested by central administration twice a week, Tuesday and Thursday. The deadline to submit requests is 5pm the day before the stipend run (Monday and Wednesday respectively). Every credit is reviewed and a stipend activity is entered and updated for every credit on account. See Contact Manager Procedures for student accounts.

If the student is a cash pay and paid with a credit card, the credit must be returned to the credit card. The central student accounts auditor will monitor this when reviewing the credit list. If the credit is to be returned to the credit card, the Central auditor will request the credit be applied to the credit card through the Assistant Director of Student Accounts.

If the credit balance is under $1.00 regardless of the source, the credit will be taken into income to clear the student’s account.

Stipends are issued based on funds that have been applied to the student's account, not funds that are pending. If it is necessary to consider issuing funds to a student based on pending aid, refer to the emergency loan guidelines. (Emergency loans will be sent EFT on the regular schedule.)
NATIONAL AMERICAN UNIVERSITY DISBURSEMENT OF FINANCIAL AID PROCEDURES AND TIMELINES POLICY

Procedure - Disbursement of Financial Aid Timeline

TIMELINES

• Direct Loan, Pell, SEOG, Perkins and Scholarships
  • Listing prepared by central administration student account auditor on Monday and Wednesday.
  • Loans are posted to the student’s ledger card on Tuesday and Thursday.
  • Campus will receive an e-mail in the campus generic e-mail box after loans have been paid showing which loans were reviewed and which loans paid.
  • Notification of Pell, SEOG, Perkins and Scholarship is sent through the generic e-mail when payments have been posted on Wednesday.

It is the responsibility of all parties to make sure loans are paid in a timely manner, please contact the party responsible for preparing the listing if you have any questions about a loan that has not paid. If you are unable to reach the responsible party, contact the Director of Student Accounts or the Assistant Director of Student Accounts.

General Procedures

• Disbursement Approval
  • Central Administration Student Account Auditor
    • Review the Data Disbursement Form on CampusVue and complete the financial aid portion of the Loan Disbursement Eligibility (LDE) form for the disbursement in question.(Refer to the Procedures for completing the LDE.)
    • Review student’s eligibility for Pell, SEOG, and scholarships.
    • Initial in the appropriate area on the ready to pay listing if the student is eligible for disbursement based on the LDE.
    • Verify student’s eligibility by checking the attendance. The student should have attendance in 6 credit hours in the 10 days prior to the date you are signing off on the loans and on or after the loan certification date. Please note the exceptions to this rule under "Disbursing Pell, SEOG, Perkins, scholarships and grants."
    • Initial in the appropriate area on the ready to pay listing if the student is cleared for disbursement.
    • E-mail the Ready to Pay listing to the campus generic e-mail box the day that the aid is posted to the ledger.
  • Campus Financial Service Rep.
    • When you receive notification that payment is complete from central student accounts, check student’s continued eligibility.
    • Update appropriate activities and collection report.
    • At the time the payments are complete, if a balance is left on the account, contact the student to discuss payment options.

• Late Disbursements

Payment of loans for students who have completed the term but are no longer attending NAU or loan disbursements made beyond the end of the loan periods require completion of the Late Disbursement Form

• This form must be completed for approval prior to disbursement of the loan
• The approved late disbursement form will be scanned to the student accounts generic e-mail, reviewed and attached to the withdrawal paperwork maintained in ImageNow.
• Payment of loan disbursements for students who have withdrawn during the term may not be made until the Return to Title IV Worksheet and the Late Disbursement Forms are completed. This process indicates whether the disbursement may be made or not.
• Federal fund disbursements are not normally made between terms. Students are not in attendance and it maybe difficult to determine if they are eligible for late disbursement until the next term begins.

Pell – Disbursement may be made for Pell if there is attendance on or after the initial EFC date and after the add/drop period.

SEOG- Disbursement may be made for SEOG if the student attended after the award was packaged and after the ad/drop period.
MN State Grant or the MN Child Care Grant – Disbursement may be made after the end of the term if the student completed the credits and is not on the MN hold report.

NAU Scholarships – Disbursement may be made if the student attended beyond the terms add/drop period in the appropriate credits.

Stafford and Unsubsidized Loans (FFEL and Direct) – Disbursement maybe made if the student attended at least ½ time after the loan was certified and it is the first disbursement of this loan. (A late disbursement form details all of the requirements.)

Perkins – Disbursement may be made if the student attends 1 credit after the loan award was accepted by the student.

Alternative Loans – Self loan disbursements may be made if the student is in attendance at least ½ time for a current term at the time the disbursement is made or may be made for a prior term if the student completed at least ½ time. Completion of a budget calculation will determine eligibility. All other alternative loans may be disbursed for prior terms or the current term if the student attends 1 credit hour.

Outside Resources – Each fund source has different and specific requirements. To make a late disbursement, authorization must be obtained from those controlling the specific fund source.
NATIONAL AMERICAN UNIVERSITY ELECTRONIC FUNDS PROCESS POLICY

Procedure - Student Account Office Electronic Funds
Each Central Student Account Auditor has their individual security login and password for CampusVue (the student information system software). Security for each auditor is set by the System Administrator and Director of Student Accounts.

The electronic processes in the central student account office are based on the completed packaging processes in the central financial aid office and in CampusVue.

On a weekly basis, the central student account auditors pay the disbursements for Pell, SEOG, Perkins, and institutional scholarships. These payments are based on a listing, prepared by the Central Student Accounts Auditor, authorizing payment based on eligibility and attendance requirements being met at the current time.

Once the payments are posted, the student’s ledger is updated automatically and financial disbursement records are updated.

See financial aid electronic processes for the batching and reconciling with COD.

Twice a week, the Central Student Account Auditor will print a listing of the Direct loans scheduled for disbursement at this time. The Central Student Accounts Auditor will review the listing and authorize payment of the funds according to the eligibility and attendance requirements being met at the current time.

The disbursement is then made to the student’s ledger. The automatic update occurs the same as for the Pell disbursements. See the business office processes for further reconciling procedures.

The student receives an electronic web alert thru the student portal account weekly if payments have been posted to their ledger. This encourages them to print the receipt for their records.

Special disbursement schedules may occur near the end of the term and/or fiscal year.
NATIONAL AMERICAN UNIVERSITY WITHDRAWAL PAPERWORK PROCEDURES

Procedure - Withdrawal Paperwork

DETERMINING DATE OF WITHDRAWAL

(Day of Determination)

The last day of attendance and the date of withdrawal are not always the same. Last day of attendance is the last day the student physically sat in class. The official date of withdrawal is the date the student notifies the University of his/her withdrawal. If the student does not notify the University, he/she will not be officially withdrawn until attempts are made to contact the student to find out if he/she is returning. The withdrawal date will be the documented date that it was determined that the student was not returning or 14 days from the last date of attendance, whichever is the earliest date.

If the student completes the term but does not plan to return the following term, the withdrawal date will be the last day of the term.

Students completing at least one class during the term and not returning for the next will not be considered withdrawn until the last day of the term. In this case, the withdrawal date is the last day of the term.

When a student graduates, the withdrawal date and the last day of attendance will be the last day of the term.

If the student registers and appears on the official roster but does not attend classes beyond the add/drop period, the student is considered a NO SHOW for the term. The withdrawal date would be the date it was determined that the student is not returning or 14 days from the start of the term, whichever is the earliest date.
WITHDRAWAL/REFUND POLICY

Withdrawals/Refunds

Students should give written notice of withdrawal to the university academic dean to officially terminate their enrollment. Students who do not give written notice will be withdrawn from courses when it is determined, by the university, that the student is no longer pursuing his or her educational objective.

Students completing at least one course during the term will not be eligible for a refund. Students who withdraw without completing any courses during the term will have a refund calculation completed.

The period of enrollment includes all courses for which the student is registered, from the first scheduled day of attendance through the last scheduled day of classes for this student.

The return of Title IV funds and the tuition reduction will be calculated based on the student’s last day of attendance. Refunds minus a $75 administrative fee will be made within 45 days of when the withdrawal date (last day of attendance) is determined.

A prorated amount of Title IV funds must be returned to financial aid programs for students not completing 60 percent of the period of enrollment if the student was a financial aid recipient.

Students who completely withdraw from National American University during the first 60 percent of the term will have tuition and fees prorated based on the last day of attendance in accordance with the following calculation:

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<tr>
<th>Last Day of Attendance</th>
<th>Percent of Reduction</th>
</tr>
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<tr>
<td>Withdrawal prior to the first day of classes</td>
<td>100%</td>
</tr>
<tr>
<td>Last day of attendance during the first week of classes</td>
<td>100%</td>
</tr>
<tr>
<td>Beyond first week but during first 60% of scheduled classes</td>
<td>daily proration*</td>
</tr>
<tr>
<td>Beyond 60% of scheduled classes</td>
<td>no refund</td>
</tr>
</tbody>
</table>

* Percent of term completed = Number of days from scheduled start of term through student’s last day of attendance ÷ Number of days in scheduled term

Percent to be refunded = 100% minus percent of term completed

Additional information for Indiana students

If a postsecondary proprietary educational institution utilizes a refund policy of their recognized national accrediting agency or the new United States Department of Education (USDOE) Title IV refund policy enacted by the 1992 Amendments to the Higher Education Act, the postsecondary proprietary educational institution must provide written verification in the form of a final refund calculation, upon the request of the commission, that its refund policy is, indeed, more favorable to the student than that of the commission's. Postsecondary proprietary educational institutions accredited by a nationally recognized accrediting agency must uniformly apply the commission's tuition refund policy or the refund policy of their recognized accrediting agency, as previously approved by the commission to all first-time students enrolled. Postsecondary proprietary educational institutions using a refund policy other than that of the commission's must list the complete policy and its origination in the institutional catalog and the enrollment agreement. (Indiana Commission on Proprietary Education; 570 IAC 1-8-4.5; filed Jan 17, 1995, 1:00 p.m.: 18 IR 1476; readopted and extended filed Jan 9, 2002, 10:58 a.m.: 23 IR 1731; readopted filed Sept 11, 2008, 9:53 a.m.: 20080924-IR-570080518RFA)

Additional information for Iowa students

The university shall make a pro rata refund of no less than ninety percent of the tuition for a terminating student to the appropriate agency based on the ratio of completed number of scheduled school days of the school term or course. If a terminating student has completed sixty percent or more of a school term or course that is more than four months in length, the university is not required to refund tuition for the student. If, at any time, a student terminates a school term or course due to the student’s physical incapacity or due to the transfer of the student’s spouse’s employment to another city, the terminating student shall receive a refund of tuition in an amount which equals the amount of tuition multiplied by the ratio of the remaining number of school days to the total school days of the school term or course. A refund of ninety percent of the tuition for a terminating student shall be paid to the appropriate
agency based upon the ratio of completed number of school days to the total school days of the school term or course. (*Iowa Code Section 714.23*)

**Additional information for Oregon students**

Students residing in Oregon are eligible for refunds pursuant to university policy, with the exception that refunds will be granted on a course-by-course basis. (*OAR 583-030-0035(18)(c)*).
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