Stephen F. Austin State University

MANAGER & SUPERVISOR REFERENCE GUIDE

How to Use the Reference Guide

This reference guide is intended to provide vital information about the university's structure and operating procedures to managers and supervisors in a quick and easy format. It does not supplant the university Policy Manual as the official policy statements of the university. Although inconsistencies are unlikely, the Policy Manual will prevail over any inconsistent statements in this guide.

Each entry in the Table of Contents is hyperlinked to the topic page. Simply find the topic of interest and click on the link to go directly to the information needed. The page format for each topic includes a brief overview, key points that managers and supervisors need to know, links to more information, and contact information to the office and administrator of the area. At the bottom of each page is a link back to the Table of Contents.

If you have comments or questions about this guide, contact the Office of the General Counsel, Damon Derrick, at (936) 468-4305.

Thank you to the University of Texas System for allowing us to use their Reference Guide wording and format as a template for this guide.

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Board of Regents

Brief Overview

The SFA Board of Regents is the governing body for the university. The Board is composed of nine members who are appointed by the Governor and confirmed by the Senate. Terms are six years each and staggered, with the terms of three members expiring on February 1 of odd numbered years. The Governor also appoints a student regent for a one-year appointment beginning each May. Regents continue to serve until new Regents are named by the Governor and have taken the oath of office.

Board meetings are held quarterly in January, April, July, and October. Combined committee meetings and regular Board meetings are held over a two-day period with committee meetings on Day 1 and the Board meeting on Day 2. Meetings are normally held at the university. The Board also holds special called meetings as necessary**.**

The Board of Regents members may also serve on one or more of the following committees:
- Executive Committee
- Academic and Student Affairs Committee
- Buildings and Grounds Committee
- Finance and Audit Committee

The Board of Regents may appoint other committees as necessary.

What do I need to know?

The university's policy manual is the official repository of policies and procedures established for Stephen F. Austin State University by the Board of Regents. The policy manual specifies those matters requiring approval by the Board.

Items required to be reported and/or approved at a meeting of the Board of Regents should be sent to the Office of the Board of Regents for review. The items will then be placed on the Board's agenda for review.

Deadlines are established prior to each Board meeting for submission of agenda items. In general, be aware that a substantial lead time is required for preparing agenda items and obtaining the necessary approvals by university administration.

Where can I go for more information?

SFA Board of Regents (www.sfasu.edu/regents)

Board of Regents' Meetings (www.sfasu.edu/regents/calendardates.asp)

Agendas (www.sfasu.edu/regents/agendas.asp)

For Expertise and Assistance: Board of Regents' Office / (936) 468-4048 / Judy Buckingham

Administrative Responsibilities Overview

Brief Overview

The president, vice presidents, and department directors and managers (administrative officials) are charged with implementing established policies and procedures to ensure that the university is well-managed, is in compliance with applicable laws and regulations, and is consistent in its administration of policies and procedures. Additionally, administrative officials have a stewardship responsibility to support and enhance the mission of the university to ensure that it fulfills its legal and financial obligations to internal and external stakeholders to safeguard its financial, human, information, and physical assets.

An administrative official may assign duties to other employees within his or her department or units to assist in carrying out administrative and financial responsibilities unless prohibited by policy. These individuals may serve as the primary business and financial officers for the department and are expected to provide financial advice and assistance to the administrative official; however, assignment of duties to other employees does not discharge the administrative official's accountability for the operation of his or her department.

Departmental goals and objectives, which define accountability and responsibility, should be established and communicated by the administrative official to all staff so there are clear expectations and standards against which performance can be evaluated and employees can receive timely and honest feedback on their performance. No administrative official shall ask or expect an employee to do anything that is in conflict with law or SFA policies and procedures.

What do I need to know?

Administrative officials must be responsive to complaints. If ethics problems or conflicts arise between an employee and his or her immediate supervisor that cannot be resolved, the appropriate administrative official is expected to make a good faith effort to resolve the problem. Additionally, employees should be encouraged to use the university's ethics hotline at 866-294-9539 or www.sfasu.edu/audit/fraudreport.asp.

Resource departments (such as the offices of Procurement and Property Services, Environmental Safety and Risk Management, General Counsel, Human Resources, Information Technology Services, Controller's Office, and Audit Services) provide a variety of services to assist departments. Those services include expertise and assistance in interpreting policy and legal requirements, formal and informal training, and compliance monitoring.

Where can I go for more information?

University Policy Manual (www.sfasu.edu/policies)

Purchasing Ethics and Confidentiality Policy (www.sfasu.edu/policies/purchasing-ethics-and-confidentiality.pdf)

Ethics Policy (http://www.sfasu.edu/policies/ethics.pdf)

Fraud Policy(http://www.sfasu.edu/policies/fraud.pdf)

Ethics Point Hotline (www.sfasu.edu/audit/fraudreport.asp)

Texas Education Code (www.statutes.legis.state.tx.us?link=ED)

Section 51.912 Equity Ownership and Business Participation
Section 51.923 Qualifications of Certain Business Entities to Enter Into Contracts with an Institution of Higher Education

Texas Government Code (www.statutes.legis.state.tx.us?link=GV)
Chapter 554, Protection for Reporting Violations of Law
Chapter 556, Political Activities by Certain Public Entities and Individuals
Chapter 572, Personal Financial Disclosure, Standards of Conduct, and Conflict of Interest
Chapter 573, Degrees of Relationship; Nepotism Prohibitions
Chapter 2113, Use of Appropriated Money

Texas Penal Code (www.statutes.legis.state.tx.us?link=PE)
Chapter 32, Fraud
Chapter 36, Bribery and Corrupt Influence
Chapter 39, Abuse of Office

For Expertise and Assistance: Office of the General Counsel / (936) 468-4305 / Damon Derrick

Policies

Brief Overview

The Office of the Board of Regents and Office of the General Counsel are responsible for overseeing the policy development process and the policy library. The policy development process is the process through which new policies are reviewed and approved, and through which substantial revisions are made to existing policies. The Policy Manual is the official repository of all current university-wide policies.

What do I need to know?

Each policy will have a title that is concise but descriptive.

Each policy contains two sets of numbers separated by a period. The number preceding the period refers to the subject area and the number following the period identifies the sequentially numbered policy within that subject area. The index number will be noted in the footer.

Contact the department's dean or director, the Office of the General Counsel or refer to the policy manual for guidance when your department contemplates developing a new policy.

Each office or department is responsible for maintaining the policies it sponsors.

Policies are required to be reviewed and submitted to the Board of Regents for approval at least every three years with the exception of the following, which are required to be reviewed and submitted annually:
- 3.20 Investments – Endowment Funds
- 3.21 Investments
- 10.4 Student Conduct Code
- 13.14 Parking and Traffic Regulations

Where can I go for more information?

Policy Development & Format Policy (www.sfasu.edu/policies/policy-development-and-format.pdf)

For Expertise and Assistance: Board of Regents' Office / (936) 468-4048 / Judy Buckingham or Office of the General Counsel / (936) 468-4305 / Damon Derrick

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Statement of Philosophy/Ethics Standards

Brief Overview

Employees of Stephen F. Austin State University owe a responsibility to the people of Texas. High personal and professional standards are critical in fulfilling this responsibility. Employees will be held accountable for their actions (or failures to act) and such accountability cannot be delegated to others.

What do I need to know?

Ethical conduct requires knowledge about laws, rules and policies related to an employee's responsibilities. Employees must comply with the following ethical and legal standards of conduct:

Conflicts of Interests: Employees may not have an interest that is in conflict with the proper discharge of their duties in the public interest.

Adherence to Law: Employees shall adhere to applicable laws, rules, regulations, and policies of governmental and institutional authorities or be subject to discipline.

Gifts: Employees may not accept or solicit any gift, favor, or service that might reasonably tend to influence them in the discharge of duties.

Confidential Information: An employee may not disclose confidential information or use such information for his or her personal benefit.

Self-Dealing: An employee may not transact business in an official capacity with any business entity of which the employee is an officer, agent or member, or in which the employee owns a substantial interest.

Outside Employment: An employee may not accept other outside or dual employment or compensation that could reasonably be expected to impair the employee's independence of judgment in the performance of the employee's public duties or interfere with the employee's job responsibilities.

Sexual Harassment and Misconduct: Sexual misconduct and sexual harassment are unacceptable behaviors; such behavior includes verbal or physical conduct of a sexual nature.

Where can I go for more information?

Ethics Policy (http://www.sfasu.edu/policies/ethics.pdf)

Gift Reporting Policy (http://www.sfasu.edu/policies/gift-reporting.pdf)

Use of Electronic Information Resources Policy (http://www.sfasu.edu/policies/use-of-electronic-information-resources.pdf)

Outside Employment (www.sfasu.edu/policies/outside-employment.pdf)

Discrimination Complaints/Sexual Harassment (www.sfasu.edu/policies/discrimination-complaints-sexual-harassment.pdf)

Purchasing Ethics and Confidentiality (www.sfasu.edu/policies/purchasing-ethics-and-confidentiality.pdf)

For Expertise and Assistance: Office of the General Counsel / (936) 468-4305 / Damon Derrick

Receiving Benefits, Gifts, and Honoraria

Brief Overview

Employees are prohibited from soliciting, accepting or agreeing to accept any benefit from a person the employee knows conducts business with or is interested in a transaction with Stephen F. Austin State University, except as authorized by law.

What do I need to know?

An employee may not take anything as consideration for an official act; the bribery law prohibits payments or gifts made in exchange for an official act. An official act includes a vote, a recommendation or any other exercise of official discretion.

An employee may not accept an honorarium for services the employee would not have been asked to provide but for his or her official status. For example, this means that an employee may not accept a gift or payment for giving a speech if the employee would not have been asked to give the speech but for his or her official position. However, an employee may accept an honorarium if the employee was asked to provide services because of the employee's expertise and not because of the employee's official status. Also, it is not a criminal offense to accept meals, transportation and lodging in connection with a speech as long as the speech is more than merely perfunctory.

If a gift is not in consideration of any official action, it is not a criminal offense for an employee to accept:

- Non-cash items worth less than $50.

- Food, lodging, transportation or entertainment in any amount if accepted as "guest." As a general rule, to accept something as a guest the donor must be present.

- Gifts from a person such as a friend, relative or business associate with whom the employee has a relationship independent of his or her official status, if the gift is given on account of that relationship rather than his or her official status.

Even though an employee may accept a gift without committing a crime, acceptance of the gift may still violate the general standard of conduct and constitute grounds for discipline. That standard states that an employee should not accept or solicit any gift, favor, or service that might reasonably tend to influence the employee in discharging official duties or that the employee knows or should know is being offered with the intent to influence official conduct.

Different rules apply to gifts from lobbyists, even if the lobbyist is not lobbying the employee or anyone at the university. A lobbyist's payment of an employee's transportation and lodging expenses is generally prohibited.

For information regarding a SFA personnel giving items to internal or external customers, please refer to university policy 3.18.

Where can I go for more information?

The Office of Development Home Page (http://givetosfa.sfasu.edu/)

Gift Reporting Policy (http://www.sfasu.edu/policies/gift-reporting.pdf)

Gifts, Loans Endowments, and Bequests Policy (http://www.sfasu.edu/policies/gifts-loans-endowments-and-bequests.pdf)

Gifts, Prizes and Awards Policy (http://www.sfasu.edu/policies/gifts-prizes-and-awards.pdf)

Ethics Policy (http://www.sfasu.edu/policies/ethics.pdf)

For Expertise and Assistance: The Office of Development/ (936) 468-2278/ April Smith or the Controller's Office/ (936) 468-2112/ Dora Fuselier

Political and Legislative Activities

Brief Overview

Employees of Stephen F. Austin State University have the rights of freedom of association and political participation guaranteed by the federal and state constitutions, subject to some limitations. State law restricts the acts of state agencies, its officers and its employees in regard to influencing legislation or participating in political activities.

What do I need to know?

Employees and officers may not use appropriated money, including state resources, to attempt to influence the passage or defeat of a legislative measure.

Employees and officers are not prohibited from testifying on their own behalf on their own time, using their own resources, in support of or in opposition to specific legislation.

Employees and officers are not prohibited from using state resources to provide public information or to provide information responsive to a request.

Employees and officers may not use state resources to support or oppose the election of a candidate for public office.

Employees and officers may not use official authority or influence for a political purpose. Employees should be directed to the political activities provisions of the Regents' *Rules and Regulations* for information.

Each new employee receives a copy of the law governing political and legislative activities and is required to sign an acknowledgment of receipt.

Where can I go for more information?

Texas Government Code (www.statutes.legis.state.tx.us?link=GV)

Chapter 556, Political Activities by State Employees

Ethics Policy (http://www.sfasu.edu/policies/ethics.pdf)

For Expertise and Assistance: Office of General Counsel / (936) 468-4305 / Damon Derrick

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Contact with the News Media

Brief Overview

Inquiries from members of the news media are to be handled in a courteous, professional, cooperative and timely manner. Requests for information by the media that are not handled properly may result in misinformation to the public or in adverse public relations.

It is important to keep the Office of University Marketing Communications informed of media inquiries. SFA faculty and staff members should notify the University Marketing Communications staff by phone or email any time a request for information is received. It is not necessary to notify the Office of University Marketing Communications if a request comes from someone other than a news media representative. Media inquiries regarding intercollegiate athletics should be directed to the Athletic Director of Media Relations.

When their schedules allow, faculty members are encouraged to respond to requests from members of the news media for information that relates to their area of expertise. The University Marketing Communications office should be made aware of the request as soon as possible, for media monitoring purposes. Faculty or staff members who prefer not to respond, for any reason, to a media request should refer the request to the Office of University Marketing Communications.

The director of University Marketing Communications and the assistant director of University Marketing Communications frequently serve as the official spokespersons of the university. Determining an appropriate spokesperson in a particular case will depend on the topic of the inquiry and its nature, such as whether the inquiry is for basic factual information or for analysis of an issue or policy.

The director and assistant director of University Marketing Communications are available for consultation regarding any media contact.

What do I need to know?

If contacted by a credentialed member of the news media, forward information regarding the request for information to the Office of University Marketing Communications; (936) 468-6200. It is acceptable for faculty to respond to requests for information that pertains to their area of expertise

If the request for information is filed under the Public Information Act, the request should be forwarded to the general counsel; (936) 468-4305.

Where can I go for more information?

Office of University Marketing Communications (www.sfasu.edu/pubaffairs/index.asp)

Access to University Records Policy (www.sfasu.edu/policies/access-to-university-records.pdf)

News Releases Policy (www.sfasu.edu/policies/news-releases.pdf)

For Expertise and Assistance: Office of University Marketing Communications / (936) 468-6200 / Shirley Luna
Or Athletics/ (936) 468-2606/ Randall Champion

Texas Public Information Act

Brief Overview

Stephen F. Austin State University is committed to providing citizens and taxpayers with access to all applicable public records under provisions of the Texas Public Information Act. The act applies to all information collected, assembled or maintained by SFA in the course of its official business. Supervisors and managers should take appropriate steps to assure that their employees recognize a request for information under the act, and that it is forwarded for handling in a timely and proper manner.

What do I need to know?

To comply with the act, SFA created the Access to University Records Policy, which contains guidelines for promptly processing requests under the Act.

The Office of the General Counsel has been designated by the Board of Regents as the public information coordinator responsible for processing public information requests.

Each employee should know that a written request for documents received via regular mail or delivered in person must be forwarded immediately to the general counsel for handling. Persons submitting requests for information via fax or email should send them directly to the general counsel or designee. Faxed or emailed requests received by any other employee are not valid requests. Employees should respond to the requestor with the correct contact information for the general counsel, or designee, so that the requestor can resubmit his or her request accordingly. Since all requests must be submitted in writing and the act does not provide for responding to verbal inquiries, employees receiving verbal requests for records should direct the requestor to the general counsel for further assistance.

Time is of the essence in responding to a request. The Act requires that SFA seek an opinion from the attorney general when requested information falls within one of the Act's exceptions. This request for an opinion must be submitted within 10 working days after receipt of the request.

Where can I go for more information?

Access to University Records Policy (http://www.sfasu.edu/policies/access-to-university-records.pdf)

Texas Government Code (www.statutes.legis.state.tx.us?link=GV), Chapter 552, Public Information Act

For Expertise and Assistance: Office of General Counsel / (936) 468-4305/ Damon Derrick

Records Management

Brief Overview

To comply with Texas law and regulation, the university shall operate a records management program on a continuing basis. The goal of records management is to ensure that the university's functions, policies, decisions, procedures, and transactions are captured and made accessible through complete and accurate records that are properly retained for as long as necessary, and when no longer needed are properly disposed.

Characteristics of an effective records management program include:

- Well-defined roles and responsibilities for managing records
- Comprehensive file plan and current retention schedule
- Identification and protection of records essential to business continuity after disaster
- Written procedures for capturing, filing, accessing, and retrieving records in any format
- Written procedures for disposing of records according to a certified retention schedule
- Ongoing training that promotes awareness of principles and best practices

What do I need to know?

Regardless of medium, records must be classified and managed efficiently and securely. All employees have recordkeeping responsibilities for records in their control.

Department heads shall designate at least one records coordinator to be responsible for administering the records management program.

Department heads shall authorize all records disposition according to the retention schedule and will halt any disposition of records that may be required for audit, litigation, or public information requests.

The State and Local Records Management Division, Texas Library and Archives, certifies the retention schedules of all state agencies every three years.

The SFA records administrator submits the university's retention schedule to the State for certification and amendments, and also provides training, assistance and advice to records coordinators and department heads.

Where can I go for more information?

Records Management Policy (www.sfasu.edu/policies/records-management.pdf)

SFA Records Rentention Schedule (http://library.sfasu.edu/etrc/records)

Texas Administrative Code, Title 1, Part 13, Chapter 6
(info.sos.state.tx.us/pls/pub/readtac$ext.ViewTAC?tac_view=4&ti=13&pt=1&ch=6)
Texas Government Code (www.statutes.legis.state.tx.us?link=GV), Chapter 441, Subchapter L

For Expertise and Assistance: SFA Records Administrator / (936) 468-1562 / Linda Reynolds

Delegation of Authority

Brief Overview

As a state agency, the university has only such power and authority as is granted by law or as may be reasonably inferred from law. A state agency, just like a corporation or other business entity, acts through its officers and employees. In the case of a private business, an officer or employee with apparent authority may commit the business to legal obligations. Actual authority is not required.

On the contrary, only agency representatives with actual authority may commit an agency to legal obligations. It is important for agency officers and employees to know whether they have delegated authority to act on behalf of the agency because agencies cannot legally perform obligations that are agreed to by representatives who do not have actual authority to do so. For example, if an invoice is submitted to an agency under a contract that is signed by an employee who lacks actual authority, the agency may not pay the invoice. This situation may embarrass the agency and damage the agency's business reputation. In addition, agency representatives who enter into obligations on behalf of the agency but do not have actual authority to do so may be personally responsible for those obligations.

The *Texas Education Code* gives the SFA Board of Regents the authority to govern and operate the university. It also authorizes the Board to delegate any power or duty to an officer, employee or committee. In many instances, the Board has delegated its authority to officers pursuant to the Regents' *Rules and Regulations* or by implementation of university policy.

Subject matter generally determines which officer receives delegated authority from the Board to bind the university. It is not the purpose of this overview to cover all delegations. Two important delegations to be aware of, however, are: (1) the authority to sign contracts, and (2) the authority to act in the absence of the president. The Board delegated to the president the authority to sign certain contracts and additionally delegated the authority to act in the absence of the president to certain individuals. The president may delegate his authority to act to other individuals as appropriate.

What do I need to know?

Before taking any action on behalf of the university or signing any contract or other document that would bind the university, verify that you have received a written delegation of authority to do so.

Only officers that receive authority to sign contracts directly from the Board (for example, the president) may further delegate the authority to sign contracts to other employees.

All delegations of authority must be in writing.

Where can I go for more information?

Regents' *Rules and Regulations* (http://www.sfasu.edu/regents/docs/BORrules_regs.revised10.18.11.pdf)
Texas Education Code) § 95.21

Contracting Authority Policy (http://www.sfasu.edu/policies/contracting-authority.pdf)

Authority to Act in the Absence of the President (http://www.sfasu.edu/policies/authority-to-act-in-the-absence-of-

For Expertise and Assistance: Office of General Counsel / (936) 468-4305 / Damon Derrick

Service on Outside Boards

Brief Overview

It is recognized that the president, as well as other employees, administrators, faculty and staff of the university, may be asked to serve on the boards, councils or other governing or advisory bodies ("outside boards") of various business, civic, professional, social and religious organizations, both for profit and not-for-profit, and in compensated and non-compensated positions. Such service is generally deemed to be in the best interest of the university because it broadens the experience of the individuals involved and exposes the university to a larger audience of business, civic, professional, social and religious leaders.

What do I need to know?

When evaluating whether to accept a position on an outside board, an individual should first ensure that such a position would not create a conflict of interest and that fulfillment of the responsibilities of such a position would not impose an unreasonable time requirement. Request this opinion from the general counsel.

Where can I go for more information?

Ethics Policy (http://www.sfasu.edu/policies/ethics.pdf)

For Expertise and Assistance: Office of the General Counsel / (936) 468-4305 / Damon Derrick

Professional Organization Memberships

Brief Overview

The university encourages its employees to maintain memberships in organizations that provide certifications that are required for employment.

Where can I go for more information?

Texas Government Code §2113.104 Membership in and Dues for Professional Services, and §556.005(b) Employment of Lobbyist

Texas Ethics Commission (www.ethics.state.tx.us/dfs/loblists.htm) to determine if an organization has a lobbyist on salary

Memberships Policy (http://www.sfasu.edu/policies/memberships.pdf)

For Expertise and Assistance: Office of Procurement and Property Services (936) 468-4037 / Diana Boubel

HIPAA

Brief Overview

The Federal Health Insurance Portability and Accountability Act (HIPAA) of 1996 Administrative Simplification Regulations created national standards to protect individuals' medical records and other personal health information (PHI). The rules set standards for the use and release of health records by medical care providers and insurance plans that these entities must meet to protect the privacy and security of PHI. A new set of HIPAA regulations was added in 2009 by the Health Information Technology for Economic and Clinical Health (HITECH Act), part of the American Recovery and Reinvestment Act of 2009 (ARRA). The new HIPAA rules add a duty to provide notices of breaches involving PHI. Covered Entities subject to the regulations are required to have privacy and security policies in place that ensure compliance with the regulations and provide privacy notices to any individual whose personal health information is collected, held or shared by the Covered Entity. Some university departments may be considered Covered Entities in possession of PHI. These offices should contact the Office of the General Counsel with any questions related to HIPAA compliance.

Where can I go for more information?

HIPAA Medical Privacy, U.S. Office of Health & Human Services (www.hhs.gov/ocr/privacy/hipaa/understanding/summary/index.html)

For Expertise and Assistance: Office of General Counsel / (936) 468-4305 / Damon Derrick

FERPA

Brief Overview

The Family Educational Rights and Privacy Act (FERPA) is a federal law that protects the privacy of and authorizes a student's access to student education records. FERPA applies to institutions that receive funds under an applicable program of the U.S. Department of Education. The law provides university students with the right to review education records within 45 days of the day the university receives the request; to consent to disclosure of the student's education records to third parties, except to the extent that FERPA authorizes disclosure without consent; to request amendment of inaccurate student education records; to be notified of the student's privacy rights under FERPA; and 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 university abides by FERPA and has implemented a student records policy pursuant to this law.

Where can I go for more information?

FERPA, 20 USC §1232g(assembler.law.cornell.edu/uscode/html/uscode20/usc_sec_20_00001232---g000-.html)

FERPA Regs, 34 CFR Part 99 (www.ed.gov/policy/gen/reg/ferpa/index.html)

Family Compliance Policy Office (www.ed.gov/policy/gen/guid/fpco/index.html)

Student Records Policy(www.sfasu.edu/policies/student-records.pdf)

Privacy Rights (FERPA) http://www.sfasu.edu/registrar/345.asp

Annual FERPA Notification http://www.sfasu.edu/registrar/108.asp

For Expertise and Assistance: Office of General Counsel / (936) 468-4305 / Damon Derrick or Office of the Registrar / 936-468-2326 / Lynda Langham

Social Security Number (SSN) Security

Brief Overview

The confidentiality of Social Security numbers (SSNs) is protected by federal and state law. Increased reliance on the use of SSNs as the primary identifier in electronic information systems poses the risk of identity theft. The university is committed to protecting the confidentiality of SSNs while not creating unreasonable obstacles to the conduct of business and service to its many constituencies.

What do I need to know?

Federal law requires that each time the university asks that an individual disclose his or her SSN, the individual must be notified whether the disclosure is mandatory or voluntary, by what authority the SSN is requested, and what uses will be made of the SSN.

Employees should promptly report to their supervisors the inappropriate disclosure of SSNs.

Where can I go for more information?

Student Records Policy (www.sfasu.edu/policies/student-records.pdf)

Overview of the Privacy Act of 1974, 2012 Edition (www.justice.gov/opcl/1974privacyact-overview.htm)
Texas Government Code §§ 552.024 & 559.003

For Expertise and Assistance: Office of the General Counsel / (936) 468-4305 / Damon Derrick

Travel Policy

Brief Overview

The SFA travel policy and SFA's published travel guidelines are intended to ensure safe and efficient travel, control costs, maximize the university's ability to negotiate with preferred suppliers, and facilitate compliance with internal, state and federal regulations. The policy and guidelines outline traveler responsibilities, authorization and reimbursement requirements and provisions pertaining to transportation, meal and lodging expenditures.

Where can I go for more information?

Travel Office Website (www.sfasu.edu/controller/travel/)

Travel Policy (www.sfasu.edu/policies/travel.pdf)

Student Travel Policy (www.sfasu.edu/policies/student-travel.pdf)

Travel Guidelines (http://www.sfasu.edu/controller/travel/travel-guidelines.asp)

For Expertise and Assistance: Travel Office / (936) 468-2462 / Lynnette Honea / (936) 468-6314/ Cathy Michaels

In-State Travel

Brief Overview

Travel rules and regulations governing in-state travel come from a variety of sources including the State of Texas Travel Regulations Act, the General Appropriations Act, the State of Texas Travel Guide (Textravel), the State Comptroller and the Internal Revenue Service.

An employee's travel must be planned and conducted to achieve maximum economy and efficiency. A department may adopt allowable expense and reimbursement rates lower than those stated in the SFA Travel Guidelines. Employees must be notified in writing before lower rates are implemented.

Where can I go for more information?

Travel Office Website (www.sfasu.edu/controller/travel/)

Travel Policy (www.sfasu.edu/policies/travel.pdf)

Student Travel Policy (www.sfasu.edu/policies/student-travel.pdf)

In-State Hotel Directory (www.window.state.tx.us/procurement/prog/stmp/stmp-hotel-contract/)

For Expertise and Assistance: Travel Office / (936)468-2462 / Lynnette Honea / (936) 468-6314/ Cathy Michaels

Out-of-State Travel

Brief Overview

Travel rules and regulations governing out-of-state travel come from a variety of sources including the State of Texas Travel Regulations Act, the General Appropriations Act, the State of Texas Travel Guide (Textravel), the State Comptroller and the Internal Revenue Service.

An employee's travel must be planned and conducted to achieve maximum economy and efficiency.

Where can I go for more information?

Travel Office Website (www.sfasu.edu/controller/travel/)

Travel Policy (www.sfasu.edu/policies/travel.pdf)

Student Travel Policy (www.sfasu.edu/policies/student-travel.pdf)

Out-of-State Meal/Lodging Rates (www.window.state.tx.us/fm/travel/out_of_state/rate_sched.html)

For Expertise and Assistance: Travel Office / (936)468-2462 / Lynnette Honea / (936) 468-6314/ Cathy Michaels

Use of Personal Vehicle

Brief Overview

Before using a personal vehicle for travel, travelers must use the mileage cost comparison calculator to determine whether it is more cost effective for the university to reimburse the traveler or to pay for a rental car. If the rental car is less expensive, the traveler may elect to use his/her personal vehicle, but will only be reimbursed the lower amount. When computing mileage, travelers should use Google Maps to compute the shortest route.

Where can I go for more information?

Travel Office Website (www.sfasu.edu/controller/travel/)

Travel Policy (www.sfasu.edu/policies/travel.pdf)

Student Travel Policy (www.sfasu.edu/policies/student-travel.pdf)

For Expertise and Assistance: Travel Office / (936)468-2462 / Lynnette Honea / (936) 468-6314/ Cathy Michaels

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Travel Reimbursements

Brief Overview

Travel must be authorized by the individual department and arranged to achieve maximum savings and efficiency. Original receipts are required for most travel expenses. However, receipts are not required for meal per diem, parking, parking meters or public transportation within a city if the expense is less than $25. If an original receipt is not available, a written explanation is required. The authorized signer must indicate approval by signing the explanation.

Where can I go for more information?

Travel Office Website (www.sfasu.edu/controller/travel/)

Travel Policy (www.sfasu.edu/policies/travel.pdf)

Student Travel Policy (www.sfasu.edu/policies/student-travel.pdf)

Textravel (formerly State of Texas Travel Allowance Guide)
https://fmx.cpa.state.tx.us/fm/pubs/travallow/index.php)

Out-of-State Meal/Lodging Rates (fmx.cpa.state.tx.us/fm/travel/out_of_state/index.php)

For Expertise and Assistance: Travel Office / (936)468-2462 / Lynnette Honea / (936) 468-6314/ Cathy Michaels

STEPHEN F. AUSTIN STATE UNIVERSITY

Retirement

Brief Overview

All regularly appointed employees at SFA are required to participate in a retirement program. Retirement participation defaults to the Teachers Retirement System (TRS). Some positions are eligible to participate in the Optional Retirement Program (ORP) in lieu of TRS. This election decision must be made within 90 days of employment and is irrevocable. Additionally, all employees may participate in the voluntary retirement savings programs.

Where can I go for more information?

For more information regarding the SFA Retirement Programs see: (http://www.sfasu.edu/hr/108.asp)

For Expertise and Assistance: Human Resources / (936) 468-2304

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Hiring Procedures

Brief Overview

SFA is an Equal Opportunity/Affirmative Action employer and is committed to the recruitment and selection of highly qualified, productive employees.

Where can I go for more information?

Online vacancy postings "Careers at SFA" website: http://www.sfasu.edu/hr/100.asp

For Expertise and Assistance: Human Resources */* (936) 468-2304 / John Wyatt

Equal Employment Opportunity

Brief Overview

No person including students, faculty, staff and temporary workers shall be excluded from participation in, or denied the benefits of, or be subject to discrimination under any program or activity sponsored or conducted by SFA, on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status.

Where can I go for more information?

Affirmative Action Policy (www.sfasu.edu/policies/affirmative-action.pdf)

Discrimination Complaints/Sexual Harassment Policy (www.sfasu.edu/policies/discrimination-complaints-sexual-harassment.pdf)

For Expertise and Assistance: Human Resources / (936) 468-2304 / Glenda Herrington

Employment of Relatives - Nepotism

Brief Overview

SFA supervisors may hire an employee's relatives, but neither relative may supervise the other nor be involved in any way with the appointment, salary or promotion of the other. The employment of certain relatives of a member of the SFA Board of Regents is prohibited by SFA's Nepotism Policy 11.16 and state law.

Where can I go for more information?

Nepotism Policy (www.sfasu.edu/policies/nepotism.pdf)

Texas Government Code § 573.001

Opinion, State of Texas Attorney General, No. DM-76 (1992) (www.oag.state.tx.us/opinions/dm/dm076.pdf)

For Expertise and Assistance: Human Resources / (936) 468-2304 / Glenda Herrington

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EMPLOYEE SERVICES

Job Evaluations

Brief Overview

Each position is assigned a job classification in the university's pay plan based on the duties and responsibilities of the position. Each position is evaluated based on the specific duties and responsibilities assigned to the position, the scope of the position's function, the level of independent authority held by the position, and organizational reporting structure above and below the position.

New or vacant positions are evaluated by Human Resources to ensure proper job classification is assigned. Job Analysis Questionnaires (JAQs) are submitted to Human Resources so that an evaluation can be conducted.

Changes in the duties of a job may require re-evaluation. Where changes are judged significant and permanent by the supervisor and/or manager, a request for re-evaluation should be submitted.

The *Reclassification Process* takes place once per year, just before the budget process begins (in early spring). Departments are required to complete a JAQ form and provide justification for the re-evaluation. Requests must be submitted by due dates set by Human Resources. For each request submitted, Human Resources conducts an analysis of the position and presents a recommendation to each vice president. With vice president approval, the recommended reclassifications are presented to the Board of Regents with the proposed annual budget. Approved reclassifications become effective at the beginning of the next fiscal year (September 1st). The decision to reclassify a filled position is based on an evaluation of the duties, responsibilities, etc. of the position, not on an employee's job performance or longevity.

Where can I go for more information?

Compensation Plan for Exempt and Non-Exempt Staff (www.sfasu.edu/policies/compensation-plan-for-exempt-and-non-exempt-staff.pdf)

Job Analysis Questionnaire (www.sfasu.edu/hr/110.asp)

For Expertise and Assistance: Human Resources / (936) 468-2304 / Jamie Derrick / (936) 468-1027 / hrcompensation@sfasu.edu

Sexual Harassment

Brief Overview

SFA is committed to a working environment free from inappropriate conduct of a sexual nature. Individuals who engage in unwelcome sexual advances, requests for sexual favors or verbal or physical conduct of a sexual nature directed towards another individual will be subject to disciplinary action.

SFA provides both an informal resolution process and a formal complaint procedure that employees may use to address possible violations of federal or state law or university policy.

To the extent permitted by law, complaints and information received during the investigation will remain confidential. Relevant information will be provided only to those persons who need to know in order to achieve a timely resolution of the complaint.

Where can I go for more information?

Discrimination Complaints/Sexual Harassment Policy

Sexual Harassment Complaint Information

The Equal Employment Opportunity Commission Guidelines (www.eeoc.gov/facts/qanda.html)

Title VII of the Civil Rights Act of 1964, as amended (www.eeoc.gov/policy/vii.html)

Title IX of the Civil Rights Act of 1972 (www.dol.gov/oasam/regs/statutes/titleix.htm)

For Expertise and Assistance: Human Resources / (936) 468-2304 / Glenda Herrington

Overtime – Nonexempt Employees

Brief Overview

SFA complies with provisions of the federal Fair Labor Standards Act (FLSA), which sets forth rules and regulations on overtime work for nonexempt employees. A nonexempt employee who actually works more than 40 hours in a given work week must be compensated for all hours worked over 40 on a time and one-half basis. The SFA workweek is defined as 7 consecutive 24-hour periods, Saturday through Friday.

Where can I go for more information?

Overtime and Compensatory Time Policy (www.sfasu.edu/policies/overtime-and-compensatory-time.pdf)

Fair Labor Standards Act of 1938, as amended, 29 U.S.C. §§ 201-219 (www.dol.gv/whd/regs/statutes/FairLaborStandAct.pdf)

Texas Government Code (www.statutes.legis.state.tx.us?link=GV), § 659.015

For Expertise and Assistance: Human Resources / (936) 468-2304 / Glenda Herrington / Jamie Derrick

Paid and Unpaid Leave – Vacation Leave

Brief Overview

Employees of the university other than faculty and school teachers appointed for 20 hours or more per week and for 4.5 months or longer are eligible to accrue vacation leave beginning on the first day of eligible employment. Employees must have 6 months of continuous state service before they can use vacation leave.

What do I need to know?

An employee's earned vacation hours increase with years of state service.

Maximum amounts of vacation that can be carried forward from one fiscal year to the next are established by state law.

Employees who have at least 6 months of continuous state service are paid for earned, unused vacation upon separation from employment.

Where can I go for more information?

Vacation Leave Policy (www.sfasu.edu/policies/vacation-leave.pdf)

Texas Government Code (www.statutes.legis.state.tx.us?link=GV), §§ 661.062-661.065,§ 661.067, §§ 661.091-661.092, § 661.121, §§ 661.151-§661.153, § 662.0072

For Expertise and Assistance: Human Resources / (936) 468-2304 / John Wyatt

Paid and Unpaid Leave - Sick Leave

Brief Overview

Employees appointed for 20 hours or more per week and for 4.5 months or longer are eligible to earn 8 hours of sick leave per month of employment. Eligible part-time employees will earn sick leave on a basis proportional to their percent time of employment.

Where can I go for more information?

Sick Leave Policy (www.sfasu.edu/policies/sick-leave.pdf)

Texas Government Code (www.statutes.legis.state.tx.us?link=GV), §§ 661.201-661.206, § 661.904

For Expertise and Assistance: Human Resources / (936) 468-2304 / John Wyatt

Paid and Unpaid Leave – Sick Leave Pool

Brief Overview

Eligible employees may apply for sick leave from the sick leave pool when they or an immediate family member has a catastrophic illness or injury and all other available leave balances have been exhausted.

Where can I go for more information?

Sick Leave Pool Policy (www.sfasu.edu/policies/sick-leave-pool.pdf)

Texas Government Code (www.statutes.legis.state.tx.us?link=GV), §§ 661.002-661.008

For Expertise and Assistance: Human Resources / (936) 468-2304 / John Wyatt

Paid and Unpaid Leave – Family and Medical Leave

Brief Overview

SFA complies with the federal Family and Medical Leave Act of 1993 and provides eligible employees job–protected leave for certain family and medical reasons.

Where can I go for more information?

Family and Medical Leave Policy (www.sfasu.edu/policies/family-and-medical-leave.pdf)

Family and Medical Leave Act of 1993 29 U.S.C. § 2601, et seq., 29 C.F.R. Part 825

Texas Government Code (www.statutes.legis.state.tx.us?link=GV), § 661.912

For Expertise and Assistance: Human Resources / (936) 468-2304 / John Wyatt

Telecommuting

Brief Overview

SFA employees who meet certain criteria may enter into telecommuting agreements, with the approval of the President and perform work from a remote site.

Where can I go for more information?

Working Hours and Holidays Policy (www.sfasu.edu/policies/working-hours-and-holidays.pdf)

For Expertise and Assistance: Human Resources / (936) 468-2304 / Glenda Herrington

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Employee Discipline Procedures

Brief Overview

It is the policy of SFA to encourage fair, efficient and equitable solutions for problems arising out of the employment relationship and to meet the requirements of state and federal law. SFA follows a progressive discipline policy which applies to all regular non-academic employees.

Employee disciplinary policies and procedures are applicable to the conduct or job performance of an employee that results in a decision to impose a disciplinary penalty of demotion, suspension without pay or dismissal.

Each employee is expected to become acquainted with and fulfill the responsibilities set out by the performance criteria for his or her particular job and with all rules, procedures, and standards of conduct established by SFA. Failure to do so may subject the employee to adverse personnel action.

Where can I go for more information?

Discipline and Discharge Policy (www.sfasu.edu/policies/discipline-and-discharge.pdf)

Grievance and Appeals Policy (www.sfasu.edu/policies/grievance-and-appeals.pdf)

For Expertise and Assistance: Human Resources / (936) 468-2304 / Glenda Herrington or John Wyatt

Evaluating Your Employees

Brief Overview

SFA's performance evaluation process is designed to assess an employee's accomplishments in relation to the standards and goals for the position, provide feedback regarding work performance and demonstrated attributes/behaviors, recommend development activities, and establish goals for the next evaluation period. The review period is January 1 through December 31. Managers are encouraged to start evaluations in December, complete any last minute adjustments in January, and then complete and finalize evaluations during the last two weeks of January. Finalized evaluations with the required signatures are due in Human Resources by January 31st each year. Probationary staff employees must be appraised before the end of the sixth month of employment.

Where can I go for more information?

Performance Management Plan Policy (www.sfasu.edu/policies/performance-management-plan.pdf)

Performance Review Forms (www.sfasu.edu/hr/documents/SFASU_PerformanceReview_Staff_Web.pdf)

For Expertise and Assistance: Human Resources / (936) 468-2304 / Jamie Derrick

Temporary Staffing

Brief Overview

Temporary staff includes casual employees hired for less than 90-consecutive calendar days, employees secured through a temporary employment agency which has contracted with SFA to provide temporary labor services, or an employee hired as a temporary staff appointment for a time period that extends beyond the 90-day temporary casual employment category.

Other types of temporary employment include "Consultant," "Consulting Service," "Major Consulting Services Contract" and "Professional Services" are defined in *Texas Government Code* § 2254 and are handled through the Office of the General Counsel.

What do I need to know?

Contact Human Resources prior to making an offer of employment.

A department may employ a temporary, casual employee on a part-time or full-time basis for a period not to exceed ninety (90) consecutive calendar days and may not be allowed to work again in a casual position until 26 weeks have past. These positions can be filled without being posted as a vacancy.

A temporary employee may be hired through a temporary employment agency. These are not considered university employees, but are contract workers (see below). Departments needing assistance may find more detailed information on the SFA Procurement and Property Services department website.

Departments may consider a temporary staff appointment which includes an assignment that would last longer than then 90-day casual employee. Temporary staff appointments must be approved by the president or a vice president. The position must be posted for a minimum of 5 days. These appointments are benefits eligible if longer than 4.5 months and at least 50% FTE. The assignment must be communicated in writing containing a start and end date of the assignment. A sample letter is available from Human Resources. Employees filling this type of position are considered "at will" and may be terminated at any time for any reason other than for a discriminatory or illegal cause.

A state agency may not enter into an employment contract, a professional services contract or a consulting services contract with a former or retired employee of the agency before the first anniversary of the last date on which the individual was employed by the agency, if appropriated money will be used to make payments under the contract.

Contract workers are defined as "independent contractors, temporary workers supplied by staffing companies, contract company workers and consultants." If a service agreement or contract primarily involves the provision of labor (as opposed to the provision of goods), is likely falls under the heading of "contract workforce."

"Consultant," "Consulting Service," "Major Consulting Services Contract" and "Professional Services" are defined in Texas Government Code § 2254.

Where can I go for more information?

Temporary Employment Policy (www.sfasu.edu/policies/temporary-employment.pdf)

Procurement and Purchasing Services website (http://www.sfasu.edu/purchasing/1205.asp)

Texas Government Code (www.statutes.legis.state.tx.us?link=GV), § 2254

For Expertise and Assistance: Human Resources/ (936) 468-2304 / Glenda Herrington

Termination

Brief Overview

Employees of SFA can leave employment for various reasons, including but not limited to voluntary resignation, at-will involuntary termination during the probationary period, involuntary termination due to poor performance or misconduct, reduction in force or reorganization, or the expiration of a temporary position.

An employee separating voluntarily should provide written notice of separation to the supervisor at least two weeks prior to the final day of work.

The exit interview provides an opportunity for the employee to receive information regarding continuation of insurance coverage, to complete forms for the final processing of retirement program participation, to provide a forwarding address, and to return or account for any university property including keys, identification cards, credit cards and parking tag. Any indebtedness by the employee must be reconciled during this meeting. The final disbursement to an employee for any vacation and/or comp time due may be held for payment until balances owed to the university are repaid.

All involuntary terminations must be coordinated with the Director of Human Resources.

Where can I go for more information?

Discipline and Discharge Policy (www.sfasu.edu/policies/discipline-and-discharge.pdf)

For Expertise and Assistance: Human Resources / (936) 468-2304 / Glenda Herrington

Payroll Payments: Non-Exempt Employees

Brief Overview

All non-exempt employees must enter their time through SFA's timekeeping system, Time Clock Plus (TCP). Before an employee has access to TCP, an EPAF must be applied through the Human Resource system. In order for the supervisor to view/approve the new employee's time, an email must be sent to tcp@sfasu.edu stating the employee name, campus id, and designated approvers for the employee. The three levels of approvals are: I for "Individual", M for "managers" and "O" for the department head or final approver. Each department must have at least 2 approvers at the "O" level in order for approvals to be handled timely. Hourly employees such as students and casual employees must clock in/out using either the web version of TCP or punch in/out through a time clock. Salaried non-exempt employees such as administrative assistants may clock in/out or they may use the timesheet entry on the web version of TCP. The decision as to whether an employee is required to clock in/out or use the timesheet entry in TCP is made at the departmental head level.   Approvals for the 1st-15th are generally due by the 17th. Approvals for the 16th-end of month are generally due by the 2nd. An employee may never approve their own time.

Where can I go for more information?

Compensation Plan for Exempt and Non-Exempt Staff Policy (www.sfasu.edu/policies/compensation-plan-for-exempt-and-non-exempt-staff.pdf)

Distribution of Payroll Policy (www.sfasu.edu/policies/distribution-of-payroll.pdf

For Expertise and Assistance: Payroll Office (936) 468-2172, 468-2451, or 468-3732

Payroll Payments: Exempt Employees

Brief Overview

Salaried exempt employees such as faculty, professional staff and graduate assistants are paid a monthly salary on the first business day of the following month. An EPAF must be entered and applied through the Human Resource System in order to pay any employee. Any employee whose EPAF was applied late or after payroll has been run will be paid on a supplemental payroll or the next scheduled payroll.

All exempt employees must enter their leave time through SFA's Leave Reporting System in Self-Service Banner. Unless physically unable, each employee is responsible for entering leave taken. The department head must approve all exempt employees' time by due dates established by the payroll office. As soon as the department head approves the leave in Self Service Banner, it is immediately applied to the leave balance.

"Comp Time" earned by an exempt employee is at straight time. Comp time taken in a fiscal year (September – August) is limited to 80 hours. Comp time must be recorded on the Comp Time Earned Record, signed by the employee earning comp time and the department head (one form per month per department). If an employee is taking comp time in the same month it is earned and the employee does not have a comp time balance large enough to cover the usage for the current month, then the Comp Time Earned Record needs to be forwarded to Payroll to be entered prior to the Department Head approving the employee's time.

Where can I go for more information?

Compensation Plan for Exempt and Non-Exempt Staff Policy (www.sfasu.edu/policies/compensation-plan-for-exempt-and-non-exempt-staff.pdf)

Distribution of Payroll Policy (www.sfasu.edu/policies/distribution-of-payroll.pdf

For Expertise and Assistance: Payroll Office (936) 468-2172, 468-2451, or 468-3732

Student Employment

Brief Overview

Students seeking on-campus employment may apply for vacant positions at https://careers.sfasu.edu. Student positions are required to be posted at this web address for a minimum of three (3) days and interested students must apply on-line to be considered. The hiring department will arrange the interview and select the candidate.

What do I need to know?

All students employed by SFA are required to complete an orientation process provided by Human Resources on or before their first day of employment. It is the employing department's responsibility to ensure that all new student workers report to HR for paperwork processing before they begin work.

Hiring departments are required to complete an EPAF on or before the first day of employment to setup the student's job assignments. Terminations from employment from SFA and the ending of a job assignment are also documented through completion of the proper EPAF.

Student epmloyees may not exceed 115 total working hours per month (approximately 26.5 hours per week). This limitation applies to all semesters, for the dates between the semesters, including summers and holidays. Total hours work may not exceed forty (40) hours in one week.

To be eligible for employment, the student must carry six (6) or more semester hours. It is the employing department's responsibility to ensure that student employees are enrolled for the required number of semester hours. Student assistants enrolled for 1-5 academic hours must be approved by the dean of student affairs.

Federal Work-Study (FWS) is a federally funded program designed to provide financial aid to those students choosing to earn a portion of their educational expenses. To be eligible for the FWS program, the student must first complete the financial aid application for need-based aid by the established deadline. The Financial Aid Office will determine the student's eligibility and the amount of the award.

The Department of Homeland Security permits foreign students to be employed under the same regulations as students who are U.S. citizens. Questions about documentation and identification requirements may be answered by Human Resources.

Employment authorization and processing of graduate assistants goes through Human Resources and the Graduate Office. Student assistants may not hold any other position such as a graduate assistantship or temporary casual employment at the same time they are employed as a student assistant or work study assistant.

SFA policy regarding nepotism also applies to student employment.

Where can I go for more information?

Student Employment Policy (www.sfasu.edu/policies/student-employment.pdf)

Neopotism Policy (www.sfasu.edu/policies/nepotism.pdf)

Forms:

College Work-Study Permit (issued by Financial Aid,

Departmental Approval to Work while Enrolled for Fewer than 6 hours-
http://www.sfasu.edu/hr/documents/LessThan6Request.pdf

Other employment forms- http://www.sfasu.edu/hr/103.asp.

For Expertise and Assistance: Human Resources / (936) 468-2304 / Glenda Herrington / Jamie Derrick

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Volunteer Workers

Brief Overview

Departments who use volunteers must abide by certain guidelines as described in policy. Departments must document each volunteer and have the volunteer complete the release form or other form approved by the general counsel prior to the start of their volunteer service.

Where can I go for more information?

For more information regarding the SFA Volunteer Workers see: (http://www.sfasu.edu/policies/volunteer-workers.pdf)

For Expertise and Assistance: Human Resources / (936) 468-2304 / Glenda Herrington

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Work-Related Injuries

Brief Overview

Any injury that may be work-related must be reported to the Environmental Health, Safety & Risk Management Department (Safety or EHSRM) within **24 hours** of the incident to document the injury. The Safety Dept. offers a 24 hour quick link on the EHSRM website to report the injury. The employee has **thirty days** to file a claim and seek medical treatment. Should the employee choose to file a claim for medical treatment for an on the job injury, the employee should contact EHSRM at 936-468-4514 and the Worker's Compensation (WC) Safety Officer will interview the employee to confirm the injury is work related, fill out the necessary worker's compensation forms required by the State Office of Risk Management (SORM), and provide information on the available WC medical facilities to choose from for medical treatment.

The information below outlines your responsibilities when an employee is injured and where to obtain assistance in meeting those responsibilities.

Where can I go for more information?

Workers Compensation Coverage Policy (www.sfasu.edu/policies/workers-compensation-coverage.pdf)

Risk Management Policy (www.sfasu.edu/policies/risk-management.pdf)

Safety Website (www.sfasu.edu/safety/)

For Expertise and Assistance: Environmental Health, Safety and Risk Management /936-468-4514/ Sonja Hendry-Witt or you may also visit the EHSRM website for most campus safety issues and questions.

Alcohol/Drugs/Smoking/Weapons

Brief Overview

The use of drugs or alcohol by university employees can prevent the university from accomplishing its mission and goals. The use, distribution, sale or possession of illegal drugs or the unauthorized use or possession of alcohol in the workplace will not be tolerated. Employees are expected to be able to perform their duties safely and efficiently. Use of drugs or alcohol off the job may impair this ability. The unlawful possession of a weapon or unlawful use, possession, manufacture, or distribution of drugs in or on premises, or property owned or controlled by the university, is prohibited.

Smoking is prohibited in all buildings, facilities, and vehicles owned or leased by the university and within 20 feet of any entrance to a building or facility.

An employee who engages in conduct prohibited by university policies related to weapons, smoking, drugs and alcohol is subject to discipline up to and including termination.

What do I need to know?

The use of alcohol, while not on duty, that adversely affects job performance or may adversely affect the health and safety of other employees, students, or visitors is prohibited.

Alcohol may only be consumed in designated areas during university sponsored or co-sponsored events.

Any violations of weapons, smoking, drugs and alcohol policy should be reported immediately to the University Police Department at (936) 468-2608.

Where can I go for more information?

Illicit Drugs and Alcohol Abuse Policy (www.sfasu.edu/policies/illicit-drugs-and-alcohol-abuse.pdf)

Smoking and Use of Tobacco Products (www.sfasu.edu/policies/smoking-and-use-of-tobacco-products.pdf)

For Expertise and Assistance: University Police Department / (936) 468-4305 / Marc Cossich or Department of Human Resources / (936) 468-2304 / Glenda Herrington

Emergency Response and Evacuation Plan

Brief Overview

Stephen F. Austin State University's policies for the Emergency Operations Plan (EOP) and University Closure for Inclement Weather and other Emergencies are published on the University's website for all campus community members to become familiar with. The plan itself is an all-hazards document that is built upon scalable, flexible, and adaptable coordinating systems to align key roles and responsibilities across the university when an emergency occurs, since it is not always obvious at the outset of a seemingly minor event whether the event will remain minor and contained, or whether it might be the initial phase of a larger and rapidly growing threat. Each university department should appoint a Department Safety Liaison (DSL) and the alternates maintain a current copy of Emergency Operations Plan (EOP). The plan includes a broad array of procedures for responding to emergencies such as fire, tornado, medical, suspicious persons, power outages and more. Various administrators, faculty, and staff comprise the Emergency Management Committee and assist the Office of Emergency Management, a division of the Department of Public Safety, in policy revisions and annual emergency drills. Participation in these drills is mandatory for all members of the Emergency Management Committee and the Emergency Operations Center Group, or their designees.

Where can I go for more information?

Your Department Safety Liaison, or alternate, or the DPS Emergency Management website.

For Expertise and Assistance: Department of Public Safety's Office of Emergency Management at 936-468-2252 or within the Police Department Building at 232 E. College St.

Fiduciary Responsibility of Department Heads

Brief Overview

The department head is the responsible party for all accounts under his or her jurisdiction and as such is accountable for any improprieties.

Department heads have a responsibility to use the resources of the State of Texas and the university wisely. To this end, the department head should exercise appropriate stewardship when expending funds.

Care should be taken to ensure that funds are not expended for illegal purposes or those that would subject the university or the State to negative publicity.

Care should be taken to establish appropriate levels of internal controls to safeguard the assets entrusted.

Care should be taken to ensure that actions taken by department heads comply with the policies established by the Board of Regents.

What do I need to know?

Department heads are responsible for assets and accounts under their control.

Expenditures should be legal and proper.

Care should be taken to safeguard assets.

Where can I go for more information?

Ethics Policy (http://www.sfasu.edu/policies/ethics.pdf)

General Appropriations Act

For Expertise and Assistance: Budget Office / (936) 468-7223

Departmental Account Responsibilities

Brief Overview

The vice president of finance and administration is responsible for establishing internal controls to ensure that funds are expended and recorded appropriately. All account managers (department heads) are responsible for adopting procedures and controls within their departments based on the established internal controls to ensure that funds are expended and recorded appropriately. These controls should be formally documented in department policies and procedures. Account managers should reconcile accounts for which they have signature authority on a monthly basis. This process provides assurance that fiscal resources are monitored and maintained in accordance with rules, regulations, policies and procedures.

An account is defined as a specific Banner fund/organization combination as assigned by the controller's office. It is the responsibility of each account manager to maintain records of sales and other revenues, expenditures and encumbrances including salaries and wages, and other charges which support and supplement the records in the Banner finance system.

It is the account manager's responsibility to ensure that each account under his/her control does not exceed budget limitations. In accounts where both revenues and expenditures are projected (i.e. Designated Fund, Restricted Fund, and Plant Fund accounts), if actual revenues do not meet budgeted revenues, it is the account manager's responsibility to reduce expenditures accordingly. All deficits are to be thoroughly investigated and resolved in a timely manner. Complete and accurate records of financial transactions are to be maintained by the Controller's Office. These records may be accessed by the appropriate account manager through the Banner system. Account managers are responsible for comparing their records with those of the Controller's Office and reporting any differences promptly to the Controller's Office.

Formal training is available through the Controller's Office and Budget Office. All employees needing Banner access are required to attend the controller's office training. Additional training through the budget office is highly recommended.

Where can I go for more information?

Departmental Budgeting and Accounting Responsibilites (www.sfasu.edu/policies/departmental-budgeting-and-accounting-responsibilities.pdf)

Available trainings http://www.sfasu.edu/controller/training.asp and http://www.sfasu.edu/vpfa/83.asp

For Expertise and Assistance: Budget Office / (936) 468-7223 / Debbie Sellman or the Controller's Office/ (936) 468-2112/ Dora Fuselier

Annual Operating Budget Requests

Brief Overview

The process may vary slightly from year-to-year, but this represents the usual process. For a department, SFA Operating Budget process begins with the Budget Office distributing a packet to the president and each vice president outlining the budget instructions relative to the upcoming fiscal year, which begins on 9/1 and ends 8/31. These administrators will distribute to their department heads with their own internal instructions. In legislative years (odd numbered years), the information is typically sent out in early June. In non-legislative years (even numbered years), communications typically occur in April. Typical information provided includes overall guidelines, guidelines for salary increases and capital request forms. All completed budget forms must be approved by the department head and their respective vice president. Academic departments' forms must also be approved by their dean prior to sending to the provost. A proposed budget is presented to the Board of Regents at the July board meeting.

What do I need to know?

Budget for fiscal year beginning 9/1 is presented to the Board of Regents for approval in July.

Budget requests made must comply with guidelines issued by the Budget Office and the vice president of finance and administration.

Salary actions, other than merit and requests for additional funds over the baseline numbers or outside of stated guidelines, require justification and are subject to approval.

Where can I go for more information?

Annual Budget Preparation (www.sfasu.edu/policies/annual-budget-preparation.pdf)

SFASU Annual Operating Budget (www.sfasu.edu/vpfa/documents/annual-budget-2013-2014.pdf)

For Expertise and Assistance: Budget Office/ (936) 468-7223

Modifications to Operating Budgets

Brief Overview

Modifications to the Operating Budget can be made in several ways:

Personnel Changes – Personnel changes are accomplished through an Electronic Personnel Action Form (EPAF). EPAFs are used for new hires, changes to current status, terminations and leave without pay (LWOP). EPAFs are created within the requesting department and routed through the department head and various processing offices. The hiring of new staff cannot cause the overall salary budget to be exceeded without the approval of the divisional vice president and dean, if within an academic department.

Budget Transfers – Subject to approval by the budget director, funds can be moved from one account to another within the accounts controlled by a department head in Self Service Banner (SSB) if the funds are the same. All other budget transfers must be sent via a Budget Office Transaction Request form, signed by the department head and forwarded to the budget office. However, E&G funds cannot be transferred to other fund types.

What do I need to know?

All personnel changes occur through EPAFs and are initiated within each department. Departments should be mindful of monthly payroll deadlines.

Budget transfers can only be made within like funds and departmental organizations in SSB. All other budget transfers must go through the Budget Office on a Budget Office Transaction Request form.

Where can I go for more information?

Procedures for Completing Budget Transfers in SSB (www.sfasu.edu/vpfa/83.asp)

Budget Office Transaction Request form (http://www.sfasu.edu/vpfa/114.asp.)

For Expertise and Assistance: Budget Office / (936) 468-7223

Funding the Operating Budget (Types of Funds)

Brief Overview

The Operating Budget is typically funded from these main sources: State Appropriations, tuition and fees, designated activities, auxiliary income, and gifts and grants.

State appropriations include general revenue received from the State. These funds are subject to numerous limitations imposed by the general appropriations act and by State statutes. At SFA, appropriated fund accounts are commonly referred to as "Educational and General (E&G) Funds."

Tuition and fees consist of state tuition, designated tuition and all other forms of fees that students pay. Statutory tuition and lab fees are recorded as revenues in E&G funds. Designated tuition and most other fees are reported in designated funds. Departmental sales and services, other than those recognized as auxiliary revenues, are also recognized in designated funds.

Auxiliary income includes athletic revenues, housing and meal plans, and student service fees.

Gifts and Grants are subject to restrictions imposed by the donor/grantor. These funds are usually received as outright gifts, transfers from endowments or proceeds of grants and contracts.

What do I need to know?

The main sources of revenue include state appropriations, tuition and fees, designated activities, auxiliary income and gifts and grants.

Each revenue source has different limitations or restrictions.

Funding cannot be directly transferred from one fund type to another.

Where can I go for more information?

General Appropriations Act available from the Legislative Budget Board   (www.lbb.state.tx.us/)

SFA Annual Operating Budget (www.sfasu.edu/vpfa/83.asp)

For Expertise and Assistance: For Expertise and Assistance: Budget Office / (936) 468-7223 Debbie Sellman

Purchasing

Brief Overview

The purchasing function at Stephen F. Austin State University is a collaborative effort between individual departments, vendors/service providers and the Office of Procurement and Property Services (www.sfasu.edu/purchasing).

Purchasing is a centralized process that expedites departmental procurement needs in the most effective and efficient manner possible ensuring appropriate handling and documentation. Each department is responsible for defining a material or service need and completing an online requisition in the university's financial system. Specific delegations of purchasing authority are made in the Delegated Purchasing Authority policy 17.5. Purchasing reviews and assigns requisitions daily for purchase order processing and placement.

Material orders are generally shipped directly to the requesting department, except for material that requires a property tag or special handling such as palletized shipments and computers. Service providers generally respond directly to the requisitioning department upon receipt of a purchase order.

Procurement procedures and requirements will vary depending on the dollar threshold and/or the type of commodity or service.

Where can I go for more information?

Purchasing 101 (myTraining Portal Log In)

SFA Procurement Policies (http://www.sfasu.edu/purchasing/118.asp)

For Expertise and Assistance: Procurement & Property Services / (936) 468-4037 / Diana Boubel

Historically Underutilized Business Program

Brief Overview

SFA is committed to making a good faith effort to increase business with Historically Underutilized Businesses (HUBs).

The Director of Procurement and Property Services serves as the HUB Coordinator for the university. Increasing business with HUBs is the responsibility of all departments. Procurement includes HUBs in all solicitations. Departments making purchases with their p-card should consider whether HUBs can provide the service. Purchasers in the procurement office can provide assistance in identifying HUBs for p-card purchases.

The procurement office has contracted with several HUB vendors for campus wide contracts including office supplies. Departments will receive p-card demerits for failure to use the HUB office supply vendor unless documentation supports that the need was same-day or the HUB office supply vendor was more expensive. Purchases from Texas Industries for the Blind and Handicapped (TIBH), a state mandated set-aside program, are excluded from HUB reporting and therefore increase SFA's HUB numbers.

What do I need to know?

Increasing business with HUBs is a campus wide initiative.

Departments must use the university's preferred office supply vendor, a HUB, unless documentation supports that the need was same-day or the HUB office supply vendor was more expensive.

Purchases from TIBH are excluded from HUB report and therefore increase SFA's HUB numbers.

Where can I go for more information?

Procurement and Property Service (http://www.sfasu.edu/purchasing/537.asp)

Procurement and Property Services HUB Program (http://www.sfasu.edu/purchasing/703.asp)

For Expertise and Assistance: For Expertise and Assistance: Procurement and Property Services / (936) 468-4037 / Diana Boubel

Procurement Card (P-card)

Brief Overview

Stephen F. Austin State University participates in the state's MasterCard Procurement Program. The terms and conditions of the MasterCard Procurement card contract were specified and awarded by the Texas Procurement and Support Services for the State of Texas. In addition to internal policies and procedures, Stephen F. Austin State University will comply with the terms and conditions of the state contract.

Approved university employees may use the university procurement card (p-card) in accordance with the P-Card Program Guide to order supplies and small items in amounts not exceeding transaction daily and monthly limits. The director of procurement, the P-card coordinator, and procurement department buyers may purchase on behalf of the university any item of any amount using a P-card if they have determined payment by P-card represents the best value to the university and all procurement policies and rules have been followed.

What do I need to know?

P-Cards will be issued in the name of the employee with the SFA logo and the wording 'Official Use Only' clearly indicated on the card.

The P-card is for business use only. Personal use is prohibited and subject to disciplinary action.

Go to the Procurement & Property Services website and click on P-card for procedures to obtain a procurement card. Employees will receive training before being issued a P-Card.

The cardholder is responsible and accountable for the security and documentation associated with the use of the SFA Procurement Card and for complying with all policies and procedures related to the p-card program.

Documentation shall include providing transaction detail information for each transaction through the university's financial system and keeping documentation of all transactions including returns, credits and disputed charges as required in the P-Card Program Guide.

Two people should sign the monthly transaction detail summary.

Food purchases should document who, what, when, where and why in accordance with university policy.

Two types of Procurement card trainings are available. Employees can contact the P-Card coordinator to determine which trainings are needed.

Where can I go for more information?

Procurement & Property Services (http://www.sfasu.edu/purchasing/)

SFASU Procurement Card (http://www.sfasu.edu/purchasing/108.asp)

Discretionary Funds Guidelines (www.sfasu.edu/controller/docs/guidelines-for-expenditures-from-university-funds.pdf)

For Expertise and Assistance: For Expertise and Assistance: Procurement and Property Services / (936) 468-4353/ Carol Fountain or (936) 468-4037/ Diana Boubel

Contracting

Brief Overview

Each contract entered into on behalf of Stephen F. Austin State University must comply with applicable laws, policies and procedures. The Board delegated to the president and to certain other individuals in the absence of the president, the authority to sign contracts on behalf of the university. In some instances, the president has delegated signature authority to another individual. If there is no such delegation for a particular contract or agreement, it may only be signed by the president. The general counsel must review all contracts or agreements prior to being executed.

Where can I go for more information?

Items Requiring Board of Regents Approval Policy (www.sfasu.edu/policies/items-requiring-board-of-regents-approval.pdf)

Restrictions on Contracting with and Paying Certain Vendors (www.sfasu.edu/policies/restrictions-on-contracting-with-and-paying-certain-vendors.pdf)

Contracting Authority Policy (http://www.sfasu.edu/policies/contracting-authority.pdf))

Office of the General Counsel Website (www.sfasu.edu/gencounsel/)

Texas Education Code § 51.9335

Texas Government Code Chapters 2155 and 2254 Subchapters A&B

For Expertise and Assistance: Office of the General Counsel / (936) 468-4305 / Damon Derrick

Interdepartmental Transfers (IDTs)

Brief Overview

IDTs are documents used for:
- splitting a *specific* expenditure or deposit,
- billing a departmental FOAP for services rendered, or
- recurring interdepartmental transactions

A *specific* expenditure is defined as one for which you have a requisition or PO number, a credit card receipt, or an invoice from another University department. A *specific* deposit is defined as one for which you have a deposit receipt or for which you have invoiced another University department.

An example of billing a departmental FOAP for services rendered is the departmental charge from the physical plant for work done.

An example of a recurring interdepartmental transaction is the telephone charges.

If you wish to move funds between FOAPs for a reason other than those listed above, this should be done through a budget transfer, NOT an IDT.

Where can I go for more information?

For more information on IDTs, call the Controller's Office (936) 468-1570.

For more information on Budget Transfers, call the Budget Office (936) 468-2116.

For more information on Grant Cost Transfer Requests, call the Office of Research and Sponsored Programs (936) 468-3971.

Interdepartmental Transfer Policy (http://www.sfasu.edu/policies/interdepartmental-transfer-idt.pdf)

For Expertise and Assistance: Controller's Office / (936) 468-1570 / Amy Maurer

Contract Workforce

Brief Overview

Each contract entered into on behalf of Stephen F. Austin State University must comply with applicable laws, policies, and procedures. Contracts for "contract workforce" with current or former employees require special consideration.

Where can I go for more information?

Best Value Procurement Policy (www.sfasu.edu/policies/best-value-procurement.pdf)

Professional and Consulting Services (www.sfasu.edu/policies/professional-and-consulting-services.pdf)

Purchases from Employees Policy (www.sfasu.edu/policies/purchases-from-employees.pdf)

Office of the General Counsel Website (www.sfasu.edu/gencounsel/)

Texas Government Code Section 2252.901

For Expertise and Assistance: Office of the General Counsel / (936) 468-4305 / Damon Derrick

Business Expense Reimbursements

Brief Overview

Reimbursable business expenses are often incurred by employees of SFA during performance of their job duties. Examples include membership dues, business meals, miscellaneous supplies, and registrations. Business meals and all expenses associated with entertainment and/or food must follow the guidelines set forth in the Guidelines for Expenditures from University Funds found on the SFA Controller's Office website.

A request for reimbursement to an employee is initiated through the electronic Purchase Requisition process in Banner. When reimbursement for a business meal is requested, the original itemized receipt from the restaurant needs to be submitted along with the credit card receipt to Accounts Payable.

The purchase requisition must be approved by the account manager or his/her designee and other conditional approvers as maintained by the Procurement Office.

Where can I go for more information?

Accounts Payable Website (www.sfasu.edu/controller/accountspayable/index.asp)

Procurement and Property Services website (www.sfasu.edu/purchasing/)

Guidelines for Expenditures from University Funds (www.sfasu.edu/controller/docs/guidelines-for-expenditures-from-university-funds.pdf)

Discretionary Use of University Funds Policy (www.sfasu.edu/policies/discretionary-use-of-university-funds.pdf)

Membership Policy (www.sfasu.edu/policies/memberships.pdf)

Food Purchases Policy (www.sfasu.edu/policies/food-purchases.pdf)

For Expertise and Assistance: Accounts Payable / (936) 468-2432/ Virginia Walker

Supplemental Payroll Payments

Brief Overview

Departments may occasionally need to make payroll payments outside of the automatic payroll process. Examples include paying hourly employees who did not record their time in TimeClock Plus (TCP) before the deadline and corrections that are needed because of errors in payments or benefits. Payroll normally processes these supplemental payrolls four working days after the regular payday.

Hourly employees not processed through TCP, must fill out a paper timesheet and submit the original to Payroll. Timesheets need to be complete to be processed and must include the signature of an authorized approver on the account as well as the employee's signature.

Any timesheets or corrections submitted in this manner will be paid the next scheduled pay period.

Where can I go for more information?

Distribution of Payroll Policy (www.sfasu.edu/policies/distribution-of-payroll.pdf)

For Expertise and Assistance: Payroll Office (936) 468-2172, 468-2451, or 468-3732

Transfer of Equipment

Brief Overview

Each department head is responsible for that respective department's inventory. Purchasing and Property Services is responsible for overseeing the property records for the university.

If a department wishes to transfer equipment to another department, it should properly document the transfer so that responsibility for the equipment is also transferred to the new department.
The transferring and receiving departments must complete a "Property Transfer Form-Department to Department" and forward it to Procurement and Property Services. The form should have original signatures from the department heads of both the transferring and receiving departments. A different form is used to transfer property to surplus. A copy of the official form is filed in each department for its records.

What do I need to know?

The transfer is official when both the receiving and transferring department heads have signed the transferring document.

When the transfer form is completed and signed by both departments it must be sent to Procurement and Property Services for processing.

Where can I go for more information?

Property Transfer Form –Department to Department (http://www.sfasu.edu/purchasing/843.asp)

For Expertise and Assistance: Procurement and Property Services / (936) 468-4412 / Ann Foster

Removal of State Property from SFA Premises

Brief Overview

Each department head is responsible for their department's inventory. The Procurement and Property Services Department is responsible for overseeing the inventory records for Stephen F. Austin State University.

Removal of state property from SFA premises is permitted **after** a department completes a "Removal of Property from Campus Request" form. This form identifies the employee requesting the authorization, and includes a certification that the item will be used only for SFA business purposes and a signed recommendation of approval by the department head. The removal of equipment form must be completed before an item is removed from SFA premises. Both the employee and the department are accountable for the asset in its location off SFA premises.

What do I need to know?

The removal of SFA property must be authorized by the department head at the time of removal.

The Removal of Property from Campus Request is maintained in Procurement and Property Services and a copy is retained by the department for its records.

Both the employee and the department are accountable for the asset in its location off SFA premises.

Where can I go for more information?

Property Management Manual (www.sfasu.edu/purchasing/documents/manuals/52_PropertyManual_11-21-13)

Removal form (www.sfasu.edu/purchasing/843.asp)

For Expertise and Assistance: Procurement and Property Services / (936) 468-4618 / Ann Foster

Discarding Obsolete Equipment

Brief Overview

Each department head is responsible for the department's inventory. The Procurement and Property Services department is responsible for overseeing the property records for SFA.

When equipment becomes useless to a department, it is considered obsolete and needs to be sent to surplus. Departments remain responsible for the items until the property manager or property assistant signs for them on the "Property Transfer-Department to Surplus" form. Therefore, it is imperative that arrangements for surplus be made with the property office to protect the security of the items before they are picked up or delivered to surplus.

Departments do not have authority to throw away university property. If the departments believe a piece of equipment is damaged or cannibalized to the point of having no useful life, a "Salvage Property Request" is to be completed requesting approval to dispose of university property.

Where can I go for more information?

Property Transfer Form-Department to Surplus (http://www.sfasu.edu/purchasing/843.asp)

For Expertise and Assistance: Procurement and Property Services / (936) 468-4412 / Carol Fountain

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Lost or Stolen Equipment

Brief Overview

Each department head is responsible for the department's inventory. The Procurement and Property Services department is responsible for overseeing the property records for SFA. To ensure accurate property records and compliance with applicable regulations, lost or stolen equipment must be properly documented. If missing equipment exceeds a certain level, SFA risks loss of appropriated funds.

Where can I go for more information?

Procurement and Property Services (www.sfasu.edu/purchasing/737.asp)

For Expertise and Assistance: Procurement and Property Services / (936) 468-4618 / Ann Foster

Property Responsibility

Brief Overview

Each department head is identified as an equipment manager and is responsible for the department's inventory. The Procurement and Property Services department is responsible for overseeing the property records for SFA. To ensure accurate property records and compliance with applicable regulations, property must be tagged or identified as belonging to SFA, and employees should be assigned as property custodians on property records.

Where can I go for more information?

Procurement and Property Services (http://www.sfasu.edu/purchasing/737.asp)

For Expertise and Assistance: Procurement and Property Services / (936) 468-4618 / Ann Foster

Responsibility for the Protection and Use of Information Resources

Brief Overview

The assets of Stephen F. Austin State University (SFA) must be available and protected commensurate with their value and must be administered in conformance with federal and state law and university policy. Measures shall be taken to protect these assets against accidental or unauthorized access, disclosure, modification or destruction, as well as to ensure the availability, integrity, utility, authenticity and confidentiality of information.

University data should be accessed on a need-to-know basis. Information Technology Services (ITS) is charged with maintaining the information technology infrastructure for the university and must protect the information assets of SFA. Each department determines who has access to departmental data. ITS works with department heads and designated department contacts to create and administer network accounts and access privileges.

Any breach of security should be reported to the ITS information security officer. If there is a reasonable basis to believe that university policy or state laws or regulations regarding the use and security of Information Resources have been violated, the contents of user files may be accessed for purposes of investigation.

What do I need to know?

The department head sets the tone concerning information security and use within the department and should serve as a positive role model for employees in this regard.

Department heads are responsible for maintaining and protecting the information assets within the department and can do so by adhering to the following:

Obtain ITS approval for all information technology related purchases or contracted services to ensure compatibility with standards and the university's Enterprise Resource Planning (ERP, also known as Banner) computing environment and include ITS in the specification, design, development and deployment of technology initiatives.

Ensure that data and records within the department are appropriately classified for proper assignment of security measures.

Ensure that backup and recovery procedures exist for the department's electronic data if data is not maintained on ITS servers.

Designate which employees are to have access to the various data and information resources maintained by the department.

Manage storage resources by removing files that are no longer needed (in accordance with the retention schedule), are redundant, or violate copyright or University policy.

Ensure that department employees are trained in the proper use of information resources.

Ensure that proper physical controls are in place within the department to protect computer hardware and to appropriately restrict access to data.

Escrow any encryption keys the department uses for encryption of stored data.

Maintain business continuity procedures that will allow department functions to continue in the event of disaster.

Data should be accessed on a need-to-know basis.

Where can I go for more information?

Use of Electronic Information Resources Policy (http://www.sfasu.edu/policies/use-of-electronic-information-resources.pdf)

Computer and Network Security Policy (www.sfasu.edu/policies/computer-and-network-security.pdf)

Property Inventory and Management Policy (http://www.sfasu.edu/policies/property-inventory-and-management.pdf)

Texas Administrative Code – Security standards (info.sos.state.tx.us/pls/pub/readtac$ext.TacPage?sl=R&app=9&p_dir=&p_rloc=&p_tloc=&p_ploc=&pg=1&p_tac=&ti=1&pt=10&ch=202&rl=70)

Federal HIPAA Security Rules (www.cms.hhs.gov/HIPAAGenInfo/04_PrivacyandSecurityStandards.asp#TopOfPage)

Texas Department of Information Resources Security (http://www.dir.state.tx.us/security/Pages/security.aspx)

For Expertise and Assistance: Information Technology Services / (936) 468-1212 / ITS Help Desk

Telecommunications Usage

Brief Overview

Information Technology Services (ITS) is responsible for the administration of Stephen F. Austin State University (SFA) communication services. These services consist of the installation, maintenance, and operation of the university-owned telephone switch, connective infrastructure, associated services, cellular services, and all outside telephone lines connecting to university locations and billing. Contact the ITS helpdesk at (936) 468-1212 with any telecommunication questions or requests.

All telephone services exist primarily for the transaction of official university business (except for residence hall telephones). Personal local calls may be made but should be minimized. Personal toll calls must be charged to home telephones, personal telephone calling cards, or reimbursed to the unit. Reimbursements for personal calls on a university telephone should be coordinated with the department head (or account custodian).

Where can I go for more information?

Telecommunication Services Policy (www.sfasu.edu/policies/telecommunication-services.pdf)

For Expertise and Assistance: Information Technology Services / (936) 468-1212 / ITS Help Desk

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mySFA User ID and Password Support

Brief Overview

The mySFA user ID is a secure method of identification used for access to employee information, timesheets, and other university applications. This ID is automatically created during the hiring process.

What do I need to know?

For mySFA ID related questions, call (936) 468-1212 or send an email to mailto:helpdesk@sfasu.edu, or call Human Resources at (936) 468-2304.

mySFA passwords must be protected and treated as highly secure and **under no circumstances be given to anyone**. All mySFA passwords must conform to complexity requirements.

For Expertise and Assistance: Information Technology Services / (936) 468-1212
/ ITS Help Desk

Banner

Brief Overview

Banner is the University's Enterprise Resource Planning (ERP) application used for accounting, purchasing, payroll, reporting and other financial purposes. This system is also used for processing all student related records. Employees' access in Banner is determined by their department and assigned by ITS after the appropriate approvals have been given. Access is limited to activities directly related to the user's function within the department.

What do I need to know?

Banner allows you the ability to interact with student records, accounting and personnel related records.

Where can I go for more information?

Each system owner can provide help on their respective areas of Banner:
        Registrar - Lynda Langham
        Payroll - Judy Duffin
        Finance - Dalyce Franks
        Purchasing - Diana Boubel
        Human Resources - Glenda Herrington

For general information on accounts and security templates, contact ITS at 936-468-1371.
For Expertise and Assistance: Information Technology Services / (936) 468-1371 / bansec@sfasu.edu

Email and Internet Usage

Brief Overview

SFASU administrative departments use the Internet for publishing information, communicating with the public and business partners, and for delivery of applications in support of university missions. Employees use the Internet to access services, perform research and communicate with various constituencies. To mitigate risks associated with the posting or consuming of information on the Internet, SFASU network users must be prudent and responsible in their use of network resources.

Incidental use of the Internet is permitted but must not interfere with an employee's job duties. The incidental use should not be at a cost to the university and should not put the university at risk. All network usage is subject to logging and review.

All SFASU employees are assigned an email account. The default naming convention for email accounts is LastnameFirstinitialMiddleinitial@sfasu.edu (e.g., doejq@sfasu.edu). Information Technology Services (ITS) encourages employees to keep personal and business email separate. ITS has deployed SPAM filtering software to relieve the burden of unwanted email.

Where can I go for more information?

Email for Univeristy Communication (www.sfasu.edu/policies/email-for-university-communication.pdf)

Use of Electronic Information Resources (www.sfasu.edu/policies/use-of-electronic-information-resources.pdfhttp:/www.sfasu.edu/policies/use-of-electronic-information-resources.pdf)

Records Management Policy (www.sfasu.edu/policies/records-management.pdf)

For Expertise and Assistance: Information Technology Services / (936) 468-1212 / ITS Help Desk

University Unit Website

Brief Overview

The administrative head of each campus organizational unit is responsible for oversight of his or her unit's website. The unit head shall designate a full-time employee as the website editor, as well as a backup person, to handle day-to-day management of the unit's website. If no adequately trained employees are available, the Web Development Office can assist with web-publishing services.

Each unit's website editor is responsible for maintaining accurate information on the unit's website while adhering to university Web policy and practices provided by University Marketing Communications and the Web Development Office. Website editors also are responsible for following any and all legal requirements (copyright, accessibility, etc.).

University Marketing Communications and Web Development office staff members are happy to consult with Website editors concerning all aspects of web design including templates, information architecture, usability, accessibility, visual design and university style guidelines.

What do I need to know?

If you have a question regarding style, design, content or policy/procedures of university unit websites, please contact the Web Development Office at 936.468.4904 or web-dev@sfasu.edu. For information about SFA's identity standards, call 936.468.2605.

Where can I go for more information?

University Marketing Communications (http://www.sfasu.edu/pubaffairs/)

Web Development Office (http://www.sfasu.edu/web-dev/)

Official University Identity Standards Manual (http://www.sfasu.edu/pubaffairs/sfa-official-university-identity-standards-manual.pdf)

For Expertise and Assistance: Web Development Office / (936) 468-4905 / Web Development

IT Support (Help Desk)

Brief Overview

Information Technology Services (ITS) provides information and technology support services to the students, faculty and staff. The Help Desk is the place to start when you have a technology question. Support ranges from getting help logging in to getting your computer serviced. All requests start by calling the ITS helpdesk at (936) 468-1212 or by sending an email to helpdesk@sfasu.edu. Help desk services are available from 8:00 a.m. to 8:00 p.m. Monday through Friday. ITS technical staff tries to resolve problems during the first phone call; however, if that is not possible, staff members may be dispatched to employees' work areas to resolve technical problems. The helpdesk creates service tickets for any outstanding support issue.

What do I need to know?

For any technology related requests call (936) 468-1212 or send an email to helpdesk@sfasu.edu.

For Expertise and Assistance: Information Technology Services / (936) 468-1212 / ITS Help Desk

Wireless Communication Devices (cell phones, PDAs)

Brief Overview

The university recognizes that certain positions require the use of a cellular telephone (cell phone) or other wireless communication devices, including personal digital assistants (PDAs) or smartphones, to conduct official business. Each department may decide if an employee needs a university-provided wireless communication device or a communication allowance.

Where can I go for more information?

Cellular Telephones and Wireless Communication Devices Policy (www.sfasu.edu/policies/cellular-telephones-and-wireless-communication-devices.pdf)

For Expertise and Assistance: Information Technology Services / (936) 468-1212 / ITS Help Desk

Gramm Leach Bliley Act

Brief Overview

The Gramm-Leach-Bliley (GLB) Act is a federal law that mandates that financial institutions protect the security, integrity and confidentiality of customer information. The GLB Act broadly defines "financial institution" as any institution engaging in financial activities. Because colleges and universities participate in financial activities such as the Federal Perkins Loan, institutional loans (repayment agreements, book loans, short-term loans), deferred payment plans, collection of delinquent loans, check cashing services and obtaining information from a consumer report, the Federal Trade Commission (FTC) considers them financial institutions for GLB Act purposes.

The FTC issued the Privacy Rule (16 CFR 313) and the Safeguards Rule (16 CFR 314) to implement the GLB Act. The FTC has officially stated that any institution of higher education that complies with the Family Educational Rights and Privacy Act (FERPA) and that is also a financial institution subject to the requirements of the GLB Act shall be deemed in compliance with the GLB Act's privacy rules. A similar exception is not provided for the Safeguards Rule. The Safeguards rule requires all financial institutions to develop an information security program designed to protect "customer information". The primary objectives of the Safeguards Rule are to: "insure the security and confidentiality of customer records and information; protect against anticipated threats or hazards to the security or integrity of such records; and protect against unauthorized access to or use of such records or information that could result in substantial harm or inconvenience to any customer" (16CFR 314.3(b)). The Safeguards rule requires that administrative, technical and physical safeguards be implemented to protect the security, confidentiality, and integrity of customer information.

The university abides by the GLB Act and has implemented the Gramm-Leach-Bliley Required Information Security Policy.

What do I need to know?

Customer information means any record containing nonpublic personal information about a customer whether in paper, electronic or other form that is handled or maintained by or on behalf of the university.

Nonpublic information is any list, description, or other grouping of consumers information derived in whole or part using personally identifiable financial information (that is not publicly available) such as credit card and bank account numbers and income and credit histories.

Departments covered by the GLB Act must assume responsibility for assuring appropriate safeguards are in place within its area of responsibility.

Administrative Safeguards include: (1) reference checks for potential employees; (2) confidentiality agreements that include standards for handling customer information; (3) training employees on basic steps to protect customer information; (4) ensure employees are knowledgeable about applicable policies and expectations; (5) limit access to customer information on a business need-to-know.

Physical Safeguards include: (1) locking rooms and file cabinets where customer information is kept and restricting access to authorized employees; (2) protecting storages areas against physical hazards such as floods and fire; (3) if storing customer information on a computer with internet access, using password activated screensavers, using strong passwords and changing them periodically; (4) encrypting sensitive customer information in transit; (5) referring calls or requests for customer information to staff trained to respond to requests; (6) reporting fraudulent attempts to obtain customer information to management and referral to appropriate law enforcement; (7) erasing all customer information from electronic media and cross shredding

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Where can I go for more information?

Gramm Leach Bliley Act Required Information Security Policy(www.sfasu.edu/policies/gramm-leach-bliley-act-required-information-security.pdf)

Federal Registrar (www.federalregister.gov/articles/2002/05/23/02-12952/standards-for-safeguarding-customer-information)

FERPA Regs, 34 CFR Part 99 (www.ed.gov/policy/gen/reg/ferpa/index.html)

For Expertise and Assistance: Financial Services /(936) 468-4541/ Kathy Williamson

Payment Card Acceptance and Security

Brief Overview

Stephen F. Austin State University is committed to maintaining the security of credit and debit (payment) card information. SFA requires that all payment card information is handled and disposed of in a manner that protects customer information, complies with applicable law, and ultimately meets the university's obligation to comply the Payment Card Industry (PCI) Data Security Standard (DSS).

The Payment Card and Acceptance policy requires that any department or affiliated organization that accepts, captures, stores, transmits and/or processes payment card information to comply with the PCI standards.

PCI DSS, a set of comprehensive requirements for enhancing data security and facilitate globally adopted security measures, was developed in 2004 through the collaborative effort of Visa, MasterCard, American Express, and Discover. The standard includes requirements for security management, policies, procedures, network's architecture, software design, and other critical protective measures. The standard also requires that merchants annually complete a Self-Assessment Questionnaire (SAQ) documenting compliance with the PCI Standard.

Where can I go for more information?

Payment Card and Security Policy (http://www.sfasu.edu/policies/payment-card-acceptance-and-security.pdf)

Payment Card Training (http://www.sfasu.edu/vpfa/96.asp)

PCI Security Standards Council (https://www.pcisecuritystandards.org/security_standards/)

Visa Global Registry of Service Providers (http://www.visa.com/splisting/)

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Identity Theft Prevention

Brief Overview

The Federal Trade Commission (FTC) issued the Red Flags Rule under sections 114 and 115 of the Fair and Accurate Transactions Act (FACT Act), which amended the Fair Credit Reporting Act. The rule requires that "financial institutions" and "creditors" that hold "covered accounts" and/or use consumer credit reports to develop and implement an "identity theft program".

A "creditor" and "covered account" broadly defined includes any person who defers payment for services rendered. Activities that may cause a university or college to be considered a "creditor" under the Red Flags Rule include: (1) participation in the Federal Perkins Loan Program (2) institutional loan program (short-term loans, book loans, repayment agreements); (4) tuition installment plan; (5) maintaining declining balance accounts.

"Identity Theft" is a fraud committed or attempted by an individual using another person's identifying information to obtain money, items or services including educational services which the individual is not entitled. Financial Institutions or creditors that offer one or more covered account must implement an Identity Theft Program (Program). The Program should be designed to identify, detect, prevent and mitigate identity theft in connection with opening a covered account or any existing account.

The university abides by the Red Flag Rule and has implemented the Identity Theft Prevention policy.

What do I need to know?

Red Flag training is required for all persons that have access to covered accounts or use consumer credit reports.

Identification of Red Flags include: (1) Alerts, notifications or warnings from a credit reporting agency; (2) the presentation of suspicious documents; (3) the presentation of suspicious personal identifying information; (4) unusual use of, or suspicious activity related to the covered account.

Detecting Red Flags include: (1) Obtaining identifying information about and verifying the identity of a person opening a covered account; (2) Authenticating customers, monitoring transactions and verifying the validity of change of address requests in the case of an existing account.

Responding to Fraudulent Activity requires a rapid response. The employee should gather all related documentation and present this information to his/her supervisor. The supervisor will complete additional authentication to determine whether the attempted transaction was fraudulent or   authentic and will respond appropriately. If the activity is deemed fraudulent, procedures as outlined in the   university Fraud Policy will be followed.

Arrangements with Service providers who perform an activity connected with a covered account must require that the service provider have policies and procedures in place to detect, prevent, and mitigate the risk of identity theft.

Where can I go for more information?

Fraud Policy (http://www.sfasu.edu/policies/fraud.pdf)

Identity Theft (http://www.sfasu.edu/policies/identity-theft-prevention.pdf)

Red Flag Training (http://www.sfasu.edu/vpfa/96.asp)

For Expertise and Assistance: Financial Services (936) 468-4541/ Kathy Williamson

HELPFUL WEBSITES/REFERENCE DOCUMENTS

Organization Chart (www.sfasu.edu/common/docs/orgcharts.pdf)

SFA Policy Manual (www.sfasu.edu/policies)

Regents' Rules and Regulations (www.sfasu.edu/regents/docs/BORrules_regs.revised10.18.11.pdf)

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