

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS



Nacogdoches, Texas

**January 24 and 25, 2010
Meeting 257**

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**Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
January 24 and 25, 2010
Austin Building 307
Meeting 257**

Sunday, January 24, 2010

The regular meeting of the Board of Regents was called to order in open session at 4:00 p.m., Sunday, January 24, 2010, by Chair James Thompson.

PRESENT:

Board Members: Mr. James Thompson, Chair
 Mr. Carlos Amaral
 Mr. Richard Boyer
 Dr. Scott Coleman
 Mr. James Dickerson
 Ms. Valerie Ertz
 Mr. Bob Garrett
 Mr. Steve McCarty
 Ms. Morgan Tomberlain
 Mr. Melvin White

President: Dr. Baker Pattillo

Vice-Presidents: Dr. Richard Berry
 Mr. Danny Gallant
 Mr. Steve Westbrook

General Counsel: Ms. Yvette Clark

Other SFA administrators, staff, and visitors

*The Building and Grounds Committee convened at 4:00 p.m. and adjourned at 4:15 p.m.
The Finance/Audit Committee convened at 4:15 p.m. and adjourned at 5:00 p.m. The
Academic and Student Affairs Committee convened at 5:00 p.m. and adjourned at 6:08
p.m.*

The chair called for an executive session at 6:22 p.m. to consider the following items:

Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations (Texas Government Code, Section 551.073)

Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to football coaches, executive director of marketing, executive director for alumni affairs, vice presidents and the president. (Texas Government Code, Section 551.074)

The executive session ended at 8:00 p.m. and the board meeting was recessed for the evening with no further action.

Monday, January 25, 2010

The chair reconvened the board meeting in open session at 9:05 a.m. on Monday, January 25, 2010.

PRESENT:

Board Members: Mr. James Thompson, Chair
 Mr. Carlos Amaral
 Mr. Richard Boyer
 Dr. Scott Coleman
 Mr. James Dickerson
 Ms. Valerie Ertz
 Mr. Bob Garrett
 Mr. Steve McCarty
 Ms. Morgan Tomberlain
 Mr. Melvin White

President: Dr. Baker Pattillo

Vice-Presidents: Dr. Richard Berry
 Mr. Danny Gallant
 Mr. Steve Westbrook

General Counsel: Ms. Yvette Clark

Other SFA administrators, staff, and visitors

Regent Coleman led the pledge to the flags and provided the invocation.

RECOGNITIONS

Dr. Richard Berry introduced students from Rose Bruford College in England. Dr. Glenda Walker, director of the DeWitt Nursing School described an award received by the nursing school as a center of excellence in medical simulation and introduced faculty members instrumental in achieving that award. Robert Hill introduced the coaches and returning members of the 2008-2009 championship Lumberjack Football Team.

APPROVAL OF MINUTES

BOARD ORDER 10-13

Upon motion by Regent Amaral, seconded by Regent Dickerson, with all members voting aye, the minutes of the October 11 and 12, 2009, regular meeting and the December 18, 2009, special meeting of the Board of Regents were approved.

PERSONNEL

BOARD ORDER 10-14

Upon motion by Regent Garrett, seconded by Regent Boyer, with all members voting aye, the following personnel items were approved:

STAFF APPOINTMENTS FOR 2009 – 2010

ATHLETICS

Kurt Corbin, Assistant Football Coach, at a 10.5 month salary of \$48,000 for 100 percent time, effective February 1, 2010.

Shannon Dawson, Assistant Football Coach, at a 10.5 month salary of \$76,139 for 100 percent time, effective February 1, 2010.

David Gibbs, Assistant Football Coach, at a 10.5 month salary of \$76,139 for 100 percent time, effective February 1, 2010.

James C. Harper, Head Football Coach, at an annual salary of \$131,143 for 100 percent time, effective February 1, 2010.

Mark Nichols, Assistant Coach – Men's Basketball, at a 10.5 month salary of \$33,256 for 100 percent time, effective August 10, 2009.

Brandon North, Assistant Football Coach, at a 10.5 month salary of \$26,000 for 100 percent time, effective February 1, 2010.

Arlington Nunn, Assistant Head Football Coach, at a 10.5 month salary of \$65,843 for 100 percent time, effective February 1, 2010.

Todd Schonhar, Assistant Football Coach, at a 10.5 month salary of \$59,460 for 100 percent time, effective February 1, 2010.

Bruce Erik Slaughter, Assistant Football Coach, at a 10.5 month salary of \$50,398 for 100 percent time, effective February 1, 2010.

Harold Christopher Truax, Assistant Football Coach, at a 10.5 month salary of \$65,639 for 100 percent time, effective February 1, 2010.

Jacob Willingham, Assistant Football Coach, at a 10.5 month salary of \$26,000 for 100 percent time, effective February 1, 2010.

DEVELOPMENT

Sid Walker, Vice President of Development, at an annual salary of \$150,000 for 100 percent time, effective January 1, 2010.

EDUCATION

Susan Broussard, Academic Advisor, at an annual salary of \$36,000 for 100 percent time, effective November 2, 2009.

Angela Lopez, Project Coordinator, at an annual salary of \$30,000 for 55% time, effective October 19, 2009.

FINANCIAL AID

Debra LaGrone, Financial Aid Officer, at an annual salary of \$38,000 for 100 percent time, effective November 2, 2009.

LIBRARY

Ellen Caplan, Librarian III, at an annual salary of \$50,000 for 100 percent time, effective December 7, 2009.

PUBLIC AFFAIRS

Robin Johnson, Internal Communication Specialist, at an annual salary of \$36,000 for 100 percent time, effective September 28, 2009.

RESIDENCE LIFE

Dennis Gregory, Manager of Residence Life Administration, at an annual salary of \$40,300 for 100 percent time, effective January 4, 2010.

Gregory Rhodes, Hall Director, at an annual salary of \$28,000 for 100 percent time, effective January 4, 2010.

STUDENT AFFAIRS

Terrence Frazier, Director of Multicultural Affairs, at an annual salary of \$60,000 for 100 percent time, effective November 23, 2009.

CHANGES OF STATUS FOR 2009 – 2010

BIOLOGY

Jennifer Edwards, from Research Specialist Lab Management at an annual salary of \$19,643 for 100 percent time, to Laboratory Coordinator at an annual salary of \$35,143 for 100 percent time, effective November 1, 2009.

COMMUNICATION AND CONTEMPORARY CULTURE

Sherry Williford, from Instructor of Communication at an annual salary of \$53,182 for 100 percent time, to Instructor of Communication an annual salary of \$53,182 for 100 percent time with a supplement of \$437.50 per month for eight months for additional duties, effective October 1, 2009.

CONTROLLER'S OFFICE

Pamela R. Corman, from Interim Assistant Bursar at an annual salary of \$45,000 for 100 percent time, to Assistant Bursar at an annual salary of \$45,000 for 100 percent time, effective November 1, 2009.

Bobby F. Williams, from Interim Bursar at an annual salary of \$60,000 for 100 percent time, to Bursar at an annual salary of \$60,000 for 100 percent time, effective November 1, 2009.

EDUCATION

Lisa Stone, from Coordinator of Advising at an annual salary of \$41,560 for 100 percent time, to Director of Student Services and Advising at an annual salary of \$62,000 for 100 percent time, effective January 18, 2010.

FORESTRY AND AGRICULTURE

Hans Williams, from Professor of Forestry at an academic year salary of \$73,191 for 100 percent time, to Professor and Associate Dean of Forestry and Agriculture at an annual salary of \$84,480 for 100 percent time, effective October 1, 2009.

LIBERAL AND APPLIED ARTS

Haskell Cooper, from Assistant Professor of Social Work at an academic year salary of \$49,560 for 100 percent time, to Associate Dean of Liberal and Applied Arts and Assistant Professor of Social Work at an academic year salary of \$49,560 for 100 percent time, effective January 4, 2010.

William Harris, from Adjunct Faculty in English at a salary of \$14,375 for 100 percent time for four months, to Academic Advisor at an annual salary of \$36,000 for 100 percent time, effective January 4, 2010.

LIBRARY

Michael Gillen, from Assistant Systems Administrator at an annual salary of \$29,300 for 100 percent time, to Web Design Specialist at an annual salary of \$34,400 for 100 percent time, effective December 14, 2009.

Joseph Strahl, from Database Administrator at an annual salary of \$33,072 for 100 percent time, to Supervisor of Library Systems at an annual salary of \$41,000 for 100 percent time, effective November 23, 2009.

REGISTRAR

Lynda Langham, from Associate Registrar at an annual salary of \$48,255 for 100 percent time, to Interim Registrar at an annual salary of \$48,255 for 100 percent time with a supplement of \$1,100 per month for interim duties until the position is filled, effective January 5, 2010.

STUDENT RIGHTS AND RESPONSIBILITIES

Peggy Scott, from Judicial Officer at an annual salary of \$59,496 for 100 percent time, to Director of Student Rights and Responsibilities at an annual salary of \$59,496 for 100 percent time, effective September 1, 2009.

RETIREMENTS

The following retirements were accepted:

John Boyd, Associate Professor of Government, effective August 31, 2010.

Tim Cherry, Professor of Agriculture, effective January 1, 2010.

George Ann Leonard, Director of Assessment and Educational Accountability, Educator Certification, effective January 15, 2010.

Max L. Morley, Associate Professor of Music, effective December 31, 2009.

ACADEMIC AND STUDENT AFFAIRS

BOARD ORDER 10-15

Upon motion by Regent Dickerson, seconded by Regent Amaral, with all members voting aye, the following academic items were approved:

MEMORANDUM OF AGREEMENT BETWEEN SFA AND SFA CHARTER SCHOOL PARENT-TEACHER ORGANIZATION

WHEREAS, the board considered the following: University policy and state law require the Board of Regents to enter into a written agreement with any private support organization that assists the university in furthering its purposes and duties. The Charter School has recently organized a Parent-Teacher Organization (PTO). Meetings and discussions have been held proposing an agreement that reflects the understandings between the parties.

THEREFORE, the Memorandum of Agreement between Stephen F. Austin State University and the Stephen F. Austin State University Charter School Parent-Teacher Organization was approved as presented and the president was authorized to sign the final document.

REVISION OF ADMISSION STANDARDS

WHEREAS, the board considered the following: The first specific strategy included in the university's strategic plan, *Strategic Plan 2013: Preparing for the Future*, is "Raise freshman admission standards to be effective no later than Fall 2012." As part of the institutional effort to increase student retention rates and enhance institutional excellence, an ad hoc committee appointed by the president crafted a recommended set of freshman admission guidelines that will place SFA on an equal footing with other comprehensive regional state universities in Texas. The recommendations are as follows:

1. Receipt of high school diploma (Recommended High School Program or the Distinguished Achievement Program)

-and-

2. Meeting the following class rank and minimum test scores:

Rank	SAT Score	ACT Score
0-10%		No minimum
11-25%	850	17
26-50%	950	20
51-75%	1100	24
76-100%		By review only

THEREFORE, the admissions standards were adopted for first-time freshmen as detailed above, to be effective with the freshman class of Fall 2012.

FINANCIAL AFFAIRS

BOARD ORDER 10-16

Upon motion by Regent Ertz, seconded by Regent Amaral, with all members voting aye, the following financial affairs items were approved:

CHEMISTRY BUILDING RENOVATION PROJECT EXPANSION AND BUDGET INCREASE

WHEREAS, the board considered the following: At the July 21, 2009 meeting the Board of Regents approved a project budget of \$6 million for the Chemistry Building renovation. The regents further authorized the architectural firm of Perkins and Will to develop plans to renovate the building. At the October 12, 2009 meeting the regents selected J. E. Kingham Construction as construction manager at risk (CMR) for the project.

The architectural assessment included life/safety issues, academic delivery considerations, infrastructure, mechanical, electrical, and plumbing needs, and building code compliance. Additional funding for the project is needed to address necessary life/safety issues, comprehensive infrastructure needs, and building code compliance. The project increase will be funded from a reallocation of the \$10 million deferred maintenance projects. The project reallocation will be as follows:

	Currently Approved Budgets	Recommended Budgets
Chemistry Building Renovation	\$6,000,000	\$7,350,000
SFA Theatre Renovation	\$700,000	\$700,000
Power Plant 2 HVAC Upgrade	\$2,450,000	\$1,600,000
Life Safety	\$700,000	\$200,000
Science Research Center	\$150,000	\$150,000
Total	\$10,000,000	\$10,000,000

THEREFORE, the board approved the reallocation of the \$10 million deferred maintenance tuition revenue bond funding to establish the Chemistry Building renovation project budget at a cost not to exceed \$7,350,000.

APPROVAL OF THE FISCAL YEAR 2008-09 ANNUAL FINANCIAL REPORT

WHEREAS, the board considered the following: On November 19, 2009, the Stephen F. Austin State University Annual Financial Report for the fiscal year that ended August 31, 2009, was submitted to the Governor, Comptroller of Public Accounts, Legislative Budget Board and State Auditor as required by state law.

THEREFORE, the Stephen F. Austin State University Annual Financial Report was approved as submitted.

RESOLUTION TO ACKNOWLEDGE REVIEW OF INVESTMENT POLICY AND STRATEGY

WHEREAS, the board considered the following: In accordance with the Texas Public Funds Investment Act, the university's investment policy and strategy must be annually reviewed by the governing board of the institution. In addition, the law requires the governing body to adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and strategy. The resolution, included in Appendix 2, acknowledges the board's annual review of Policy C-41, Investments. Policy C-41 is included in the Policy Revisions, Appendix 5.

THEREFORE, the Resolution to Acknowledge Review of Investment Policy and Strategy was approved as presented in Appendix 2.

RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS

WHEREAS, the board considered the following: The Texas Public Funds Investment Act requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The following brokers/investment managers are listed in the resolution, submitted in Appendix 3: Merrill Lynch, Inc.; Alliance Bernstein International; Fayed Sarofim & Co.; Lazard Asset Management; Cadence SCG-MAA; Columbus Circle Investors; Blackrock Investment Management, LLC; ING Investment Management; NFJ Investment Group L.P.; Davis Advisors; The Endowment Fund; Renaissance Access, LLC; and Torrey Asia Access, LLC; Citizens 1st Bank; Austin Bank; BancorpSouth; Commercial Bank of Texas NA; First Bank and Trust; Regions Bank; Regions Morgan Keegan Trust; US Bank, Texas Bank and Texpool.

THEREFORE, approval was given to the financial institutions, investment managers and brokers presented in Appendix 3.

GRANT AWARDS

WHEREAS, the board considered the following: Since the fiscal year 2009-10 budget was approved, the university has received grant awards that total \$8,763,386. Those include multi-year awards and represent a total increase of \$657,651. Total grant awards allocable to fiscal year 2010 are \$6,690,246. That total represents an increase of \$533,962. The grant awards result from extensive faculty research engagement across many academic disciplines. The grants include direct federal, federal pass through, state and private awards.

THEREFORE, the Board of Regents approved and ratified the additional fiscal year 2010 grant awards that total \$553,962. The grant awards are detailed in Appendix 4.

ADDITIONAL ORACLE SITE LICENSES

WHEREAS, the board considered the following: The Oracle operating system is required to run Banner software applications. In 2003, the university entered into an enterprise agreement with Oracle as one of the first steps to the Banner migration. As part of this agreement, the university is required to purchase additional site licenses when total headcount increases beyond the number already licensed with Oracle. Since the university experienced a large student headcount increase in the fall it is necessary to purchase additional site licenses to stay in compliance. The university anticipates continued growth and has included projected growth in price negotiations. In order to secure better pricing, the university wishes to purchase 1,600 additional Oracle licenses.

The university has negotiated with Oracle to pay for the additional licenses over a three year period. The additional site licenses include the Oracle Database Enterprise Edition, the Diagnostics Pack, Tuning Pack, and Internet Application Server Enterprise Edition. The cost of the additional 1,600 additional licenses will not exceed \$178,000, plus additional annual maintenance costs of approximately \$40,000.

THEREFORE, the additional Oracle licenses were approved at a cost not to exceed \$178,000, plus additional annual maintenance costs. The additional licenses and annual maintenance will be paid from Information Technology Services (ITS) budgeted funds.

INFORMATION TECHNOLOGY SERVICES INTRUSION DETECTION SYSTEM

WHEREAS, the board considered the following: To further the university's efforts to secure its network and to further comply with Texas Administrative Code 202, the university would like to implement an network intrusion detection system. Information Technology Services (ITS) is currently evaluating several network intrusion detection solutions.

THEREFORE, approval was given for the administration to select and implement an ITS intrusion detection system at a cost not to exceed \$120,000. The fund source is higher education and designated funds.

TOUCHNET APPLICATION SERVICE PROVIDER INSTALLMENT PAYMENT AND CASHIERING SERVICES

WHEREAS, the board considered the following: Touchnet is an application service provider that the university utilizes to accept credit card payments. The university has been using a variety of Touchnet services since 1996. Recently, as Payment Card Industry (PCI) rules were created and being rigorously enforced, SFA moved the bulk of credit card processing to Touchnet's secure hosting solution. The university also engaged Touchnet to provide online stores to be set up in a PCI compliant environment. Touchnet meets PCI standards and provides SFA a safe harbor in the payment card industry.

In order to replace internally developed system applications and enhance functionality, installment payment capability and cashiering products need to be added to existing Touchnet services. The Touchnet components interface with and enhance the Banner student billing system. The total cost to implement both services will not exceed \$140,000.

THEREFORE, the Board of Regents approved purchase of the expanded Touchnet services to include installment payment and cashiering services. The fund source is higher education funds included in the fiscal year 2010 Banner project budget.

APPROVAL OF THE SFA CHARTER SCHOOL FISCAL YEAR 2008-09 ANNUAL FINANCIAL REPORT

WHEREAS, the board considered the following The SFA Charter School was established in July 2008; the first official school year for operations was 2008-2009. The Texas Education Agency requires a separate audit for the charter school. The SFA Charter School Annual Financial Report for the fiscal year that ended August 31, 2009, will be submitted to the Texas Education Agency by January 31, 2010.

THEREFORE, the Board of Regents approved the SFA Charter School Annual Financial Report as submitted.

UNIVERSITY POLICIES AND PROCEDURES

BOARD ORDER 10-17

Upon motion by Regent Dickerson, seconded by Regent White, with all members voting aye, the policy revisions were approved as presented in Appendix 5.

REPORTS

PRESIDENT

Dr. Baker Pattillo highlighted some upcoming events: February 18 Lone Star Legislative Summit, February 20 Showcase Saturday, March 9-13 Southland Conference Basketball Conference, and a possible board meeting on February 26. Because there is a need for Vice President Sid Walker to have an appropriate office, there will be a relocation of some administrative offices on the third floor of the Austin Building. The university received a letter from Governor Perry asking for a 5% reduction in expenditures for this biennial budget, which will amount to approximately \$4 million.

AUDIT SERVICES REPORT

Director of Audit Services Gina Oglesbee presented a report on the following:

- Effort Reporting Audit
- Charter School Audit
- NCAA Compliance Audit
- Status of SAO Audits
- Update on Audit Plan

FACULTY SENATE

Dr. Kevin Langford gave a presentation concerning a recent graduate, Michael Hitchcock, SFA '04, who is currently a medical student at UT Southwestern Medical School.

STUDENT GOVERNMENT ASSOCIATION

Ms. Courtney Harvey reported on activities for the Student Government Association including the move of the SGA offices, the spirit bus program, the SGA retreat, fall citizenship efforts, and spring events (MLK Day of Service, Big Event, Springfest, SFA Student Leadership Awards).

REPORT FROM NOMINATING COMMITTEE AND ELECTION OF OFFICERS

Board Chair Thompson named a nominating committee prior to the meeting as follows: Committee Chair James Dickerson, Bob Garrett, and Scott Coleman. Chair Dickerson announced the slate from the nominating committee for 2010-2011 officers: Melvin White as chair, Bob Garrett as vice chair and Richard Boyer as secretary. Upon motion by Regent Dickerson, seconded by Regent Amaral, with all members voting aye, the slate was elected. These officers will begin their terms at the beginning of the business portion of the full board meeting on April 20, 2010.

The meeting was adjourned at 10:30 a.m.

**AGREEMENT BETWEEN
STEPHEN F. AUSTIN STATE UNIVERSITY
CHARTER SCHOOL
AND
SFA CHARTER SCHOOL PTO**

This agreement is made and entered into as of its approval at the January 25, 2010 SFA Board of Regents meeting between Stephen F. Austin State University for the benefit of its Charter School, hereinafter referred to as Charter School, and the SFA Charter School PTO, hereinafter referred to as the PTO.

Whereas, the Charter School is part of the university as a whole and the university Board of Regents formally adopts this agreement in accordance with its policies and state law;

Whereas, the PTO is an independent association which exists solely for the support of the university and its Charter School adopts this Agreement with its Bylaws;

Whereas, the Charter School and the PTO provide and make available certain services and benefits to each other;

Whereas, the Charter School and PTO work together for the sole purpose of promoting the education and educational experiences of the students enrolled at the Charter School;

Now, therefore, in consideration of the covenants, promises, terms and provisions herein contained, the parties mutually agree to the following:

**GENERAL PROVISIONS
ARTICLE 1**

1. To the extent allowed by state law, this agreement shall remain in full force and effect until terminated by either party or suspended by a subsequent agreement. While every effort will be made to provide 60 days written notice for termination of this agreement by either party, Stephen F. Austin State University in accordance with its policy and state law may terminate this agreement at anytime.
2. This agreement is solely between the parties and cannot be assigned to another party without written approval from the non-assigning party.
3. This agreement is entered into in Nacogdoches County and proper venue shall be in Nacogdoches County, Texas.
4. This agreement is subject to and shall be construed under the laws of the State of Texas including Chapter 2255 of the Texas Government Code. The invalidity or illegality of any provision in this agreement shall not affect other terms or conditions of the agreement.
5. This agreement contains the entire agreement of the parties and no change or modification of this agreement is binding unless in writing and signed by the parties.

ARTICLE II

PTO agrees to provide the following services:

1. Serve as a conduit between the Charter School and the Charter School community with

- the PTO activities directly focused on the Charter School;
2. Offer support for the educational experiences of the Charter School; and
3. Support and execute fund-raising activities for the benefit of the Charter School, within any guidelines or limitations imposed by the university, Charter School, and state or federal law.

ARTICLE III

Charter School will provide the following:

1. To the extent available and allowable, reasonable space such as meeting rooms and opportunities to host approved events will be provided in the Charter School to the PTO to carry out its obligations under this Agreement;
2. To the extent available and allowable, Charter School staff may assist in formulating PTO communication materials, using staff time, computers, copy machines and telephones, but only to the extent that the content and costs are approved by the Charter School Leader. Extraordinary use of university and Charter School staff time, equipment and materials will not be permitted.
3. Upon receipt of monies raised through PTO fundraising activities (university receipt must occur within 24 hours of the conclusion of the fundraising event), all fundraising gift receipts and deposits will be managed by the university's Office of Development, in the same manner that all other university gifts are managed. Procedurally, monies should be delivered to the Charter School Leader by the PTO, whereby it will be counted and signed off by the PTO and Charter School Leader, then placed in a locked money bag with a transmittal form and delivered to the Business Office within 24 hours. The transmittal form and check copies will be provided to the Office of Development for gift processing and acknowledgement.
4. The Charter School hereby expressly recognizes that the president, vice-president, advancement officers, deans, faculty members, and teachers may reasonably assist from time to time in the development programs or may be needed or helpful in coordinating those PTO activities with the operations of the Charter School. No monetary or pecuniary enrichment will be made to any officer or employee of the university by PTO or its donors. Conduct of employees is governed by the university and when conflicts arise university policies shall govern the conduct of its employees. The Leader of the Charter School, the Chair of Elementary Education and the Dean of the College of Education shall serve in an ex-officio capacity on the PTO Board;
5. Assistance in research and investigation of individuals, foundations, businesses and corporations best qualified as prospective donors; and
6. Assistance in the coordination of follow-up activities after each solicitation and fundraising event.
7. Charter School shall not be required to provide the above resources if to do so in that particular situation would interfere with or have an adverse impact on the daily operation of the Charter School and/or the education of the students. Any determination of interference shall be in the sole discretion of the university and Charter School.

ARTICLE IV

The Officers of PTO assure the Charter School that the activities of the PTO will always be in support of the objectives, goals and priorities of the Charter School, as communicated to it by the Dean of the College Education. PTO will only raise funds in the name of the university. The Charter School will provide a complete financial report to the PTO on the allocation and use of resources made available through the PTO.

ARTICLE V

Because the PTO will only raise money in the name of the university, the moneys will be deposited in university accounts, invested through the university investment program, and governed in accordance with university policy.

ARTICLE VI

Disbursement from PTO accounts will be supervised by the Dean of the College of Education and will be made only for expenditures consistent with the explicit purposes for which the accounts were established and the restrictions of the donors. Full documentation will be required for each disbursement. The university/Charter School reserves the right to accept or deny any gift or donation within its sole discretion.

ARTICLE VII

The allocation and budgeting of unrestricted funds is to be determined by the Dean of the College Education. Resources raised by other support organizations and for which the Charter School may serve as a Trustee of funds shall be allocated by the restrictions of the donor and by the support organization. Restricted gifts shall be allocated by the restrictions of the donor and by the Dean of the College of Education.

The allocation, expenditure, and transfer of all resources will be reported to the Officers of the PTO regularly by the Leader of the Charter School. The Dean of the College of Education will assure that all expenditures, irrespective of the allocation process, are consistent with state law and the charter of the PTO. When in conflict, state law shall always supersede.

Agreed to this the _____ day of _____, 2010.

SFA CHARTER SCHOOL PTO

STEPHEN F. AUSTIN STATE UNIVERSITY

By: _____
President of the PTO
SFA Charter School PTO

By: _____
Interim Dean, College of Education

By: _____
Chair, Elementary Education

By: _____
Leader, SFASU Charter School

By: _____
President

BOARD OF REGENTS
OF
STEPHEN F. AUSTIN STATE UNIVERSITY
Nacogdoches, Texas
RESOLUTION TO ACKNOWLEDGE
REVIEW OF INVESTMENT POLICY AND STRATEGY


WHEREAS, The Texas Public Funds Investment Act requires that each university's investment policy and strategy must be annually reviewed by the governing board of the institution; and

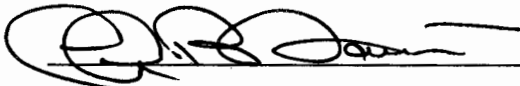
WHEREAS, the law also requires the governing body to adopt a written instrument stating that it has reviewed the investment policy and strategy;

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on January 25, 2010; and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 25, 2010 meeting of the board.

Attest:



James A. Thompson, Chair

John R. Garrett, Secretary

BOARD OF REGENTS
OF
STEPHEN F. AUSTIN STATE UNIVERSITY
Nacogdoches, Texas

RESOLUTION APPROVING
FINANCIAL INSTITUTIONS AND BROKERS
FOR INVESTMENT TRANSACTIONS

WHEREAS, The Texas Public Funds Investment Act requires the university to submit a resolution approving a list of qualified investment brokers to the governing body of the institution for adoption and/or review; and

WHEREAS, the following firms are approved investment brokers:

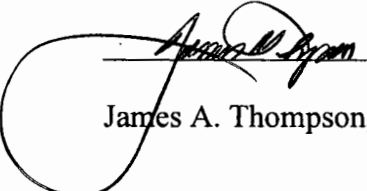
Merrill Lynch, Inc.
Alliance Bernstein International
Fayez Sarofim & Co.
Lazard Asset management, LLC
ING Investment Management
NFJ Investment Group L.P.
Davis Advisors
The Endowment Fund
Renaissance Access, LLC
Torrey Asia Access, LLC

WHEREAS, the following firms are approved financial institutions:

Citizens 1st Bank
Austin Bank
BancorpSouth
Commercial Bank of Texas NA
First Bank and Trust
Regions Bank
Regions Morgan Keegan Trust
US Bank
Texas Bank
Texpool

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the above listed firms for investment transactions by Stephen F. Austin State University; and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 25, 2010 meeting of the board.



James A. Thompson, Chair



John R. Garrett, Secretary

Grant awards for FY10 awarded between September 15, 2009, and December 18, 2009

Report to the Board of Regents

Direct Federal Awards

More Bugs in the Woods FY10

FY 2010 Award: \$2,000
 Total Award: \$2,000 (Challenge Cost Share Agreement)
 Sponsor: Forest Service, U.S. Department of Agriculture
 Term (this action): September 23, 2009 – September 30, 2014
 Description: *This project will provide interpretation/conservation education programming at elementary schools, community events, after school programs, and on-site for family groups and children at National and State forests in Texas and will train bilingual high school or college students in associated programming at the various outreach venues. PI/PD: Dr. David Kulhavy, Forestry*

Subtotal FY 2010 Awards (this report) = \$2,000
Subtotal Direct Federal Awards (this period) = \$2,000

Federal Pass-through Awards

Pineywoods Area Health Education Center (AHEC)

FY 2010 Award: \$89,000
 Total Award: \$89,000 (Subcontract - *renewal*)
 Sponsor: U.T. Medical Branch – Galveston (DHHS)
 Term (this action): September 1, 2009 – August 31, 2010
 Description: *The purpose of this project is to build and maintain an integrated, community-based regional organization to effectively and efficiently address and support achievements of East Texas AHEC objectives. PI/PD: Ms. Janis Ritter, AHEC - College of Science and Mathematics*

StateView Program Development and Operations for the State of Texas

FY 2010 Award: \$17,364
 Total Award: \$17,364 (Subaward - *renewal*)
 Sponsor: AmericaView, Inc. (U.S.G.S., Department of the Interior)
 Term (this action): October 1, 2009 – June 30, 2010
 Description: *TexasView is a consortium of 14 universities, federal, state, and local entities dedicated to promoting remote sensing through a comprehensive program of research, education, and outreach activities. PI/PD: Mr. P.R. Blackwell, Forestry*

Special Education Recruitment and Retention

FY 2010 Award: \$14,245
 Total Award: \$14,245 (Subaward - *renewal*)
 Sponsor: Texas A&M – Texarkana (U.S. Department of Education)
 Term (this action): September 1, 2009 – June 30, 2010
 Description: *The objective of this agreement is to implement and support work related to the State of Texas special education grant, which may include workshops, scholarships, and stipends. PI/PD: Dr. Melanie Jephson, Human Services*

Grant awards for FY10 awarded between September 15, 2009, and December 18, 2009

Special Education IDEA-B (ARRA Stimulus Funds)

FY 2010 Award: \$11,952
 Total Award: \$26,891 (Formula)
 Sponsor: Texas Education Agency (U.S. Department of Education)
 Term (this action): July 9, 2009 – September 30, 2011
 Description: *These funds will be used by the SFA Charter School for a counselor and the services of a speech pathologist, diagnostician, and ARD/IEP facilitator.* PI/PD: Lysa Hagan, Elementary Education

Geriatric Education Center (GEC)

FY 2010 Award: \$8,459
 Total Award: \$8,459 (Interagency Contract - renewal)
 Sponsor: U.T. Medical Branch – Galveston (DHHS)
 Term (this action): October 27, 2009 – June 30, 2010
 Description: *The purpose of this federally sponsored program is to help provide high-quality, continuing education in geriatrics and to improve health care for older adults including those in rural communities.* PI/PD: Ms. Janis Ritter, AHEC - College of Science and Mathematics

Child Care Quality Improvement (ARRA Stimulus Funds)

FY 2010 Award: \$6,000
 Total Award: \$6,000 (Interlocal Agreement)
 Sponsor: Workforce Solutions Deep East Texas (DHHS)
 Term (this action): September 21, 2009 – November 5, 2009
 Description: *Funds were provided for the purchase of equipment, materials, and supplies that will improve the quality of care in the Early Childhood Laboratory.* PI/PD: Ms. Lori Harkness, Elementary Education

Etiquette + Protocol = Success FY10

FY 2010 Award: \$5,000
 Total Award: \$5,000 (Interlocal Agreement - renewal)
 Sponsor: Angelina College (THECB, U.S. Department of Education)
 Term (this action): October 14, 2009 – April 30, 2010
 Description: *The purpose of this project is to better prepare Career and Technology students for success in the workplace by inviting each regional school district to select two students to attend an intensive, one-day training on etiquette and professionalism as it relates to the work world.* PI/PD: Ms. Mary Olle, Human Sciences

MLK Day of Service

FY 2010 Award: \$1,000
 Total Award: \$1,000 (Grant)
 Sponsor: North Carolina Campus Compact (Corporation for National & Community Services)
 Term (this action): October 1, 2009 – January 18, 2010
 Description: *The goal of this grant is to honor the memory of Dr. King by making the national holiday a day of service. SFA will engage a minimum of 150 student volunteers and 10-15 faculty and staff volunteers to complete 15-18 community projects for a total of 825 service hours.* PI/PD: Dr. Jamie Bouldin, Student Life

Grant awards for FY10 awarded between September 15, 2009, and December 18, 2009

Fall Counselor's Network Program

FY 2010 Award: \$800
 Total Award: \$800 (Interlocal Agreement)
 Sponsor: Angelina College (THECB, U.S. Department of Education)
 Term (this action): October 1, 2009 – November 15, 2009
 Description: *Funds are provided to host a Counselor's Network Workshop for counselors in regional public schools.* PI/PD: Dr. Le'Ann Solmonson, Human Services

Subtotal FY 2010 Awards (this report) = \$153,820

Subtotal Federal Pass-through Awards (this period) = \$168,759

State Awards

Pineywoods Area Health Education Center (AHEC)

FY 2010 Award: \$154,999
 Total Award: \$154,999 (Subcontract - renewal)
 Sponsor: U.T. Medical Branch – Galveston
 Term (this action): September 1, 2009 – August 31, 2010
 Description: *The purpose of this project is to build and maintain an integrated, community-based regional organization to effectively and efficiently address and support achievements of East Texas AHEC objectives.* PI/PD: Ms. Janis Ritter, AHEC - College of Science and Mathematics

Master College Readiness Special Advisor

FY 2010 Award: \$80,000
 Total Award: \$160,000 (Interagency Agreement – renewal)
 Sponsor: Texas Higher Education Coordinating Board
 Term (this action): September 1, 2009 – August 31, 2011
 Description: *Funding is provided for a Master College Readiness Special Advisor to serve as a regional liaison, to offer presentations on College and Career Readiness (CCR), and to assist higher education faculty in refining and furthering CCR Standards and implementation strategies.* PI/PD: Debra Kiesel, Academic Affairs.

Disability Services - Reader Services 10-11

FY 2010 Award: \$60,000
 Total Award: \$60,000 (Interagency Agreement – renewal)
 Sponsor: Texas Department of Assistive and Rehabilitative Services
 Term (this action): September 1, 2009 – August 31, 2011
 Description: *This contract provides qualified readers for eligible visually impaired students during classes, associated labs, and outside the classroom.*
 PI/PD: Mr. Chuck Lopez, Disability Services

Pine Tip Moth Impact Project

FY 2010 Award: \$11,475
 Total Award: \$11,475 (Interagency Agreement)
 Sponsor: Texas Forest Service
 Term (this action): January 1, 2010 – September 30, 2010

Grant awards for FY10 awarded between September 15, 2009, and December 18, 2009

Description: *This cooperative project on Pine Tip moths provides research services for the Texas Forest Service in the form of an SFA graduate student's thesis research.* PI/PD: Dr. Dean Coble, Forestry

Charter School Technology Allotment

FY 2010 Award: \$6,418
 Total Award: \$6,418 (Formula)
 Sponsor: Texas Education Agency
 Term (this action): September 1, 2009 – August 31, 2011
 Description: *These funds will be used by the SFA Charter School for technology improvements.* PI/PD: Lysa Hagan, Elementary Education

Subtotal FY2010 Awards (this report) = \$312,892

Subtotal State Awards (this period) = \$392,892

Private Awards

Pulmonary Health Initiative

FY 2010 Award: \$20,000
 Total Award: \$20,000 (Grant)
 Sponsor: University of North Texas (Pfizer Foundation)
 Term (this action): October 1, 2009 – September 30, 2010
 Description: *The Pineywoods Area Health Education Center (AHEC) and the SFA School of Nursing will partner with Nacogdoches Memorial Hospital to implement and coordinate a Pulmonary Health Initiative in Nacogdoches County.* PI/PD: Ms. Janis Ritter, AHEC - College of Science and Mathematics

Geospatial Support for the City of Nacogdoches

FY 2010 Award: \$20,000
 Total Award: \$20,000 (Interlocal Agreement)
 Sponsor: City of Nacogdoches
 Term (this action): September 1, 2009 – August 31, 2010
 Description: *Services include geodatabase maintenance, access, backup services, technical support, and data distribution and coordination for the City.*
 PI/PD: Mr. P.R. Blackwell, Forestry

Development of an ArcGIS Extension for Urban Watershed Management Assistance

FY 2010 Award: \$10,000
 Total Award: \$10,000 (Subaward)
 Sponsor: University of Northern Iowa (City of Cedar Falls)
 Term (this action): June 15, 2009 – January 31, 2010
 Description: *An ArcGIS Urban Watershed Management Assistance modeling tool will be developed that will integrate spatial data layers to create various maps and that prioritizes and ranks landforms in potentially environmentally sensitive areas.*
 PI/PD: Dr. Yanli Zhang, Forestry

Grant awards for FY10 awarded between September 15, 2009, and December 18, 2009

Welch Chemistry Departmental Research

FY 2010 Award: \$8,750
 Total Award: \$35,000 (Grant – *renewal*)
 Sponsor: Robert A. Welch Foundation
 Term (this action): June 1, 2010 – May 31, 2011
 Description: *Funds from this research award to the Chemistry Department will be used to award scholarships to undergraduate students, to give summer fellowships to graduate students, to purchase expendable supplies, and to repair instruments.*
 PI/PD: Dr. Michael Janusa, Chemistry

Poultry Science Education Student Recruitment

FY 2010 Award: \$3,000
 Total Award: \$3,000 (Grant)
 Sponsor: U.S. Poultry and Egg Association
 Term (this action): November 3, 2009 – August 31, 2010
 Description: *Funds are provided to aid in recruiting efforts directed at high school and community college students to attract majors in Poultry Science.*
 PI/PD: Dr. Joey Bray, Agriculture, Poultry Research Center

Digitization of Charles S. Taylor Papers

FY 2010 Award: \$2,500
 Total Award: \$5,000 (Grant)
 Sponsor: Texas State Genealogical Society
 Term (this action): November 11, 2009 – December 1, 2010
 Description: *Funds are provided to complete the digitization of the Charles S. Taylor Papers and other historical documents as approved by the sponsor.* PI/PD: Ms. Linda Reynolds, Steen Library, East Texas Research Center

Development and Validation of a GIS Algorithm to Assess Reservoir Topography and Volume

FY 2010 Award: \$1,000
 Total Award: \$1,000 (Contract)
 Sponsor: CRA, Inc.
 Term (this action): September 20, 2009 – July 30, 2010
 Description: *This research will use sample data and ArcGIS software to investigate accurate algorithms to interpolate topographical data for high-accuracy calculation of contour and reservoir volume.* PI/PD: Dr. Yanli Zhang, Forestry

Subtotal FY 2010 Awards (this report) = \$65,250

Subtotal Private Awards (this period) = \$94,000

Total FY 2010 Awards (this report) = \$533,962

Total Grant Awards (this period) = \$657,651

Note:

- *Amounts are based on award notices as they are received from the funding agency, not balances in funds/accounts.*
- *Does not include financial aid or gift accounts.*

**Policies for Board Review
January 25, 2010**

Policy Name	Policy Number	Action/Change	Page Number
Affirmative Action	E-4	Broadened veteran definition.	P-3
Appearances before the Board of Regents	D-4	Changed staff title to more generic office name.	P-5
At Will Employment	E-66	Title updated.	P-7
Communication Services	F-29	Minor simplifying edits.	P-9
Continuing Education, Outreach and Public Service Programs	A-32	Major rewrite.	P-12
Distribution of SFA Alumni Foundation Scholarships	C-51	Date for notification receipt by financial office will be set annually.	P-15
Employee Recruitment Plan	E-69	Recruitment plan renamed affirmative action/recruitment plan. Veteran status included.	P-17
Faculty/Staff ID Cards	F-13	First ID is free; replacements are \$7.00.	P-21
Final Examinations	A-19	Certain classes may be exempt from final examinations.	P-22
Food and Beverages in Academic Areas	B-8	Food and beverage use subject to approval by dean or designee.	P-23
Health and Safety	D-17	Safety program responsibility of EHS&RM department.	P-24
Hiring of Non-Academic Personnel	E-27N	Authority to hire process simplified. Listing requirements changed from working days to calendar days. Title updated.	P-27
Indirect Cost Recovery, Distribution and Use	A-51	Major rewrite.	P-29
Intellectual Property	D-20	Minor edits. References updated.	P-32
Interlibrary Loan	A-23	Minor edits.	P-42
Investments	C-41	Statutory references updated.	P-44
Investments—Endowment Funds	C-41.A	Statutory references updated.	P-55
Issuance and Control of Campus Keys	B-15	Minor edits.	P-64
Library Borrowing	A-26	Minor edits.	P-66
Markers and Monuments	D-47	Minor edits.	P-67
Meeting and Conducting Classes	A-31	Faculty unable to meet class will notify department, which will notify students.	P-69

Policy Name	Policy Number	Action/Change	Page Number
Naming Guidelines	D-22	New building plaque description to be consistent with Board Rules and Regulations.	P-70
Norton HPE Complex	B-20	Major rewrite.	P-72
Procurement Card	C-44	Updated titles and terms to be consistent with Banner conversion.	P-76
Property Inventory and Management	C-42	Funds to be deposited to surplus sales account. References updated.	P-81
Return to Work	E-62	Updated references. All modifications must be approved and accompanied by Offer of Employment from safety officer.	P-89
Second Baccalaureate Degrees	A-73 NEW	New policy.	P-91
Selection of President, General Counsel, Director of Audit Services, and Assistant to the BOR	D-30	Updated title.	P-92
Skating and Skateboarding	D-32	Minor edits.	P-93
Student Fiscal Appeals	C-57	Removed statement that decision of Fiscal Appeals Panel is final.	P-95
Transfer Credits	A-45	Exceptions may be made by provost to guideline for maximum hours applying toward a degree.	P-97
Travel	C-49	Major rewrite.	P-99
Use of University Facilities	B-1	Updated titles.	P-112
Withdrawal Without Financial Clearance	C-39	Updated captions.	P-120
Work Requests	B-32	Reviewed with no changes.	P-122
Workers Compensation Coverage	E-55	Major rewrite.	P-124

Affirmative Action (E-4)

Original Implementation: Unpublished

Last Revision: ~~April 24, 2007~~ January 25, 2010

Stephen F. Austin State University is fully committed to the national and state goal of affording equal employment opportunity to all persons without regard to race, color, sex, religion, age, national origin, veteran status, or physical or mental disability. The university's fundamental policy will be to provide equal employment opportunity in all of its operations and in all areas of employment practices and to assure that there shall be no discrimination against any employee or applicant for employment on the grounds of race, color, sex, religion, age, national origin, veteran status, or physical or mental disability. The university policy extends to recruiting, hiring, training, compensation, overtime, job classifications, work conditions, promotions, transfers, employee treatment, suspensions, terminations, layoffs, return from layoffs, tuition aid, recreational programs, and all other terms, conditions, and privileges of employment. The following special guidelines apply to University employment practices.

1. Provide equal pay for equal work.
2. Provide hiring standards that do not discriminate on the basis of race, color, national origin, religion, sex, age, disability, ~~and Vietnam Era veterans or veteran status.~~
3. Take affirmative action that will open up job opportunities on all levels to women, to minorities, to disabled individuals, and to ~~Vietnam era-veterans.~~
In general, an employer may hire the individual best qualified to perform a particular job. Federal regulations require proof that the search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups.
4. Requirements must be job related and qualifications must be the minimum needed for entrance to a given job, not the maximum expected after experience is acquired.
5. Recruiting efforts must reach minority and women applicants.
6. Selections must be made following strict guidelines that prevent discrimination in all phases of the selection process: job analysis, uniform classification, retention and maintenance of applications, interview practices, and notification of results of the selection process. Appointments must be made considering only job related factors.

Additional information concerning the university's affirmative action policy, guidelines for recruiting, screening, interviewing, employee selection, record keeping, employee training, performance management and new employee orientation can be obtained from the director of Human Resources.

Cross Reference: ~~U.S. Constitution, Amendment XIV~~ *U.S. Const. amend. XIV, § 1; 8 U.S.C., sec. 1324a et seq.* *8 U.S.C. § 1324b; 20 U.S.C., sec. 1681 et seq.* *20 U.S.C. §§ 1681, 1684; 29 U.S.C. §§ 206, 621, 623, 793-29 U.S.C., sec. 206, sec. 621 et seq.; 29 U.S.C., secs. 793 and 794; 42 U.S.C. §§ 2000d, 2000e-2 - 2000e-3, 6101-6102* *42 U.S.C., sec. 2000d et seq., sec. 2000e et seq., sec. 6101 et seq.; Texas Civil Practice and Remedies Code, Chapter 106* *Tex. Civ. Prac. & Rem. Code § 106.001; Texas Human Resources Code, sec. 121.001 et seq.* *Tex. Hum. Res. Code §§ 121.001, .003(f); Texas Government Code Sec. 657.002 et seq.* *Tex. Gov't Code §§ 657.002-.007; Texas Labor Code Sec. 21.101 et seq.* *Tex. Lab. Code §§ 21.001-.556; Texas Constitution Article I, sec. 3a* *Tex. Const. art I, § 3a; Texas General Appropriations Act*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources and General Counsel

Forms: None

Appearances before the Board of Regents (D-4)

Original Implementation: January 19, 1988

Last Revision: ~~October 14, 2008~~ January 25, 2010

Special appearances as requested by the Board or President: The chair of the Board of Regents or the president (as approved by the board chair) may invite individuals to appear before the board or one of its committees (as approved by the committee chair) for specific purposes. The chair of the Faculty Senate and the president of the Student Government Association shall have the opportunity to provide a report at each quarterly board meeting.

Requests to address the board: Requests to appear before the board to make comments on a specific agenda item must be received by the ~~assistant to the board~~ *Office of the Board of Regents* in writing no later than twenty-four (24) hours before the board meeting at which the individual wishes to speak. The request should set out clearly the nature of the subject matter to be presented relating to a specific board agenda item. In making a request to appear before the board, individuals must give their names and any relevant title or affiliation. Comments regarding non-posted agenda items may be submitted to the ~~assistant to the board~~ *Office of the Board of Regents* in writing, at any time, for distribution to the regents.

Time allocation: The board will allow up to twenty (20) minutes for public comment per agenda item. An individual speaker will be permitted three (3) to five (5) minutes for a presentation. The board will allow a total of up to ninety (90) minutes for public comments per regular quarterly meeting. Copies of speakers' comments, and/or other written materials for distribution to the Board of Regents will be accepted. Public comments will take place during the scheduled public comment period at the beginning of each regular quarterly meeting.

Other meetings: While a specific period for public testimony will be limited to the regular quarterly meetings, written comments are welcome for any scheduled meeting of the Board of Regents. Forward one copy of your comments to the ~~assistant of the board~~ *Office of the Board of Regents* for distribution to the regents.

Scheduling of speakers: When the number of requests to address the board at a given session and for a specific agenda item exceeds the time available, requests will be approved based on the order the written request was received by the ~~assistant to the board~~ *Office of the Board of Regents*. If, by virtue of time or other constraint, a speaker is not able to present his/her comments, said comments will be accepted and distributed to the Board of Regents at the meeting.

Special requests: Special requests to appear before the board for comments at times other than the regular quarterly meetings can be submitted to the ~~assistant to board~~ *Office of the Board of Regents* for consideration by the chair of the Board of Regents.

Cross Reference: *Tex. Educ. Code § 51.357* ~~Texas Education Code, Chapter 51, Section 51.355~~; Board of Regents Rules and Regulations

Responsible for Implementation: President

Contact for Revision: President

Forms: None

At-Will Employment (E-66)

Original Implementation: July 15, 2003

Last Revision: ~~January 27, 2009~~ January 25, 2010

The following non-classified, academic and non-academic employees serve at the discretion of the university and are considered at-will employees, whose employment may be terminated with or without cause at any time by the university or the employee.

- All positions reporting to the Board of Regents including but not limited to the President, General Counsel, Director of Audit Services, and ~~Assistant to the Board of Regents~~ *Coordinator of Board Affairs*.
- All Vice Presidents/Provost including Associate Vice Presidents/Associate Provost
- All Deans including Associate Deans
- All Directors
- All Department Heads and Chairs
- All Coaches
- All Charter School Teachers
- All Attorneys and Auditors
- All Temporary Staff Employees

Any appointment included in this list which is filled by a tenured employee will not affect the employee's tenure status. Tenured employees removed from administrative assignments under this policy may be reassigned to a faculty position.

The university may choose to reassign an at-will employee under this policy, but such reassignment is not guaranteed. Additionally, the university will endeavor to give a terminated employee under this policy a 30-day notice, although notice is not required.

Any decision to terminate an at-will employee must be reviewed by the general counsel and/or director of human resources for legal considerations. Termination of at-will employees below the vice president level must be approved by the appropriate vice president and reported to the president and board of regents. The Board of Regents must approve termination of at-will employees at the vice president level or above. All such employees will be given an opportunity to resign in lieu of at-will termination, unless the termination is clearly for cause. The terms of resignation must be approved by the same process outlined for termination above, including legal review by the general counsel and/or director of human resources.

In regards to this policy, and the employee's completion of the 180-day probationary period, there is no contradiction. The 180-day probationary period is the designated time frame for the new employee to demonstrate their capability to perform their job tasks in a

satisfactory manner. The completion of this evaluation period does not convey a permanent status to employees listed in this policy, and it does not negate the at-will status for either employee or employer.

Any agreements that in any way modify this policy must be made in writing and must contain the signature of the president, appropriate vice president, and the university Board of Regents.

Cross Reference: None

Responsible for Implementation: President

Contact For Revision: General Counsel

Forms: None

Communication Services (F-29)

Original Implementation: December 8, 1987

Last Revision: ~~January 30, 2007~~ January 25, 2010

Information Technology Services (~~IT~~~~Telecommunications and Networking~~) is responsible for the administration of ~~University~~ 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 ~~SFA~~university locations and billing.

All telephone services exist primarily for the ~~daily conduct and~~ transaction of official university business (except for student dorm telephones ~~and campus pay phones~~). 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 department. Reimbursements for personal calls on a university telephone should be coordinated with the department head (or account custodian). It is the responsibility of the department head (or account custodian) to review all telephone bills to ensure compliance with the usage policy.

All charges for telephone services, including campus telephone lines, 800 numbers, ~~long distance-toll~~ calls (long distance access codes), and cellular telephones remain the responsibility of the department head (or account custodian) until written notification is received by ~~the Assistant Director of Telecommunications and Networking-ITS~~ for their discontinuance.

EQUIPMENT INSTALLATION/RELOCATION/ALTERATION and REPAIR/MAINTENANCE

Requests for installation, relocation, alteration, or repair of telephone equipment should be submitted to the ITS Help Desk at extension 1212 or via the web at https://forms.sfasu.edu/its/computer_help.html. The request must include the service requested or the nature of the problem, telephone number of the affected equipment, building and room number, department account number, and telephone number and name of a contact person. A work order will be issued, and upon completion, the appropriate account ~~will~~ may be charged by IDT if appropriate.

LONG-DISTANCE ACCESS CODE

Requests for long distance access codes should be submitted from the department head (or account custodian) to the Assistant Director of Telecommunications and Networking. The request should include the requesting individual's name, social security number, and department account number. Requests for multiple long distance access codes (for charging to more than one account number) may be included on a single memorandum. However, full information must be provided for each access code requested.

LONG DISTANCE ACCESS CODE

Requests for long distance access codes should be submitted ~~from~~*by* the department head (or account custodian) to ~~ITS the Assistant Director of Telecommunications and Networking~~. The request should include the ~~requesting~~ individual's name, Campus ID number, and ~~department~~ account number. Requests for multiple long distance access codes (for charging to more than one account number) may be included ~~in~~ a single memorandum. However, full information must be provided for each access code requested.

CELLULAR TELEPHONE SERVICE

Requests for all cellular telephone services (including Blackberry, PDA data services, etc.) should be submitted by using the appropriate form from the department head (or account custodian) to the President of the University. The form is available from Telecommunications and Networking (extension 6626). The request must include the name of the primary user (or responsible person), department account number, type of cellular telephone desired, and extra equipment (spare battery, charger, carrying case, cigarette lighter connection, etc.). The department account will be charged by IDT for initial telephone equipment acquisition, and subsequent monthly usage charges. Due to the nature of cellular telephone equipment and usage areas, it is strongly recommended that Telecommunications and Networking (extension 6626) be contacted prior to request submission. *Please see Policy F-42 regarding Cellular Telephones and Wireless Communications Devices.*

800 TELEPHONE NUMBERS

Requests for 800 telephone numbers should be submitted ~~from~~*by* the department head (or account custodian) to ~~the Assistant Director of Telecommunications and Networking. The ITS.~~ The memorandum must include the purpose of the 800 service, ~~department account number~~*FOAP account number*, existing telephone number (ring extension) where the 800 number will ring, directory listing information (if appropriate), and name and telephone number of a contact person. ~~A work request will be initiated for the requested 800 service. A lead time of approximately four (4) weeks is required. The department account will be charged by IDT for initial installation charges (if appropriate), and subsequent monthly usage charges. Discontinuance of the 800 service or changes to the ring extension require a memorandum from the department head (or account custodian) to the Assistant Director of Telecommunications and Networking ITS.~~

Cross Reference: None

Responsible for Implementation: ~~Vice President for Finance and Administration~~*Provost and Vice President for Academic Affairs*

Contact for Revision: ~~Assistant Director of Telecommunications and
Networking~~ *Director of Information Technology Services*

Forms: ~~Cellular Request Form (available from Telecommunications and
Networking)~~ *None*

Continuing Education, Outreach, and Public Service Programs (A-32)

Original Implementation: March 9, 1978

Last Revision: ~~October 30, 2007~~ January 25, 2010

***The purpose of* Role and Scope of Continuing Education**

~~Stephen F. Austin State University (SFASU) has a stated mission that includes a significant responsibility for vital community and professional outreach programs to the populations and constituencies it serves. This task is met by offerings from throughout the university with outreach and special learning opportunities other than academic degree programs.~~

~~continuing education is a university-wide mission comprehensive program, whose purpose it is to support the public service and outreach responsibilities of the university. Academic units or individuals who offer continuing education related activities must adhere to the principles of this policy.~~

~~Definition~~

~~Continuing education consists of is an organized event activities sponse offered by a unit or individual that provides non-academic credit activities for the participants such as enrichment experiences, workshops, short courses, certificate courses, training, life-long learning, leisure learning, camps, or travel. A reasonable fee may be charged for these activities in an amount sufficient to permit the university to recover the cost.~~

Responsibility for Continuing Education at the University

~~Individual colleges and uUnits headed by a vice president will have administrative and programming responsibility for all activities that conform offering continuing education activities will shall have administrative and programming responsibilities to the definition of continuing education. All activities must be submitted by the administrator to his or her supervisor for approval.~~

~~To bear the name of the university or any of its units, fees for all continuing education activities Should programs by outside groups be co-sponsored by any college or other unit of the university, then all fees must be received directly and accounted for by the regular university accounting procedures.~~

~~Facilities for continuing education activities must be reserved in accordance with university Policy B-1, Use of University Facilities, and Policy B- 2, Academic Space for~~

Non-Academic Activities. Academic programs will always be given priority for the use of university facilities.

~~Otherwise, the program may not bear the name of the university or any of its units.~~

~~General calls, inquiries, and questions coming to the campus about continuing education activities will be routed to the Office of the Provost and Vice President for Academic Affairs for referral to the appropriate college or unit of the university.~~

~~The university will maintain a schedule of announced continuing education programs on a web site. It will be the responsibility of each college or unit to assure that all scheduled continuing education programs are listed on the web site.~~

Awarding Continuing Education Units

~~When *ap*programs *ctivities* result in the awarding of *non-academic credit*, such as Continuing Education Units (CEU's), it is the responsibility of the unit of the university *sponse* offering the continuing education *ap*program *ctivity* to meet the *most current* guidelines established by the Texas Higher Education Coordinating Board and the Southern Association of Colleges and Schools *relative to the awarding of CEU's*.~~

~~It is the responsibility of the *organization-unit* awarding the *CEUs-non-academic credit* to establish a transcript and keep the CEU records on file *for the appropriate period of time*.~~

Fiscal Responsibilities

~~The colleges, other units and persons who offer activities that conform to the definition of continuing education must comply with all applicable university policies and procedures and state and federal regulations. Some of the policies that apply relate to the following areas: collecting and disbursing funds, authorizing refunds, authorizing payroll or stipend items, purchasing equipment or supplies, reserving rooms, purchasing food or beverage, printing, using media marketing, engaging transportation, security and accounting for all funds associated with the program including a surplus or deficit.~~

Facilities for Continuing Education

~~Facilities for accommodating continuing education events must be reserved in accordance with university policy B-1, Use of University Facilities and policy B-2, Academic Space for Non-Academic Activities. Academic programs will always be given priority for the use of university facilities.~~

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Cross Reference: Use of University Facilities, Policy B-1, and Academic Space for Non-Academic Activities, Policy B-2; *Tex. Educ. Code § 54.545 Texas Education Code Section 54.545*

Responsible for Implementation: President and Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Distribution of SFA Alumni Foundation Scholarships (C-51)

Original Implementation: July 17, 2001

Last Revision: ~~January 30, 2007~~ January 25, 2010

Stephen F. Austin State University Alumni Foundation, Inc. ("Alumni Foundation") scholarships will be awarded by the following method:

The SFA Alumni Foundation and the SFA Financial Aid Office will process the award through the billing and receivables (~~BR~~) accounting system. The scholarship will be posted as a credit to the student's account at SFA. The credit will show "SFA Alumni Fnd. Scholarship" in the description on the student's bill. The scholarship will ~~not~~ be applied to *any eligible charge*. ~~parking fines~~. *However, the intent is not to apply these awards to parking fines.* Any funds remaining after the student's bill is paid in full (~~excluding parking fines~~) will be refunded to the student. If the student withdraws from school, the Alumni Foundation may be eligible for a refund, based on SFA's refund policy.

The Alumni Foundation will notify the SFA Financial Aid Office of all Alumni Foundation scholarships to be awarded to SFA students. This notification will include the student's name, campus identification number, dollar amount of award, and school term of award. It should be received at the SFA Financial Aid Office *at a date set annually by the financial aid office* ~~by the following date: May 20 for Summer II, Fall, Spring, and Summer I.~~

The SFA Controller's Office will bill the Alumni Foundation monthly for awards made through the *billing and receivables* ~~BR~~-accounting system. The bill will include each student's name, campus identification number, and dollar amount of award.

This policy may be modified by mutual agreement between SFA and the Alumni Foundation, or rescinded if proper notice is received by SFA indicating that the Alumni Foundation requests such a change. SFA and the Alumni Foundation will work together to comply with all regulatory compliance issues imposed on SFA for scholarship distribution and reporting.

Cross Reference: Memorandum of Understanding between Stephen F. Austin State University and Stephen F. Austin State University Alumni Foundation, Inc. dated May 18, 2001.

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: ~~Associate Vice President for Budget and Finance and~~
Administration

Forms: None

Employee *Affirmative Action*/Recruitment Plan (E-69)

Original Implementation: February 3, 2005

Last Revision: ~~January 29, 2008~~ January 25, 2010

Stephen F. Austin State University's *affirmative action*/recruitment plan has been developed in accordance with principles designed to assure equal access to employment opportunities. These principles outline the intent and goals of the university's plan.

Equal opportunity is the law of the land. In the public sector of our society this means that all persons, regardless of race, color, religion, sex, national origin, age, *veteran status*, or disability shall have equal access to positions in public service limited only by their ability to do the job.

Vigorous enforcement of the laws against discrimination is essential. Equally important are affirmative, voluntary efforts to assure that positions in the public service are genuinely and equally accessible to qualified persons, without regard to their sex, racial or ethnic characteristics.

Stephen F. Austin State University is committed to equal employment opportunities and strongly feels that increasing diversity should be a significant part of the hiring process. Employment discrimination and retaliation on the basis of race, color, national origin, sex, religion, age, *veteran status*, mental or physical disability, shall be strictly prohibited.

It is the policy of the university to comply fully with all state and federal laws prohibiting employment discrimination and relevant court decisions interpreting those laws as it implements its *affirmative action*/recruitment plan.

The Texas Commission on Human Rights Act now codified in ~~Chapter 461 of the Texas Government Code~~ and Chapter 21 of the Texas Labor Code, passed the 68th Texas Legislature in Special Session on June 26, 1983. Section 21.001 of the Texas Labor Code, includes the following general purpose of securing for Texans, including persons with disabilities, freedom from discrimination in certain employment transactions, in order to protect their personal dignity.

In keeping with the spirit of this general purpose of the Act, Stephen F. Austin State University affirms the following:

It shall be the public policy of Stephen F. Austin State University not to discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, ~~and~~ age, *veteran status*, or disability status. Further, the university

shall take all necessary steps to ensure the employment and promotion of otherwise qualified classes who may be underrepresented in the agency's workforce.

The university is committed to the principles of equal employment opportunity law and the spirit of equal access. Therefore, a written plan has been prepared to ensure that Stephen F. Austin State University's ~~recruitment~~-affirmative action/recruitment plan shall be properly implemented and no artificial barriers shall be intentionally or otherwise created to deny applicants or employees of the university's equal employment opportunities.

The ~~plan~~ document is available in the human resources office for review by university employees, applicants, and to the general public on request.

PROGRAM RESPONSIBILITIES

Being a results-oriented program, Stephen F. Austin State University's *affirmative action*/recruitment plan shall have the support of the president, board of regents, and other management or supervisory personnel. Therefore, specific responsibilities shall be assigned and delegated to university management personnel to ensure that the necessary authority is available to implement the provisions of the plan.

The president shall have ongoing responsibility for establishing recruitment policies and monitoring the implementation of the ~~recruitment~~-plan through periodic program reports. Further, the president shall review annually for purposes of revision or modification the ~~recruitment~~-plan, workforce analysis, and personnel policy and procedural systems including, but not limited to, recruitment, selection, promotions, job descriptions, classifications, compensation, discipline, or other terms and conditions affecting the equal employment opportunities of applicants or employees because of race, color, national origin, religion, sex, age, *veteran status*, or disability status.

The director of human resources shall be designated as the ~~recruitment~~/affirmative action/affirmative action/recruitment officer for the university with the authority for administering the ~~recruitment~~-plan. It shall be the responsibility of the director of Human Resources to ensure that compliance with the university's ~~recruitment~~/affirmation action/affirmative action/recruitment policies are implemented in an efficient and effective manner. The director of Human Resources shall provide periodic progress reports to the president outlining ~~recruitment~~-plan accomplishments and provide the necessary information required by the president for purposes of the plan's annual review.

Specific procedures for the recruitment of faculty and staff can be found on the Human Resources website: <http://www2.sfasu.edu/personnel/employment.html>.

PROGRAM GOALS

1. To ensure objectivity, consistency, uniformity and job relatedness through design and implementation of appropriate personnel policy and procedural systems that affects the equal employment opportunities of the university's employees and applicants for employment.
2. To ensure objectivity, consistency, uniformity and job relatedness through design and implementation of appropriate personnel policy and procedural systems that affects the equal employment opportunities of the university's employees and applicants for employment.

MONITORING THE ~~RECRUITMENT~~ AFFIRMATIVE ACTION/RECRUITMENT PLAN ACHIEVEMENT

The director of Human Resources shall be responsible for administering Stephen F. Austin State University's *affirmative action*/recruitment plan and providing regular reports to the president. Utilizing such reports, the president shall monitor the implementation of the plan and identify any revisions necessary to assure effectiveness of the ~~recruitment~~ plan. Such reports may include the following:

- Annual Recruitment Plan/EEO Progress Report: This narrative report shall include an itemized summary of the program's achievements, progress and underutilization with accompanying recommendations.
- Annual Workforce Availability Analysis: The workforce availability analysis compares percentages of Caucasian Americans, African Americans, Hispanic Americans, females, and males within the statewide civilian workforce ~~racial, ethnic and gender percentages~~ , by job category, of the national workforce to the percentages of Caucasian employed in the Americans, African Americans, Hispanic Americans, females, and males to the university's workforce and is to be prepared annually by the director of Human Resources. ~~The director of human resources shall review new hire and workforce detail, as prescribed in Section 21.552 of the Texas Labor Code, to compile the legislative required Equal Employment Opportunity report. This report, along with the EEO-4 report comparing EEO and job categories, will provide a racial, ethnic, and gender profile of university personnel by job categories. These workforce profiles shall be compared to the available racial, ethnic and gender African groups Americans, Hispanic Americans, and females in the statewide civilian labor force to determine the exclusion or underutilization by each job category, as mandated by Section 21.501 of the Texas Labor Code. Any underutilization shall be noted and strategies for recruitment of qualified African Americans, Hispanic Americans, and females will be recommended to the president. underutilized groups will be implemented.~~
- Position Statistics Referral Sources Report: Human Resources shall maintain data which lists applicants by protected class and referral source used. ~~The Position Statistics report will~~

indicates class representation of the university's applicant pool and if any measures need to be taken to include new referral sources.

- University EEO Report: The Human Resources director shall maintain a report showing the university structure with employees by EEO job category to monitor the representation of classes within the university's labor force.

Cross Reference: *Tex. Lab. Code §§ 21.001-.556*; Affirmative Action Policy E-4

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: **None**

Faculty/Staff ID Cards (F-13)

Original Implementation: Unpublished

Last Revision: ~~January 30, 2007~~ January 25, 2010

Employees wishing to use certain university facilities may be required to show a current faculty/staff identification card.

Benefits eligible employees are entitled to purchase a faculty/staff identification card. Employees wishing to obtain an ID card should follow this procedure:

1. Complete a "Request for Staff/Faculty ID Card" form in Human Resources.
2. After Human Resources verifies employment, the employee takes the verified request form to the Card Services Office in the Student Center to have the ID card made.

~~The first fee for a faculty/staff ID card is \$5.00 free. There is fee for any replacement ID card is \$7.00 and will be charged to the employee's account. and This will be payable at the university Business Office in the Austin Building. A department has the discretion to pay for the faculty/staff ID card on behalf of employees who are required to have the ID as a condition of employment.~~

ID cards must be validated annually in the Card Services Office in the Student Center. ~~and~~ Separating employees are required to return ID cards during the checkout process.

Retired faculty/staff are also entitled to ~~purchase~~ an ID card using the same process as outlined above.

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Director of *Student Services* ~~the Student Center~~

Forms: Request for Staff/Faculty ID Card (available in Human Resources)

Final Examinations (A-19)

Original Implementation: June 16, 1982

Last Revision: ~~April 24, 2007~~ January 25, 2010

Faculty members ~~conducting classes shall adhere~~ *administer final examinations according to* the official schedule for administering final examinations published in the Schedule of Classes ~~and distributed to the faculty by the Provost and Vice President for Academic Affairs.~~ *Certain classes may be exempt from a final examination if determined appropriate by the department chair or director.* Final examinations for any course not listed in the Schedule of Classes, including but not limited to distance education courses, ~~internet~~ *online* courses, and evening or weekend courses, should be scheduled in consideration of resource availability. No final examination may be administered after 5 p.m. on the last day of the semester. Exceptions may be made by the appropriate academic dean.

Cross Reference: Faculty Handbook

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Food and Beverages in Academic Areas (B-8)

Original Implementation: December 21, 1982

Last Revision: ~~January 30, 2007~~ January 25, 2010

The provisions of the policy for Use of University Facilities (B-1) govern the use of all buildings, facilities, equipment and grounds, hereinafter referred to as facilities, under the control of Stephen F. Austin State University (SFA). That policy provides that the university may establish additional procedures for the reservation and use of specific facilities; therefore, the ~~aforementioned~~ following provisions apply to regulations on use of food or drink in the library, classrooms and laboratories.

~~Limited consumption of food or beverages is permitted in the public areas of the Steen Library. Consumption of food or beverages is prohibited in all indoor classrooms and laboratories. Exceptions to this policy may be granted with advance approval of the appropriate academic dean or designee. Consumption of food or beverages may be permitted, provided such permission does not conflict with law. Consumption of food or beverages in Stephen F. Austin State University (SFA) academic buildings is permitted subject to the approval of the appropriate academic dean or designee, provided such permission does not conflict with other policies or laws.~~

~~The provisions of the policy for Use of University Facilities (B-1) govern the use of all buildings, facilities, equipment and grounds, hereinafter referred to as facilities, under the control of Stephen F. Austin State University. That policy provides that the University may establish additional procedures for the reservation and use of specific facilities; therefore, the aforementioned provisions apply to regulations on use of food or drink in the Library, classrooms and laboratories.~~

Cross Reference: Faculty Handbook, Tobacco Products (D-35.5); Use of University Facilities (B-1)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Health and Safety (D-17)

Original Implementation: February 11, 1977

Last Revision: ~~October 19, 2006~~ January 25, 2010

I. PURPOSE

This document will establish for Stephen F. Austin State University the policy for the protection of the university's human and material resources and the maintenance of a safe and healthful environment complementary to the university's needs and the accomplishment of its goals.

II. SCOPE

The intention of this policy statement is to create among all members of the university community an awareness of and a commitment to an effective safety program. The primary concern of this program will be the safety and well-being of the students, faculty, staff and visitors. The program will be promoted through training, identification of hazards, and initiation of loss-control measures aimed at the overall reduction of accidents and risk.

III. ~~COMMITTEE~~ ENVIRONMENTAL HEALTH, SAFETY, & RISK MANAGEMENT

Responsibility and coordination of various aspects of the university's safety program is vested in the ~~University Safety Committee~~ *Environmental Health, Safety, & Risk Management (EHS&RM) Department* that reports to the *vice president for Finance and Administration* of the university. ~~The Committee will be composed of the Hazardous Materials Officer, the Chief of University Police, the Radiation Safety Officer, and other faculty and staff members appointed by the Vice President for Finance and Administration. The Director of University Health Services, the Director, Environmental Health, Safety and Risk Management, the University Safety Officer, and the Assistant Safety Officer acting as the Workers Compensation Representative are ex officio members.~~

IV. ~~COMMITTEE RESPONSIBILITIES~~

~~A. Will meet quarterly or at necessary intervals.~~

~~B. Act as a clearinghouse and consultative organization for the University safety and health problems.~~

~~X. Act as an advisory body reporting to the President on the status of the University's safety control activities.~~

IV. RESPONSIBILITIES

The Risk Management for Texas State Agencies Guidelines, published by the State Office of Risk Management, is the program document for the university's safety program except as noted below. Responsibilities are assigned to individuals at appropriate levels of authority and expertise as follows.

- A. The responsibility for physical safety, fire protection, occupational health, emergency procedures, risk management, safety training, workers' compensation, and engineering controls is assigned to the university director of Environmental Health, Safety, and Risk Management (EHS&RM), who reports to the vice president for Finance and Administration. The university director of EHS&RM will assume the duties of accident prevention coordinator. The Assistant university safety officer acting as the workers compensation coordinator shall report to the university director of EHS&RM.
- B. *The responsibility for control of hazardous materials, including use, storage, and disposal of regulated hazardous materials, as well as the responsibility for compliance with the Texas Hazard Communication Act, is assigned to the director of EHS&RM who reports to the vice president for Finance and Administration.*
- ~~B.C.~~ C. The responsibility for radiological safety, including the purchase, transportation, use, storage, and disposal of radioactive materials is assigned to the radiation safety officer who reports to the president of the university. The radiation safety officer will assume the responsibility for the Radioactive Materials Management Program to assure compliance with the conditions of the license/registrations issued by the Texas Bureau of Radiation Control, Texas Department of Health.
- ~~C.~~ ~~The responsibility for control of hazardous materials, including use, storage, and disposal of regulated hazardous materials, as well as the responsibility for compliance with the Texas Hazard Communication Act, is assigned to the Director, EHS&RM who reports to the Vice President of Finance and Administration. and the Hazardous Material Coordinator who reports to the President of the University.~~
- ~~3-D.~~ D. The responsibility for campus security, traffic control, criminal investigation, and civil order is assigned to the chief of University Police who reports to the vice president for University Affairs.
- ~~4-E.~~ E. The responsibility for the maintenance of the health of students and the initial care of the faculty and staff members suffering from minor occupational injuries or illness is assigned to the director of University Health Services, who reports to the vice president for University Affairs.

VI. SUPPORT

In addition to the aforementioned and specifically-assigned responsibilities, it shall be the general responsibility of all SFA employees and students to keep themselves informed of conditions affecting their health and safety, participate in training programs provided by their supervisors and EHS&RM, adhere to healthy and safe practices in their workplace, classroom, and laboratories, and advise their supervisor or instructors of serious hazards in the workplace, classroom or laboratory.

Management and supervisors are responsible for protecting the health and safety of employees and students under their supervision by implementing SFA health and safety policies, practices, and programs, by ensuring workplaces and equipment are safe and well maintained, and by ensuring that workplaces or laboratories are in compliance with federal, state and local regulations. They are also responsible for the education of their employees and students in regard to proper job procedures and recognized hazards before making task assignments.

VII. IMPLEMENTATION

In all university activities and endeavors, safety is the first concern. The members of the university community shall comply with all federal, state, and local statutes, rules, regulations and codes by which the university is bound. They shall also attempt to comply with the spirit of any non-binding requirement which would further the university's intent to provide and maintain a safe and healthful environment in which to work, study, and live.

Source of Authority: ~~President~~

Cross Reference: ~~None~~ *Risk Management Policy (E-43.5); Tex. Health & Safety Code § 502*

Responsible for Implementation: *President*

Contact For Revision: President, Director of Environmental Health, Safety, and Risk Management.

Forms: **None**

Hiring of Non-Academic Personnel (E-27N)

Original Implementation: Unpublished

Last Revision: ~~January 29, 2008~~ January 25, 2010

General Employment Regulations

In hiring university personnel, departments should use the following guidelines.

1. Equal Employment Opportunity. The university's policy is to employ the best qualified applicants. In no instance shall an officer or employee base the decision to hire, to promote, to discharge, to demote, to grant or to withhold employee benefits from any qualified individual on any criteria other than ability, training, experience, and performance.
2. Selective Service Registration. All offers of employment are contingent upon the applicant presenting proof that they have complied with the federal law requiring selective service registration unless they are exempt.
3. Authority to Hire. ~~Employment openings, for classified positions, requiring services of a person who is not a student of Stephen F. Austin State University, shall be listed on a "Classified Position Personnel Requisition" form. The form is initiated by the department head seeking to fill the position, accompanied by an approved job description, through channels to the appropriate vice president and/or president. Non-classified (administrative/professional) positions shall be listed on a "Department Notice of Vacancy Form." The form is initiated by the department or the chair of the search committee, accompanied by an approved job description, and routed through channels to the appropriate vice president and/or president. Upon approval of the president, the signed forms are routed to human resources. Once approvals to hire are obtained through the appropriate channels, all positions are electronically routed to the Human Resources Department at which time the positions are posted on the online applicant system.~~
4. Listing of Employment Openings. Before the employing department recommends appointment of a candidate, classified positions shall be listed a minimum of five ~~working-calendar~~ days and non-classified (administrative/professional) positions a minimum of ten ~~working-calendar~~ days.
5. Advertising of Employment Openings. Employment advertisements by any university department or official must contain the following statement: "An Equal Opportunity Employer" and must be approved in advance by the *Office of executive director* ~~Public Affairs and Marketing~~ ~~department of marketing~~. Human resources will list all faculty and staff openings with the local State Employment Office and ~~such~~ other agencies as may be appropriate. Any department or search committee

electing to post vacancy notices on the Internet, must include the EEO notice as a part of the posting.

6. Employment of Aliens. The university shall abide by regulations of the U.S. Immigration and Naturalization Service. In compliance with the ~~1986 Federal Immigration and Naturalization Law~~ *Immigration Reform and Control Act of 1986*, all employees hired after November 1, 1986, must complete Form I-9 within 3 days of employment after which the form becomes a part of the individual's personnel record.
7. Offers of Employment. All offers of employment may be withdrawn based on the ~~board of regents~~ *Board of Regents* non-approval, failure to fulfill requirements, or for other cause.

Cross Reference: *42 U.S.C. §§ 2000e, e-2,3; 42 U.S.C., sec. 2000e et seq.; 8 U.S.C. § 1324a* ~~8 U.S.C., sec. 1324a et seq.;~~ *Immigration Reform and Control Act of 1986, Pub. L. No. 99-603, 100 Stat. 3359*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: ~~Classified Position Personnel Requisition, Department Notice of Vacancy Form~~
(~~both available online~~) *None*

Indirect Cost Recovery, Distribution, and Use (A-51)

Original Implementation: October 26, 1999

Last Revision: April 21, 2009-January 25, 2010

Indirect costs are those incurred for a common or joint purpose that benefit more than one university unit/activity and which are not readily assignable to a specific unit/activity.

They also are known as Facilities and Administrative (F&A) or overhead costs. *These rates may be based on modified total costs or salaries and wages.* In most instances, grantors and funding entities agree to reimburse the university for the overhead expenses of conducting research, education, and service projects. This policy establishes guidelines for the recovery, distribution, and use of such reimbursements from externally funded grants, contracts, and cooperative agreements.

Indirect Cost Recovery

The principal investigator (PI) or project director (PD) must include indirect costs in the proposed budget for all grants, contracts, and cooperative agreements at the maximum rate allowed by the sponsor. *The PI or PD will use the university's official, federally negotiated indirect cost rate for all grants and contracts (unless specifically limited by a state or federal sponsor), including those from for-profit entities and for fixed-price awards. In extraordinary circumstances, a PI or PD may request a reduction or waiver of full indirect costs from the Office of Research and Sponsored Programs (ORSP), which is then recommended to the president for approval.* Only the director of the Office of Research and Sponsored Programs (ORSP) or the director's designee is authorized to negotiate alternative indirect cost rates with sponsors, ~~which are then recommended to the president for approval.~~

Fixed-Price Agreements

Fixed-price agreements are awards where the university agrees to perform work or deliver a product within a specified period at a price agreed to in advance that is payable in full regardless of actual costs incurred. Therefore, there may be a residual balance.

Internal operating budgets for fixed-price awards are required and award funds must be utilized during the term of the award in support of the statement of work. The PI or PD is responsible for charging all appropriate operating expenses to the award account, including payroll.

After the project end date and all expenses allocable to the project have been recorded, an additional amount may be charged against any residual balance to ensure that the full negotiated indirect cost rate is charged to the account.

Once it is established that the PI or PD has met all required deliverables, unless otherwise specified by the sponsor the remaining balance will be transferred to a fixed-price pool account for the PI or PD, or into a pool account established for a university-recognized center. Fixed-price pool accounts are unrestricted funds that roll over each year that must be used for on-going research activities or to support the goals and objectives of the PI, PD, or center, in accordance with state and university regulations, policies, and procedures.

Indirect Cost Distribution and Use

The Texas Education Code, Section 145.001 provides that recovered indirect costs can be retained by state universities to support and encourage further research. The revenue from indirect cost reimbursements to SFA shall be allocated annually:

1. ORSP shall receive an amount sufficient to cover the total actual costs of operations as approved by the provost and vice president for academic affairs (VPAA).
2. The academic units that generated the recovered indirect costs shall receive fifty percent of any remaining revenue up to \$100,000 and one hundred percent of any remaining revenue in excess of \$100,000-. Such units shall expend the funds for projects encouraging further research, including:
 - a. conducting pre-grant feasibility studies;
 - b. preparing competitive proposals for sponsored programs;
 - c. providing carryover funding for research to provide continuity between externally funded projects;
 - d. supporting new researchers pending external funding;
 - e. purchasing capital equipment directly related to expanding the research capability of the institution; and
 - f. providing research or project administrative costs not covered by the funding entity.

All funds shall be expended to support research and sponsored programs at SFA according to the provisions of the Texas Education Code, Section 145.001. Additionally, the university shall report the actual amounts of money retained and expended under this policy and the estimated amounts for the next biennium in its report to the Legislative Budget Board as part of the biennial budget reporting process.

ORSP shall calculate distributions of recovered indirect costs to academic units based on a formula recommended by the University Research Council and approved by the provost and VPAA. The distributions shall be made by the controller at the ~~close~~ beginning of each fiscal year, based upon the previous year's indirect cost reimbursements. No allocations shall be made to academic units in any year in which the total indirect costs recovered are less than the actual amount expended by ORSP.

Cross Reference: Texas ~~Education~~ *Educ.* Code § 145.001

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Director, *Office of Research and Sponsored Programs*

Forms: ~~None~~ *Request for Indirect Cost Reduction or Waiver*

Intellectual Property (D-20)

Original Implementation: April 9, 1988

Last Revision: ~~January 30, 2007~~ January 25, 2010

Stephen F. Austin State University encourages participation by faculty, staff and students in scholarly research and creative activities that support and enhance teaching in its classrooms and laboratories. While research conducted at Stephen F. Austin State University is aimed at discovery and dissemination of knowledge, rather than profit from commercial application, the Board of Regents recognizes that questions regarding intellectual property rights may arise from such activities. The Board of Regents seeks through adoption of this policy to balance the interests of the public, the university and the inventor, author, or creator in intellectual property arising from research and creative activities conducted by employees of the university. The board further seeks to ensure that inventions, discoveries and creative works are used and controlled in an efficient and prudent manner which will result in maximum benefit to the public, the university and the inventor, author, or creator.

Applicability

This policy shall apply to all persons employed by Stephen F. Austin State University or a component thereof, and to anyone using facilities or funds subject to control or supervision by Stephen F. Austin State University. This policy, as amended from time to time, shall be deemed to constitute part of the conditions of employment of every employee, including student employees. Unless otherwise excluded, this policy shall apply to intellectual property of all types (including any invention, discovery, trade secret, technology, scientific or technological development, computer software, conception, design, creation or other form of expression of an idea) regardless of whether the intellectual property is subject to protection under patent, trademark, or copyright laws, or common law.

Copyright

1. Definitions

a. Copyright is the ownership and control of the intellectual property in original works of authorship. Copyright ownership and the rights thereof are defined by federal law. It is the policy of Stephen F. Austin State University that all rights in copyright shall remain with the creator of the work unless otherwise subject to contractual legal obligations, or the work is a "work made for hire" as that term is defined by federal law. The university will not require faculty to produce "works made for hire" as part of their workload or as terms for continued employment unless the production of works made for hire were a part of the faculty member's original conditions of employment.

b. A "work made for hire" is:

If expressly agreed to by the parties in a written instrument, a work specially ordered or commissioned by the university for use as a contribution to a collective work, as a part of a motion picture or other audiovisual work, as a translation, as a supplementary work, as a compilation, as an instructional text, as a test, as answer material for a test, or an atlas, shall be considered a “work made for hire.” An “instructional text” is a literary, pictorial, or graphic work prepared for publication and with the purpose of use in systematic instructional activities. Multimedia courseware specially commissioned by the university shall be included as a work made for hire. “Multimedia courseware” is defined as interactive teaching aids created and deployed with electronic tools. They may incorporate text, graphic video, and audio elements and may be mounted for remote access on a file server or pressed onto a CD-ROM for stand-alone distribution. Examples include but are not limited to, distance education courses, electronic textbooks, hypertext modules, simulation software, and databases containing numbers, images, or text. Financial support for course development or course reductions offered by the university to aid with course development of on-campus or distance education courses will not by itself constitute a work made for hire unless agreement is reached prior to such arrangements that the resulting course will be a work made for hire. (See Policy D-20A)

2. Ownership

a. General

In keeping with academic tradition, the university does not claim ownership of copyrightable intellectual property created by faculty during the normal course of their employment unless otherwise agreed in writing. Such property includes but is not limited to: course content, syllabi, course materials, course computer enhancements (courses in which 50% or more of content is delivered by electronic means to off campus students are governed by ~~policy~~ Policy D-20A), authored/created textbooks, books, articles, software, multimedia courseware, data sets in any format and similar works, the intended purpose of which is to disseminate the results of academic research or scholarly study created on the faculty’s own initiative. Further, the university claims no ownership of faculty authored/created popular nonfiction, novels, poems, musical compositions, software or other works of artistic imagination which do not result from projects commissioned or assigned by the university. Unless evidence of excessive use or abuse of university funds or facilities exists, the university will convey, upon request and to the extent consistent with its legal obligations, the copyright in such works to the individual faculty creator(s) or author(s). Faculty members will make such decisions and take such steps to protect works they own, with their discretion.

b. Sponsored Research Agreements

Copyright ownership of all material (including software) that is developed in the course of, or pursuant to, a sponsored research agreement (whether funded by a public or private agency or organization) shall be determined in accordance with the terms of the sponsored research agreement, or, in the absence of such terms, the copyright shall be negotiated with the author generally following the principles set forth in this policy.

c. Use of University Resources

(1) Copyright in all material (including software) that is developed with the significant use of funds, space, hardware, or facilities administered by the university, including but not limited to classroom and laboratory facilities, but without any obligation to others in connection with such support, shall reside in the university. The university recognizes and affirms the traditional academic freedom of its faculty to publish freely without restriction. In keeping with this philosophy, the university will not construe the provision of office, computer or library facilities as constituting significant use of university funds, except for those situations where the funds were paid specifically to support the development of such. Faculty development leaves, faculty development grants, minigrants and research course reductions will not be construed as a significant use of university funds.

(2) Copyright in works resulting from projects that are performed in whole or in part by any person with grants from funds administered by the university shall be determined in accordance with the terms of the support agreement or, in the absence of such terms, shall be negotiated by the parties involved. The university will determine whether to register and enforce the copyright on works it owns.

d. Joint Works

Works may be created through the joint efforts of faculty, employees working within the scope of employment, and/or others under contract to provide services. Such joint works would be jointly owned by the faculty member and University. Ownership agreements should be executed to memorialize the ~~parties~~*parties*' intentions and avoid later confusion over ownership rights. Any of the joint owners may register and enforce the copyright in the names of all owners with accounting. In the absence of an agreement on the division of revenues, they will be shared pro rata after recouping costs.

3. Revenue Sharing

a. Works Not Owned by Stephen F. Austin State University

If the university does not claim ownership of an intellectual property, authors and creators of intellectual works not owned by the university may copyright the related work, publish it, register the copyright and receive any revenues which may result therefrom.

b. Works in Which Stephen F. Austin State University Has a Property Interest (Generally, Commissioned Works or Works ~~prepared~~*Prepared* in the ~~course~~*Course* and ~~scope~~*Scope of employment**Employment*)

(1) Royalty income received by the university through the sale, licensing, leasing or use of copyrightable material in which the university has a property interest will normally be shared with the author. Authorship for this purpose shall be determined by the president

or his designee. Compensation and division of royalties, if any, will be negotiated by written agreement prior to commencement of work on the project, or as soon thereafter as practical.

(2) In the event that an author contributes a personal work to the university, a written agreement accepting such contribution shall be executed. The terms of the agreement shall include a statement governing the division of royalties between the university and the author.

(3) In cases of extramural funding, the terms of the funding agreement shall govern the division of any royalties that may result from commercialization of materials resulting therefrom. In the event that the funding agreement vests royalty rights in the university, and does not provide any royalty share for the author, the terms of Copyright, Section 3.b.(1) shall apply. No such royalty payment to the author, however, may violate the terms of the funding agreement.

4. Use of University or Agency Sponsored Materials

a. Prior to the use of a work in which the university has an interest, the author will consult with the university through appropriate administrators, or provide a reasonable opportunity for such consultation, with respect to its use. The university reserves the right to use for instructional and research purposes, without obligation to make payment therefore, any works created by employees or students during their periods of employment or attendance and revisions or derivations of such works.

b. When unresolved questions on use occur, they shall be referred to the president or his designee for resolution.

5. Revision of Materials

Materials owned by the university under the terms of this policy shall not be altered or revised without providing the author a reasonable opportunity to assume the responsibility for the revision. If the author declines the opportunity to revise such material, the assignment of responsibility for the revision will be made by the president or his designee in consultation with the appropriate department or office.

6. Withdrawal of Materials

a. Materials owned by the university under the terms of this policy shall be withdrawn from use when the university, in consultation with the author, deems such use to be obsolete or inappropriate. No withdrawal or other discontinuance that would violate the terms of any licensing or other agreement relating to the materials shall take place.

b. The university may release to the author(s) the right to any work copyrighted in the name of the university.

7. Warranty

Authors/creators must obtain appropriate permissions and releases necessary to avoid infringing or invading the personal rights of others. An author or creator of any work owned by the university under the terms of this policy shall warrant that, to the best of his/her knowledge, the work does not infringe on any existing copyright or other legal rights; that work not identified as quotations is the expression and creation of the author; that necessary permission for quotations and the like has been obtained; and that the work contains no libelous material or any material that invades the privacy of others.

8. Notice of Copyright

Although the law does not require copyright notice for legal protection, the university encourages that such notice be applied to all works.

All material owned by the University under the terms of this policy shall be protected by notice of copyright in the name of the University. The proper form of such notice is as follows:

© 20____, Stephen F. Austin State University. All rights reserved.

The date should be the year in which the work was completed or in which it was published, whichever is earlier. The name of the university should be spelled out in its entirety.

Works in the electronic environment are protected under copyright law just as print works are protected, from the moment of fixation in a tangible medium of expression. This is generally understood to include fixation in a central processing unit.

Patents

1. Obligations

a. Employees and others who are subject to this policy by virtue of their employment or use of university services or facilities shall disclose to the president or his designee (dean with copy to the general counsel), any invention or discovery (including those made under cooperative arrangements); provide complete information thereon; and cooperate with the university in protecting potential patent and know-how rights in accordance with Administration of Intellectual Property below.

b. When an invention arises from a project specially commissioned by the university, created in the course of employment, or with use of university facilities or funds beyond the provision of office or library facilities, the inventor shall assign all rights, title and interest in and to any such invention to the university or its designee and assist the university or its designee in securing patent protection on the invention. In this instance,

the inventor shall, upon request, execute an invention agreement prior to commencement of the project, or as soon thereafter as practical.

c. All parties privy to inventions, know-how, trade secrets, or other discoveries which may be patentable shall maintain such information in strict confidence, so as to protect the intellectual property (subject to internal disclosure as outlined above). Researchers, consultants, and other individuals hired on project which may involve the development of patentable property; shall execute a non-disclosure agreement. Notwithstanding this provision, all employees shall be subject to non-disclosure and confidentiality obligations on patentable or other trade secret information as a term and condition of employment.

2. Sponsored Research

a. In cooperative undertakings sponsored by, or involving, third parties, provisions for the control of patents normally should be consistent with the general policy stated above. The provision of sponsored research funds shall trigger patents section 1.b. above. However, it is recognized that in some cases the interests of other organizations (federal, industrial, etc.) will justify modifications of the general policy. In those cases, the provisions with respect to patents shall appear in the applicable memorandum of understanding or agreement for the review and approval of the president. It is intended and provided that disclosed inventions will be identified and managed in accordance with patent policy and procedures.

b. Nothing in this policy shall be interpreted as precluding the acceptance of a contract, grant, or agreement that provides for ownership of inventions and patent rights by the cooperating agency or organization.

3. Royalties

a. After a deduction of fifteen percent (15%) for administrative costs, and a deduction for the cost of patenting, licensing, and protecting of invention and patent rights, the net royalties or other income arising from an invention or discovery shall be divided as follows:

(1) Fifty percent (50%) to the inventor(s);

(2) Fifty percent (50%) to the university.

b. Special facts concerning an invention may warrant a different distribution of royalties. Agreements with respect to royalties shall be in writing and signed by the president or his designee. Any agreement which grants the inventor more than fifty percent (50%) of the net royalties shall require approval of the Board of Regents.

c. In the event that a person contributes an invention to the university, a written agreement accepting the contribution shall be executed. The terms of the agreement shall

include a statement governing the division of royalties between the university and the donor.

4. Use of Inventions and Discoveries

a. Prior to the use of an invention or discovery in which the university has an interest, the employee responsible for the invention or discovery will consult with the university through appropriate administrators, or provide a reasonable opportunity for such consultation, with respect to its use. The university reserves the right to use for instructional and research purposes, without obligation to make payment therefore, any inventions or discoveries made by employees during their periods of employment and revisions or derivations of such inventions or discoveries.

b. When unresolved questions on use occur, they shall be referred to the president or his designee for resolution.

Trademarks, Service Marks and Trade Names

1. Trademarks and service marks may be any work, name, symbol, or device, or any combination thereof adopted and used by the university in the sale or advertising of goods or services to identify and distinguish such goods and services from those sold by others.

2. Trade names include any names used to identify Stephen F. Austin State University and its services.

3. The president or his designee shall be responsible for protection and licensure of trademarks, service marks, and trade names used by or related to Stephen F. Austin State University.

4. No licenses shall be granted to commercial entities for use of trademarks or service marks in connection with commercial services or stationery, alcoholic beverages, inherently dangerous products, products of obscene or disparaging characteristics, health related products, products classified as staple foods, meats, and natural agricultural products, and any other uses which in the opinion of the president or his designee would degrade the reputation or goodwill of the university.

5. Trademark licensing inquiries should be directed to the director of athletics for processing in accordance with our licensing program. If the licensing inquiry does not fall within our traditional licensing program, the request should be forwarded to the general counsel.

Trade Secrets

Trade secrets may be comprised, generally, of any formula, pattern, or device, or of information which gives one an opportunity to obtain an advantage over competitors who

do not know or use it in commercial applications. Trade secrets in which Stephen F. Austin State University maintains an interest shall be protected in accordance with the terms of sponsored research agreements or, if none exist, by any lawful means available to the university as determined by the president or his designee.

Disclosure of Intellectual Property

1. Each individual subject to this policy has a duty to disclose promptly, in writing, and prior to any disclosure either to the public or for commercial purposes, any intellectual property created or discovered by such individual. Disclosure shall be made to the president or his designee (dean with copy to the general counsel).
2. The president shall adopt policies and determine procedures for appropriate institutional review of such disclosures. The duty to disclose arises as soon as the individual has reason to believe, based upon his/her own knowledge or upon information supplied by others, that the intellectual property may be protectable under patent, trademark, or copyright law, or common law. Certainty about the protections to be afforded such intellectual property is not required before a disclosure should be made. Each individual subject to this policy shall execute such declarations, assignments, or other documents as may be necessary to protect the university's interest in such intellectual property.
3. Disclosure of equity ownership or management participation in a business entity that has an agreement with the university relating to research, development, licensing, or exploitation of intellectual property created or discovered by an employee shall be made in accordance with Equity Ownership and Management Participation below.

Equity Ownership and Management Participation

1. Ownership of any equity interest in a business entity that has an agreement with the university relating to research, development, licensing, or exploitation of intellectual property created or discovered by an employee shall be disclosed to the president or his designee. The president shall take any necessary steps to avoid injury to the university as a result of potential conflicts of interest arising out of such equity ownership.
2. No employee may serve as a director, officer, or employee of a business entity that has an agreement with the university relating to research, development, licensing, or exploitation of intellectual property in which the university has an ownership interest except upon request of, or prior approval by, the Board of Regents. Authorization to serve as a director, officer, or employee of such a business entity may be subject to one or more conditions established to avoid injury to the university as a result of potential conflicts of interest.
3. In accordance with Section 51.912 of the Texas Education Code, the names of all business entities that have an agreement with the university relating to the research, development, licensing, or application of intellectual property in which employees own

an equity interest, or for which such persons serve as director, officer, or employee, shall be reported to the governor and legislature on an annual basis. The university may accept equity interests as partial or total compensation for rights conveyed in agreements with business entities relating to intellectual property owned by the university. The university may negotiate, but shall not be obligated to negotiate, an equity interest on behalf of any employee as a part of an agreement between the university and a business entity relating to intellectual property created, discovered, or developed by the employee and owned by the university.

Disposition of Income

1. In the disposition of any net income accruing to the university or a component from patents, trade secrets, or copyrights, first consideration shall be given to the promotion of research.
2. In the disposition of any net income accruing to the university or a component from licensure of trademarks or service marks, first consideration shall be given to creation or enhancement of scholarship programs.

License Agreements

1. Agreements which grant a third party the right to make, use, or sell a patented invention, invention know-how, or trade secret that has been disclosed and assigned to, or is otherwise owned by, the university shall require approval by the Board of Regents.
2. Agreements which grant a third party the right to reproduce, sell or use a copyrighted work, trademark, service mark, or trade name in which the university owns an interest shall require approval by the president.

Administration of Intellectual Property

1. The president or his designee shall be responsible for administering this policy. Duties encompassed by this responsibility shall include filing appropriate registration forms and supporting documents with the Copyright Office, Library of Congress, or the Patent and Trademark Office, negotiating and drafting licenses and other royalty agreements, drafting necessary agreements for specially commissioned works, determining the applicability of this policy and appropriate law to intellectual property, and adoption of policies and procedures consistent with this policy statement and necessary for determination of ownership or protection of the university's interests in intellectual property. All referrals to the president or his designee, under this policy, shall follow established procedures and administrative channels of communication.
2. In determining the university's ownership interest in any intellectual property and measures necessary for appropriate protection or exploitation of such interests, the president or his designee may utilize assistance from designated university committees,

the general counsel, Texas attorney general, an appropriate private law firm or attorney, or corporations established for the purpose of managing intellectual property.

3. The responsibility for commercial marketing and licensure of intellectual property, and for maintenance of appropriate fiscal records, is assigned to the president or his designee.

4. All expenses of copyright registration, patenting and other forms of protection sought by the university shall be borne by the university, unless otherwise paid by a licensee through a negotiated licensing agreement. If the university fails or refuses to pursue within a reasonable period any registration of copyright or patent, or other protection, for intellectual property in which an employee has an ownership or royalty interest, the employee may independently pursue registration or other protection of such interest. All patents must be filed in the university's name, unless the university relinquishes all rights and interest to the intellectual property in writing. The individual shall be reimbursed for expenses related to such protective action, pursuant to a negotiated written agreement, if the university subsequently decides to assert and exploit the university's interests in the property.

Cross Reference: Intellectual Property Rights for Distance Education (D-20A); *Tex. Educ. Code § 51.912*

Responsible for Implementation: General Counsel

Contact For Revision: General Counsel

Forms: None

Interlibrary Loan (A-23)

Original Implementation: March, 1985

Last Revision: ~~January 30, 2007~~ January 25, 2010

The Interlibrary Loan Services (ILL) supplements local library resources by providing access to materials not available in the Steen Library collection. The following statements regulate ILL activities.

Eligibility for Borrowing. ILL borrowing is extended to ~~SFA~~ faculty, staff, and students of *Stephen F. Austin State University (SFA)*. Patrons must exhaust the limits of the ~~local Steen~~ collection before requesting ILL services.

Faculty members *and students* may request materials related to their own ~~professional~~ scholarly research or to course-related subject matter. *Occasionally, service is available to library users not affiliated with SFA, subject to the discretion of the library director.*

Requests should be submitted to Interlibrary Loan Services through the library's Web site.

~~Graduate and undergraduate students may request materials pertinent to their research or coursework.~~

~~Occasionally, service is available to library users not affiliated with SFASU. Any type of library materials may be borrowed through ILL. Requests should be submitted to Interlibrary Loan Services through the Library's web site (<http://libweb.sfasu.edu/proser/acqser/ill.html>).~~

All conditions of use imposed by the lending library on items borrowed are to be strictly observed. *Abuse of ILL regulations may result in the forfeiture of ILL borrowing privileges. (Examples: taking Library Use Only material out of the library, disregarding loan restrictions, repeated failure to return material by due date). ILL service may be refused to any patron whose Steen Library borrowing privileges are blocked.*

~~Abuse of ILL regulations by a patron may result in the forfeiture of ILL borrowing privileges. (Examples: taking Library Use Only material out of the Library, disregarding loan restrictions, repeated failure to return material by due date).~~

~~ILL service may be refused any patron whose Steen Library borrowing privileges are blocked.~~

The Library reserves the right to refuse to accept or process any ILL request if it appears fulfillment of the request would involve violation of the copyright laws. Steen Library abides by the AMIGOS state and national ILL codes, and maintains such records of ILL transactions as required by law.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Library Director

Forms: <https://illiad.sfasu.edu/Illiad/logon.html>

Investments (C-41)

Original Implementation: April 30, 1996

Last Revision: ~~January 27, 2009~~ January 25, 2010

Policy Statement

Stephen F. Austin State University invests the public funds in its custody with primary emphasis on the preservation and safety of the principal amount of the investment. Secondly, investments must be of sufficient liquidity to meet the day to day cash requirements of the university. Finally, the university invests to maximize yield within the two previously indicated standards. All investments within this policy conform to all applicable state statutes and local rules governing the investment of public funds. This policy is promulgated in accord with the Public Funds Investment Act (Government Code, Chapter 2256), *and* related portions of the Texas Education Code, ~~and the applicable portions of H. B. 2459, 74th Texas Legislature.~~

Scope

This policy establishes rules for the investment of all university and agency funds except endowment funds. Endowment funds are invested in accordance with separate policy approved by the board of regents and are the responsibility of fund managers selected by the board of regents.

Objectives

The foremost objective of all investment decisions shall be safety of principal. All investments must be undertaken with the fiduciary responsibility associated with that of a reasonable and prudent person. Investments must be in accord with Texas law. Investment maturity must be diversified to match the university's liquidity requirements.

Investments shall incur no unreasonable risk in order to maximize potential income.

Investments shall remain sufficiently liquid to meet all reasonably anticipated operating requirements

Investments may be diversified in order to respond to changing economic and/or market conditions.

No investments within the portfolio or investment practices conducted to effect investment activities shall violate the terms of this policy.

Authorized Investments

All university funds and funds held in trust for others may be invested only in the following securities:

- A. obligations, including letters of credit, of the United States of America, or its agencies and instrumentalities;
- B. direct obligations of the State of Texas or its agencies and instrumentalities;
- C. collateralized mortgage obligations directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America;
- D. other obligations, the principal of and interest on, which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, the State of Texas or the United States of America or their agencies and instrumentalities;
- E. obligations of states, agencies, counties, cities, and other political subdivisions of any state rated as to investment quality by a nationally recognized investment rating firm of not less than A or its equivalent;
- F. certificates of deposit issued and share certificates by a depository institution that has its main office or a branch office in Texas that is:
 1. guaranteed or insured by the Federal Deposit Insurance Corporation or its successor or the National Credit Union Share Insurance Fund or its successor;
 2. secured by obligations that are described in Authorized Investments section A-E listed above, including mortgage backed securities directly issued by a federal agency or instrumentality that have a market value of not less than the principal amount of the certificates, but excluding those mortgage backed securities of the following nature:
 - a. obligations whose payment represents the coupon payments on the outstanding principal balance of the underlying mortgaged-backed security collateral and pays no principal;
 - b. obligations whose payment represents the principal stream of cash flow from the underlying mortgage-backed security collateral and bears no interest;
 - c. collateralized mortgage obligations that have a stated final maturity date of greater than 10 years; and
 - d. collateralized mortgage obligations the interest rate of which is determined by an index that adjusts opposite to the changes in a market index.
 3. In addition to the authority to invest funds in certificates of deposit in Section (F), an investment in certificates of deposit made in accordance with the following conditions is an authorized investment under Subchapter 2256.010:

- a. the funds are invested by an investing entity through a depository institution that has its main office or a branch office in this state and that is selected by the investing entity.
 - b. the depository institution selected by the investing entity under Subsection (a) arranges for the deposit of the funds in certificates of deposit in one or more federally insured depository institutions, wherever location, for the account of the investing entity;
 - c. the full amount of the principal and accrued interest of each of the certificates of deposit is insured by the United States or an instrumentality of the United States;
 - d. the depository institution selected by the investing entity under Subsection (a) acts as custodian for the investing entity with respect to the certificates of deposit issued for the account of the investing entity; and
 - e. at the same time that the funds are deposited and certificates of deposit are issued for the account of the investing entity, the depository institution selected by the investing entity under Subsection (a) receives an amount of deposits from customers of other federally insured depository institutions, wherever located, that is equal to or greater than the amount of the funds invested by the investing entity through the depository institution selected under Subsection (a)
- G. fully collateralized repurchase agreements with a definite termination date, secured by obligations described by Authorized Investments section A-E, requiring the securities being purchased by the entity to be pledged to the entity, held in the entity's name, and deposited at the time the investment is made with the entity or with a third party selected and approved by the entity; and placed through a primary government securities dealer, as defined by the Federal Reserve, or a financial institution doing business in this state;
- H. bankers acceptances having a stated maturity of 270 days or fewer from the date of issuance, to be liquidated in full at maturity, eligible for collateral for borrowing from a Federal Reserve bank, and accepted by a bank organized and existing under the laws of the United States of America or any state, if the short- term obligations of the bank, or of a bank holding company of which the bank is the largest subsidiary, are rated not less than A-1 or P-1 or an equivalent rating by at least one nationally recognized credit rating agency;
- I. commercial paper that has a stated maturity of 270 days or fewer from the date of its issuance, and is rated not less than A-1 or P-1 or an equivalent rating by at least two nationally recognized credit rating agencies or one nationally recognized credit rating agency and is fully secured by an irrevocable letter of credit issued by a bank organized and existing under the laws of the United States of America or any state;
- J. no-load money market mutual funds registered and regulated by the Securities and Exchange Commission, having a dollar-weighted average stated maturity of 90

days or fewer, and including in their investment objectives the maintenance of a stable net asset value of \$1 for each share; and no-load mutual funds that conform to Section 2256.014 of the Government Code;

- K. guaranteed investment contracts conforming to Section 2256.015 of the Government Code;
- L. investment pools conforming to Section 2256.016 of the Government Code;
- M. cash management and fixed income funds sponsored by organizations exempt from federal income taxation under Section 501(f), Internal Revenue Code of 1986 (26 U.S.C. Section 501(f));
- N. negotiable certificates of deposit issued by a bank that has a certificate of deposit rating of at least 1 or the equivalent by a nationally recognized credit rating agency or that is associated with a holding company having a commercial paper rating of at least A-1, P-1, or the equivalent by a nationally recognized credit rating agency;
- O. corporate bonds, debentures, or similar debt obligations rated by a nationally recognized investment rating firm in one of the two highest long-term rating categories, without regard to gradations within those categories.
- P. assets and/or funds reportable within the scope of the university's annual financial report may not be invested in or used to purchase securities, including obligations, of a private corporation or other private business entity that owns 10% or more of a corporation or business entity which records or produces any song, lyrics or other musical work that explicitly describes, glamorizes or advocates
 - 1. acts of criminal violence, including murder, assault, assault on police officers, sexual assault, and robbery;
 - 2. necrophilia, bestiality, or pedophilia;
 - 3. illegal use of controlled substance;
 - 4. criminal street gang activity;
 - 5. degradation or denigration of females; or
 - 6. violence against a particular sex, race, ethnic group, sexual orientation, or religion.

Insurance or Collateral

All deposits and investments of university funds other than direct purchase of United States Treasury securities or United States Agency securities and in money market funds invested in U. S. Treasury or Agency securities shall be secured by a pledge of collateral with a market value equal to no less than 100% of the deposits or investments less any amount insured by the FDIC or FSLIC and pursuant to ~~Article 2529d~~ *Chapter 2257*, the Public Funds Collateral Act. Evidence of the pledged collateral associated with bank demand accounts shall be maintained by the university controller. Evidence of the pledged collateral associated with investments shall be maintained by the director of financial services. Eligible repurchase agreements shall be documented by a specific

agreement noting the collateral pledged in each agreement. Collateral shall be reviewed monthly by the controller and director of financial services to assure the market value of the securities pledged equals or exceeds the related bank and certificates of deposit balances.

Pledged collateral shall be maintained for safekeeping by a third party depository.

Collateral Defined

The university shall accept only the following securities as collateral:

- A. AFDIC and FSLIC insurance coverage;
- B. United States Treasury, Agency, or Instrumentality securities;
- C. Other obligations, the principal of and interest on which are unconditionally guaranteed or insured by the State of Texas or the United States of America
- D. Obligations of states, agencies thereof, counties, cities, and other political subdivisions of any state having been rated as to investment quality by a nationally recognized investment rating firm and having received a rating of no less than A or its equivalent.

Investment Strategy

All investments will be made in accordance with the university's investment policy. Investments may be diversified as needed to provide investment suitability to the university's financial requirements. The preservation and safety of principal is the first priority, however, it is recognized that unrealized losses will occur in a rising interest rate environment, just as unrealized gains will occur during periods of falling interest rates. Investments will be of the type to provide sufficient liquidity and marketability for any operating requirements. The investment portfolio may be diversified with authorized securities to accommodate changing market conditions. However, United States Treasury securities are preferable because of their low risk and high liquidity. An investment decision shall consider yield only after the requirements for principal preservation, liquidity, and marketability have been met.

Investments may be categorized and described as:

- A. Short Term - less than 90 days Funds needed to meet short term operating requirements normally will be invested in either the Texpool investment vehicle managed by the state treasurer or overnight sweep accounts established with banking institutions. The benchmark is the average three month Treasury Bill yield.
- B. Intermediate Term - 90 days to one year United States Treasury and Agency securities, United States Agency Discount Notes are the primary investment

vehicles. United States Treasury securities are preferable because of their low risk and the ease with which they are traded. The benchmark is 95 percent of the average one-year Treasury Bill yield.

- C. Long Term - over one year United States Treasury and Agency securities are the primary investment vehicles. Normally, investments are laddered so that most principal is returned over a five year period in increments sufficient to meet anticipated operating and capital needs. The 30 Year Treasury Bond rate is the benchmark for long term funds.
- D. Maturity - The length of time for investments within this policy will vary according to fund type and will be dependent on funding requirements. As a general rule, funds will be invested for the time periods indicated:

Current Unrestricted and Restricted Funds - 2 days to one year

Plant Funds- 3 months to 3 years

Delegation of Authority

The vice president for finance and administration (VPFA) of Stephen F. Austin State University is responsible for investment management decisions and activities. The VPFA delegates the day-to-day management of the investment activities to the director of financial services.

The VPFA shall be ultimately responsible for all transactions undertaken and shall establish a system of controls (Appendix A) to regulate the activities of officials and staff involved in investment transactions.

The VPFA shall develop and maintain written administrative procedures and guidelines for the operation of the investment program which are consistent with and part of this Investment Policy (Appendix B).

The VPFA and director of financial services shall be designated as the university's investment officers and are responsible for the duties outlined herein. The names and titles of the investment officers shall be filed with the board of regents. Changes of names and/or titles must be filed with the board of regents as they occur.

The maximum stated maturity date of any security may not exceed ten years, and the weighted average duration of the portfolio shall not exceed five years without approval by the VPFA and ratification by the board of regents. No officer or designee may engage in an investment transaction except as provided under terms of this policy as approved by the Stephen F. Austin State University Board of Regents.

Prudence

The "prudent person" standard will be used in the investment function and shall be applied in the context of individual transactions as well as management of the overall portfolio.

Accordingly, all investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion, and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the expected income to be derived.

Internal Controls

Stephen F. Austin State University has established a system of written internal controls designed to prevent loss of public funds due to fraud, employee error, misrepresentation by third parties, unanticipated market changes, or imprudent actions by employees of the university. These controls are shown in Appendix A of this investment policy. These controls are subject to the review of and recommendations from the university's Department of Audit Services' office.

Investment Authority

The VPFA or director of financial services shall invest only those funds regulated by this policy and shall purchase only those securities authorized by the Authorized Investments section of this policy.

Authorized Financial Dealers and Institutions

Investment transactions (bids and offers) will occur only between the university and board authorized broker/dealers. A written copy of the investment policy shall be presented to any person offering to engage in an investment transaction with Stephen F. Austin State University. The qualified representative of the business organization offering to engage in an investment transaction with Stephen F. Austin State University shall execute a written instrument substantially to the effect that the business organization has (a) received and reviewed the investment policy of the university and (b) acknowledges that the business organization has implemented reasonable procedures and controls in an effort to preclude investment transactions conducted between the university and the organization that are not authorized by Stephen F. Austin State University's investment policy.

Securities may not be bought from any organization whose representative has not provided the university with the acknowledgment required in the above paragraph.

External Financial Advisor Contract Renewal or Extension

Pursuant to Chapter 2256 of the Texas Government Code, a contract with an external investment manager may not exceed two years. A renewal or extension of the contract by the board must be made by order, ordinance, or resolution. Disclosure Requirements for Outside Financial Advisors External financial advisors and service providers shall comply with Texas Government Code Chapter 2263, Ethics and Disclosure Requirements for Outside Financial Advisors and Service providers.

Disclosure Requirements for Investment Officers

Pursuant to Texas Government Code Sec. 2256.005, an investment officer of an entity who has a personal business relationship with a business organization offering to engage in an investment transaction with the entity shall file a statement disclosing that personal business interest. An investment officer who is related within the second degree by affinity or consanguinity, as determined under Chapter 573, to an individual seeking to sell an investment to the investment officer's entity shall file a statement disclosing that relationship. A statement required under this subsection must be filed with the Texas Ethics Commission and the governing body of the entity. For purposes of this subsection, an investment officer has a personal business relationship with a business organization if:

1. the investment officer owns 10 percent or more of the voting stock or shares of the business organization or owns \$5,000 or more of the fair market value of the business organization;
2. funds received by the investment officer from the business organization exceed 10 percent of the investment officer's gross income for the previous year; or
3. the investment officer has acquired from the business organization during the previous year investments with a book value of \$2,500 or more for the personal account of the investment officer.

Diversification

Investments may be diversified to minimize the risk of loss resulting from unauthorized concentration of assets in a specific maturity, specific issuer, or specific class of securities. The diversification limits by security type and issuer shall be:

Category	Maximum
U. S. Treasury securities and securities having principal and interest guaranteed by the U. S. Government	100%
U. S. Government agencies, instrumentalities and government sponsored enterprises (excluding mortgage backed securities)	50%
Collateral mortgage backed securities	25%

Fully insured or collateralized certificates of deposit	100%
Bankers' acceptances	25%
Commercial paper	25%
Repurchase agreements	100%
Registered money market funds	80%
Local Government Investment Pool	100%
Corporate Bonds	25%

The VPFA may diversify investment maturity. To the extent possible, investment maturity will be matched with anticipated cash flow requirements. Matching maturity and cash flow requirements will minimize occasions for sale of securities prior to maturity, thereby reducing market risk. However, no provision of this policy shall be interpreted as prohibiting the sale of any security prior to maturity, provided that it is in the university's financial interest to affect the sale. The weighted average maturity of the entire portfolio shall be maintained at no more than 10 years and shall be reported quarterly to the board of regents. Pooled fund groups eligible for university investment shall have a maximum weighted average maturity of 10 years.

Safekeeping and Collateralization

All securities transactions, including collateral for repurchase agreements, but excluding mutual funds and investment pools, must be settled on a delivery versus payment basis. Collateral for certificates of deposit shall be held by a third party custodian in the name of the university. The third party custodian shall be required to issue a safekeeping receipt to the university listing the specific instrument, rate, maturity, safekeeping receipt number, and other pertinent information. Any collateral safekeeping receipt shall be clearly marked on its face that the security is "pledged to Stephen F. Austin State University". Collateralization shall be required on certificates of deposit and repurchase agreements. The collateralization level shall be no less than 100% of the market value of the principal and interest due on these instruments. Collateral for certificates of deposit and repurchase agreements shall consist of any of the securities authorized for investment within this policy.

Performance Evaluation

The VPFA and director of financial services shall submit quarterly reports to the board of regents through its finance/audit committee and the president of the university in the format prescribed by the Public Funds Investment Act, within a reasonable time after the end of the quarter. The reports must: (A) describe in detail the investment position of the university on the date of the report; (B) be prepared by the investment officer(s) of the university; (C) be signed by the investment officer(s) of the university; (D) contain a

summary statement prepared in compliance with generally accepted accounting principles of each pooled fund group that states the: (1) beginning market value for the reporting period; (2) additions and changes to the market value during the period; (3) ending market value for the period; and (4) fully accrued interest for the reporting period; (E) state the book value and market value of each separately invested asset at the beginning and end of the reporting period by the type of asset and fund type invested; (F) state the maturity date of each separately invested asset that has a maturity date; (G) state the account or fund or pooled group fund for which each individual investment was acquired; and (H) state the compliance of the investment portfolio of the University as it relates to the relevant provisions of the Public Funds Investment Act.

Training

The VPFA and director of financial services are required by Section 2256.007(a) of the Government Code to attend at least one session of investment training not later than March 1, 1996, and, as appropriate, periodically thereafter.

Audits

In order to comply with the audit requirements of the Texas Public Funds Investment Act, the university's Department of Audit Services shall conduct audits and reviews of the university's investment function and report the findings to the appropriate oversight authorities.

Investment Policy Adoption and Certification

Upon adoption by the Stephen F. Austin State University Board of Regents, the university's investment policy shall be reviewed annually to ensure current applicability and significant modifications thereto submitted to the board of regents for approval.

Cross Reference: *Tex. Gov't Code §§ 573, 2256-2257, 2263* ~~Texas Government Code Chapters 2256 and 2263~~; *26 U.S.C. Section 501(f)*; *Tex. Educ. Code § 51.0032*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

APPENDIX A

INTERNAL CONTROLS

The university has prepared an investment policy as of April 12, 1996. The policy was approved by the board of regents April 30, 1996. The investment policy will be reviewed and/or updated no less than annually. All pledged securities shall be held by a third party custodian in the name of the university. A safekeeping receipt will be issued to the university listing the specific instrument, rate, maturity, safekeeping receipt number, and other relevant information. The signature of the president, VPFA or director of financial services is required for release of pledged securities from safekeeping. Only changes in the level of collateralization require approval by the president, VPFA or director of financial services. The controller's office will reconcile the appropriate investment accounts to broker's statements and other supporting documents monthly. All purchases of securities from and deposits of funds to or withdrawals of funds from TexPool require the signature of the VPFA, and either the director of financial services, budget director or the controller.

APPENDIX B

ADMINISTRATIVE PROCEDURES

The bursar's office will maintain a daily list of cash balances held in depository bank accounts. All investment transactions and related cash transfer requests, except for investment "rollovers" as defined, will be prepared by the director of financial services and will require an appropriate second signature. "Rollovers" are investment transactions whereby an investment of certain type held by an entity matures and the proceeds are then used to purchase an investment of the same type within the same account within the same entity. The controller's office will record investments in compliance with GASB and state comptroller's reporting requirements and reconcile the appropriate investment accounts to broker's statements and other supporting documents monthly. Quarterly investment reports are prepared by the director of financial services and approved by the vice president of finance and administration in accordance with the Performance Evaluation section of this investment policy. The market price of securities will be monitored quarterly using industry published data or appropriate financial publications.

Investments - Endowment Funds (C-41.A)

Original Implementation: Unpublished

Last Revision: ~~January 27, 2009~~ January 25, 2010

GENERAL

This Investment Policy Statement (IPS) applies to all Stephen F. Austin State University (the "university") endowment funds. These funds are given to the university by individuals and institutions to promote, encourage and advance education and to improve the degree and non-degree educational functions by establishing scholarships, fellowships, professorships, academic chairs and other academic endeavors at the university, as specified by donors.

As provided in the Texas Education Code, each member of the board of regents (board) has the legal responsibilities of a fiduciary in the management of funds under the control of the university. The board recognizes its responsibility to insure that the assets of the endowment funds are managed for the exclusive benefit of the university in accordance with its donors' intentions, effectively and prudently, in full compliance with all applicable laws.

Separate fund balance accounts are maintained for all funds. Funds may be restricted either by the donor or the board. Restricted funds are available primarily for specific purposes considered beneficial to the university.

The investment of the endowment funds is governed by Section 51.0031 of the Texas Education Code. This section states that the university "... with regard to donations, gifts and trusts may establish endowment funds that operate as trusts and are managed under prudent person standards;... As used in this section, "prudent person standard" is the standard of care described in Article VII, Section 11b-, of the Texas ~~constitution~~ *Constitution*, and means that standard of judgment and care that *prudent investors, exercising reasonable care, skill, and caution, would acquire or retain in light of the purposes, terms, distribution requirements, and other circumstances of the fund then prevailing, taking into consideration the investment of all the assets of the fund rather than a single investment.* ~~"persons of ordinary prudence, discretion, and intelligence exercise in the management of their affairs in regard to the investments of their funds, considering probable income as well as probable safety of their capital.~~

In the management of the university endowment investments, consideration will be given to the need to balance a requirement for current income for present activities with a

requirement for growth in principal to compensate for inflation. Consideration will be given to the need for safety of principal, liquidity, diversification, yield and quality.

The overall objective of the IPS is to assure that the university's endowment funds are invested in a manner to achieve as high a level of return as can reasonably be expected to be achieved given the primary objective of safety and preservation of principal. The IPS clearly and concisely states the responsibilities of all parties involved with the endowment funds. The IPS will assist the board, the finance/audit committee ("committee") and the university administration in effectively communicating with and monitoring the investment manager(s) and the investment firm(s) that will be engaged from time to time to facilitate the management of the endowment assets of the university. It states the boards' attitudes, guidelines and objectives in the investment of the endowment assets.

RESPONSIBILITIES

The university acknowledges that the ultimate responsibility for satisfactory investment results rests with the board. The board believes that this responsibility is best discharged by delegating certain authority to the university administration and by appointing one or more investment management organizations to assume certain responsibilities.

The specific responsibilities of the board in the investment process include and are limited to developing a sound and consistent investment policy, developing sound and consistent investment policy guidelines, establishing reasonable investment objectives, allocating the endowment assets between equity and fixed-income investments, and other investment mediums which it may deem appropriate and prudent, communicating clearly the major duties and responsibilities of those accountable for investing the endowment assets and achieving investment results, evaluating performance results, and abiding within all applicable laws, including conflict of interest provisions therein.

The vice president for finance and administration (vice president) and director of financial services are designated as the investment officers for the university. As such, the vice president or designee are responsible for accounting for investments, monitoring and evaluating performance results, and ensuring that policy guidelines are being adhered to and investment objectives are being met. In addition, the vice president is responsible for the purchase, sale, assignment, transfer and management of investments, for communicating with investment managers, brokers and dealers, for compiling performance results, and for determining the proper distribution of investment returns to the various accounts. The vice president is also responsible for determining the appropriate distribution of income in accordance with the distribution policy in the distribution policy section. The vice president, or designee will submit an annual investment perspective to the board of regents.

INVESTMENT POLICY

The board believes that the endowment assets should be managed in a way that reflects the application of sound investment principles.

The board adheres to the traditional capital market theory that maintains that over the long term, the risk of owning equities should be rewarded with a somewhat greater return than available from fixed-income investments. This reward comes at the expense of higher volatility of returns and more exposure to market fluctuations than with fixed-income investments. Fixed-income investments provide a more predictable return and higher current income than do equities. Thus assets should be allocated between fixed-income investments, equities, and alternative investments in such a manner as to provide for current income while providing for maintenance of principal in real terms.

Avoiding large risks is essential. The university is willing to trade off some potential opportunities for gain from high-risk investments (with high loss potential) by assuming a moderate-risk posture in order to have a more stable positive return. This may result in sacrificing some potential opportunities for gain during rising markets in order to avoid large short term declines in market value during falling markets. Since the university is adverse to large downward fluctuations in the value of its investments resulting from volatile market value fluctuations, such year-to-year volatility should be minimized.

INVESTMENT POLICY GUIDELINES

For the purpose of this policy all securities which use long-term credit ratings must be rated the equivalent of "A" or better by a nationally recognized credit rating service. Securities using short-term credit ratings must be rated at least A-2, P-2, F-2 or the equivalent by a nationally recognized credit rating service.

The following categories of securities are permissible investments:

- a. Direct obligations of the United States government or its direct agencies.
- b. Direct obligations of federally-sponsored agencies in accordance with the above paragraph.
- c. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.
- d. Common stock and preferred stock issued by United States domiciled corporations and common stocks of foreign companies listed on the major U.S. or foreign security exchanges.
- e. Certificates of Deposit issued by federally insured state banks, federally insured savings and loan associations and saving banks or federally insured credit unions.

Amounts over the insurance limit of the institutions must be secured by pledged securities.

- f. Bankers acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.
- g. Money Market Mutual Funds. Funds must be registered with the Securities and Exchange Commission, have a maximum dollar weighted average maturity of no longer than 13 months, and be no-load funds. Funds must have assets consisting of securities described in the paragraphs above and seek to maintain a stable net asset value of \$1.00 per share (or unit).
- h. Direct Security Repurchase Agreements. Direct Repos must be fully secured (collateralized) by securities authorized under the sections (a) through (f) above. Such collateral must be held by a third party. All agreements will be in compliance with Federal Reserve Bank guidelines.
- i. Shares of investment companies as defined by the Investment Company Act of 1940. These companies include both closed-end investment companies and open-end investment companies (mutual funds). Shares in these companies may be purchased if they own securities described in sections (a) through (h) above.
- j. Shares of Exchange Traded Funds, known as ETFs, are permissible investments under this section.
- k. Certain types of transactions and purchase of certain types of securities are specifically prohibited by this policy. Commodity trading including all futures contracts, purchasing of letter stock, short selling, option trading, and margin trading are specifically prohibited. Neither tax-exempt debt of state and local governments, private placements, nor guaranteed investment contracts may be purchased. No investments will be made in derivative products as defined by the Financial Accounting Standards Board in Statements of Financial Accounting Standards, No. 133. Collateralized mortgage obligations that do not pass the Federal Financial Institution's Examination Council test may not be purchased.
- l. Assets and/or funds reportable within the scope of the university's annual financial report may not be invested in or used to purchase securities, including obligations, of a private corporation or other private business entity that owns 10% or more of a corporation or business entity which records or produces any song, lyrics or other musical work that explicitly describes, glamorizes or advocates: (1) acts of criminal violence, including murder, assault, assault on police officers, sexual assault, and robbery; (2) necrophilia, bestiality, or pedophilia; (3) illegal use of controlled substance; (4) criminal street gang activity; (5) degradation or denigration of females; or (6) violence against a particular sex, race, ethnic group, sexual orientation, or religion.
- m. No more than six percent (6%) of the portfolio, including convertible securities, can be invested in any one company. This will be measured on a cost basis. No more than ten percent (10%) of the portfolio can be invested at any time in one company

based on the market value of the stock and portfolio. This section is not applicable to investments in U.S. government securities.

- n. No more than fifteen percent (15%) of the portfolio can be invested in any one industry sector, as defined by Standard and Poor's broad categories, based on the cost value of the portfolio. No more than thirty percent (30%) of the portfolio can be invested in any one industry sector based on the market value of the portfolio. The holdings do not have to be invested in industry groups that represent a cross-section of the economy.
- o. Permitted alternative investments in the portfolio may include hedge funds, managed futures funds, private equity funds, or real estate. Investments in other strategies shall be reviewed and recommended by the investment officer prior to purchase. Permitted alternative investments in the Portfolio are limited to diversified commingled trust fund vehicles or limited partnerships offered through a third party distribution channel, such as what is offered through many broker-dealer firms. Any investment vehicles where the portfolio's liability can exceed the value of the portfolio's investment are strictly prohibited. The portfolio shall emphasize investments in fund-of-fund vehicles that are diversified by investment style and typically utilize multiple investment managers within a fund. The portfolio, however, may invest in single manager funds, but these investments shall not comprise the majority of the investment. Permitted alternative investments in the portfolio are limited to investment vehicles that offer the ability for the portfolio to make contributions or receive distributions at least quarterly (but preferably monthly) without restriction or incurring additional fees. The maximum allocation to any one fund shall not exceed 25% of the total investment portfolio. If the allocation to alternative investments exceeds the limit at any point in time, the investment officer shall rebalance the allocation to the fund at the next opportunity when the fund permits liquidation of fund holdings.
- p. All of the equities purchased for the portfolio (based at market value) should have a minimum market capitalization of \$250 million. The allowable range and target asset allocation for the endowment funds is:

Class	Allowable Range	Target
Equities securities	0% - 70%	55%
Fixed income securities	0% - 60%	35%
Cash or cash equivalents	0% - 100%	0%
Alternative Investments	0% - 25%	10%

For the fixed income portion of the portfolio the asset mix should be, maximum U.S. government bonds 100%, minimum government bonds 0%, maximum corporate bonds 50%, minimum corporate bonds 0%, maximum cash 100%, minimum cash 0%. Gifts of individual securities will be liquidated or transferred to an equity fund manager currently

employed by the university under the Use of Investment Firms section. The liquidation or transfer will take place as soon as possible. If liquidated, the proceeds will be invested in accordance with the allowable range and target asset allocation set forth in this policy. Exceptions to this policy are securities described by sections (a), (b) and (c) above. Such securities may be held so long as the asset allocation ranges are maintained. The policy in this section can be overridden by a written directive from a donor.

USE OF INVESTMENT FIRMS

The vice president or designee, is responsible for the selection of brokers and dealers for the execution of security transactions and for the safe keeping of securities. Sales, purchases and exchanges will be transacted through well-capitalized, nationally-recognized investment firms which are major participants in the equity and fixed-income markets. Firms should be selected to provide the maximum benefit to the university. The vice president may choose to use a request for proposals to select the firm or firms with which the university deals.

Selection of outside investment managers will follow these guidelines:

- a. The vice president or designee, within statutory and other regulatory authority, may place selected funds of the university with investment managers outside the university for investment purposes. The investment of such funds will be subject to the provisions of this investment policy statement. The vice president or designee is authorized to negotiate with outside investment managers for the benefit of the university.
- b. Outside investment manager(s) will receive a copy of the IPS and a Letter of Instructions outlining investment instructions and asset allocation parameters expressed in writing by the vice president or designee. The Letter of Instructions will state return objectives that are reasonable and achievable within the guidelines provided herein. These return objectives should be achieved over a reasonable time frame, thus it is not necessary for the outside manager(s) to exceed the return expectations each quarter. In addition, each outside investment manager must execute a written statement to the effect that the registered principal of the organization has received and thoroughly reviewed the investment policy of the university. The statement must also acknowledge that the organization has implemented reasonable procedures and controls in an effort to preclude imprudent investment activities.
- c. Consistent with this investment policy statement and their Letter of Instruction, the outside investment manager(s) will be responsible for making decisions on a discretionary basis. This includes buy, hold, sell and timing decisions. The outside manager(s) must make responsible decisions in the selections of specific securities

and the general timing of purchases and sales necessary to achieve a satisfactory overall return for the assets.

- d. Outside manager(s) will invest only into the security class(es) for which they were retained to manage. The manager(s) have discretion to place funds into cash, however, their performance will be measured against an index which measures their security class without deducting the cash position.

The overall portfolio and the individual managers will be evaluated on a periodic basis using industry benchmarks.

The annualized Alpha should exceed both individual managers' and total portfolio fees. Alpha measures the excess return for the amount of risk taken. Portfolio turnover will be monitored. If the performance results of the portfolio meet the objectives stated herein, the rate of turnover in the portfolio will not be an evaluative factor. However, a portfolio turnover higher than the average of similar fund managers is considered a negative. Files will be maintained on investment firms with which the university deals. The files will contain information that supports the financial stability of the firms. These files will be updated annually. A list of approved brokers and firms will be maintained and changes will be approved by the board of regents.

DISTRIBUTION POLICY

The spending policy should balance the long-term objective of maintaining the purchasing power to the endowment funds with the goal of providing a reasonable, predictable, stable, and sustainable level of income to support current needs. At the end of the investment year, in consultation with the investment manager, the investment officer will review the total return on the endowment accounts and recommend an annual distribution. The target distribution will be between 4% and 5%. The investment officer will recommend an amount up to 5.00% of the average invested balance for the purposes delineated in the endowment memorandum of understanding. If returns permit, an amount equal to the rate of inflation will be added back to each endowment principal balance. If there are positive total returns beyond the inflation rate, then the investment officer will recommend that this amount be added to a contingency reserve that may be distributed during years of poor investment performance as determined by the officer. When the contingency reserve has reached a balance in excess of two years of normal distributions, the investment officer may recommend that additional distributions be made from the contingency reserve.

PERFORMANCE EVALUATION

The vice president will submit quarterly reports to the board on the performance of the investment portfolio. The reports will disclose the book value and market value of the

portfolio at the beginning and ending of the reporting period by the type of asset and fund type invested. The reports will disclose the realized and unrealized gains/losses on the portfolio for the reporting period. Additions and changes in the market value of the portfolio during the period will be reported. The reports will show the pooled fund value as well as individual assets by fund type. The reports will state the maturity date of each asset that has a maturity date. The total return on the portfolio, on each asset class and for each manager will be reported.

The performance of the total portfolio, each asset class and each manager will be compared to appropriate benchmarks and included in the quarterly reports to the board. The report will contain sufficient information for the board to determine if actions should be taken to correct any deficiencies that may exist.

CONFLICTS OF INTEREST

Members of the board are frequently persons of wide-ranging business interests. Therefore, a prudent, independent investment decision process may result in investments in firms or organizations with which a member of the board is affiliated. Affiliation shall be interpreted within this section to mean an employee, officer, director, or owner of five percent or more of the voting stock of a firm or organization. The investment staff or an unaffiliated investment manager may invest in such securities. However, the following restrictions shall apply:

- a. a member of the Board shall not direct nor participate in the decision to purchase or sell securities of a firm with which such member is affiliated; and
- b. investments will not be purchased from or sold to a member of the Board.

DISCLOSURE REQUIREMENTS

Disclosure Requirements for Outside Financial Advisors

External financial advisors and service providers shall comply with Texas Government Code Chapter 2263, Ethics and Disclosure Requirements for Outside Financial Advisors and Service providers.

Disclosure Requirements for Investment Officers

Pursuant to Texas Government Code Sec. 2256.005, an investment officer of an entity who has a personal business relationship with a business organization offering to engage in an investment transaction with the entity shall file a statement disclosing that personal business interest. An investment officer who is related within the second degree by affinity or consanguinity, as determined under Chapter 573, to an individual seeking to

sell an investment to the investment officer's entity shall file a statement disclosing that relationship. A statement required under this subsection must be filed with the Texas Ethics Commission and the governing body of the entity. For purposes of this subsection, an investment officer has a personal business relationship with a business organization if:

1. the investment officer owns 10 percent or more of the voting stock or shares of the business organization or owns \$5,000 or more of the fair market value of the business organization;
2. funds received by the investment officer from the business organization exceed 10 percent of the investment officer's gross income for the previous year; or
3. the investment officer has acquired from the business organization during the previous year investments with a book value of \$2,500 or more for the personal account of the investment officer.

AUDITS

The Department of Audit Services of the university shall include endowment assets as a component of its annual audit risk assessment. If the department determines that the endowment assets meet its risk assessment criteria, audit services may perform an annual audit of the endowment assets to ensure compliance with the endowment investment policy.

Cross Reference: *Tex. Educ. Code § 51.0031* ~~Texas Education Code, Section 51.0031;~~
Tex. Gov't Code §§ 573, 2256.005, 2263 ~~Texas Government Code Sec. 2256.005; 15~~
U.S.C. §§ 80a-1 – 80a-64 ~~Texas Government Code 2263~~

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Issuance and Control of Campus Keys (B-15)

Original Implementation: Unpublished

Last Revision: ~~January 30, 2007~~ January 25, 2010

The security of the university is the responsibility of several departments on campus. First, the University Police Department is responsible for the overall campus security. Second, the various department chairs are responsible for their respective areas. Third, the Physical Plant Department is responsible for providing a sound, secure area.

A vital part of this system is the lock and key system of the university. Other than during normal working hours, all campus buildings will be locked. Faculty and staff may be issued keys to university buildings upon the request of the department head responsible for the building or area of the building.

An authorized individual entering or leaving a locked building shall not permit any individual to enter who would not normally be permitted to enter the building during the hours it is locked. An authorized individual may have guests so long as the guests stay in the proximity of the faculty or staff member having the assigned key and the authorized individual assumes full responsibility for their presence.

An individual entering or leaving a locked building shall be responsible for securing the door and may be held liable for any loss or damage to university property resulting from failure to do so.

Each department head will be responsible for the issuance of keys to the employees in their area of responsibility and will be responsible for the level of security in that area. The Physical Plant will only issue keys to individuals at the written request of the department head. It will be the responsibility of the department chair of each area to maintain a record of who has been issued keys and to collect keys from departing employees.

Master keys will only be issued when a signed request is received from the department chair and if there is any question about the requests, a verbal check with the department chair will be made.

Physical Plant will make keys based on a written request but will not deliver keys through the mail. Departments may pick the keys up in plant or a locksmith will deliver the keys. The charge for making a key is \$1 if picked up in plant. An additional delivery charge will be made for keys delivered to the department.

If a key is lost or stolen, it should be immediately reported to both Physical Plant and to the University Police Department.

Additional security measures are available and the Physical Plant will work with deans and department chairs to achieve a high level of security if required.

Alarm Systems — ~~alarm systems~~ are available to departments through the University Police Department. Physical Plant is not responsible for the installation or maintenance of alarm systems.

Physical Plant is responsible for the maintenance and upkeep of doors and locks to campus buildings. However, loss of integrity of lock systems due to loss of keys or inadequate record keeping at the department level is not the responsibility of Physical Plant. Physical Plant will re-key areas at the request of the department responsible, but there will be a charge for this service.

University Police Department is responsible for locking and unlocking buildings and for determining the hours that buildings will be open. Requests for special events, schedule changes, etc. should be directed to the University Police Department.

Requests for keys are made on a "Key Request" form that must be approved by the department head for the specific area. Requests may be mailed, "walked through," or submitted via the Physical Plant webpage work order. The Lock shop is open from 7:00 a.m. to 4:00 p.m., Monday through Friday. If a locksmith is not in the shop, plant will page a locksmith to return to the shop for immediate service.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Physical Plant Department

Forms: Key Request (available from Printing Services)

Library Borrowing (A-26)

Original Implementation: February 11, 1981

Last Revision: ~~January 30, 2007~~ January 25, 2010

Persons who hold Stephen F. Austin State University identification cards or Nacogdoches Public Library cards are eligible to borrow ~~books-materials~~ from Steen Library. ~~Other~~ individuals who do not hold either a University ID or a Nacogdoches Public Library card may be issued a university library card. A unique identification number must be used and an official picture identification must be furnished, e.g., driver's license, before a library card will be issued. Loan periods vary by borrower category and status of material borrowed. ~~and are set separately by each library.~~ Borrowers ~~Patrons~~ are responsible for all materials borrowed from either library, including the payment of overdue fines, and replacement and repair costs for lost or damaged materials. Borrowing privileges are suspended at both libraries for overdue materials or unpaid charges at either library. *Individuals are limited to ninety-nine items on their borrowing record at any one time.*

Steen Library recognizes and accepts TexShare reciprocal borrowing cards from participating institutions.

~~Individuals are limited to ninety-nine items on their borrowing record at any one time.~~

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact For Revision: Library Director

Forms:

~~https://illiad.sfasu.edu/secure_forms/circ/libraryregistration.htm~~

~~https://illiad.sfasu.edu/secure_forms/circ/texsharecard.htm~~

https://forms.sfasu.edu/libweb/library_registration.html

https://forms.sfasu.edu/libweb/texas_share_card_app.html

Markers and Monuments (D-47)

Original Implementation: July 17, 2001

Last Revision: ~~January 30, 2007~~ January 25, 2010

Introduction – Stephen F. Austin State University has a large dynamic campus that is constantly in a state of change to meet the various needs of the diverse departments that make up the university as a whole. In order to not encumber future university needs, there are limitations on where and how markers and monuments may be added to the campus.

Applicability – The rules articulated in this policy apply to all students, faculty, staff and their approved organizations, as well as all other persons and groups.

I. Definitions

Markers and monuments include all types of permanent applications that are placed anywhere on campus. Non-permanent markers or monuments would be those meeting the criteria described in Policy D-31, Section IV:H concerning signs displayed for 14 days or less.

Signs that are of a permanent nature are covered by this policy. Those included are all signs to be displayed in excess of 14 days.

II. Location, Contact and Limitations

- A. Markers or monuments honoring or in memory of an individual is limited to students, faculty or staff that have passed away while in a student, ~~facility~~ *faculty* or staff status. Such monuments are limited to the memorial walk area on the south side of the Ag Pond. Markers or monuments may not be placed at any other location on campus.
- B. Monuments will be purchased by the individual or group desiring to place the monument on the walk.
- C. Installation will be by the Physical Plant Department.
- D. Physical Plant will provide maintenance at the same level as the existing wall.
- E. Markers that are broken or otherwise damaged or lost will not be the responsibility of the Physical Plant Department.
- F. Markers, monuments, including historical markers or signs, may be located at other locations on campus when it is in the best interest of the university. Such marker, monuments or signs are subject to removal or relocation when, and if, space is needed for further campus improvements.

- III. Markers placed on campus without prior written permission will be removed by the Physical Plant Department. Markers will be held for sixty (60) days prior to disposal. Notification will be provided if possible.

Requests to place a marker should be directed to the director of Physical Plant. The Physical Plant director will compare requests to campus Long Range Plan and overall campus design. Requests may be denied or recommended for an alternate location.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Meeting and Conducting Classes (A-31)

Original Implementation: June 16, 1982

Last Revision: ~~January 30, 2007~~ January 25, 2010

Faculty members shall meet their assigned classes at the times and places as officially scheduled. *When a faculty member cannot meet an assigned class, the faculty member shall notify the department so that a timely announcement can be made to the students, who are required to wait at least ten minutes after the scheduled start time before assuming the class will not meet.* Courses shall be conducted in accordance with the descriptions contained in the university's General Bulletin and Graduate Bulletin. Exceptions may be made with appropriate chair/director approval.

Cross Reference: General Bulletin, Graduate Bulletin, Faculty Handbook

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Naming Guidelines (D-22)

Original Implementation: January 23, 1971

Last Revision: ~~October 14, 2008~~ January 25, 2010

Buildings and other facilities (including laboratories and clinics) of Stephen F. Austin State University may be named by the Board of Regents for deceased persons who have made outstanding contributions to the university or its prestige. In extraordinary circumstances, particularly when a significant donation has been made to the university, the Board of Regents may name a building, or other facility, for a living person.

Listed below are minimum dollar amounts associated with fundraising necessary for naming consideration:

One of the six colleges within the university	\$5,000,000
A department or school within a college	\$2,000,000
An institute or center within a college	\$1,000,000
Any existing, unnamed building	\$1,000,000
An endowed academic chair in any discipline	\$1,000,000
An endowed distinguished professorship	\$250,000
An endowed professorship	\$125,000
An endowed full-tuition and fees scholarship	\$250,000
Minimum for any named endowed fund	\$20,000

The Board of Regents retains the latitude to create alternate naming opportunities within the discretion of the board.

Proposed names may be submitted from any source to the Office of Development for their recommendation to the president who, if he concurs shall submit such names, together with background reasons, to the Board of Regents for consideration; provided, however, that the Board of Regents may act without receiving a nomination from the Office of Development, when circumstances justify such action, and particularly when a substantial donation has been made toward the construction of the building or facility to be named. Any such nominations shall be reviewed by a committee of the board. Such review shall take place before contact with any prospective nominee. A name will not be moved from one building to another and when a building is razed, the name will no longer be used.

A plaque shall be placed on each new building. The plaque shall show the names of ~~the Board of Regents in alphabetical order, and the names of~~ those occupying the following

positions on the date of the contract award: the ~~chairman~~*officers* of the Board of Regents, *the remaining members of the Board of Regents in alphabetical order, the student regent*, the president of the university, the vice president for finance and administration, the vice president(s) for the area involved, the director of physical plant, the architect and the contractor, together with the year the contract is awarded.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Norton HPE Complex (B-20)

Original Implementation: Summer, 1975

Last Revision: ~~January 30, 2007~~ January 25, 2010

The provisions of university Policy B-1, Use of University Facilities-, govern the use of all buildings, facilities, equipment and grounds, hereinafter referred to as facilities, under the control of Stephen F. Austin State University (SFA). That policy provides that the university may establish additional procedures for the reservation and use of specific facilities; therefore, the following provisions apply to the Norton HPE complex.

- ~~—The Lucille Norton HPE Complex is a shared use facility on campus between the Kinesiology and Health Sciences Science Department, the Athletic Department, Employee Wellness, and the Campus Recreation Department. The following guidelines have been created in an effort to maximize the use of available spaces while supporting a collaborative relationship between all users of the facility. intended primarily for the use of SFASU students. The first priority use is for academic instruction, the second priority is for recreational programs, the third for other university sponsored events (varsity athletics, cheerleaders, student organizations, etc...), and fourth for summer camps with a building maintenance fee attached.~~
- ~~—University sponsored groups may apply for use of the complex in accordance with the policy on Use of University Facilities. Application for the use of the HPE Complex between 8am-3pm shall be made to the Chair of the Kinesiology and Health Science Department, and for all other times, to the Director of Campus Recreation.~~
- ~~—Outside groups may apply for use of the Complex in accordance with University regulations. Area public schools are usually granted permission to use the tennis courts and, on rare occasion, Shelton Gym, for district and/or regional playoffs. Requests other than these require administrative approval by the respective vice president(s) and/or the President of the University. All outside groups using these facilities require a signed rental contract, proof of insurance with the university listed as an additional insured, and a rental fee.~~
- ~~—The following are specific guidelines for the recreational use of the Norton HPE Complex by students, faculty, and staff.~~
- ~~—SFA I.D. card required to use facilities and/or check out equipment~~
- ~~—No charge for use of the HPE Complex and tennis courts by students, faculty, or staff members. There is no access to the complex for student/faculty/staff families.~~
- ~~—Student/faculty/staff locker fee (\$4 per semester) may be paid at the University Business Office.~~
- ~~—Full time faculty and staff participation permitted in organized intramurals.~~

1. ~~Racquetball courts available by reservation at the equipment room; individuals must reserve a court in person (with I.D.).~~

Facility Usage

A valid SFA ID card is required to use the facility during recreational programming.

There is no charge for SFA students, faculty, or staff to use the facility. The complex is not available for use by anyone other than current SFA students, faculty, staff, and members of the Employee Wellness Connection unless through a contracted rental of the facility.

Students, faculty, and staff may rent a locker in the locker room. Fees are paid through the university Business Office.

Non-SFA groups may rent the facility in accordance to university Policy B-1.

The facility may be used during emergency operations (i.e., storm shelter) when deemed necessary by the vice president for University Affairs. During such use, University Affairs staff will be responsible for facility management. Every effort will be made to minimize the impact on academic classes scheduled in the HPE Complex.

Priority of Use/Scheduling

The following spaces have been designated for priority usage by the following groups. Any entity wishing to use these spaces must request them from the designated group who is responsible for the scheduling of the facility during these times. The designated group below is responsible for supervision of the space during these times, for leaving the space clean and usable for the next group and for locking the facility at the end of their use (when appropriate).

<i>HPE Weight Room</i>	<i>12 am – 6 am</i>	<i>Campus Recreation</i>
<i>SciencesScience</i>	<i>6 am - Noon</i>	<i>Kinesiology & Health</i>
	<i>Noon – 1 pm</i>	<i>Employee Wellness</i>
	<i>1 pm – 4 pm</i>	<i>Kinesiology & Health</i>
<i>SciencesScience</i>	<i>4 pm – 12 am</i>	<i>Campus Recreation</i>
	<i>Weekends</i>	<i>Campus Recreation</i>

<i>HPE Racquetball</i>	<i>12 am – 8 am</i>	<i>Campus Recreation</i>
<i>SeiencessScience</i>	<i>8 am – Noon</i>	<i>Kinesiology & Health</i>
	<i>Noon – 1 pm</i>	<i>Employee Wellness</i>
<i>SeiencessScience</i>	<i>1 pm – 4pm</i>	<i>Kinesiology & Health</i>
	<i>4 pm – 12 am</i>	<i>Campus Recreation</i>
	<i>Weekends</i>	<i>Campus Recreation</i>
<i>HPE Indoor Pool</i>	<i>12 am – 8 am</i>	<i>Campus Recreation</i>
<i>SeiencessScience</i>	<i>8 am – Noon</i>	<i>Kinesiology & Health</i>
	<i>Noon – 1 pm</i>	<i>Employee Wellness</i>
<i>SeiencessScience</i>	<i>1 pm – 5 pm</i>	<i>Kinesiology & Health</i>
	<i>5 pm – 6:30 pm</i>	<i>Employee Wellness</i>
	<i>6:30 pm – 12 am</i>	<i>Campus Recreation</i>
	<i>Weekends</i>	<i>Campus Recreation</i>
<i>HPE Big Gym</i>	<i>12 am – 6 am</i>	<i>Campus Recreation</i>
<i>SeiencessScience</i>	<i>6 am – Noon</i>	<i>Kinesiology & Health</i>
	<i>Noon – 1 pm</i>	<i>Employee Wellness</i>
<i>SeiencessScience</i>	<i>1 pm – 5 pm</i>	<i>Kinesiology & Health</i>
	<i>5 pm – 12 am</i>	<i>Campus Recreation</i>
	<i>Weekends</i>	<i>Campus Recreation</i>
<i>HPE Gymnastics Rm</i>	<i>12 am – 6 am</i>	<i>Campus Recreation</i>
<i>SeiencessScience</i>	<i>6 am – 4 pm</i>	<i>Kinesiology & Health</i>
	<i>4 pm – 12 am</i>	<i>Campus Recreation</i>
	<i>Weekends</i>	<i>Campus Recretaion</i>
<i>HPE/Shelton</i>	<i>12 am – 12 am</i>	<i>Kinesiology & Health</i>
<i>SeiencessScience</i>		
<i>Classrooms</i>	<i>Weekends</i>	<i>Kinesiology & Health</i>
<i>SeiencessScience</i>		
<i>And Labs</i>		
<i>Shelton Gym</i>	<i>12 am – 6 am</i>	<i>Campus Recreation</i>
<i>SeiencessScience</i>	<i>6 am – 4 pm</i>	<i>Kinesiology & Health</i>
	<i>4 pm – 7 pm</i>	<i>Athletic Department</i>

	<i>7 pm – 12 am</i> <i>Weekends</i>	<i>Campus Recreation</i> <i>Campus Recreation</i>
<i>Intramural Fields</i>	<i>12 am – 8 am</i> <i>8 am – 4 pm</i>	<i>Campus Recreation</i> <i>Kinesiology and Health</i>
Sciences Science	<i>4 pm – 12 am</i> <i>Weekends</i>	<i>Campus Recreation</i> <i>Campus Recreation</i>
<i>Tennis Courts</i>	<i>12 am – 8 am</i> <i>8 am – 4 pm</i>	<i>Campus Recreation</i> <i>Kinesiology & Health</i>
Sciences Science	<i>4 pm – 7 pm</i> <i>4 pm – 12 am</i> <i>Weekends</i>	<i>Athletic Department</i> <i>(Courts #5-8 & 11-14 only)</i> <i>Campus Recreation</i> <i>Campus Recreation</i>

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Cross Reference: Use of University Facilities (B-1)

Responsible for Implementation: Provost and Vice President for Academic Affairs;
Vice President for University Affairs

Contact for Revision: Chair of the Department of Kinesiology and Health Science;
Director of Campus Recreation

Forms: None

Procurement Card (C-44)

Original Implementation: July 26, 1999

Last Revision: ~~January 29, 2008~~ January 25, 2010

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 purchasing~~, the procurement card coordinator and ~~purchasing-procurement~~ department purchasers may purchase on behalf of the university any item of any amount using a procurement 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.

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 will comply with the terms and conditions of the state contract.

Responsibilities

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 card will be issued in a tyvek sleeve additionally identified with the SFA logo and p-card reminders, for distinguishing the university p-card from other credit cards. The p-card is to be used for official university business purposes only and may not be used for ANY personal transactions. 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 ~~Oracle~~ Banner System and keeping documentation of all transactions including returns, credits and disputed charges as required in the P-Card Program Guide.

The department head or his/her designee is responsible for: 1) designating departmental cardholders; 2) determining spending limits; 3) ~~establishing~~ reviewing early encumbrance amounts for each account against which credit card charges will be made; and 4) approving monthly reconciliations of p-card cardholder statements and supporting documentation to ensure purchases are within SFA policies and procedures, and departmental budgets. Department heads are responsible for ensuring that all employees issued a card understand the departmental budget constraints under which they are to use the card.

The purchasing department is responsible for maintaining complete and accurate information regarding p-card users and associated credit limits, establishing and updating restricted Merchant Category Codes, determining compliance with university policies and procedures through periodic cardholder audits, cardholder training, monitoring p-card activity, and other duties related to p-card administration.

Card Use by Another Employee or Student

The only person authorized to use the p-card is the cardholder whose name appears on the card. The cardholder may not allow another university employee or a student to use their card unless the cardholder and department head have completed a P-Card Use form and filed it with the program coordinator in the purchasing office. Refer to the P-Card Program Guide for detailed information on allowing another employee or student to use a card, as specific rules apply.

Training and Issuing Cards

All department heads will be required to attend training and sign the Cardholder Application/Approval Form before any cards will be issued to employees within the department. All employees will be required to attend training and sign a Cardholder Agreement before being issued a card. All cardholders will be required to complete refresher training either in person or on-line with testing every 2 years. Acceptable grades and actions associated with not meeting grade requirements are outlined in the P-Card Program Guide.

Making a Purchase with the P-Card

Refer to the Procurement Card Program Guide for detailed information related to making a purchase with the p-card. The director of *procurement*~~purchasing~~, the procurement card coordinator and ~~purchasing-procurement~~ department purchasers are not subject to the Procurement Card Program Guide, but rather to university policies and procedures relating to ~~procurement-purchases~~.

Transaction Detail, Monthly Statement, Reconciliation and Approval

The transaction detail entries are required and provide an accounting and audit trail for expenditures made with the p-card. Each individual purchase must be detailed in the ~~Banner~~~~Oracle P-Card~~ System. See the Procurement Card Program Guide for detailed instructions on completing the transaction detail entries. Transaction detail entries are completed on-line through the ~~Oracle~~Banner System. *Once posted, charges can be reviewed through Banner Self-Service which is accessed through MySFA.*

Upon receipt of the monthly statement from the credit card vendor, the cardholder shall reconcile the statement with the Transaction Detail Summary and forward the reconciled statement, Transaction Detail Summary and all supporting documentation to the department head for review and signature. If the department head is the cardholder, the department head must sign as the cardholder, and another employee within the department must sign as the reviewer. The department head/reviewer is responsible to review all transactions listed on the Transaction Detail Summary to verify that all purchases are appropriate expenditures for the department and *fund/org*~~naaccount~~ charged. If the department head/reviewer questions any transaction, they should bring it to the attention of the department head or p-card coordinator, or it may be reported

anonymously through the university's fraud and ethics reporting process. Reported transactions will be audited and appropriate action taken as specified herein and in the P-Card Program Guide.

The documentation identified in the P-Card Program Guide must be kept for three (3) years plus the current fiscal year to comply with the university and State of Texas Records Retention Schedule. These are the official university records. The records for procurement card purchases will be required for periodic audits by the ~~purchasing~~ procurement office or when SFASU is audited by the Texas Procurement and Support Services Division of the State Comptroller's Office, the State Auditor, State Comptroller or Department of Audit Services.

Card Termination

Certain p-card rule violations will result in immediate deactivation or cancellation of all of a cardholder's cards. Other violations will be tracked on a points basis accumulated by cardholder. ~~Every 6 months, accumulated points~~ *Each month, points accumulated over the previous 6-month period* will be reviewed and appropriate action taken. Points will not carry over from one 6-month period to another. Note the reasons for cancellation or deactivation of cards should not be considered all inclusive. Points may be identified during any transaction review, research or audit by either the p-card coordinator or the Department of Audit Services.

Occasionally, exceptions to the p-card rules may be approved by the p-card coordinator prior to the transaction taking place. If so approved, the cardholder and p-card coordinator will have an Exception form on file with the transaction, and the card cancellation, deactivation, or points will be waived.

1. **IMMEDIATE CARD CANCELLATION WITH NO OPTION TO EVER RECEIVE ANOTHER CARD** -When there is intentional abuse or fraud of a p-card to make personal purchases, the p-card is used to secure a cash advance, or a 2nd p-card is lost or stolen within 3 years after the 1st lost or stolen card, all of the cardholder's cards will be cancelled with no option to ever receive another card.
2. **IMMEDIATE DEACTIVATION** - When a cardholder commits the following violations, all of the cardholder's cards will be deactivated for a period of 3 months: a) transaction details are not posted by the required date for 3 consecutive months or 3 months during a 6-month period; b) second offense of splitting purchases to avoid purchasing procedures; c) failure to provide documentation within the requested timeframe for a p-card audit. Cards will only be reactivated after 3 months and after the cardholder attends training at a cost of \$25.
3. **POINTS ACCUMULATION** - Points will accumulate against each cardholder when various violations are identified (see Points Schedule in the P-Card Program Guide). An accumulation of points over a 6-month period will result in the following actions:
4 points accumulated within the first 4 months of a 6-month period – will trigger a need for a full audit of 3 months worth of transactions.

6 points accumulated within a 6-month period – will cause all of cardholder's cards to be deactivated for a minimum of 3 months. Before any cards will be reactivated, the employee will be required to attend training at a cost of \$25

10 points accumulated within a 6-month period – will cause all of cardholder's cards to be cancelled for a minimum of one year. New cards will be issued only after the one-year waiting period and only upon completion of a new P-Card Application/Approval Form and attendance at training.

4. **OTHER CARD CANCELLATIONS AND ACTIONS -**

Non-Use- If the cardholder has not used the procurement card within one year, the p-card will be cancelled. To receive a new card, the cardholder will be required to submit a P-Card Application/Approval Form and attend training.

Termination of University Employment - When a cardholder terminates employment with the university, the department has specific obligation to reclaim the p-card and return it to the program coordinator prior to the employee termination date. A request may be made to the program coordinator for the card to be shredded by the department head or his/her designee. The request can be granted at the program coordinator's discretion. Failure to reclaim or dispose of cards as designated may result in the department being responsible for payment of any fraudulent charges and revocation of all department card privileges.

Verification of card return will be part of an employee's exit interview with human resources. Any fraudulent charges made by a terminated employee after the employee's termination will be reported to the University Police Department. The terminated employee will be expected to reimburse the university.

Transfer to a Different University Department - When a cardholder changes employment from one university department to another, the department has specific obligation to reclaim the p-card and return it to the program coordinator prior to the effective date of change. A request may be made to the program coordinator for the card to be shredded by the department head or his/her designee. The request can be granted at the program coordinator's discretion. Failure to reclaim or dispose of cards as designated may result in revocation of all department card privileges.

Failure to Promptly Report a Lost or Stolen Card - If a cardholder fails to make a report of a lost or stolen card immediately upon discovery, the cardholder may be required to reimburse the university for any fraudulent charges made on the card until it has been cancelled. The university will pay the charges and the employee will be required to reimburse the university. The cardholder will be subject to a minimum 3-month waiting period before a new card will be issued and will be required to attend training again at a cost of \$25.

Failure to Complete the Required Refresher Training – Any cardholder who fails to complete the required fresher training every 2 years will have all cards deactivated until the refresher training is complete. If the refresher training is not completed within 6 months of card deactivation, all cards will be cancelled, and the employee will be required to submit a P-Card Application/Approval Form and attend training before receiving new cards.

Administrative Authority - The department head or supervising dean, vice president, or president has the authority to request that the program administrator

deactivate or cancel an employee's cards at any time for any reason. Any cards so deactivated or cancelled may be reactivated or new cards issued only with approval by the position that originally requested the deactivation or cancellation. The p-card coordinator, Department of Audit Services, or general counsel's office has the authority to request that the program administrator deactivate an employee's card while transactions are being researched or investigated, or an audit is being conducted. At the conclusion of the research, investigation or audit, the cards will be reactivated and/or appropriate action taken as specified herein and in the P-Card Program Guide.

Cross Reference: P-Card Program Guide

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of ~~Purchasing and Inventory~~ *Procurement and Property Services/HUB Coordinator*

Forms: Cardholder Application/Approval Form, Cardholder Procurement Card Agreement, P-Card Use Form, Tax Exempt Letter, ~~Statement of Disputed Item~~ P-Card Dispute Form, P-Card Documentation/Problem Resolution Form, P-Card Exception Form

Property Inventory and Management (C-42)

Original Implementation: September 28, 1996

Last Revision: ~~July 21, 2009~~ January 25, 2010

Stephen F. Austin State University will comply with the State Property Accounting (SPA) policies and procedures, and SPA practitioner's standards. Property acquired under federal or state grants and contracts will be identified and maintained according to the same guidelines as the university's centralized property management and control described herein.

Stephen F. Austin State University shall be identified by SPA as an internal reporting agency.

Centralized property management and control is performed by the Procurement and Property Services Department. Property responsibility is delegated by the president of the university through the director of Procurement and Property Services to two property managers.

All references to financial responsibility are inherently understood to apply when employee negligence is involved.

PROPERTY RESPONSIBILITY AND ACCOUNTABILITY

Director of Procurement and Property Services and Property Managers - The director of Procurement and Property Services and two property managers are responsible for the overall management of university property, maintenance and control of centralized property records, and disposition of surplus and salvage property.

Department Head - The chair or administrative head of a department is designated "property manager" for the department. The department head may not delegate this responsibility. The department head may be held financially responsible for any property listed on his/her department property records.

Designee - The department head may name up to two designees to receive and submit property communications on his/her behalf. The designee(s) do not assume property responsibility or accountability in lieu of the department head. The designee(s) may not sign property documents on behalf of the department head.

Responsible Party - The responsible party is that employee who is entrusted with the care and safekeeping of specific pieces of property. The responsible party may be held financially responsible for any university property assigned to him/her. If the department

head, or his/her designee, fail to assign property to a responsible party, the department head shall be listed as the responsible party.

All University Employees - All employees will receive the Property Liability Acknowledgement Policy advising that he/she may be entrusted with university property. The Property Liability Acknowledgement (See Property Liability Policy B-34) advises the employee that he/she will be held financially responsible for any property determined to be damaged, destroyed, missing, or stolen due to employee negligence.

PROPERTY DEFINITIONS

Property is defined and will be added to property records in accordance with State Property Accounting (SPA) rules and guidelines. The property managers, in conjunction with the director of procurement, and with appropriate administrative approval may determine additional equipment to be tracked in property records. All property definitions are stated in the Property Management Manual.

Property definitions include purchased or donated property. The department is responsible to notify the property manager of any donations to determine if the property must be added to property records.

PROPERTY VALIDATION

Each department head and responsible party is to exercise care and control over the property for which he/she is responsible. Property should be monitored on a perpetual basis. Various procedures for property validation include, but are not limited to, the following:

Annual Property Inventory Audit

The property office is in the process of converting all property to RFID tags. While that conversion is on-going, once per year an Annual Property Inventory Audit will be conducted one of two ways:

1. **PHYSICAL COUNT:** The department head is responsible to assign two individuals (the department head may be one of the two) to physically count and verify by tag number and room location all items on the official property report for the department. Each piece of property listed on the official property report must be visually viewed, and the official property report checked, marked, or otherwise noted confirming existence of the property, its location and the responsible party. Property not located must be documented with an explanation as to the last known information regarding its location. Missing or Stolen Property Reports may be required.

The Property Inventory must be completed and the official property report and certification returned to the property manager by the deadline stated in the Annual Property Inventory instructions.

2. RFID SCAN: The department head is responsible to assign one individual (the department head may be this individual) to identify and open doors, cabinets, storage areas, etc. for property to be scanned by property staff. If available and at the property manager's discretion, scanners may be checked out to departments to complete scanning. After scanning is complete, the property managers will produce exception reports, which will be generated and forwarded to the department head and designee for resolution. Missing or Stolen Reports may be required. After all exceptions have been resolved an updated property list will be forwarded to the department head and designee for review and updating of responsible party names and property condition, and approval by signature and return of the Approval of Annual Property Inventory form.

Annual Property Inventory Deadlines

Departments failing to complete the Annual Property Inventory and return the official property report and certification or respond to exceptions and return the Approval of Annual Property Inventory form to the property manager by 5:00 p.m. on the deadline date will be given a 2nd deadline and will have all ordering, including P-Cards, shut down until the official property report and certification are received in the property manager's office.

Reports in campus mail will not be considered received.

Failure to submit the official property report and certification to the property manager by 5:00 p.m. of the 2nd deadline will result in department information, including, but not limited to, department name, department head and property values being reported to the Board of Regents at the next regularly scheduled meeting. Reports in campus mail will not be considered received.

Computer Inventory

In addition to the Annual Property Inventory Audit, departments must complete an annual Computer Inventory to facilitate the purchase of campus-wide software licenses and annual analysis of computers for the university Computer Replacement Plan.

Spot-Check Audit

Property spot-check audits will be conducted by property personnel in a routine fashion to allow independent verification. Spot-check audits will not be performed during annual property inventory.

Monthly Transaction Statements

Transaction statements listing all additions and deletions to each department's property records will be provided monthly to the department head and his/her designee(s).

Adjustment Of Property Records

The following property information must be updated throughout the year as changes occur. Procedures for making these changes are outlined in the Property Management Manual.

1. Department Head - procedures apply to both outgoing and incoming department heads (interim or permanent); information regarding the change must be completed within 30 days of assuming or relinquishing duties.
2. Responsible Party - procedures apply upon transfer or termination of any employee listed as a responsible party on department property records; information regarding the change must be completed within 30 days of the transfer or termination.

USE OF STATE PROPERTY

University property may be used only for state/university purposes. University property in the custody of any Stephen F. Austin State University employee may not be loaned, sold, traded, thrown away, cannibalized, or disposed of in any manner without the prior authorization of the property manager.

Removal Of Property From Campus

University property may be taken off campus only for official business of the university or another state agency. The individual taking equipment off campus assumes financial responsibility and must complete a Removal of Property from Campus form in accordance with procedures outlined in the Property Management Manual.

Property may be taken off-campus for a specific period of time, in which case property will be verified for return on the specified date.

Property may be taken off-campus for an indefinite period of time, in which case the Removal of Property from Campus form must be completed annually. Annual verification of the property will be included in the Annual Property Inventory Audit. Items containing potentially sensitive, private or confidential information are not to be stored in any leased premises unless specifically authorized in writing by the President. These items include but are not limited to computers, electronic or digital storage devices, and paper documents. Certain off-campus facilities may lack the security necessary to protect such sensitive information.

Loaning Property To Another Agency

University property may be loaned to another state agency or institution of higher education. The president must approve the loan of the property in writing and receipt of the property must be acknowledged in writing by the head of the borrowing agency.

TRAINING

Mandatory training is required for all department heads, designees, and responsible parties. No prior training will be considered in lieu of this requirement. After initial training, refresher updates are required every 2 years. The property managers will accommodate special needs and special training times as needed or desired.

SALVAGE AND SURPLUS PROPERTY

Salvage Property

Salvage property is any personal property which through use, time or accident is so depleted, worn out, damaged, consumed, or outdated that it is obsolete and/or can no longer serve the purpose for which it was originally intended. Salvage property may be discarded or retained for cannibalization of parts, but should be identified for deletion from property records with appropriate documentation and property manager approval.

Surplus Property

Surplus property is any personal property that is in excess of the needs of the department and which is not required for its foreseeable future. Surplus property may be new or used but must have additional useful life. Surplus property may be deleted from department property records as follows, with detailed procedures described in the Property Management Manual:

1. Trade-In toward the purchase of new property - trade-ins must be included in solicitations and/or negotiations prior to issuing a purchase order or contract, not added after completion of the purchase process.
2. Transferring Property to another Department - property may be transferred from one department to another by completing a Property Transfer Form (PTF). Procedures for completion and routing are in the Property Management Manual.
3. Transferring property to Surplus - property may be transferred to surplus by completing a Property Transfer form (PTF). Procedures for completion and routing are in the Property Management Manual. Property transferred to surplus is available, without cost, for transfer to any department in need of such property. Availability is on a first-come, first-served basis.

PROPERTY DISPOSAL

University property is to be disposed of as allowed and described in the Property Management Manual, with the exception that disposition of property acquired through federal or state grants and contracts must respect the terms of the grant or contract under

which it was acquired. The property manager will determine the disposal option that complies with SPA rules and guidelines and best meets the needs of the university.

All property sales, including scrap metal, are to be overseen by the property office. All funds from sale proceeds will be deposited to the ~~general fund (if originally purchased from state funds)~~ or the surplus *sales* account ~~(if originally purchased with local funds)~~, unless otherwise approved by the vice president for finance and administration. Such approval will be restricted to situations where the proceeds will be returned to an income-generating department such as the soils lab, beef farm, etc. or where the proceeds will provide an off-set to a large project purchase such as a road bus, etc.

MISSING OR STOLEN PROPERTY

Missing Property

Missing property is any personal property that has disappeared with no explanation, the loss of which must be reported IMMEDIATELY to the property manager.

A Missing or Stolen Property Report must be completed within 24 hours of reporting the missing property. As part of the report the department head must make a determination of negligence on the part of the responsible party. Failure to report missing property to the property manager IMMEDIATELY may result in a determination of negligence.

Any appropriations withheld from the university due to exceeding the allowed value threshold of missing property will be deducted from the budget of the department responsible for the property. The value threshold is based on the FY 02-03 Appropriations Bill, section 9.03.

Stolen Property

Stolen Property is any personal property that has disappeared by known theft, whether by forced removal, burglary, theft by employee, or other criminal act. Stolen property must be reported IMMEDIATELY to the property manager in conjunction with IMMEDIATELY filing a stolen report with the University Police Department.

A Missing or Stolen Property Report must be completed within 24 hours of reporting the stolen property. As part of the report the department head must make a determination of negligence on the part of the responsible party. Failure to report stolen property to the property manager and/or UPD IMMEDIATELY may result in a determination of negligence.

EMPLOYEE NEGLIGENCE

The president, director of procurement and property services, property managers, department head, or responsible party will be financially responsible for damaged, destroyed, missing or stolen property if negligence is determined.

Negligence is defined as:

1. failure to exercise reasonable care and safekeeping for university property, resulting in its disappearance or theft;
2. failure to exercise reasonable care to maintain and service property, resulting in deterioration of the property;
3. evidence that property has been damaged or destroyed as a result of an intentional wrongful act or a negligent act.

When the property manager has reasonable cause to believe that any university property has been lost, stolen, damaged, or destroyed through the negligence of an employee, an investigation will be conducted by the property manager. If the investigation confirms negligence, the following individuals/offices will be notified:

- SFA Audit Services
- State Attorney General
- Vice President for the Division
- Vice President for Finance and Administration
- Director of Procurement
- Director of ITS (computers only)

While the loss is pending with the AG's office, SFA will determine the value of the property and give the negligent employee(s) an opportunity to provide a replacement or reimbursement to the university. The Attorney General's Office may accept the action taken in the previous step and close the case or investigate and make a final determination of negligence – which may be greater or less than that determined by SFA. If the negligent employee(s) do not provide a replacement or reimbursement to the university, and negligence is determined, OR if the State Attorney General determines a greater negligence, the State Attorney General will make a written demand for reimbursement to the state.

The property manager in consultation with the department head will determine whether replacement of property or reimbursement of funds best meets the needs of the university. The property manager will determine the value of the loss to the university by considering two factors:

Value of the Property – the value of the property may be considered using any or all of the following information:

- Fully depreciated value of \$0
- Fair market value
- Original purchase value

Value to SFA – even though property may have been fully depreciated, its value to the university may be considered to the extent it was used on a regular basis. This value may

be determined in consultation with department representatives and internal Audit Services.

REPLACEMENT – If replacement is elected, the employee(s) must purchase property that is equal to or better in specification than the missing or stolen property. The department head or designee must confirm in writing that the replacement property is in the possession of the university and that it is equal or better than the original property. A copy of the specifications should be submitted along with the confirmation. Upon receipt of the confirmation and specifications, the property manager will prepare a tag to be affixed to the replacement property.

REIMBURSEMENT – If reimbursement is elected, the employee(s) must submit to the property manager payment for the property, or a copy of the deposit receipt documenting the reimbursement to the university. The property manager will file the deposit receipt with documentation supporting the reimbursement.

The department may elect to purchase replacement property that exceeds the specifications of the old. If this is preferred, pricing for specifications equivalent to the lost property should be determined, and submitted to the property manager along with a copy of the deposit receipt documenting the reimbursement by the employee(s). The department can then complete their procurement following standard procedures.

Cross Reference: Tex. Gov't Code §§ 403.271-278; Tex. Gov't Code § 2054.003(3)(A); Tex. Gov't Code § 2175.128; *Tex. Gov't Code § 2175.304*; Tex. Gov't Code § 2203.004; Property Liability Policy B-34

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Procurement and Property Services/HUB Coordinator

Forms: Annual Property Inventory Audit Certification (provided with Annual Property Inventory Packet), Change In Department Head (ITS Forms Server), Missing, Damaged or Stolen Property Report (ITS Forms Server), Police Report (available from University Police Department), Property Transfer Form (ITS Forms Server), Removal of Property from Campus Request (available on the ITS Forms Server), Salvage Property Request (ITS Forms Server)

Return to Work (E-62)

Original Implementation: January 28, 1997

Last Revision: ~~January 30, 2007~~ January 25, 2010

It is the policy of Stephen F. Austin State University to provide a return to work program as the means to return employees to meaningful, productive employment following injury or illness. To provide the highest level of quality service to the citizens of Texas, the necessity exists for every employee of the university to be available for work, ready, and capable of performing the duties and responsibilities for which the employee was hired.

The return to work program may provide opportunities for any employee of Stephen F. Austin State University who sustains a compensable injury during the course and scope of employment, a disability as defined by the Americans with Disabilities Act ~~Amendments Act of 2008~~, and/or a serious health condition as defined by the Family and Medical Leave Act, to return to work at full duty. If the employee is not physically capable of returning to full duty, the ~~return to work program~~ university may provide opportunities, when available, for the employee to perform a temporary assignment in which the employee's regular position is modified to accommodate the employee's physical capacities, or to perform duty at an alternate position.

Each case will be evaluated on an individual basis according to the limitations of each employee as documented by a physician and the job responsibilities of the position. The physician's documentation must be ~~provided~~ *submitted* on the university's Attending Doctor's Return to Work Recommendations form including a thorough assessment of the employee's specifications considering their official job description. A copy of the job description ~~must~~ *will* be provided to the physician and can be obtained from the director of Human Resources, *if requested*. Failure to provide the appropriate documentation for light or medium duty return to work conditions may be grounds, among others, for denial of light or medium duty assignments. Light duty, *if offered*, is limited to a specific time frame and may not exceed 12 weeks before being upgraded to medium work, then on to regular work. *All modified duty or restrictions onto the employee's normal job duties as described on the official job description* ~~description~~ *must be approved and accompanied by an Offer of Employment. The Offer of Employment is prepared by the safety officer and presented to the employee by the supervisor or department head.* The university will request a release from the employee for direct communication with the physician regarding those matters that directly relate to return to work assessments. The university reserves the right to properly assess and verify the employee's physical capabilities as they relate to the job.

This return to work program shall not be construed as recognition by Stephen F. Austin State University, its management, or its employees that any employee who participates in the program has a disability as defined by the Americans with Disabilities Act Amendments Act of 2008 of 1990. If an employee sustains an illness or injury that results in a disability under the ADA, it is the employee's responsibility to inform the supervisor or a person in a responsible management position that a disability under the ADA exists and that a reasonable accommodation will be necessary to perform the essential functions of the position held. Confirmation of the disability by a licensed physician or other appropriate medical provider as determined by the university is required. Such documentation may be assessed or verified by the university. Reasonable accommodations may be granted in conjunction with the physician's assessment of the employee's capabilities as it relates to the job and the needs of the university.

As each situation arises the case will be evaluated independently by the supervisor, head of department, safety officer, director of Human Resources, the physician, and other administrators as necessary. Timely contact of individuals cited in their respective areas of responsibility is required to provide the employee with prompt care and justifiable accommodations. If possible, a modified offer of employment will be proposed. The Offer of Employment form is to be used for this purpose.

Cross Reference: ~~None~~ *Family Medical Leave (E-57); Workers' Compensation Coverage (E-55); Americans with Disabilities Act of 1990, 42 U.S.C. § 12101, as amended by the ADA Amendments Act of 2008, Pub. L. No. 110-325, 122 Stat. 3553; Family and Medical Leave Act of 1993, 29 U.S.C. §§ 2601-2654*

Responsible for Implementation: Vice President for Finance and Administration

Contact For Revision: Environmental Health, Safety, and Risk Management Department

Forms: Attending Doctor's Return to Work Recommendations; Offer of Employment (available in: Environmental Health, Safety, and Risk Management Department)

Second Baccalaureate Degrees (A-73) NEW

Original Implementation: January 25, 2010

Last Revision: None

Stephen F. Austin State University (SFA) is committed to facilitating the timely completion of academic degrees by its students. The university shall, at the same time, support efforts to achieve second degrees at the bachelor level under defined circumstances.

A student may receive a second baccalaureate degree from SFA after being conferred a first baccalaureate degree. Students who received the first baccalaureate degree from SFA must reapply for admission to the university for the second degree. A minimum of 30 semester hours must be fulfilled in addition to the hours required for the first degree. All prerequisites, co-requisites, and major requirements for the second degree program must be satisfied. Up to 12 hours in transfer credit may be used to accommodate these requirements. At the discretion of the major advisor, courses completed successfully in the first bachelor's degree are applicable to the requirements for the second bachelor's degree. Students seeking a second bachelor's degree requiring a minor may use the major completed in the first bachelor's degree in lieu of a minor.

Students who hold a baccalaureate degree from another accredited institution may earn a second baccalaureate degree at SFA by meeting the following requirements:

- Complete a minimum of 30 semester hours at SFA with at least 15 hours taken in the major field at the 300 level or above.
- Meet all prerequisite and course requirements in the major field and degree requirements for the second baccalaureate degree program.
- Earn a cumulative grade point average of 2.0 or higher in coursework that applies to the degree program.
- Earn a cumulative grade point average of 2.0 or higher in all coursework at SFA that applies to the second bachelor degree.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Selection of President, General Counsel, Director of Audit Services and ~~Assistant to the Board of Regents~~Coordinator of Board Affairs (D-30)

Original Implementation: April 26, 1975

Last Revision: ~~October 12, 2009~~January 25, 2010

The Board of Regents selects the president, the general counsel, the director of audit services and the ~~assistant to the Board of Regents~~ *coordinator of board affairs* annually when the budget is passed.

Cross Reference: Board of Regents Rules and Regulations

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Skating and Skateboarding (D-32)

Original Implementation: January 24, 1989

Last Revision: ~~April 24, 2007~~ January 25, 2010

The purpose of this regulation is to establish guidelines governing the use of skateboards, rollerblades, or other types of skating apparatuses.

Definitions:

1. Skateboard – a non-motorized device where two or more wheels are attached to a platform upon ~~which~~ the rider stands.
2. Rollerblades – shoe or device that attaches to a shoe, having one or more sets of wheels.

Regulations:

1. Persons choosing to ride a skateboard or use rollerblades may do so as a means of transportation only on sidewalks while on the university campus.
2. Persons riding a skateboard or rollerblades shall keep all of the wheels on the ground while operating them as a means of transportation. At no time shall a rider perform any stunts or acts that could be deemed as stunts, or act in a way that impedes pedestrian traffic on the sidewalks.
3. The rider shall refrain from using a skateboard or rollerblades on any public street, parking garage facility, Homer Bryce Stadium, Johnson Coliseum, or in any building.
4. Persons riding a skateboard or rollerblades shall yield the right of way to all pedestrians, motorized vehicles, and bicycles.
5. Persons riding a skateboard or rollerblades shall not ride in or around any areas of construction on the university campus.
6. *Events that have been prearranged, with proper facility reservations, approval from the University Police Department, and under the direct supervision of the Campus Recreation Department, such as skateboarding club or rollerblading club practices and competitions, are not subject to these regulations.*
5. ~~The regulations above do not apply to members of a skateboarding or rollerblading club during practice or competitions on campus. These prearranged events must have facility reservations in place and must be under direct supervision from Campus Recreation staff. All facility reservations must be preapproved by both the Campus Recreation department and by University Police.~~

Any person who violates all or part of this policy may be subject to disciplinary actions through the university and an order to immediately remove the skateboard or rollerblades from the university campus.

Cross Reference: Parking and Traffic Regulations, Policy D-24, as related to bicycles

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Chief of University Police

Forms: None

Student Fiscal Appeals (C-57)

Original Implementation: January 30, 2007

Last Revision: ~~None~~ January 25, 2010

The Fiscal Appeals Panel will consider appeals involving issues related to university fiscal policy as it applies to student charges incurred on the student bill. Appeals will be considered when the student believes that extenuating circumstances in his or her life justify an exemption from the prevailing policy. Appeals must be submitted in written form and must be based on extenuating circumstances, such as (but not limited to) catastrophic illness, injury, death in the family, or call up for military service. Appeals must be filed within 60 days from the date of the charge on the student's accounts for which the student is requesting an appeal. Appeals will be considered only for the specific charge and specific term for which the appeal is requested, and will not be considered for previous or subsequent semesters.

The following may be appealed to the panel: penalty for excessive time to graduation (the 30 and 45 hour rule), extenuating circumstances culminating in withdrawal, late add fee, reinstatement fee, \$1,000 tuition rebate, and penalty for repetition of a course more than twice (3-peat). Appeals for traffic tickets and parking fines will not be considered by the Fiscal Appeals Panel.

In order to expedite the appeals process, each college shall have its own Fiscal Appeals Panel. The Fiscal Appeals Panel will include:

1. the dean of the student's college, or his/her designee;
2. the academic department chair of the student's major, or the student's academic advisor;
3. a faculty member of the student's college, designated by the dean;
4. a representative from the Business Office;
5. a representative from the Registrar's Office;
6. a representative from the Admission's Office.

If applicable and when necessary, additional panel members may include a representative from the Educator Certification Office, the Office of Financial Aid, and/or Student Disability Services.

A student wishing to appeal must first discuss the relevant fiscal policy in question with a representative from the registrar's office or the bursar's office. If the matter is not resolved, the student may file a written appeal to the registrar or the bursar for consideration by the Fiscal Appeals Panel. All pertinent information to be considered by the panel must be submitted with the appeal. ~~The decision of the Fiscal Appeals Panel is~~

~~final~~ All decisions will be made within 30 days from the date of receipt of the appeal, when feasible, but no later than 60 days from the date of receipt of the appeal.

Cross Reference: Texas Higher Education Coordinating Board Rules and Regulations, ~~Sec 13.108~~ *19 Tex. Admin. Code § 13.108*; Tuition Rebate Policy (C-50)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Transfer Credits (A-45)

Original Implementation: November 1, 1977

Last Revision: ~~July 10, 2007~~ January 25, 2010

Stephen F. Austin State University accepts transfer credit from regionally accredited institutions on a course-by-course basis as determined by the Office of Admissions. All courses are examined in terms of content, level, and credit hours awarded, and are subject to the following conditions:

- An SFA course prefix and number are awarded when the content of the transfer course is equivalent, and if the course was taught on the same level and in the same department at the transferring institution.
- General enbloc credit is assigned to a course that is transferable but is not an exact equivalent by level or by description. In this case, the credit is awarded on the same level as was attempted at the transferring institution, and the student's academic dean will determine its acceptability into degree programs.
- Most academic credit is transferable with the exception of remedial or developmental courses. Some departments may limit the number of credit hours that may be applied toward a degree.
- A maximum of 66 academic hours plus four hours of kinesiology activity from junior or community colleges may apply toward a degree, *unless an exception has been granted by the Provost/VPAA.*
- Courses transferred from a community college may be transferred only as a lower-level course and may not be considered as advanced upper-level credit.
- There is no limit for credits transferred from senior colleges. However, all students must complete a minimum of 42 semester hours including 36 hours of advanced credit at SFA in order to earn a bachelor's degree.
- Course work earned from educational experience obtained in the armed forces is accepted in transfer on a limited basis. The "Guide to the Evaluation of Educational Experience in the Armed Services" is used by the Office of Admissions for evaluating military credit. Military transcripts such as the AARTS, SMART, and Community College of the Air Force are used in the evaluation review process.
- Credit for vocational/technical courses, experiential learning and professional certification programs can only be used in the Bachelor of Applied Arts and Sciences degree program. Individuals wanting additional information should contact the dean's office of the College of Liberal and Applied Arts.

Students may repeat courses taken at Stephen F. Austin State University at other accredited institutions. Transfer hours will, however, be governed by the following rules:

1. The grades earned at SFA will remain on the transcript;
2. The hours attempted at SFA will not be changed as a result of course work completed elsewhere;
3. Transfer credit for a course originally taken at SFA has no effect on the grade point average for work attempted at SFA;
4. Transfer hours of repeated work may be used to satisfy degree requirements other than those related to grade point average.

The Texas Higher Education Coordinating Board policies and procedures will be followed regarding transfer of core curriculum courses, fields of study courses, and to resolve any transfer credit dispute.

Cross Reference: General Bulletin

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Travel (C-49)

Original Implementation: October 31, 2000

Last Revision: ~~January 27, 2009~~ January 25, 2010

Applicability

Unless otherwise stated, this policy applies to employees and prospective employees traveling in a university capacity except members of the Board of Regents and the president, who are exempt, and intercollegiate athletics. All policies, rules, and regulations related to travel on behalf of, or in connection with, intercollegiate athletics are included in the current issue of the Intercollegiate Athletics Policy Manual.

The travel regulations contained in this policy apply to all university funds. The reimbursement limits established by this policy may be exceeded only if funds are available in, and the additional costs are charged to, a discretionary account controlled by the budget manager authorizing the additional expenditure. For this policy, discretionary funds shall be defined as specified accounts established for the sole purpose of discretionary use. Expenses paid above the allowable limits will be reported annually to administration as excess travel expenditures

Employees traveling under contracts and grants (federal, state, local, or private) shall be reimbursed for travel expenses and allowances on the same basis as other university employees, except in those instances where the terms of the contract or grant specify travel guidelines and reimbursement rates which differ from university reimbursement rates.

General Travel Regulations

Generally, the ~~State of Texas Comptroller of Public Accounts Travel Allowance Guide (the Guide)~~ is the authoritative document source regarding travel rules and regulations. ~~Their travel requirements are~~ Guide is located in the controller's office and online at the travel website. In case of conflict between ~~their guidelines~~ Guide and this policy, this policy takes precedence.

The university shall make every effort to ensure that travel expenses paid and/or reimbursed are reasonable and the most cost-effective considering all relevant circumstances.

A state employee is responsible for ensuring that his or her travel complies with applicable state law, ~~the Guide~~, and SFA's Travel Policy. Failure to comply will result in

reimbursement delays or rejection of the employee's travel voucher. Fraudulent travel claims will be grounds for disciplinary action.

Employees and others traveling on behalf of the university are reimbursed for actual lodging expenses and on a per diem basis for meals, subject to the provisions of this policy. In the case of employees traveling together, each must pay and claim reimbursement for his own expenses (except taxi or limousine expenses - see Incidental Expenses section of this policy). No expenses can be reimbursed to the traveler until the trip has been completed and a properly documented travel voucher is submitted, except prepaid airfare. (See Airline Ticket Purchase section below.)

Tips and gratuities are not reimbursable.

The applicable account manager may limit or prohibit reimbursement of any travel expenditure provided the traveler is notified in advance.

Travel Request

Except as stated in the Applicability section of this policy, anyone traveling on university business must obtain permission in advance of the trip. Travel Requests must be submitted online according to the instructions available on the travel website. All estimated expenses of the trip are to be reflected on the Travel Request regardless of how they are to be paid (i.e. registration paid by voucher or p-card). A Travel Request must be submitted and approved at all applicable levels even if no travel expenses are anticipated.

The online Travel Request can be approved only when account balances are sufficient to cover the total estimated cost of the trip. Whenever possible the Travel Request should be entered and approved at least seven (7) working days prior to departure.

NOTE: Expenses cannot be reimbursed from an account not listed on the approved request.

Travel to Washington, DC

An employee traveling to Washington, DC to confer on legislative or appropriations issues shall inform the Texas Office of State-Federal Relations about the timing and purpose of the trip, and provide the office with the name of a person who may be contacted for additional information about the trip. A completed form, Report of State Agency Travel to Washington, DC (available on-line at the travel website) will meet this requirement when submitted prior to the trip.

Foreign Travel

Official university business travel to any foreign country other than Canada or Mexico requires advance written approval from the president of the university. To be considered for approval, foreign travel must be directly related to the university's mission and must require a duty that cannot be performed without the travel.

A completed online Travel Request must be approved at all the appropriate administrative levels in sufficient time to be reviewed and approved by the president prior to the date of departure.

Charge Card for Travel Expenses

An individual corporate charge card is available for eligible employees. To be eligible to apply, the employee must take, or expect to take, three (3) or more business trips per fiscal year, or expend at least \$500 per fiscal year for official state business. An employee is not required to apply for or accept a state-issued charge card.

The state-issued individual corporate charge card is to be used for business-related charges only while traveling on official state business. Use of the card for personal business is considered a violation of state policy and the employee may be subject to disciplinary action. The individual whose name appears on the card is solely responsible for payment of the account. If the card is suspended or cancelled for misuse or nonpayment, the employee will be ineligible for travel advances from the university.

If the application is approved by the credit card company, the employee agrees to be bound by the card member agreement which will be sent with each card. Additionally, the employee agrees to be bound by the state policies governing the use of the card. Applications and further information concerning this program are available in the controller's office or online at the travel website. The employee, the employee's supervisor, and the travel manager in the controller's office must sign the application.

Advance Travel Funds

Advance travel funds are available for employees who wish to obtain money in advance of the trip and who are ineligible to apply for the individual corporate charge card. Employees eligible to apply for the corporate credit card are not eligible for advances; however, any employee may request advance travel funds when taking student groups. Advance travel funds may be requested by entering an online Travel Request (see online instructions for complete details). The minimum amount of advance funds that can be obtained is \$100. The maximum amount of advance funds that can be obtained is 50 percent of the traveler's anticipated out-of-pocket expenditures. Exceptions to this 50 percent limit will be made for road bus drivers. Other exceptions must be approved by the appropriate vice president or the president.

To receive advance travel funds, the Travel Request with *"Advance"* in the *comments field type AT* should be entered and approved at least seven (7) working days prior to departure. An advance will not be issued unless the Travel Request has been approved. Generally, the requested funds will be available at the university business office at least one working day prior to departure. Advance travel funds will be issued by a check made payable to the individual requesting the funds. As a condition of receiving advance travel funds, the employee agrees to refund any excess (amount advanced less documented eligible expenditures on the Travel Voucher) within 15 days from the ending date of the trip. An employee receiving advance travel funds will be ineligible for future travel advances until the outstanding Travel Voucher is submitted. An employee who receives an advance and does not travel must immediately return the advance funds. Abuse of the travel advance privilege will result in ineligibility for future advances and the employee may be subject to disciplinary action.

An advance travel check will only be issued prior to the trip. No advancement is authorized if the trip has already commenced. The traveler should submit a Travel Voucher for reimbursement subsequent to the trip.

Travel Voucher (Travel Expense Documentation and Reimbursement)

In order to receive reimbursement, travel expenditures must be documented on the Travel Voucher approved by the Travel Office (available online at the travel website) and signed by the traveler. If the voucher exceeds the original request by more than \$50, a revised Travel Request must be approved at all applicable levels. The Travel Voucher must reflect the total reimbursable expenses paid by the employee, regardless of whether advance travel funds were received. Expenses paid by the university should not be on the Travel Voucher. Original receipts are required for most travel expenses (see applicable section of this policy for specific details), except meals. In the case of meal expenses for group travel, the sponsor/advisor must provide documentation of how the funds were expended. See Student and Other Group Travel, below.

The Travel Voucher should be submitted, with original receipts attached, to the controller's office within 15 days from the ending date of the trip. No reimbursements will be made and all prior year encumbrances will be cancelled 15 days after the end of the fiscal year.

Conference, workshop, or meeting agendas are required to be attached to the travel voucher. The registration fees paid often include the cost of certain meals provided during the event. An employee cannot claim per diem for the meals that are included in the cost of the conference.

~~The Guide provides comprehensive information on travel procedures and the proper classification of travel-related expenditures. A current copy of the Guide is available online at the travel website.~~

Foreign Currency Conversion

All amounts listed on the Travel Voucher must be converted to U.S. dollars using the rate applicable on the date of the expenditure. A foreign currency conversion table is available online at the travel website. Documentation of the conversion calculation must be attached to the Travel Voucher. Receipts are required for all reimbursed expenses. In lieu of providing receipts and foreign currency conversions for foreign meals, travelers may elect to be reimbursed at in-state per diem rates.

Reimbursement Rates - Lodging

Reimbursement may not exceed the amount of lodging expenses actually incurred at a commercial lodging establishment, subject to maximum allowances stated below. The original itemized lodging receipt, attached to the Travel Voucher, is required.

~~The State Travel Management Program of the Texas Building and Procurement and Support Services (TPASS) Commission has contracted with several commercial lodging establishments for special rates. The contracted vendors and rates are listed in the Texas State Travel Directory on the Texas Comptroller of Public Accounts which is available online at the travel website. Employees are encouraged to utilize the contracted vendors when possible.~~

Travel Tip: The governmental rate for lodging is usually less than the conference rate. Employees should check the governmental rate first. Since there is often a limited number of rooms available at the governmental rate, employees should make hotel reservations far in advance of the travel dates.

In-State

Travelers may be reimbursed for the actual cost of lodging, not to exceed the *travel rates published by the Comptroller of Public Accounts. Generally, the rates listed refer to amounts designated in the Guide* *federal Domestic Per Diem Rates published by the U.S. General Services Administration (GSA). However, if a specific area is not listed, the Comptroller's* ~~their~~ *published rate will apply.* The president may, at his discretion, establish a lower rate. Travelers will be notified in advance of the effective date of any rate change.

Hotel taxes are not included in maximum lodging reimbursement rates. Local taxes on the allowable lodging cost will be reimbursed and should be recorded as lodging tax on the travel voucher. State tax on in-state lodging will not be reimbursed to State employees. Instead, State employees must submit a completed Texas Hotel Occupancy Tax Exemption Certificate (available online at the travel website) to commercial lodging establishments at check-in. Employees should also be prepared to show proof of State employment.

Out-of-State

The Texas State Comptroller provides the maximum reimbursement rates for out-of-state lodging. A list of the rates, which is updated from time to time, is available online at the travel website. Within the continental United States, lodging reimbursement is limited to the locality-based allowance as stated on the *Domestic Maximum Per Diem Rates* list published by the GSA. For cities and counties not included on the list, the allowance is the Continental US (CONUS) rate established for lodging in that state. Since employees are not exempt from any tax for out-of-state or international travel, they may be reimbursed for hotel occupancy taxes paid on the allowable lodging costs. Travelers to Alaska, Hawaii, or a foreign country may be reimbursed for actual, reasonable costs.

If the actual cost of lodging exceeds a locality's lodging allowance, an employee may reduce the maximum meal *and incidental expenses (MIE)* reimbursement rate for that locality and use the reduction to increase the lodging reimbursement rate for that locality. No such adjustment can be made to increase the maximum meal reimbursement rate.

Shared Lodging

When two or more employees share lodging, each employee must pay and claim his prorated share of the cost. The university will reimburse each employee his share of the lodging expense, not to exceed the applicable maximum lodging reimbursement rate. A list of names of those sharing the same room must be attached to each Travel Voucher.

If only one of the individuals sharing lodging is an employee, then the amount that the employee may be reimbursed for lodging expenses is the lesser of the single occupancy room rate or the maximum lodging reimbursement rate.

Reimbursement Rates - Meals

This section of the Travel policy is inapplicable to Road Bus Drivers. Normally, Road Bus Drivers are not reimbursed for meals. Any reimbursement of meal expenditures for Road Bus Drivers is subject to the discretion and approval of the director of the physical plant.

Meals are eligible for reimbursement if travel includes an overnight stay. The following table sets the per diem rate of reimbursement:

	IN-STATE	OUT-OF-STATE**
	With Overnight Stay	With Overnight Stay
Breakfast	\$6.50	17% of locality-based allowance
Lunch	\$11.50	33% of locality-based allowance
Dinner	\$18.00	50% of locality-based allowance
TOTAL	\$36.00	

* Within the continental United States, meal *and incidental expenses (MIE)* reimbursement is limited to *the federal Domestic Per Diem rates* ~~the locality-based allowance (list available online at the travel website)~~ provided by the ~~Texas State Comptroller~~ GSA. For cities and counties not included on the list, the allowance is the CONUS rate established in that state for meals *and incidental expenses*. *Per the GSA's website, incidental expenses include tips and transportation between places of lodging or business and places where meals are taken. When using the MIE rate, these costs will not be separately reimbursed.* Travelers to Alaska, Hawaii, or a foreign country may be reimbursed for actual, reasonable costs.

Meal per diems for initial day of travel and final day of travel will be based on the following schedule according to departure and arrival times.

Initial day of travel:

Breakfast – must depart no later than 6:00 AM

Lunch – must depart no later than 11:30 AM

Dinner – must depart no later than 6:00 PM

Final day of travel:

Breakfast – must return after 8:00 AM

Lunch – must return after 1:30 PM

Dinner – must return after 8:00 PM

No per diem meal reimbursement is allowed for trips not including an overnight stay.

The daily reimbursement rate for meals *and incidental expenses* is established by State and Federal government regulation and is subject to change. -The president, at his discretion, may establish a lower rate. Travelers will be notified in advance of the effective date of any rate change.

Some registration fees include meals. In this case, the registration fee is fully reimbursable but the employee must not claim per diem for the included meal, according to the applicable rates above.

Meals purchased for the traveler by another person or entity are not reimbursable. In this instance, the employee must not claim per diem for that meal, according to the applicable rates above.

In the case of employees traveling together, each must pay and claim his own expenses.

Receipts are not required for meal expenses except for group and foreign travel. (Refer to the Student and Group Travel section of this policy.)

Travel To/From the Duty Point; Travel Before/After Conducting Official Business

Subject to the other provisions of this policy, meals and lodging expenses may be reimbursed for travel expenses to/from the duty point and prior to/after conducting official business. This is only as necessary, and generally limited to no more than one day before/after the business event, unless it is financially beneficial to the university (e.g., when discounted airfare requires Saturday night stay and the additional expenses incurred (hotel/meals/transportation) would not exceed the airfare savings). In these instances, the total net savings must be documented and attached to the Travel Voucher.

Reimbursement Rates - Mileage

The number of reimbursable miles traveled by an employee may not exceed the number of miles of the most cost-effective route. The shortest route between points, including the use of all farm-to-market roads, is presumed to be the most cost-effective route *between two duty points*. ~~The Google Maps Texas Mileage Guide (the Mileage Guide)~~ (available online at the travel website) calculates the mileage between two locations. When both locations are in the ~~Mileage Guide~~ Google Maps database, the employee may be reimbursed for the number of miles calculated by the ~~Mileage Guide~~ Google Maps website. *A copy of the Google Map mileage calculation must be included with the Travel Voucher.* When one or both locations are not in the Google Maps ~~Mileage Guide~~ database, the number of reimbursable miles is calculated by the employee's odometer. Mileage determined by use of the employee's odometer must be itemized on a point-to-point basis on the Travel Voucher. Any vicinity mileage at the destination location must also be itemized separately on a point-to-point basis. For the purposes of this paragraph, "point" means a building, house, highway intersection, or other similarly localized spot. A Point-to-Point Odometer Log is available in the forms section of the travel website if needed.

The maximum reimbursement rate for use of an employee's personal vehicle is established by state and federal regulation, and is subject to change. The president, at his discretion, may establish a lower rate. Travelers will be notified in advance of the effective date of any rate change.

Four-Per-Car-Rule

Coordination of travel must occur when two, three, or four employees travel on the same dates with the same itinerary to conduct the same official State business. When coordination of travel is required, only one employee may be reimbursed for mileage.

Reimbursement Rates - When Representing the University President

If the president is unable to attend a meeting or conference, the president may designate, on an individual trip basis, one employee as a representative to travel. Under this provision, the employee is reimbursed for actual expenses, not to exceed twice the maximum allowance rates for lodging and meals specified by this policy. The Travel Voucher must be accompanied by the original designating document from the president. Receipts are required as specified in this policy, and the employee may only claim his own expenses.

Registration Fees

The registration fee for attendance at a professional meeting is reimbursable if the fee was approved on the Travel Request. Following the trip the employee will be reimbursed for out-of-pocket costs for registration fees (not paid as a direct pay or with a p-card) when submitted on the Travel Voucher with the original receipt.

Attendance at in-town conferences does not require a Travel Request. Employees may be reimbursed for in-town registration fees by submitting an online Purchase Requisition ~~type RE~~ and sending the original receipt to accounts payable. The description should indicate that the conference was in Nacogdoches.

Some registration fees include meals. In this case, the registration fee is fully reimbursable but no additional amount can be claimed for the included meals.

Prepayment of Registration Fees by University

When requested, the university will prepay the registration fee for official business conferences and seminars. If the meeting is held out-of-town, the employee must first obtain approval to travel by submitting a Travel Request showing the registration fee as a part of the estimated cost of the trip. Additionally, the completed registration form with

the travel request number written on it must be submitted to the controller's office well in advance of the payment due date. Registration fees may not be paid more than six (6) weeks in advance of the seminar or conference unless the cost savings is considerable to the university (such as early-bird discounts) or if there is a limited capacity for attendance. Advance payment is allowed only when the voucher is payable to the organization sponsoring the conference.

The state-issued Procurement Card may also be used to prepay registration fees after a Travel Request has been approved.

Airline Ticket Purchases

Any airline ticket expense, whether to be prepaid or reimbursed, must be listed on the approved Travel Request.

The State Travel Management Program of the Texas ~~Building and Procurement and Support Service Commission~~ has contracted with several airlines to provide special airfare rates for certain flights. A listing of the flights and rates is available online at the travel website.

Employees are encouraged to make flight reservations at discounted fares. Often this requires that the ticket be purchased well in advance of the travel date. Upon approval of the Travel Request, employees may make the airfare purchase personally or have it charged to the university, using the following procedures:

After a Travel Request has been approved, an employee may personally pay for an airline ticket and receive funds from the Cash Advance Account by submitting an original receipt to the travel office. These funds will be treated as a cash advance requiring submission of a properly completed Travel Voucher within fifteen (15) days after the end of the trip, but will not be subject to the 50% limit. An employee wishing to charge an airline ticket directly to the university must submit an Airfare Billing Form (available from University Printing Services) to the Controller's Office. After approval, the employee must present the signed form to a local participating travel agency (list available online at the travel website). The travel agency will book the flight and charge the expense to the university rather than to the employee.

If it is necessary to change an airline ticket, the traveler may be reimbursed for the additional fee only if there is a valid reason for the change as outlined by TPASS. The reason must be documented in writing, and approved by the account manager. If the total cost of the trip, including the additional fee, exceeds the original approved request, a revised request must be submitted and approved at all levels.

A traveler will not be reimbursed for a second ticket to or from the same destination.

The university cannot reimburse an employee for the cost of air transportation by a non-commercial transportation company.

Use of Non-University Owned Vehicle While on Official Business

An employee operating a personal vehicle must carry insurance as required by State law. An employee operating any non-university owned vehicle, including his own personal vehicle or a personally rented vehicle, does so at his own risk. The university accepts no responsibility for vehicle or other damage, personal injury, claims filing, vehicle repair, maintenance, insurance costs, towing or citations.

Motor Vehicle Rentals

If approved on the Travel Request, most expenses of renting a motor vehicle are reimbursable. The daily rate, applicable taxes, and other mandatory charges are reimbursable. An additional driver charge is reimbursable if it is incurred for an official State business reason. Also, collision damage waiver and loss damage waiver expenses are reimbursable if they are not already included in the contracted rate (see next paragraph). The following expenses are not reimbursable: liability insurance supplement; personal accident insurance; safe trip insurance; personal effects insurance.

The State Travel Management Program ~~of the Building and Procurement Commission~~ has contracted with several vehicle rental agencies to provide special rental rates. Most rates include unlimited free mileage, free loss damage waiver, and free primary liability coverage. University employees traveling on official State business are encouraged to use these contracted rates when possible. A listing of the agencies and rates is available online at the travel website with detailed instructions for making your reservation at the state contracted rate.

A detailed receipt from the motor vehicle rental company, attached to the Travel Voucher, is required for reimbursement of motor vehicle rental expenses.

Incidental Expenses

Expenses for ground transportation *to and from the airport* such as taxi, limousine, subway, bus and other modes of mass transit are reimbursable, subject to the provisions of this section. *(Travel to and from restaurants at the destination are not reimbursed since the MIE rate includes these expenses.)* All expenses must be listed on the approved Travel Request and Travel Voucher. Limousine expenses are reimbursable if it was the least costly transportation available considering all relevant circumstances. If two or more

State employees share a taxi or limousine, it is allowable for one employee to pay and be reimbursed for that full expense. Other official business expenses (e.g., parking, telephone calls, and copy services) are also reimbursable.

Receipts are requested, but not required, for reimbursement of these incidental expenses. If receipts are not provided, an explanation of the reimbursable expenses must be detailed on the Travel Voucher (including type of expense, date, amount and location).

The following are not reimbursable: expenses of a personal nature; expenses that would be incurred by the employee regardless of official State business travel; tips and gratuities.

Student and Other Group Travel

Employees traveling together are not considered group travel. Each employee must pay and claim his own expenses.

When a non-employee group, such as a student group, travels together, it may be more convenient for one person to pay and claim expenses of the entire group. In this case, the person paying the expenses will be responsible for submitting the Travel Request and the Travel Voucher. Receipts are required for all expenses of group travel, including meals. The students may be given funds for their meals by signing individually on a list of names (*including their campus ID*) -of all travelers that they have received a certain sum of money for their meals (not to exceed university per diem rates per day). If the sponsor pays for meals, the itemized receipts must be attached to the Travel Voucher in order to be reimbursed. Additionally, the signed list of all travelers' *names and campus IDs* must be included on the Travel Request and attached to the Travel Voucher.

If the group sponsor/advisor is an employee, he may request advance travel funds (not subject to the 50% limit) to pay expenses for the group (refer to the Advance Travel Funds section of this policy for procedures). The sponsor/advisor will be solely responsible for claiming reimbursement on the Travel Voucher, and for repayment of the advance travel funds. Refer to the Group Travel Guidelines available online at the travel website.

No Educational and General Funds (~~account numbers 1-XXXXX~~ fund 10755x or 12xxxx or 13xxxx funds) may be used to pay or reimburse travel expenses for students. All other provisions of this policy apply to student travel.

Prospective Employees

All provisions of this policy apply to prospective employees. Additional methods of payment are available to pay expenses incurred during the interview process and are listed on the Travel Request-Prospective Employee form (available online at the travel website).

Non-Reimbursed Travel

A travel request is required for any out-of-town university-related travel even if travel expenses are not reimbursed. Examples include travel:

- for which university funds are not approved;
- for which the traveler does not request or expect reimbursement; or
- which has been paid by another source.

In any event of absence from class, the instructor is not to dismiss class but is to arrange for an appropriate replacement. Moreover, only in extraordinary situations will travel be approved that will result in the instructor missing the same class more than twice in succession. Faculty members requesting to leave campus for travel that is not university-related should notify their department chair and dean; if the absence will be for a day or longer, faculty should file a leave of absence request but do not need to file a travel request.

Cross Reference: Intercollegiate Athletics Policy Manual; ~~State of Texas Travel Allowance Guide~~; Texas State Travel *Management Program* ~~Directory~~; Internal Revenue Service, Publication 463; ~~Texas Comptroller of Public Accounts Mileage Guide~~

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: Travel Request, Travel Voucher, Texas Hotel Occupancy Tax Exemption Certificate, Point-to-Point Odometer Log, Purchase Voucher, Report of State Agency Travel to Washington, DC, Corporate Travel Charge Card Application, and Travel Request-Prospective Employee (all available online at the travel website); Airfare Billing Form (available from University Printing Services)

Use of University Facilities (B-1)

Original Implementation: April 11, 1980

Last Revision: ~~January 30, 2007~~ January 25, 2010

All Stephen F. Austin State University buildings, facilities, equipment, and grounds shall be used only in the pursuit of the stated objectives of the university -- academic, cultural, and public service. Groups not affiliated with the university may be granted use of university facilities according to the general policies provided herein and an agreement to adhere to the specific rules and procedures governing the use of the individual facilities.

It is the responsibility of the user to become acquainted with and abide by these specific rules.

Definitions:

1. "Student" means a person who is currently enrolled for academic instruction or research at the university.
2. "Campus" shall mean all real property over which the university has possession and control by law.
3. "University group" shall mean a registered student organization, other student group, or faculty and staff group. No group shall be considered a university group if it includes a person who is not a student, faculty member, or employee of the university unless that person is a member of the immediate family of a student, faculty member, or employee of the university.
4. "Outside group" shall mean any organization or group that is not included within the term "university group."
5. "Sponsoring organization" shall mean a university group that vouches for an outside group's use of university facility.
6. "University official" means a person charged with the responsibility for supervising the use of a university facility.
7. "University agency" shall mean an academic school, department, or program, or a university council, committee or auxiliary enterprise.

Priorities and Limitations for Use of University Facilities

1. Mission of the University

Nothing contained in this policy shall be construed to prohibit or hinder operation of the university in fulfilling its mission as a public institution of higher education. All activities associated with that mission shall have priority in the use of the university's facilities.

2. Individuals

Individuals engaged in the educational mission of the university shall have the right to use the university's facilities in accordance with federal, state, and local laws, as well as the rules and regulations of the university.

As a general rule, priority for the use of the university's facilities shall go first to the students and second to the faculty and staff. However, exceptions to this rule may be made in certain instances by the university administration.

Immediate family members of students, faculty, and staff may be granted limited use of university facilities through established programs designed to promote the enrichment of campus life and to enhance the living-learning environment of the university.

3. Groups

- a. Only organized groups (no individuals) sponsored by a university agency conducting an activity that is within its established role and scope may be allowed the use of university facilities.
- b. However, outside groups without a sponsor may be permitted to use the facilities of the student center, subject to all other appropriate guidelines contained in this policy.

Reservations

1. Application

- a. Application for use of university facilities by university agencies shall be made to the appropriate university official as follows:

Facility	Appropriate University Official
Academic classroom, auditorium, office space and off-campus facilities	Dean of school having jurisdiction over that space
Student Center	Director, Student Center
Residence Halls	Director, <i>Residence Life</i> Housing
Library Carrels and Seminar Rooms	Director, University Libraries
Johnson Coliseum and Homer Bryce Stadium	Coordinator of Athletic Operations
Health and Physical Education	Chairman, Department of Kinesiology

Complex	(events between 8am-43pm Mon-Fri)
	Director, Campus Recreation (all other times)
Student Recreation Center and Tennis Courts	Director, Campus Recreation
<i>Intramural Fields and Other</i> Outside Recreational Areas	Director, Campus Recreation
Other Outside Areas of the Campus	Dean, Student Affairs

- b. Application for use of university facilities by outside groups shall be made to the vice president for Finance and Administration, except for the coliseum, stadium, student recreation center, and student center, which shall be made to the individual indicated above.
2. Additional Procedure

In addition to this policy, the university may establish procedures for reservation and use of each university facility. The university official responsible for each facility may be contacted regarding the policies for that facility.

3. Identification of Sponsor

The user may not assign or delegate any control or responsibility to any other user or co-sponsor, agent, or third party without prior written approval of the appropriate university official. All users or co-sponsors of an event must be clearly identified prior to confirmation of a reservation. Reservations for presenting one event may not be used for presenting a different event without written approval by the appropriate university official.

4. Assignment of Reservations

No reservation may be assigned in whole or in part. The current fee schedule will be available from the appropriate university official. Fees for outside groups are established at rates which will, at a minimum, ensure recovery of that part of the operating cost of the facility that is attributable directly or indirectly to such use by an outside group.

5. Deposit

An advance deposit (specified in the fee schedule) may be required for reservations for an event conducted by an outside group.

6. Bond and insurance

Outside groups who use a university facility may be required to provide a contract performance bond. They may be required to provide liability insurance covering injury to persons, including those resulting in death, and property damage insurance, including damage to the university facility, in amounts and under policies satisfactory to the vice president for Finance and Administration. Copies of such policies shall be furnished to the vice president for Finance and Administration no later than thirty (30) days prior to the event and in all cases prior to announcement of the event.

Financial Policies

1. University agency/groups

Excess income over expenses, including the fee for use of the facility derived from an event sponsored by a university agency/group, may be retained by the university agency/group to further its activities and programs. Excess expenses over income of an event shall be absorbed by the sponsoring university agency/group. Additional cost of maintenance, including standbys, custodial and utilities will be considered an expense of the event.

2. Outside group

If an outside group (other than a public entity or summer camps) using a university facility charges those attending an event any admission or registration fee, or accepts donations from those in attendance, a complete accounting of all funds collected and of the actual cost of the event shall be submitted to the vice president for Finance and Administration within (30) days after the event. If the funds collected exceed the actual cost of the event, the user is required to remit such excess funds to Stephen F. Austin State University as an additional charge for use of the facility. The university reserves the right to audit all records pertaining to income and expenses, to prescribe methods of collection, and to participate in audits of funds at the point of receipt. Additional cost of maintenance, including standbys, custodial and utilities will be considered an expense of the event.

3. Payment for damages

All users and sponsors shall be responsible for payment for damages to the university facility, its fixtures, and equipment, whether caused by the user or its patrons, ordinary wear and tear excepted.

4. Broadcast and recording rights

The university reserves all rights and privileges for radio and television broadcasts, whether live or transcribed for delayed transmission, and all visual or audio recordings originating from the university facility. Should the university grant to the user such privilege, the university has the right to require advance payment of any estimated related costs to the university, such as installation of equipment. Such permission must be granted in writing by the university president in advance of broadcast or recording.

Policies for Outside Users

Any proposed use of the university facility must be appropriate and suited to the size, structure, purpose and operating costs of the facility. For outside groups, there must be good reason to expect that a proposed event will require features unique to the facility or which are otherwise unavailable in the community. All proposed events must be conducted in accord with applicable state and federal laws and regulations, as well as the rules, regulations and policies of the university Board of Regents. Users must demonstrate to the satisfaction of the appropriate university official that they have the staff, experience, contracting authority, financial status and other qualifications necessary for carrying out the proposed events in a satisfactory manner.

1. Review of contracts

All contracts related to the presentation of an event, including contracts between user and performers, speakers, sub-contractors, managers, and others, are subject to review and approval by the general counsel and the appropriate vice president.

2. Hazards

If the university, in its sole discretion, determines that a proposed event poses a potential hazard to public safety, the event may be canceled or denied. No user may install or operate any equipment, fixture or device, nor operate or permit to be operated any engine, motor or other machinery, or use gas, electricity or flammable substances in the facility except with prior written approval of the appropriate university official, under such conditions and restrictions as the university official may specify. All electrical connections must be made by university personnel under direction of the staff of the appropriate university official and all house equipment must be operated by university personnel. No equipment, device or fixture may be used which, in the opinion of the university official, endangers the structural integrity of the facility.

3. Conflict with University activities

An event shall not be permitted for any purpose which, although in accord with the general purposes of the university, is of such character or occurs at such circumstances that they are likely to interfere or cause major conflict with any university activity, program or event, or are inimical to the interests of the university.

4. Management functions

Management functions are retained by the university and may be delegated to users or others only with the written permission of the appropriate vice president. The functions include, but are not limited to, the following:

All facets of ticketing and ticket policies, including scaling, acquisition, distribution, and sale.

All matters of staffing, crowd control, technical arrangements, promotions, and advertising.

5. Concessions and catering

Use of the university facility does not carry the right for the user to control concessions. Sale and distribution of food, beverages, souvenirs, or other concession items are reserved to the university or its concessionaires.

6. Signs and displays

No signs, messages or other materials may be posted, displayed, distributed or announced in, on or adjacent to, the university facility by user or sponsor without prior written approval of the university official. Such materials may not be fastened to any part of the facility except in spaces provided for this purpose and may not be permitted to interfere with crowd movement and safety.

7. Religious organizations

A religious organization applying for use of a facility must submit written evidence to the appropriate university official from the Internal Revenue Service that organization has been granted an exemption from taxation under Section 501(c)(3) of Title 26 of the United States code (Internal Revenue Code), and shall be permitted to use the facility no more than one (1) time during a calendar year.

8. Political organizations

A political organization applying for use of the facility must present written evidence to the appropriate university official that the organization had candidates for either national, state, district or local offices listed on the ballot at the last general election, and shall be permitted to use the facility no more than one (1) time during a calendar year.

9. Individual candidates for political office

Individual political candidates and their election organizations are not permitted to reserve a university facility. However, if a candidate is invited by a university group, then he or she may appear in the facility, provided that the group extending the invitation is responsible for reserving the facility and meeting all costs related to the event.

10. Advertising

All news releases, handbills, advertisements, television and radio announcements or other media utilized to inform the public of a non university event to be held in a university facility must carry a disclaimer, approved by the general counsel, to the effect that use of Stephen F. Austin State University facilities does not imply endorsement of the event or the sponsoring organization by the university.

Penalty and Hearing

1. Suspension

If a user or sponsor violates the provisions of this policy, or the laws regulating the use of state property, the appropriate university official with the approval of the vice president to whom he/she reports may suspend the use of university facilities, or certain university facilities, by the user or sponsor for a specified period of time not to exceed one (1) year. Suspension shall mean that reservation requests by the user or sponsor shall be denied by the university during the specified period of time.

2. Notice of Suspension

When a university official suspends a user or sponsor from the use of university facilities, the official shall notify in writing, the user or sponsor, and the vice president who has responsibility for space assignment, of the suspension. The written notice shall contain all the following:

- a. that the user or sponsor may not use university facilities, or certain designated university facilities, for a specified period of time, not to exceed one (1) year from receipt of the notice;
 - b. the name and title of the university official imposing the suspension, along with an address where the university official may be contacted during regular working hours;
 - c. a brief statement of the acts or omissions resulting in the suspension; and
 - d. notification that the suspended user or sponsor is entitled to a hearing on the suspension.
3. Request for Hearing
 - a. A suspended user or sponsor may submit a written request for a hearing on the suspension to the appropriate university official within fourteen (14) days from the date of receipt by the user or sponsor of the notice of suspension. The university official shall grant a hearing not later than seven (7) days from the date of the request and shall immediately mail written notice of the time, place, and date of the hearing to the person.
 - b. The hearing shall be held before a discipline committee reviewing the suspension in question.

Cross Reference: None

Responsible for Implementation: President, Vice President for Finance and Administration, Vice President for University Affairs

Contact for Revision: President

Forms: None

Withdrawal without Financial Clearance (C-39)

Original Implementation: October 26, 1978

Last Revision: ~~October 19, 2006~~ January 25, 2010

Any student who withdraws from or otherwise leaves the university must clear his/her financial record, return university property and settle other financial matters with the university. Students failing to fulfill these obligations will be subject to sanctions until such time as the record is cleared. Sanctions will be imposed whenever a student is in possession of unreturned university property or is otherwise indebted to the university beyond a minimal amount established by university administration for unpaid fines, etc.

The following sanctions will be imposed:

1. The student will not be permitted to re-enroll.
2. The student will not be eligible to receive an official transcript of academic work completed.
3. The student will not be issued a diploma.

PROCEDURES FOR IMPLEMENTATION

When a student withdraws, notification will be sent by the registrar to:

- a. The dean of the appropriate academic college,
- b. The Business Office,
- c. The Financial Aid Office,
- d. The Housing Office and
- e. Steen Library.

Each department in which the student has a financial deficiency requiring the imposition of sanctions will either notify the Business Office, citing the nature of the deficiency or will place a registration and transcript hold on the student's record. It will be the student's responsibility to contact the appropriate office to clear his/her record. These offices will then release the hold or notify the Registrar's Office once the deficiency has been resolved.

The registrar will impose sanctions specified in the policy until the student's record is cleared.

Source of Authority: ~~Vice President for Finance and Administration~~

Cross Reference: General Bulletin, Graduate Bulletin

Responsible for Implementation: *Vice President for Finance and Administration*

Contact for Revision: ~~Vice President for Finance and Administration~~ *Controller,
Registrar*

Forms: None

Work Requests (B-32)

Original Implementation: December 7, 1987

Last Revision: ~~January 30, 2007~~ January 25, 2010

The Physical Plant Department does routine preventive maintenance based on importance, priority and available manpower. Maintenance is performed by the Physical Plant Department in response to requests made by individuals authorized to expend university funds. The Physical Plant Department will respond to the following categories of requests:

1. Routine Maintenance
 2. Custodial Service
 3. Disposal Service
 4. Emergencies
1. Routine Maintenance. These requests should include anything of a normal nature that will not require emergency attention or alter the structure. Such requests include temperature control, minor plumbing or custodial problems, and minor electrical problems. Requests of this nature should be directed to the Physical Plant Department by telephone at 468-3206, fax 468-4446, e-mail, or by submitting a request on the Physical Plant Web site. The following information should be provided.
 - a. Building name
 - b. Department
 - c. Date of request
 - d. Urgency of request (used to assign a work priority to each request)
 - e. Exact location of job
 - f. Detailed description of work needed
 - g. Person making the request/contact number
 - h. Account number
 2. Custodial Services. Requests for custodial services beyond normal cleaning activities by custodial personnel should be directed to the manager of Custodial Services at 468-3905.
 3. Disposal Services. Disposal services are administered through the Special Services Department in the Physical Plant Department at 468-5107. Paper and household garbage of campus residents are picked up regularly. Used building/classroom materials such as lumber, cement, clay, etc., and confidential

records which must be destroyed will be picked up by Special Services upon request.

4. Emergencies. These requests, in the opinion of the requester, require immediate action to prevent endangerment of life and property damage.
 - a. Broken water lines (inside or out)
 - b. Utilities off
 - c. Smell of natural gas or burning
 - d. Broken windows
 - e. Commodes overflowing
 - f. Water spills on floors
 - g. Hazardous conditions

Emergency requests should be reported immediately to the Physical Plant Department at 468-3206 or to the University Police Department at 468-2608 after normal working hours.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Physical Plant

Forms: None

Workers Compensation Coverage (E-55)

Original Implementation: September 1, 1975

Last Revision: ~~January 30, 2007~~ January 25, 2010

All employees of the university are covered by the State Employees Worker's Compensation Act. All claims for benefits under this coverage are processed by the safety officer, ~~located~~ in the Environmental Health, Safety, and Risk Management Department. All injuries or accidents involving university employees in the course and scope of their assigned duties shall be reported on an "Employee's First Report of Injury or Illness" (SORM-29), ~~to~~ with the safety officer, *EHS&RM Department, 430 E. Austin Street, extension 4514*. The safety officer will file the ~~TWCC-1s~~ *DWC-1S form* and all required reports with the State Office of Risk Management, Workers' Compensation Division *electronically*.

Responsibility for the timely reporting of on-the-job injuries rests jointly with the employee and his/her supervisor. All incidents must be reported immediately. If work is missed or immediate medical attention is required, the claim must be processed *within 24 hours* ~~immediately~~. No claim is valid if reported more than 30 days after the incident.

~~Employees, who are recovering from a worker's compensation injury, are concurrently on FMLA leave, and are required to use their accrued sick leave. If all accrued sick leave is exhausted before the employee is allowed to return to work, the employee has the option of using all or a portion of their accrued vacation leave by filling out completing the SORM 80 form located (available in the Environmental Health, Safety and Risk Management Department). If the employee has exhausted all sick leave and the elected amount of vacation, they employee's status will be considered on who have exhausted all accrued paid leave are in-leave without pay status (LWOP). Once an employee's status is considered on (LWOP) status-leave without pay (LWOP), These-the employees must make-submit a written request to the university president for a leave of absence (LOA). from the University President and-The leave of absence cannot to-exceed a 12-month period from the beginning of their FMLA leave. FMLA leave runs concurrently with leave taken for a worker's compensation injury.~~

~~Further~~ Additional information is available ~~may be obtained~~ from the safety officer in the Environmental Health, Safety, and Risk Management Department.

Cross Reference: ~~Non-Academic Employee Handbook~~ Family Medical Leave (E-58)
 Leave of Absence (Non-Academic) (E-30N)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Environmental Health, Safety, and Risk Management Department

Forms: Employee's First Report of Injury or Illness (SORM-29); ~~available in~~
~~Environmental Health, Safety, and Risk Management Department~~ *Election Form*
(SORM-80)