

## KNAU Annual Compliance Review

### Membership/Donor Lists

The NAU Foundation is the component unit of NAU with the relationship governed by a memorandum of understanding of the roles and responsibilities of each entity. NAUF is designated to accept all gifts on behalf of NAU, which include gift activity for KNAU. It is the responsibility of NAUF to comply with the following:

- Membership/donor records are stored in a secure location and electronic files are password protected. NAUF complies through the NAU Central Authentication Service which requires approved user ID and password as a NAU employee. Access to the donor database requires an additional login and password which is granted upon the completion of a confidentiality statement which describes the responsibility for donor records.
- NAUF does not sell, lease, license or in any way make its member/donor information available to any third party.
- Donor records are updated by Data Entry personnel upon request by KNAU staff.
- NAUF follows the AFP Donor Bill of Rights

Annual Acknowledgement by NAUF

Signature Cheryl Hutz Date 10/17/17

- KNAU does not sell day sponsorships of any kind, including time to candidates for public office, and does not sell, rent, give or exchange a member or donor name to, with or from any candidate for public office, committees or organizations supporting a candidate, political parties, or organizations that solicit funds for use in political campaigns for any purpose.

Annual Acknowledgement by KNAU

Signature Sheryl W. Turner Date 10/19/17

### FCC EEO

The Station Manager is responsible for completing and filing the EEO report annually to the FCC and will ensure that the filing is uploaded to the website and will respond to any requests for hard copies of the report. They will obtain the filing data from the NAU Human Resources department who collects the demographics on applicants as required by the FCC.

Annual EEO report completed and filed with the FCC

Shelly West 10/19/17  
Signature Date

Annual EEO Public file on website

Shelly West  
Signature Date uploaded

**Diversity**

The station manager is responsible for the update of the annual diversity goals and report. The report will be posted to the compliance section of the website. The manager will facilitate annual diversity training for the staff of KNAU.

Diversity Report Completed

\_\_\_\_\_  
Signature Date posted to website

Diversity Training Completed

Shelly West Ongoing  
Signature Date training held

**Governing board**

KNAU is part of Northern Arizona University which is governed by the Arizona Board of Regents. The link to the ABOR website which lists the board members, meeting dates and time and meeting minutes is included on the KNAU website.

**Transparency and Financial Records**

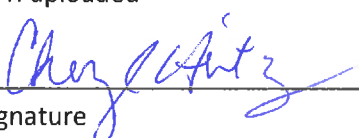

The finance manager is responsible for the annual finance report (AFR) submission to CPB by 11/30 or as extended. The AFR will be posted to the website and respond to any written requests for financial information. KNAU is not required to complete a 990, but is required to list key employees on the website if they meet the reportable criteria. The finance manager is responsible for filing the annual

Station Activity Survey when due and posting the appropriate section to the website. The finance manager will respond to any written requests for financial information.

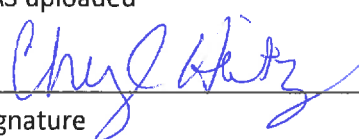

The finance manager will ensure that CPB restricted dollars are spent for one of the seven categories of expense:

- Programming and Production
- Broadcasting, Transmission and distribution
- Program Information and Promotion
- Fundraising and Membership Development
- Underwriting and Grant solicitation
- Management and General
- Purchase, Rehabilitation or Improvement of Capital Assets

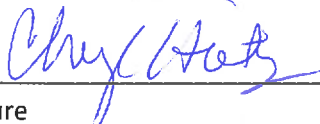
AFR uploaded

   
Signature Date Uploaded Date certified by audit firm

SAS uploaded

   
Signature Date

No CSG funds have been used for purposes not allowed by CPB

  
Signature Date