

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS



Nacogdoches, Texas

**January 15, 2002
Volume 179**

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MINUTES OF THE MEETING
BOARD OF REGENTS
STEPHEN F. AUSTIN STATE UNIVERSITY
NACOGDOCHES, TEXAS

JANUARY 15, 2002

The meeting was called to order at 9:05 A.m. by Chair Mike Enoch. Board members present in Room 307: Penny Butler, Margarita de la Garza Grahm, Kenneth James, Mike Enoch, Gary Lopez, Susan Roberds, Lyn Stevens, Mike Wilhite and Fred Wulf.

Others present in Board Room 307: Tito Guerrero, Janelle Ashley, Scott Beasley, Baker Pattillo, Miles McCall, Roland Smith, Yvette Clark, and other SFA administrators, staff, and visitors.

02-04

Upon motion of Regent Wilhite seconded by Regent Roberds, with all members voting aye, it was ordered that the University be authorized to proceed with the Birdwell/Telecommunications project using proposed Site 1, the Power Plant I Renovation, and the campus infrastructure improvements as approved by HB 658 of the 77th Legislature. The projects will not exceed \$16,657,090 which includes \$14,070,000 from Tuition Revenue Bonds and \$2,587,090 in HEAF or other funds pledged by the University to match the Tuition Revenue Bond funds. The administration is authorized to seek Coordinating Board approval of the projects and to sell tuition revenue bonds through the Texas Public Finance Authority to finance the projects and that the chairman of the Board and/or the President be authorized to sign the necessary contracts, documents, and resolutions as required.

02-05

Upon motion of Regent Lopez, seconded by Regent Butler, with all members voting aye, the following consent agenda items were approved:

Approval of the minutes of October 23, 2001

Faculty and Staff Appointments for 2001-02

1. Admissions

Mr. Scott A. Hescht, Admissions Media Coordinator, at a salary of \$26,744 for 100% time for twelve months, effective November 26, 2001.

Ms. Sharon T. Swindell, Admissions Regional Coordinator, at a salary of \$26,744 for 100% time for twelve months, effective October 22, 2001.

2. Social Work

Dr. Michael O. Doughty, Assistant Professor, Ph.D. (University of Texas-Austin), at a salary of \$42,000 for 100% time for nine months, effective January 1, 2002.

- Dr. Peter T. Simbi, Professor, Ph.D. (University of Minnesota), at a salary of \$62,900 for 100% time for nine months, effective January 1, 2002.
3. Liberal Arts, Dean's Office
- Ms. Jennifer Videtto, Director for the Center for Academic Advising, MBA (University of Louisville), at a salary of \$35,000 for 100% time for twelve months, effective January 1, 2002.
4. Athletics
- Mr. Michael Santiago, Head Football Coach, state mandated 4% raise, effective September 1, 2001.
- Mr. Jerrell Mark Bradley, Assistant Coach and Instructor of Kinesiology, state mandated 4% raise, effective February 1, 2002.
- Mr. Robert Kim Dameron, Assistant Coach and Instructor of Kinesiology, state mandated 4% raise, effective September 1, 2001.
- Mr. Kevin Goodwin, Assistant Coach and Instructor of Kinesiology, state mandated 4% raise, effective September 1, 2001.
- Mr. Todd Ivicic, Assistant Coach and Instructor of Kinesiology, state mandated 4% raise, effective September 1, 2001.
- Mr. Robert Walker, Assistant Coach and Instructor of Kinesiology, state mandated 4% raise, effective September 1, 2001.
- Mr. Kenny Washington, Assistant Coach and Instructor of Kinesiology, state mandated 4% raise, effective September 1, 2001.
5. University Advancement
- Dr. Jerry E. Holbert, Vice President, at a salary of \$112,000 for 100% time for twelve months, effective February 15, 2002.

Changes of Status

1. Student Affairs
- Mr. Steven Westbrook, from Director of Student Activities, at a salary of \$58,068 for 100% time for 12 months, to Director of Student Affairs, at a salary of \$70,630 for 100% time for 12 months, effective November 1, 2001.
- Ms. Beverly Farmer, from Associate Director of Student Activities, at a salary of \$44,129 for 100% time for 12 months, to Associate Director of Student Affairs, at a salary of \$48,129 for 100% time for 12 months, effective November 1, 2001.
- Mr. Michael Preston, from Program Advisor, at a salary of \$30,400 for 100% time for 12 months, to Assistant Director of Student Affairs, at a salary of \$39,000 for 100% time for 12 months, effective November 1, 2001.

2. University Advancement

Dr. Scott Beasley, from Interim Vice President for University Advancement and Dean, College of Forestry, at a salary of \$120,054 for 12 months to Dean, College of Forestry at a salary of \$108,054 for 12 months, effective February 15, 2002.

Voluntary Modification of Employment

1. Dr. Jerry N. Lackey, Psychology, effective September 1, 2002.

Leave of Absence

1. Art

Mr. Donald Beason, leave with pay, effective January 1, 2002.

Underenrolled Classes

It was ordered that the Chair of the Board be authorized to sign the official report for Spring 2002 when the data is available.

Last Class Day Report

It was ordered that the last Class Day Report for the Fall semester, 2001 be approved as presented.

Faculty Workload Report for Fall 2001

It was ordered that the faculty workload report for the Fall semester, 2001 be approved as submitted at the meeting.

Selection of Investment Manager

It was ordered that Merrill Lynch be named as Investment Manager.

Resolution to Review Qualified Investment Brokers and Financial Institutions

It was ordered that the Resolution Approving Financial Institutions and Brokers for Investment Transactions be approved as presented. The following brokers/investment managers are listed in the resolution, submitted in Appendix No. 1: Merrill Lynch Inc., Salomon Smith Barney Inc., Southwest Securities Inc., Regions Investment Co./Morgan Keegan, Bank of New York, Prudential Securities Inc., Paine Webber, and Fayez Sarofim. The following financial institutions are also listed in the resolution for review and approval: Citizen's First Bank, Commercial Bank of Texas, First Bank and Trust, Bancorp South Fredonia, Regions Bank Stone Fort, and Texas Bank.

Outdoor Pool Repair

It was ordered that the University be authorized to make the required repairs to the outdoor pool and that the President be authorized to sign the necessary contracts and purchase orders. The Physical Plant will serve as general contractor for the project. Cost not to exceed \$90,000.

Air Handler Replacement - Norton and Rusk Buildings

It was ordered that the University be authorized to replace the air handlers in the Lucille Norton Building and the Rusk Building, with the Physical Plant acting as general contractor, and that the President be authorized to sign the necessary contracts and purchase orders. Funds are from the FY-2002 HEAF allocation and will not exceed \$140,000.

Poultry Science Facility

It was ordered that the Board of Regents authorize the President to investigate financing options for the construction of four state-of-the art broiler houses to be erected on a site at the Walter Todd Beef Farm. Such options may include, but are not necessarily limited to, operating leases, facility leases, lease-purchases, or gifts. The President is authorized to investigate the possibility of combining financing options to achieve the desired goal of 100% external funding of the construction project.

Ferguson Building Renovation

It was ordered that existing space in the Ferguson Liberal Arts Building be renovated to provide suitable space for the Dean of Liberal Arts and the Academic Advising Center. The Physical Plant Department will act as general contractor for the project, with a cost not to exceed \$85,554 and the source of funds to be HEAF. The President will be authorized to sign all necessary purchase orders and contracts.

Resolution to Acknowledge Review of Investment Policy and Strategy

It was ordered that the Board ratify the Resolution to Acknowledge Review of the Investment Policy and Strategy as presented in Appendix No. 3.

Policy Revisions

It was ordered that the policy revisions be approved as presented.

REPORTS

A. Faculty Senate Chair, Dr. Joe Devine

1. Salary concerns
2. Academic standards and admissions policy
3. Retention rate
4. Intellectual Property and Policy D-20

B. Vice President for Alumni Affairs, Dr. Miles McCall

1. Update on Mentor Ring Program

C. Kolar Advertising and Marketing

1. Update on Marketing Plan

D. President, Dr. Tito Guerrero

1. Meetings with School Superintendents and Community College Presidents
2. Meeting with Governor Perry
3. Board of Visitors, Air University, Maxwell Air Force Base
4. Exploration of Possible Collaborations with State of Chihuahua
5. Interior Design Accreditation Team Visit

6. Meeting with Ping Log Editorial Board
7. Meeting with Residents of Pine Crest Retirement Community
8. Meeting with Members of Board of Angelina College
9. Spoke at Angelina County Chamber of Commerce First Friday Forum
10. Dinner with Board Members of SFA Alumni Foundation and SFA Alumni Association at President's Home
11. Scheduled to Speak at Martin Luther King Day Event
12. Student Recruitment in Corpus Christi
13. Meeting with Texas Superintendents at Mid-Winter Conference in Austin
14. Student Recruitment in Houston
15. Meeting with Personnel Affiliated with the W. K. Kellogg Foundation and Rose Bruford College
16. Meeting with Texas Band Directors at TMEA Meeting in San Antonio
17. Scheduled to Speak at Nacogdoches Chamber of Commerce Fourth Friday Luncheon
18. Answer Questions from Members of the Board of Regents

Meeting adjourned at 10:55 a.m.

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:

Bank of New York
Merril Lynch, Inc.
Regions Investment Company, Inc/Morgan Keegan
Salomon Smith Barney, Inc.
Southwest Securities, Inc.
Fayez Sarofim Inc.
Prudential Securities, Inc.
Paine Webber

WHEREAS, the following firms are approved financial institutions:

Citizen's First Bank
Commercial Bank of Texas
First Bank and Trust East Texas
Bancorp South Fredonia
Regions Bank Stone Fort
Texas Bank

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 15, 2002 meeting of the Board.

THE BOARD OF REGENTS, STEPHEN F. AUSTIN STATE UNIVERSITY


Mike Enoch, Chair


Susan Roberds, Secretary

Appendix No. 2

Stephen F. Austin State University
Schedule of Budget Increases
September 27, 2001 to December 13, 2001

ACTIVITY RECIPIENT		INCOME SOURCE		DATE
ACCOUNT NAME	ACCOUNT NUMBER	SOURCE DESCRIPTION	AMOUNT	
Controller's Discret	5-91320	Revenue Budget	600	October 9, 2001
Certificate Plans	2-52021	Additional Revenue	16,610	October 11, 2001
HMS Course Fee	2-02450	Additional Revenue	3,394	October 16, 2001
Distance Learning Fee	2-51407	Additional Revenue	23,210	October 19, 2001
Homecoming	3-14000	Additional Revenue	2,263	October 31, 2001
Fine Arts Series	3-16000	Additional Revenue	15,000	November 9, 2001
SFA Spirit Groups	5-97003	Additional Revenue	6,455	November 14, 2001
President Discretionary	5-91375	Additional Revenue	15,652	November 26, 2001
President Alumni Discret	5-91376	Additional Revenue	11,200	November 12, 2001
Equine Studies	4-91002	Additional Revenue	4,567	December 3, 2001
Agricultural Development	5-91347	Additional Revenue	1,000	December 3, 2001
Pineywoods Native Plants	5-91323	Additional Revenue	4,080	December 3, 2001
Pineywoods Native Plants	5-91323	Additional Revenue	4,520	December 3, 2001
University Police Dept	3-98000	Additional Revenue	1,200	December 7, 2001
Cultural Ent	3-00480	Additional Revenue	15,000	December 13, 2001
Music Computer Lab	2-03133	Additional Revenue	5,490	December 13, 2001
TOTAL			<u>130,241</u>	

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


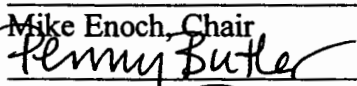
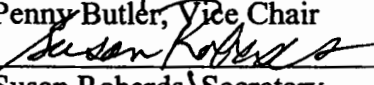
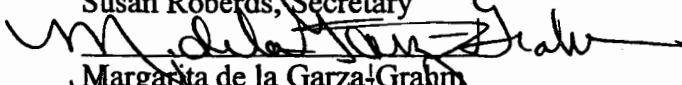
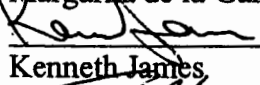
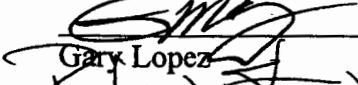
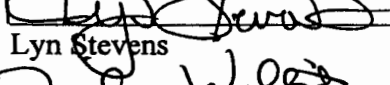
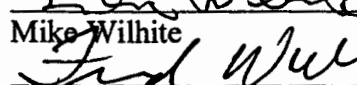
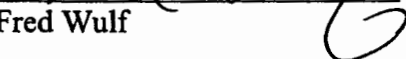
WHEREAS, The Texas Public Funds Investment Act requires that each University's investment policy and strategy must be annually reviewed by the governing board of the institution; and

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 15, 2002; and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 15, 2002 meeting of the Board.

Attest:


Mike Enoch, Chair

Penny Butler, Vice Chair

Susan Roberds, Secretary

Margarita de la Garza, Graham

Kenneth James

Gary Lopez

Lyn Stevens

Mike Wilhite

Fred Wulf

Policies for Board Review
January 15, 2002

A-02	Academic Appeals by Students	Appeals will comply with laws, regulations and policies
A-10	Class Attendance and Excused Absence	Explanation of absence to be submitted via e-mail to VP Academic Affairs
A-11.5	Conflict of Interest in Sponsored Activities	Minor grammatical changes; revised cross references
A-31.5	Misconduct in Research	Change Contact for Revision
A-32	Non-Credit Continuing Education	Policy reviewed, no changes made
A-36	Out-of-State Travel	Dean Applied Arts is responsible for routing course requests to CB; reference to April 10, 2001 memo
A-38	Regents Professors	Delete reference to distinction between teaching and research; delete availability for consultation to academic community
A-46	Underenrolled Classes	Applies to lecture, lab or seminar courses; added reference to Policy A-34: Off-Campus Courses
A-48	Student Evaluation of Instruction	Title change; student evaluation is of faculty's courses; information will be used in annual faculty evaluation process
A-54	Semester Grades	Added grade of QF (quit failure); WH becomes an F when student enrolls for same course in the future; W, WH, P, and WP are not counted in GPA calculation
B-04	Camp and Conference Reservations	Sponsoring department must ensure liability coverage; update phone numbers; identity of camper must be confirmed before new key will be issued; unclaimed items will be turned over to the UC Information Desk; additional section regarding physical activity facilities
B-06	Energy Conservation	Automation system programmed to meet needs rather than each semester
B-21	Physical Plant Charges	Deletion of explanation of call back expenses
B-30	University Vehicles (Rental & 15 Passenger Van)	Voucher not required for reimbursement; driver must have van endorsement
B-31	Vehicle Repair/Maintenance	Reviewed, no changes made
B-33	Fleet Management	Required to complete State of Texas Vehicle Use Report form and submit monthly
C-17	Memberships	Change title, all memberships are held by the University; request must be submitted on a requisition

Policies for Board Review
January 15, 2002

C-18	Interagency Contract	Agencies cannot provide services which have been awarded to lowest bidder; requisition must be submitted to initiate contract; Board approval for \$50,000 or greater
C-19	Interdepartmental Transfers	Restatement of procedures and requirements to initiate IDT
C-20A	Local Purchase Authority	Restricted to Nacogdoches and Lufkin vendors, change Source of Authority and Cross Reference
C-26	Proprietary Purchases	Change Source of Authority, Cross Reference and Forms
C-28	Purchase of Surplus Property	Property list available on-line; only a certified agent may visit and shop at Federal surplus warehouse; additional restrictions on Federal surplus
C-29	Purchase of Used Equipment or Supplies	Competitive bidding required; update Cross References, Source of Authority and Forms
C-31	Purchase Voucher	Delete membership fees
C-41	Investments	Update responsibilities for maintaining evidence of pledged collateral; collateral will be reviewed monthly by Controller and Director of Financial Services
D-20.5	Items Requiring Board of Regents Approval	Approval required for full-time non-classified staff, except those requiring student status and grant funding
D-39	University Publications	Include references to video materials; update departmental names and titles; Texas requirements for publications
D-43	Computing Software Copyright	Update departmental name
E-01A	Academic Appointment and Titles	Lecturer generally doesn't have terminal degree
E-13A	Duties and Responsibilities of Offices Reporting to the Vice President for Academic Affairs	Update duties and responsibilities for Library Director and Instructional Technology Director
E-26A	Guarantees Relating to Matters Other Than Termination and Non-Renewal of Contracts	Policy reviewed, no changes made

Policies for Board Review
January 15, 2002

E-30N	Leave of Absence - Non Academic	President to receive input from supervising department prior to granting leave without pay; department head may grant 1 leave without pay per year; additional leave without pay must be approved in advance by President.
E-36	Overtime and Additional Compensation	Non-exempt part-time employees must be paid for overtime; Non-exempt employees must be paid for comp time at time of separation
E-37A	Part Time Faculty	Policy reviewed, no changes made
E-48A	Summer Contracts	Policy reviewed, no changes made
E-58	Family and Medical Leave	Additional restrictions re: time off for birth or adoption of child
E-59	Selection of Academic Deans	Policy reviewed, no changes made
F-7	Central Stores	No sales to overdrawn accounts; deletion of on-line orders; returns must be made within 10 days
F-36	Administrative Systems Software Changes	Correct typographical error; update departmental name and web site address
F-37	Computer System Access	Update departmental name; update procedure for Student Accounts
F-38	Restart and Recovery	Update departmental name

Academic Appeals by Students

A-2

Original Implementation: August 31, 1981

Last Revision: January 19, 1999/15, 2002

Good communication between faculty and students will make disputes between them infrequent, but if disagreements occur, it is University policy to provide a mechanism whereby a student may formally appeal faculty decisions. When a student uses the appeals procedure, all parties should endeavor to resolve the dispute amicably at as early a stage as possible *and in compliance with applicable laws, regulations and policies.* ~~If the Department Chair, College Dean, College Council, or Academic Vice President finds that the faculty member's disputed action conflicts with federal or state laws/regulations, University, college, or department policy, or with the instructor's own stated policy, then a decision should be made to adhere to the appropriate laws, regulations or policies. If the dispute is determined to be based upon a faculty member's professional judgement, such as the evaluation of a test, a thesis, or performance in a class, the student is entitled to have, in turn, the Department Chair, College Dean, College Council, or Academic Vice President form an opinion about the dispute and advise the instructor of their opinion, but~~ ~~†The faculty member, after considering the advice of the administrators~~ *outcome of the appeals process*, shall retain complete academic freedom *to make the final determination on the matter.*

These steps are to be followed when making an academic complaint: All materials under consideration at each step will be forwarded to the appropriate parties at the next procedural level.

1. In the event of course-related complaints or disputes, the student must first appeal to his/her instructor for a resolution to the matter and must do so within 30 days after the first class day of the next semester/session. Exceptions will be granted in which appeals may be considered after this time period *given* extenuating circumstances.
2. If a complaint or dispute is not satisfactorily resolved, the student may appeal to the Chair/director of the academic department in which the complaint or dispute is centered. If a formal complaint is to be registered, it should be made in writing stating the specific issues. The faculty member will respond with a written statement to the department chair.
3. If the complaint or dispute is still unresolved after appeal to the Chair/director, the student or faculty member may appeal in writing to the dean of the academic college in which the complaint or dispute is centered. The dean will notify the faculty member or student of the appeal.
4. If a resolution of the matter is not reached, the student or the faculty member may appeal to the College Council of the college in which the complaint or dispute is centered. The College Council will evaluate the oral and written statements of the student and the faculty member. If the College Council does not have at least one student member, the President of the Student Government Association will be asked by the dean

to recommend no more than two student representatives to serve for each case. The College Council will submit its recommendation to the dean of the academic college.

5. If a resolution of the matter is not reached, the student or the faculty member may appeal in writing to the Vice President for Academic Affairs. The Dean's written recommendation in addition to all previous materials will be submitted to the Vice President. The College Council of the College in which the complaint or dispute is centered may serve as an advisory body to the Vice President who will make the final decision (regarding professional judgments) in the appeal process. The Vice President will evaluate all previous materials and any additional oral presentations from the student and faculty member.

6. After making a decision, the Vice President will inform the student and all persons involved in the appeal process of the final disposition of the matter within a reasonable period of time.

STEPS FOR RESOLVING STUDENT-INITIATED ACADEMIC COMPLAINTS

Student

Instructor

Department Chair/Director

College Dean

College Council and 1 or 2 students

College Dean

Vice President for Academic Affairs

Source Of Authority: ~~United States Constitution XIV,~~ Vice President for Academic Affairs

Cross Reference: Faculty Handbook, Student Handbook and Activities Calendar

Contact For Revision: Vice President for Academic Affairs

Forms: None

Class Attendance and Excused Absence

A-10

Original Implementation: November 9, 1981

Last Revision: ~~April 30, 2001~~ *January 15, 2002*

Class Attendance

Regular and punctual attendance is expected at all classes, laboratories, and other activities for which a student is registered. For those classes where attendance is a factor in the course grade, the instructor shall make his/her class policy known in writing at the beginning of each term and shall maintain an accurate record of attendance.

Regardless of attendance, every student is responsible for course content and assignments.

Excused Absences

It is University policy to excuse students from attendance for certain reasons. Among these are absences related to health, family emergencies, and student participation in certain University-sponsored events.

Students are responsible for providing documentation satisfactory to the instructor for each class missed. Students with acceptable excuses will be permitted to make up work for absences to a maximum of three weeks of a semester or one week of a six-week summer term when the nature of the work missed permits.

In the case of absences caused by participation in University-sponsored events, announcement *via the web site* of such absences by the Vice President for Academic Affairs will constitute an official excuse. Faculty members should submit *as an attachment to an e-mail* a written explanation of the absence, including the date, time and an alphabetical listing of all students attending to the office of the Vice President for Academic Affairs for publication.

Source of Authority: Vice President for Academic Affairs

Cross Reference: General Bulletin, Faculty Handbook, Student Handbook and Activities Calendar

Contact for Revision: Vice President for Academic Affairs

Forms: None

Conflict of Interest in Sponsored Activities

A-11.5

Original Implementation: January 30, 1996

Last Revision: ~~July 27, 1999~~ *January 15, 2002*

I. Policy Statement Relating to Conflict of Interest

- A. These guidelines define general University policy and procedures regarding financial conflicts of interest in relationship to sponsored activities involving research, education, and University service. Their purpose is to protect the credibility and integrity of Stephen F. Austin State University's faculty and staff so that public trust and confidence in the University's sponsored activities is ensured.
- B. In accordance with Federal regulations, the University has a responsibility to manage, reduce, or eliminate any actual or potential conflicts of interest that may be presented by a financial interest of an investigator. Thus, the University requires that investigators disclose any significant financial interest that would reasonably appear to be affected by sponsored activities.
- C. A potential conflict of interest occurs when there is a divergence between an individual's private interests and his or her professional obligations to the University, such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise. An actual conflict of interest depends on the situation and not on the character or actions of the individual.
- D. For purposes of this policy, a conflict of interest exists when the University, through procedures described herein, reasonably determines that a significant financial interest could directly and significantly affect the design, conduct, or reporting of sponsored activities.
- E. Effective interaction between universities conducting research and industry is essential to ensure the rapid application of scientific discoveries to the needs of the Nation and to maintain the international competitiveness of domestic industry. Nonetheless, prudent stewardship of public funds includes protecting sponsored research from being compromised by the conflicting financial interests of any investigator responsible for the design, conduct, or reporting of sponsored activities.
- F. The value of the results of sponsored research to the health and the economy of the Nation must not be compromised by any financial interest that will, or may be reasonably expected to, bias the design, conduct, or reporting of the research. This policy seeks to maintain a reasonable balance between these competing interests, give the University the ability to identify and manage

financial interests that may bias the research, and minimize reporting and other burdens on the Investigator.

- G. The University will take all necessary steps to assure that any identified conflicts of interests will be managed, reduced, or eliminated prior to the University's expenditure of any funds under an award and certify to the funding agency that this has been done. Conflicts which cannot be satisfactorily managed, reduced, or eliminated must be disclosed to the funding agency.

II. Definitions

- A. Conflict of interest exists if the reviewer(s) of disclosures determines that a significant financial interest could directly and significantly affect the design, conduct, or reporting of sponsored activities.
- B. The term Investigator, as used in this policy, means the principal investigator project director, co-principal investigator(s), and any other person who is responsible for the design, conduct, or reporting of research, educational, or service activities funded, or proposed for funding by an external sponsor. In this context, the term Investigator also includes the investigator's spouse and dependent children.
- C. Sponsored activities include research, education, service, or training activities funded by an external sponsor.
- D. Significant financial interest means anything of monetary value, included, but not limited to:
 - 1. Salary or other payments for services (e.g., consulting fees or honoraria)
 - 2. Equity interests (e.g., stocks, stock options, or other ownership interests)
 - 3. Intellectual property rights (e.g., patents, copyrights, and royalties from such rights)

The term does not include:

- 1. Salary, royalties, or other remuneration from the University
- 2. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities
- 3. Income from service on advisory committees or review panels for public or nonprofit entities

4. An equity interest that, when aggregated for the Investigator and the Investigator's spouse and dependent children, meets both of the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a five percent ownership interest in any single entity
5. Salary, royalties or other payments that, when aggregated for the Investigator and the Investigator's spouse and dependent children over the next twelve months, are not expected to exceed \$10,000.

III. Guidelines

- A. Each Investigator is required to disclose the following significant financial interests:
 1. Any significant financial interest of the Investigator that would reasonably appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor; or
 2. Any significant financial interest of the Investigator in an entity whose financial interest would reasonably appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor.
 3. Regardless of the above minimum requirements, a faculty or staff member in his or her own best interest, may choose to disclose any other financial or related interest that could present an actual conflict of interest or be perceived to present a conflict of interest. Disclosure is a key factor in protecting one's reputation and career from potentially embarrassing or harmful allegations of misconduct.
- B. Each Investigator who has significant financial interest requiring disclosure shall complete a Significant Financial Interests Disclosure Form and attach all required supporting documentation. The completed Disclosure Form must be submitted with the proposal and Proposal Clearance Form (PCF) to the Office of Research and Sponsored Programs using normal University procedures. Supporting documentation that identifies the business enterprise or entity involved and the nature and amount of the interest should be submitted in a sealed envelope marked confidential and accompany the Disclosure Form and PCF.
- C. As required by Federal regulation, all significant financial interests must be disclosed prior to the time a proposal is submitted. All financial disclosures must be updated by investigators during the period of the award as new reportable significant Financial interests are obtained. New reportable significant financial interests includes financial interests that become

reportable due to an increase in value that meets the reporting threshold, as well as the acquisition of new interests that are reportable.

- D. The ~~Coordinator~~ *Director* of Research and Sponsored Programs, or official designee, shall conduct an initial review of all financial disclosures. If the initial determination is made that there may be a potential for conflict of interest covered by this policy, then the Disclosure packet will be referred to an Investigating Committee. Committee members are appointed by the Vice President for Academic Affairs after consultation with the Associate Vice President for Graduate Studies and Research, with this person serving as chair. A conflict of interest exists when the Investigating Committee reasonably determines that a significant financial interest could directly and significantly affect the design, conduct, or reporting of the proposed sponsored activities. The Committee shall then determine what conditions or restrictions, if any, should be imposed by the institution to manage actual or potential conflicts of interest arising from disclosed significant financial interests.
- E. Collaborators/subrecipients/subcontractors from other academic or not-for-profit institutions must either comply with this policy or provide a certification from their institutions that they are in compliance with Federal policies regarding investigator significant financial interest disclosure and that their portion of the project is in compliance with their institutional policies. Subcontractors from commercial firms need not make a certification, except when the prime award is from the Public Health Service (PHS PHS). The PHS requires a certification from any subcontractor, including commercial firms, stating that it is in compliance with Federal policies regarding investigator significant financial interest disclosure and that its portion of the activity is in compliance with those policies.

IV. Finding of Presence of Conflict of Interest

A. Resolution

1. Resolution of any potential or actual conflicts of interest will not be required until after funding has been approved and prior to any expenditure of funds under the award.
2. The Investigating Committee, along with the Investigator, will proceed to resolve any actual or potential problems revealed by the initial review of financial disclosures. In order for the conflict to be managed, reduced, or eliminated, the Committee may recommend:
 - a) Public disclosure of significant financial interests;
 - b) Monitoring of sponsored activities by independent reviewers;

- c) Modification of the sponsored activity plan;
 - d) Disqualification from participation in all or a portion of the activity funded that would be affected by the significant financial interests;
 - e) Divestiture of significant financial interests; or
 - f) Severance of relationships that create actual or potential conflicts of interest.
3. *if* If the Investigating Committee determines that imposing the above referenced conditions or restrictions would either be ineffective or inequitable, and that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, then the Committee may recommend that, to the extent permitted by Federal regulations, the sponsored activity go forward without imposing such conditions or restrictions. In these cases, the Vice President for Academic Affairs and the Associate Vice President for Graduate Studies and Research shall make the final decision regarding resolution.
 4. The approved resolution plan shall be documented in writing detailing the conditions or restrictions imposed upon the Investigator in the conduct of the sponsored activity or in the relationship with the business enterprise or entity.
 5. Actual or potential conflicts of interest will be satisfactorily managed, reduced, or eliminated in accordance with these guidelines and all required reports regarding conflicts of interest submitted to the sponsor prior to the expenditure of any funds under an award.
- B. Records of Investigator financial disclosures and of actions taken to manage actual or potential conflicts of interest, shall be retained by the Office of Research and Sponsored Programs until three (3) years after the later of the termination or completion of the award to which they relate, or the resolution of any government action involving those records.

V. Enforcement

- A. The Vice President for Academic Affairs shall be responsible for determining and implementing sanctions on Investigators who have violated this policy in terms of a conflict of interest resolution. The Investigator shall be notified in writing of the recommended sanctions within twenty (20) days. If the sanctions involve a recommendation for termination of employment, the University academic termination procedures will be invoked. The University

must take action appropriate for the seriousness of the violation, including, but not limited to, one or more of the following, subject to existing University policies for institutional disciplinary action:

1. Termination
 2. Removal from particular activity
 3. Special monitoring of future work
 4. Letter of reprimand
 5. Probation for specified period with conditions specified
- B. The University shall follow Federal regulations regarding the notification of the sponsoring agency in the event an Investigator has failed to comply with this policy. The sponsor may take its own action as it deems appropriate, including the suspension of funding for the Investigator until the matter is resolved.

Individuals may appeal the judgment and/or the sanction. A written statement of the grounds for the appeal must be submitted to the President within thirty (30) days of written notification of the sanctions. Grounds for appeal include, but are not limited to, previously unconsidered material evidence, sanctions not commensurate with the finding, and failure to follow the prescribed process. Upon receipt of a written appeal, the President will evaluate the evidence and make a determination. The President will open an investigation if the previously unconsidered material evidence so warrants and may open an investigation if circumstances so dictate. The President's decision will be conveyed to all involved in a timely fashion, but must be conveyed within thirty (30) working days. In the case of termination, the appropriate University policies on termination for cause shall be followed.

VI. Other Policies

This policy has been developed in response to Federal guidelines for sponsored activities. State ethics laws regarding employee conduct may also apply to situations involving potential conflicts of interest. Employees are encouraged to cross reference the policies listed below and to alert their supervisor(s) of any situation that may be perceived as a potential conflict of interest.

Source of Authority: Vice President for Academic Affairs

Cross Reference: 42 CFR part 50, ~~45 CFA subtitle A~~ 45 CFR subtitle A, NSF GPM 510; Faculty Handbook; E-15, Employee Conduct; E-56, Ethics Policy Statements

Contact for Revision: Associate Vice President for Graduate Studies and Research

Forms: Significant Financial Interest Disclosure Form

Misconduct in Research

A-31.5

Original Implementation: April 27, 1994

Last Revision: ~~July 27, 1999~~ *January 15, 2002*

I. Policy Statement Relating to Misconduct in Research

- A. Stephen F. Austin State University strives to create a climate that promotes faithful adherence to high ethical standards in the conduct of scientific research, scholarship, and creative activities without inhibiting the productivity and creativity of the academic community. Misconduct in research/scholarly activity is an offense that damages the reputation not only of those involved but also of the entire educational community.
- B. Misconduct in research means fabrication, falsification, plagiarism, or other practices that materially deviate from those that are commonly accepted within the scientific and scholarly community for proposing, conducting, or reporting research or other scholarly activity. It does not include honest errors or honest differences in interpretations or judgments.
- C. Misconduct in research/scholarly activity is a major breach of the relationship between a faculty or staff member and the institution. In order to maintain the integrity of research projects, every investigator should keep an auditable record of experimental protocols, data, and findings. Co-authors on research reports/or scholarly works of any type must have a bona fide role in the research and must accept responsibility for the quality of the work reported.
- D. Any inquiry or investigation of allegations of misconduct in research/scholarly activity must proceed promptly and with due regard for the reputation and rights of all individuals involved.
- E. The University will take all reasonable steps to assure that the persons involved in the evaluation of the allegations and evidence have appropriate expertise and that no person involved in the procedures is either biased against the accused person(s) or has a conflict of interest.

II. Procedures for Addressing Misconduct in Research/Scholarly Activity

- A. Initial allegations, in writing, must be reported to the Vice President for Academic Affairs. If the Vice President for Academic Affairs has a possible conflict of interest, the allegations will be referred to the President of the University.

The Vice President for Academic Affairs shall informally review any allegations of misconduct in research and scholarship and determine whether the allegation warrants initiation of the inquiry process according to the policies and procedures for misconduct in research and scholarship, or whether other policies and procedures, such as those relevant to employment

grievances should be invoked. The Vice President for Academic Affairs will counsel the individual(s) bringing the allegation as to the policies and procedures to be used. If the reporting individual chooses not to make a formal allegation but the Vice President for Academic Affairs believes that reasonable cause exists to warrant an inquiry, the inquiry process shall be initiated.

Even if the individual against whom the allegation is made (hereafter referred to as the respondent) leaves or has left the University before the case is resolved, the University may pursue an allegation of misconduct to its conclusion.

Once an allegation is made, the identity of the respondent will be held in strict confidence to the extent allowed by law to protect the individual involved.

Where the complainant seeks anonymity, the Vice President for Academic Affairs shall operate in such a way as to maintain the anonymity to the degree compatible with accomplishing the initial review. Such anonymity cannot, however, be assured. Further, anonymity of the complainant is neither desirable nor appropriate where the testimony or witness of the complainant is important to the substantiation of the allegations.

B. Inquiry

1. Purpose

Whenever a warranted allegation or complaint involving the possibility of misconduct is made, the Vice President for Academic Affairs shall initiate an inquiry. In the inquiry stage, factual information is gathered and expeditiously reviewed to determine if an investigation of the charge is warranted. An inquiry is designed to separate allegations deserving of further investigation from frivolous, unjustified, or clearly mistaken allegations.

2. Structure

- a. The Vice President for Academic Affairs shall, after a decision to proceed with an inquiry, appoint an individual to conduct an official inquiry. This individual will have no conflict of interest, hold no appointment in the departments of either the complainant or the respondent, and have appropriate expertise for evaluating the information relevant to the case. Every effort will be made following initial administrative review of the allegation to appoint an individual within fifteen (15) working days, but the individual must be appointed within thirty (30) working days.
- b. Records of the inquiry are confidential to the extent allowed by law and are to be passed on to a Committee of Investigation

if formal review is initiated. In any case, the records shall be kept secure, and if no misconduct is found, the records should be destroyed in accordance with Texas law. At the option of the individual conducting the inquiry, proceedings either will be tape recorded or transcribed and the records will be made available to appropriate and involved parties upon request.

- c. The inquiry phase will be completed within sixty (60) calendar days of its initiation unless the individual determines that circumstances clearly warrant a longer period. In such circumstances, the individual will advise the Vice President for Academic Affairs who will advise all relevant parties. The record of the inquiry will include documentation of the reason for exceeding the sixty (60) day period.
- d. All principals in the inquiry may be accompanied by a representative for advice and counsel. However, since the inquiry is informal and intended to be expeditious, principals must speak for themselves.

3. Process

- a. The Vice President for Academic Affairs is responsible for notifying all parties in writing of the allegations and of the procedures that will be used to examine the allegations. Further, they will be informed of the individual proposed to conduct the inquiry for the purpose of identifying in advance any actual or potential conflict of interest.
- b. Information, expert opinions, records, and other pertinent data may be requested by the individual conducting the inquiry. All involved parties are obliged to cooperate with this individual by supplying such requested documents and information.
- c. During the inquiry, access to copies of all documents reviewed by the individual conducting the inquiry will be assured to all appropriate parties. All materials will be considered confidential to the extent allowed by law and shared only with those with a need to know. During the inquiry, the Vice President for Academic Affairs and the individual conducting the inquiry are responsible for security of relevant documents. Copies of all documents and related communications are to be securely maintained in the Office of Research and Sponsored Programs.
- d. All parties to the case, including the individual conducting the inquiry, shall have the opportunity to present evidence and to call witnesses.

4. Findings

- a. The completion of an inquiry is marked by a determination of whether or not an investigation is warranted. The individual conducting the inquiry shall find no misconduct unless it is concluded, based on the preponderance of evidence for each allegation, that the allegation(s) have sufficient merit to call for an investigation. The outcome of the inquiry will be conveyed in writing to the Vice President for Academic Affairs, who will be responsible for communication of the findings to the respondent within ten working days. The respondent shall be given the opportunity to comment in writing upon the findings and recommendations of the inquiry. If the respondent chooses to comment, such comments must be forwarded as soon as possible within ten (10) working days.
- b. If the outcome of the inquiry indicates a need for formal investigation, the Vice President for Academic Affairs shall, after notification to the appropriate Dean(s) and legal counsel, initiate the investigative process. Under certain circumstances, as defined by the applicable federal regulations, the institution may be expected to notify the sponsoring agency or funding source prior to the initiation of an investigation. Factors used to determine the timing of such notification include the following: (1) There is an immediate health hazard involved; (2) There is an immediate need to protect federal funds or equipment; (3) There is an immediate need to protect the interests of the person(s) making the allegations or of the individual(s) who is(are) the subject(s) of the allegations as well as his/her(their) co-investigators and associates, if any; (4) It is probable that the alleged incident is going to be reported publicly; or (5) There is a reasonable indication of possible criminal violation.
- c. If an allegation is found to be unsupported but has been submitted in good faith, no further action, other than informing all parties, will be taken. The proceedings of an inquiry, including the identity of the respondent, will be held in strict confidence to the extent allowed by law to protect the parties involved. If confidentiality is breached, the University will take reasonable steps to minimize the damage to reputations that may result from inaccurate reports.
- d. If the individual conducting the inquiry finds the allegations to be unjust and malicious, those findings will be reported to the Vice President for Academic Affairs. At this time the Vice President for Academic Affairs may take such actions or impose such sanctions as are appropriate to the situation.

C. Investigation and Determination

1. Purpose

An investigation will be initiated when an inquiry results in a finding that investigation is warranted. The purpose of investigation is to explore the allegations further and determine whether misconduct in research and scholarship has been committed. The investigation will focus on accusations of misconduct as defined previously and examine the factual materials of each case. In the course of an investigation, additional information may emerge that justifies broadening the scope of the investigation beyond the initial allegations. The respondent will be informed in writing when significant new directions of investigation are undertaken.

2. Structure

- a. The Vice President for Academic Affairs will, after a decision to proceed with an investigation, and after consultation with the chair of the University Research Council, appoint an Investigating Committee of no less than three persons. At least two members will be senior faculty who are without conflict of interest, hold no appointment in the departments of either the complainant or the respondent, and have appropriate expertise for evaluating the information relevant to the case. The individual who conducted the inquiry shall not serve on the Investigating Committee. Following receipt of the inquiry report, every effort will be made to appoint an Investigating Committee within fifteen (15) working days, but the Committee must be appointed within thirty (30) working days.
- b. At its first meeting, the Committee will elect a chairperson to handle procedural and administrative matters.
- c. Hearings are confidential. Written notification of hearing dates and copies of all relevant documents will be provided by the Vice President for Academic Affairs in advance of scheduled meetings. Proceedings will be tape recorded, but not the Committee's deliberations, and the records will be made available to involved parties upon request.
- d. Every effort should be made to complete the investigation within 120 days; however, it is acknowledged that in some cases this time period may be difficult to meet. In such cases, the Investigating Committee shall compile a progress report, identify reasons for the delay, and notify the Vice President for Academic Affairs of the additional time necessary for the investigation. The Vice President for Academic Affairs shall

convey to the funding agency such information as may be required by it at intervals as required by the agency.

- e. Both the principals and the Investigating Committee may discuss the issues personally or have a representative accompany them.

3. Process

- a. The Vice President for Academic Affairs is responsible for notifying all parties in writing of the allegations and of the procedures that will be used to examine the allegations. Further, they will be informed of the proposed membership of the Committee of Investigation for the purpose of identifying in advance any actual or potential conflict of interest.
- b. All parties to the case, including the Investigating Committee, may present evidence and call and examine or cross-examine witnesses. The investigation normally will include examination of all documentation, including, but not necessarily limited to, relevant research data and proposals, publications, correspondence, and memoranda of telephone calls. The Committee will make every attempt to interview all individuals involved in making the allegation or against whom the allegation is made, as well as other individuals who might have information regarding key aspects of the allegations; complete summaries of these interviews will be provided to the interviewed party for comment or revision and included as part of the investigatory file. Additional hearings may be held, and the Committee may request the involvement of outside experts. The investigation must be sufficiently thorough to permit the Committee to reach a decision about the validity of the allegation(s) and the scope of the wrongdoing or to be sure that further investigation is not likely to alter an inconclusive result. In addition to making a judgment on the veracity of the charges, the Committee may recommend to the Vice President for Academic Affairs appropriate sanctions if warranted.
- c. As the University is responsible for protecting the health and safety of research subjects, students, and staff, interim administrative action prior to conclusion of either the inquiry or the investigation may be indicated. Such action, ranging from slight restriction to complete suspension of respondent and notification of external sponsors, if indicated, is initiated by the Vice President for Academic Affairs.
- d. All parties in the investigation are encouraged to cooperate by producing any additional data requested for the investigation.

Copies of all materials secured by the Committee shall be provided to the respondent and may be provided to other concerned parties as judged appropriate by the Committee.

- e. The respondent shall have an opportunity to address the charges and evidence in detail.
- f. After all evidence has been received and hearings completed, the Investigating Committee shall meet in closed sessions to deliberate and prepare its findings and recommendations. The Committee shall find no academic misconduct unless a majority of the members conclude that the preponderance of the credible evidence substantiates the allegation(s).
- g. All significant developments during the investigation as well as the findings and recommendations of the Committee will be reported by the Vice President for Academic Affairs to the research sponsor if appropriate.

4. Findings

- a. Upon completion of the investigation, the Committee will submit to the Vice President for Academic Affairs a full written report that details the Committee's findings and recommendations. The Committee's findings are binding upon the Institution subject to appeal by the respondent.
- b. This report shall also be sent to the respondent by the Vice President for Academic Affairs within ten (10) days of its receipt.

5. Resolution

- a. Finding of Absence of Academic Misconduct

All research sponsors and others initially informed of the investigation will be informed in writing that allegations of misconduct were not supported. If the allegations are deemed to have been maliciously motivated, the Committee will report those findings to the Vice President for Academic Affairs. If the allegations, however incorrect, are deemed to have been made in good faith, no additional measures are indicated and efforts will be made to prevent retaliatory actions. In publicizing the finding of no misconduct, the University will be guided by whether public announcements will be harmful or beneficial in restoring any reputation(s) that may have been damaged. Usually, such decision will rest with the person who was innocently accused.

b. Finding of Presence of Academic Misconduct

The Vice President for Academic Affairs shall consider the recommendations of the Committee and shall be responsible for determining and implementing sanctions. The respondent shall be notified in writing of the recommended sanctions within twenty (20) days. If the sanctions involve a recommendation for termination of employment, the University academic termination procedures will be invoked. The University must take action appropriate for the seriousness of the misconduct, including, but not limited to, one or more of the following, subject to existing University policies:

- 1) Institutional Disciplinary Action including:
 - a) Removal from particular project
 - b) Special monitoring of future work
 - c) Letter of reprimand
 - d) Probation for specified period with conditions specified
 - e) Suspension of rights and responsibilities for a specified period, with or without salary
 - f) Financial restitution
 - g) Termination of employment/enrollment
- 2) Notification. The Vice President for Academic Affairs is responsible for notification of the outcome to all federal agencies, sponsors or other entities initially informed of the investigation. Consideration should be given to formal notification of involved parties such as:
 - a) Sponsoring agencies, funding sources
 - b) Co-authors, co-investigators, collaborators, department, University publications
 - c) Editors of the journal(s) in which fraudulent research was published
 - d) State professional licensing boards
 - e) Editors of journals or other publications, other institutions, sponsoring agencies, and funding sources with which the individual has been affiliated
 - f) Professional societies

- 3) Interim sanctions may be imposed during the appellate process.

6. Appeal

Individuals may appeal the judgment of the Investigating Committee and/or the sanction. A written statement of the grounds for the appeal must be submitted to the President within thirty (30) days of written notification of the sanctions. Grounds for appeal include, but are not limited to, previously unconsidered material evidence, sanctions not commensurate with the finding, and failure to follow the prescribed process. Upon receipt of a written appeal, the President will evaluate the evidence and make a determination. The President shall reopen the investigation if the previously unconsidered material evidence so warrants and may reopen the investigation if circumstances so dictate. The President's decision will be conveyed to all involved in a timely fashion, but must be conveyed within thirty (30) working days. In the case of termination, the appropriate University policies on termination for cause shall be followed.

Source of Authority: Vice President for Academic Affairs

Cross Reference: None

Contact for Revision: ~~Director of Research Services~~ *Associate Vice President for Graduate Studies and Research*

Forms: None

Non-Credit Continuing Education

A-32

Original Implementation: March 9, 1978

Last Revision: ~~April 19, 1999~~–January 15, 2002

Stephen F. Austin State University's mission statement includes a service mission to focus on vital community outreach programs. To assist the University in this mission, the Division of Continuing Education in the College of Applied Arts and Sciences serves to meet the educational needs, outside the framework of traditional academic credit programs, of individuals and groups. These needs are met by offering non-academic credit short courses, seminars, workshops, conferences, institutes, and camps for personal and professional enrichment and professional accrediting agencies; University educational travel activities whether for credit or non-credit purposes (see Policy A-36, Out-of-State Travel/Study); and other special activities.

I. Role and Scope

The Division of Continuing Education is designated as the administrative unit of the University for all sponsored non-academic credit continuing education activities (exceptions are not-for-profit colloquia, symposia, art exhibitions and for free and for charge concerts, recitals, and performances). All non-credit outreach emanating from the University must comply with the Texas Education Code, chapter 54.545, entitled, Fees for Continuing Education Courses, which states that: "The board shall set the fee (for continuing education) in an amount sufficient to permit the institution to recover the costs to the institution of proving the course". Administrative units which have been awarded legislative appropriations for outreach and can assure compliance with the Texas Education Code, may establish their own designated continuing education organization with the approval of the Vice President for Academic Affairs. Centralized continuing education administration at the University is a necessity to ensure that all such efforts are financially self-sufficient, and that there is uniform compliance with University, state and federal policies, procedures, and guidelines.

A. Goals:

The overriding goals of the Division of Continuing Education are:

1. to provide life-long learning and training opportunities to the residents of the region
2. to make Continuing Education and outreach at SFA self-supporting and to enhance and enlarge the Continuing Education programming of the University
3. to compensate instructors or coordinators at the highest possible level to make it economically worthwhile to be involved in Continuing Education

B. Options:

1. An activity for which SFA/CE does not collect registration fees, but participants do pay a registration fee to the sponsor. In such cases a university facility use fee will be charged. This fee is assessed as a cost per person per day. Additional line-item charges may be levied.
2. An activity for which there is a registration fee collected by the Division of Continuing Education. In such cases a percentage of gross revenues will be assessed.
3. An activity for which there is no fee but the coordinator or programmer desires CEUs (continuing education units). The Division of Continuing Education will be a co-sponsor and not have any administrative duties except to certify that the activity is eligible for CEUs under University, state, and Southern Association for College and Schools (SACS) guidelines. A CEU certificate will be provided.

Each of the above will be determined by the Director of Continuing Education in conjunction with the Dean of Applied Arts & Sciences. Annual fee schedules will be filed with the Vice President for Academic Affairs.

II. Responsibility

The Division of Continuing Education is responsible for:

- A. assisting any department or individual in planning and implementing a continuing education activity. (Exceptions to this policy must be granted by the Vice President for Academic Affairs.);
- B. collecting and disbursing all funds involved in such activities and maintaining proper financial records in line with fiscal regulations of the University;
- C. maintaining a system of student records and preparing transcripts where applicable for professional compliance and/or certificates for CEUs;
- D. meeting the guidelines established by the University, Texas Higher Education Coordinating Board, and the Southern Association of Colleges and Schools in the awarding of Continuing Education Units (CEUs).

III. Procedures

These procedures are to be implemented in the planning of an activity through the Division of Continuing Education:

- A. Should the person in charge of an activity be a University faculty member, he/she must submit an "Activity Request Form" for approval by the respective

department chair, college dean (if activity directly is related to academic discipline of employment), and the Division of Continuing Education. If the activity is outside one's academic discipline, a vita must be submitted stating qualifications to direct the proposed activity.

- B. Should the person in charge of an activity be a University employee, but not an academic faculty member, he/she must submit an "Activity Request Form" along with a resume or vita stating qualifications to direct the proposed activity for approval by the respective department chair, manager, or administrator, and the Division of Continuing Education.
- C. Should the person in charge of an activity not be a University employee, he/she must submit an "Activity Request Form" along with a resume or vita stating qualifications to direct the proposed activity for approval by the Division of Continuing Education.
- D. Should the activity be a camp, a list of organizers must be provided along with their qualifications to direct such an event. An "Activity Request Form" must be submitted for approval by the Division of Continuing Education. The activity request shall receive timely consideration and approval if it meets the criteria for outreach/continuing education as established by University, state, and/or SACS. The applicant will be contacted if changes are proposed or necessary. Issues of pricing, timing, market, instructor credentials, space availability, and academic compatibility are issues to be reviewed.

When the activity request is approved, the person in charge of the activity should plan with the Division of Continuing Education as to the services needed. Services include, but are not limited to:

- 1. Designing and printing of the brochure/program
- 2. Mailing and advertising
- 3. Securing facilities
- 4. Conducting pre-registration
- 5. Collecting fees
- 6. Conducting on-site registration
- 7. Securing equipment, materials, and supplies
- 8. Providing official registration and attendance forms
- 9. Granting of CEUs
- 10. Acting as fiscal agent of event/activity, including:
 - a. Purchasing
 - b. Payments
 - c. Receipts
 - d. Accounting
 - e. Stipends
 - f. Payroll issues and compliance

E. Travel

1. All organizers of non-academic travel activities offered through the Division of Continuing Education must file an "Activity Request Form" with the Director of Continuing Education. The organizer will list on the form the stated objectives of the travel activity, showing goals that are compatible with the University and the Division of Continuing Education.
2. The agreement with the travel agency, carrier or vendor shall contain a clause that specifies that transportation, lodging, and food services are the responsibility of the carrier and not the University. Model statements may be obtained from the Director of Continuing Education and must be attached to the "Activity Request Form."
3. All other considerations of an activity with travel as its principal focus are found in Policy A-36, Out-of-State Travel/Study.

IV. Fiscal Considerations

The following items shall apply to the fiscal planning for all activities under the Division of Continuing Education, which must be self-supporting:

- A. Fees: Registration or enrollment fees should be set at a level to cover the cost of the activity and include reasonable fees for operating overhead of the Division.
- B. Material and supplies: Requisitions to purchase necessary materials and supplies must be submitted to the Division of Continuing Education for processing. All purchasing requisitions shall comply with state and federal laws, rules, and regulations regarding competitive procurement. If materials are already on hand, an IDT will be processed to reimburse the department for the expense.
- C. Promotion: As soon as the activity is approved, requisitions for printing, activity advertising, and public relations should be submitted to the Division of Continuing Education for processing according to University and state regulations regarding competitive procurement. The Division of Continuing Education will contact Purchasing and the Office of Public Affairs on behalf of the activity. Any activity with a general audience appeal will be assessed a pro-rata fee for newspaper advertising.
- D. Budget: A budget will be prepared to be used as a basis for setting the registration fee. Every event is intended to provide sufficient revenue to cover all direct costs, including stipends, benefits, and overhead. Should insufficient enrollment occur, the event will be canceled. Under some circumstances an event may be conducted with insufficient enrollment if the instructor agrees to a reduced stipend (the intent is to recoup other expended funds on creating the event).

- E. Stipends: The basis and rate of pay will be negotiated with the coordinator or instructor of an activity and will be confirmed in a letter of agreement. Depending on the nature of the activity, a percentage of revenue or an hourly instructor fee with some preparation time included will be negotiated. Payments may be made to instructors, coordinators, sponsoring departments, or other entities all to be established in advance in the "Activity Request Form".

The Division of Continuing Education will follow University, state and federal regulations regarding payment of stipends/compensation to those involved with the activity. Determination will be made as to status independent contractor, employee of the University, etc., and processed accordingly. All full-time University employees are subject to payroll taxes, insurance/retirement deductions if appropriate. Part-time employees are subject to payroll taxes and other appropriate deductions, i.e., state retirement contributions, if employed by other state agencies or public school systems.

- F. Financial Records: As soon as all revenues are collected and all expenses paid, the Division of Continuing Education shall prepare a financial statement for the activity. A copy will be furnished to the person in charge. Confirmation of surplus/deficit (net income before stipends) will be noted by the instructor or coordinator. All fiscal policies of the University will be followed in revenue/expense processing. Request for stipend payments will be made in accordance with University procedures.

- G. Facilities: Dedicated space for the Division of Continuing Education consists of offices located at 541 E. College and Room 421, Liberal Arts North. All other facilities must be arranged with respective building managers. Should additional clean-up, repairs, etc. be required, these should be included in the budget of the continuing education activity.

The Division of Continuing Education is authorized to contract for non-University facilities.

- H. Refunds: The following refund policy shall be published at least once each fiscal year and distributed to the participants upon request.
1. Registrants who withdraw prior to beginning of the activity will receive a refund minus a processing fee (\$100 or less, a 10% fee; over \$100, a 5% fee)
 2. No refund will be granted after the activity begins.
 3. Should the activity be canceled by the Division of Continuing Education, a full refund will be given.
 4. Substitutes for registrants may attend provided that notification is received by the Division prior to the start of the activity.

5. When activities include meals, the cost of food service will also be deducted from the refund if notice is not received 48 hours in advance of the beginning of an event.
 6. Under special circumstances non-refundable deposits may be required.
 7. With less than projected enrollment, the activity may be postponed, rescheduled or canceled.
- I. Audio-visual Equipment: All audio-visual equipment must be requested from the Division of Continuing Education. If such is available, a fee schedule will be used to determine actual cost of usage. Wear and tear, bulbs, etc. must be replaced. These charges are in addition to the Continuing Education overhead percentage.

V. Income and Expenditure Distribution

A. All Continuing Education activities distribute revenue as follows:

1. Division of Continuing Education overhead is set by the activity
2. Instructor/coordinator stipend is set by a letter of agreement
3. Materials/supplies are itemized at actual expense
4. Advertising/promotion is set at \$10 plus actual expense
5. Production is itemized at actual expense
6. Other costs are itemized according to a schedule of actual expense

B. Facility Use Fees:

A facility use fee may be charged in lieu of overhead expenses to cover the use of state facilities, equipment, or staff.

C. Deposits:

The Division of Continuing Education may require a security/guarantee deposit of 10% of expected activity expenses or \$500, whichever is greater. The security deposit is required for, but not limited to, activities where expected expenses exceed \$5,000, and shall be paid six months, or as soon as practical, prior to the activity date. The security deposit, minus any incurred activity expenses, is refundable up to three months prior to the activity. Cancellation within three months of the activity date forfeits refund of the deposit. Upon completion of the activity, the deposit will be applied toward financial obligations. The Director may modify or waive the security

deposit for individual activities. University sponsored activities are exempt from security/guarantee deposit.

D. Pre-Payments and Advances:

1. Some activities may require pre-payment of enrollment/registration fees to confirm registration. Registration is complete upon receipt of payment.
2. In the event an instructor or coordinator is given an advance on expected income from an activity, and it is determined, upon completion of the activity and the final expense report, that the instructor or coordinator was over-compensated, the full amount of the overpayment must be returned to the Division of Continuing Education within 15 days.

Source of Authority: Vice President for Academic Affairs, Texas Education Code

Cross Reference: None

Contact for Revision: Vice President for Academic Affairs

Forms: Activity Request and Approval Form (Available in the Division of Continuing Education)

Out-of-State Travel/Study

A-36

Original Implementation: September, 1981

Last Revision: ~~July 27, 1999~~ January 15, 2002

Out-of-state travel courses are those courses whose fundamental content is based on the use of natural or cultural resources found outside the state and in which a majority of instruction is delivered out-of-state. They do not include courses delivered on campus in which incidental travel to another state for enrichment activities occur.

Requests for courses involving out-of-state travel must be routed, using an "Out-of-State Travel/Study Course Request Form", for approval via the instructor's department Chair, college Dean, the Director of Continuing Education, the Dean of Applied Arts and Sciences (who is out-of-state travel/study coordinator *and responsible for submitting course requests to the THECB*), and the Vice President for Academic Affairs.

1. The approval process consists of two stages.

a. Tentative approval prior to formal arrangements and an agreement with a licensed carrier or travel agency if required. Criteria for approval shall be those set by the Texas Higher Education Coordinating Board and stated as follows:

(1) No courses which offer credit primarily for travel, recreation, or pleasure may be authorized.

(2) No out-of-state classes may be offered to serve non-Texas residents unless they are degree candidates at Stephen F. Austin State University, and they must be charged the non- resident or foreign student tuition as established by law.

(3) No student may be eligible to enroll in an out-of-state class unless the student has satisfied all University and degree program admission requirements and has paid all appropriate fees.

(4) All courses must be in the approved course inventory and be applicable to a program approved by the Coordinating Board.

(5) In accordance with THECB Rules: (Chapter 5, Subchapter H, *and Memorandum of Reporting Out-of-State and Out-of-Country Courses dated April 10, 2001*) each public institution wishing such approval shall submit its request on an "Out-of-State Resident Credit Course Request" form. For each course or group of related courses, the institution must attach a statement describing in detail how the course or group of courses will utilize academic, cultural, or physical resources not reasonably available in Texas.

(6) The instruction in all authorized out-of-state classes must conform to all relevant academic policies at SFASU. All courses must conform to the University's workload and enrollment requirements, its contact hour/credit ratio, and similar matters.

(7) If a course is to be taught by adjunct faculty (anyone other than regular University faculty), a statement must be attached describing the unique qualifications of personnel to be employed at the out-of-state site.

(8) Motivation for the offering of courses must be educational, not entrepreneurial, and may not result in improper advantage or financial gain for participating faculty and staff. Out-of-state classes must emphasize their instructional nature. Any course advertised or marketed to create the impression that it is primarily a credit-for-travel experience will be disallowed.

(9) Any free tickets for travel, accommodations, or other expenses provided by travel agents, carriers, or hotels must take the form of payments to SFASU and not be made as gifts to faculty members or their families. Except for funds specifically appropriated for international activities (e.g., state incentive programs, scholarships, etc.), state funds will not be used for faculty and student travel, meals and lodging, or other incidental expenses.

(10) Financial aid must be available to students registering for out-of-state classes on the same basis as it would be for such students seeking financial aid for on-campus instruction. Additional student financial aid may be furnished by the University as appropriate.

(11) Minimum class enrollments will conform to the same standards applicable were the class to be offered on-campus.

b. Final approval based upon the submission of a total itinerary, plan of study and copies of promotional brochures to be used. The rationale used for final approval will consist of a written explanation of how the course will involve cultural, intellectual, academic or natural resources not accessible in Texas or produced via standard laboratory exercises.

2. Deadlines for approval are as follows:

a. Tentative approval

(1) Fall semester: Prior to February 1

(2) Spring semester: Prior to June 1

(3) Summer semester: Prior to November 1

b. Final approval and submission to the Coordinating Board

- (1) Fall semester: May 1
- (2) Spring semester: September 1
- (3) Summer semester: February 1

3. The agreement with the travel agency carrier, or vendor shall contain the following clause specifying that transportation, lodging, and food services are the responsibility of the carrier and not the University:

Stephen F. Austin State University and its representatives shall assist the tour members in making arrangements for hotels, transportation, sightseeing, restaurants, or any other services in connection with the itinerary, and the University and its representatives shall exercise reasonable care in making such arrangements. The University and its representatives shall not, however, assume any liability whatsoever, for any injury, damages, loss, delay or accident to person or property due to any act or default of any hotel, carrier, restaurant, company, or person rendering any of the services included in the tour. The tickets, coupons, rules, tariffs, or contracts currently in use by any carrier, hotel, restaurant, or other contractor, rendering service, shall constitute the sole contract between such contractor and the tour member. Further, (Tour Agent) and Stephen F. Austin State University accept no responsibility for any damage or delay due to sickness, pilferage, labor dispute, machinery breakdown, quarantine, government restrictions, weather, or any cause beyond their personal control. The right is reserved to cancel or change itineraries, or substitute services without notice and to decline to accept or retain any tour member at any time. Additional expenses, if any, shall be borne by the participants. The airlines concerned and their agents or affiliates, are not to be held responsible for any act, omission, or event during the time passengers are not on board the aircraft. The passenger ticket in use by said airline shall constitute, when issued, the sole contract between the airline and the purchaser of these tickets and/or for the passenger. Air fares are subject to change without notice. The services of any IATA carrier may be used for these tours, and transportation within the USA may be provided by any member carrier of the Air Traffic Conference of America. In view of the statutory or contractual limitations which may apply to personal injury or losses or damages to property, the purchase of accident and baggage insurance is strongly recommended.

4. The brochure that is distributed to prospective students must contain a clause which specifies that where there is a contract for transportation, lodging and food, the student's contract is with the travel agency or carrier. The University is responsible for instruction and credit only.

5. All student deposits for reservations for a course involving contract travel will be deposited with the Division of Continuing Education. After the deadline for reservations has passed, a check will be drawn payable to the agency or carrier, or if the course does not make, refunds will be made to students. For those courses not using contract travel, deposits must be made immediately on receipt to the appropriate University account.

6. All purchases are subject to the state bid procedures. Trip directors must submit requests for bids or justifications for contracts with specific vendors or agents.

7. The salary of the instructor will be paid in one of the following ways:

a. The instructor's regular salary will be paid from the department's budget, or

b. The instructor's salary will be paid through the College of Applied Arts and Sciences prorated on the basis of enrollment, not to exceed his/her regular salary.

8. There will be no travel allowance for the instructor unless specific exception is made by the Vice President for Academic Affairs.

Source of Authority: Texas Higher Education Coordinating Board, President, Vice President for Academic Affairs

Cross Reference: None

Contact for Revision: Vice President for Academic Affairs

Forms: Out-of-State Travel/Study Course Request Form (available in Division of Continuing Education)

Regents Professors

A-38

Original Implementation: October, 1979

Last Revision: ~~July 27, 1999~~-January 15, 2002

Each year at its spring meeting, the Board of Regents recognizes one or two truly outstanding faculty members as Regents Professors for the coming academic year. These professors receive a monetary award to be used in support of their activities in that year and are recognized at the spring commencement ceremonies at the end of their term, at which time they are presented a medal.

Only tenured full professors are eligible for nomination for Regents Professor.

1. A nomination shall be made by a tenured faculty member of the University in writing to the department Chair and shall consist of the resume and supporting documents that can be contained in one 3 inch, 3 ring, notebook.

~~2. A nomination shall be submitted without regard to the distinction between teaching and research.~~

32. Previous recipients shall serve as a review panel and individually and independently submit a ranking of nominees to the Vice President for Academic Affairs.

43. Nominations shall be reviewed by the Council of Deans, which shall recommend the nominees who best represent teaching and/or research of exceptionally high quality.

54. The Council of Deans shall make its recommendations, in turn, to the Vice President for Academic Affairs, the President, the Chair of the Academic Affairs Committee of the Board of Regents, and the full Board. Should the Council of Deans conclude that nominees do not meet the expectations for a Regents Professorship, it shall recommend that the honor not be bestowed.

65. Recipients shall be chosen by the Board of Regents.

~~During the course of their initial year as Regents Professors, recipients shall be available for consultation to the academic community.~~

Source of Authority: Board of Regents, President, Vice President for Academic Affairs

Cross Reference: None

Contact for Revision: Vice President for Academic Affairs

Forms: None

Underenrolled Classes

A-46

Original Implementation: November 4, 1977

Last Revision: ~~January 19, 1999~~ January 15, 2002

1. *This policy applies to courses whose primary mode of instruction is lecture, laboratory, or seminar.*

12. Underenrolled classes are ~~organized~~ undergraduate classes with less than 10 registered students and ~~organized~~ graduate classes with less than 5 registered students. ~~Organized classes are classes whose primary mode of instruction is lecture, laboratory, seminar, or group television. Minimum enrollment requirements for off-campus, face to face courses are addressed in Policy A-34: Off-Campus Courses.~~

23. No underenrolled classes shall be offered in any term except as authorized by the Board of Regents of Stephen F. Austin State University.

34. Only underenrolled classes that meet one or more of the following requirements may be authorized to be taught as small classes:

- a. ~~Required course~~ *A course required for graduation.* (The course is not offered each semester or term, and if cancelled may affect the date of graduation of those enrolled.)
- b. ~~Required~~ *A course required of majors in this field and that should be completed this in a given semester (term) to keep proper sequence in courses.*
- c. ~~Course~~ *A course in a newly established degree program, concentration, or support area.*
- d. Interdepartmental (cross-listed) courses taught as a single class by the same faculty at the same station, provided that the combined courses do not constitute a small class.
- e. ~~The First~~ *first time offering of the a course.*
- f. ~~A course the Class~~ *class size of which is limited by accreditation or state licensing standards.*
- g. ~~A course the Class~~ *class size of which is limited by availability of laboratory or clinical facilities.*
- h. ~~A class Voluntarily~~ *voluntarily offered by a faculty member in excess of the institutional teaching load requirement and for which the faculty member receives no additional compensation.*
- i. ~~Sections of courses required by state law or regulation to be offered (e.g., ENG 099, MTH 099).~~

4. An underenrolled class of the same course may not be offered in consecutive semesters or summer terms.

5. The University shall file with the Coordinating Board through its uniform reporting system a small class report as required by state law or agency regulations.

Source of Authority: Texas Education Code, sec. 51.403 et seq.; Board of Regents; President; Vice President for Academic Affairs

Cross Reference: Faculty Handbook

Contact for Revision: Vice President for Academic Affairs

Forms: None

Student Evaluation of ~~Faculty~~ Instruction

A-48

Original Implementation: April 20, 1999

Last Revision: ~~None~~ January 15, 2002

All courses taught by each faculty member (part-time, adjunct, teaching assistants) shall be evaluated at least once a year by students in the courses. Courses evaluated will be those taught in the fall and/or spring semesters. The purpose of the evaluations shall be (1) to assist each faculty member in the continuous improvement of his/her instruction and (2) to assist faculty and Chairs/Directors in making recommendations related to personnel decisions. The format/instrument for evaluation shall be one(s) agreed upon by individual colleges. There is no requirement for a common university evaluation instrument. At the discretion of each faculty member, the evaluations may be made either in the fall or spring except that the academic departmental/divisional Chair/Director shall have the right to arrange all evaluations so as to achieve an equal balance by semester or to meet accreditation requirements.

Procedures

1. The evaluations shall be conducted during the last three weeks preceding final examinations.
2. The academic departmental/divisional Chair/Director shall arrange for the evaluations of all of his/her faculty members *courses*.
3. The evaluation of each course shall be administered by a person designated by the departmental/divisional Chair/Director.
4. A monitor shall remain in the classroom or laboratory until all instruments have been completed. Then he/she shall gather all instruments and deliver them to the appropriate departmental/divisional Chair/Director.
5. The Department Chair will report the results of the evaluation to the individual faculty member after grades are recorded on students transcripts.
6. Information contained in the student evaluation shall be incorporated into the *annual faculty* evaluation process used by the departmental/divisional Chair/Director, College Dean, the Vice President for Academic Affairs, and the President.

Source of Authority: Vice President for Academic Affairs

Cross Reference: Faculty Handbook

Contact for Revision: Vice President for Academic Affairs

Forms: None

Semester Grades

A-54

Original Implementation: January 25, 2000

Last Revision: ~~none~~ January 15, 2002

I. Recorded Grades

A student's grades are determined by daily work, oral and written quizzes, and a final examination. Faculty members may use a variety of factors including class attendance to establish a final grade for the course. (See Policy Statement A-10). A grade of A indicates excellent; B, good; C, average; D, passing; F, failure; *QF, quit failure*; WH, incomplete or grade withheld; WF, withdrew failing; WP, withdrew passing. WP and WF are assigned only when a student has withdrawn from the University after mid-semester or with special approval of the student's academic dean. No grade can be taken from the record unless put there by mistake. Specified courses are graded on a pass (P)/fail (F) system with no other grades awarded. ~~A student who makes an F can get credit only by repeating the work. A student who desires to repeat courses in order to improve his/her GPA at SFA must repeat those courses at SFA.~~

II. Withheld Grades

Ordinarily, at the discretion of the instructor of record and with the approval of the department chair, a grade of WH will be assigned only if the student cannot complete the course work because of unavoidable circumstances. Students must complete the work within one calendar year from the end of the semester in which they receive a WH, or the grade automatically becomes an F. *Students may not attend sections of a course in future semesters to complete a WH grade. Limited course visitation may be arranged with the permission of the instructor. When students register for the same course in future terms the WH will automatically become an F and will be counted as a repeated course for the purpose of computing the grade point average.*

III. Grade Point Average

A grade of A gives the student four grade points per semester hour; B, three grade points; C, two grade points; D, one grade point; and F, *QF, W, WH, WF, and WP*, no grade points. The grade point average (GPA) is determined by dividing the sum of the grade points earned at SFA by the total number of *quality* hours attempted at SFA, *subject to the following exceptions: grades of W, WH, P, and WP are not counted. In addition, the repetition of a course may affect the grade point calculation as explained in Section IV, Repeat Grades.* ~~excluding P hours.~~ (See below for special exceptions.)

~~An undergraduate student who desires to repeat courses in order to improve his/her grade point average at SFA must repeat those courses at Stephen F. Austin State University. The following rules apply:~~

IV. Repeat Grades

A student who makes an F can get credit only by repeating the work. An undergraduate student who desires to repeat courses in order to improve his/her GPA at SFA must repeat those courses at SFA.

A. For any course that is repeated once at SFA, the higher of the two grades will be used to determine the GPA.

B. If a course is repeated more than once at SFA, all grades earned for that course will be used to determine the GPA. Credit hours for courses taken at other institutions to replace credit hours earned at SFA may be used to meet graduation credit hour requirements, but grades from transferred courses will not change the GPA based on courses taken at SFA. Only grades earned at SFA will be used for calculating GPA.

Source of Authority: Vice President for Academic Affairs

Cross Reference: General and Graduate Bulletins, Class Attendance and Excused Absences, Index A-10

Contact for Revision: VPAA

Forms: None

Camp and Conference Reservations

B-4

Original Implementation: 1987

Last Revision: ~~January 30, 2001~~ January 15, 2002

Each year Stephen F. Austin State University is host to a variety of camps, clinics, workshops, and conferences. To facilitate the many and varied requests of these groups, the Coordinator for University Reservations and Conferences, referred to in this booklet as the Coordinator, located in the University Center, room 110, is available to assist Camp Directors in arranging housing, meal tickets, meeting space, insurance, parking permits, and banquets. A camp as referred to in this document refers to all special programs, camps and conferences.

Eligibility

Any camp or conference requesting use of University facilities must have a University sponsor. If profit-making agencies are involved with the program, the sponsoring organization must receive prior approval from the Vice President for Business Affairs to conduct the camp. All adult, non-credit groups or University groups awarding Continuing Education Units must be sponsored through the Department of Continuing Education.

It is the responsibility of the sponsoring individual or organization to ensure that programs and activities conducted in the University Center or at other locations on the University campus are in compliance with the Americans with Disabilities Act.

Age of Participants

Camp participants under ten (10) years of age are not permitted to stay over-night in the residence halls unless accompanied by parents and under close supervision at all times.

Request for Camp/Conference Facilities

The first step for the Camp Director will be to submit a completed "Camp/Conference Reservation Contract" to the Coordinator (see appendix for sample). The form should be completed with estimates of size of the camp. Housing, meal cards, meeting space and other requests will be reserved according to the stated needs on this form. Completion and return of these forms as early as possible will help assure that each specific need will be met. Some areas are limited and will be supplied on a first-come, first-serve basis. A packet containing passes, tickets, insurance forms and instructions will be assembled and should be picked up at the Coordinator's office two (2) weeks before the scheduled camp date.

Insurance Requirements

It is the responsibility of the sponsoring department to ensure that each group has appropriate liability coverage.

All non-credit participants spending the night in University residence halls must be insured. A per camper/night fee will be assessed at the completion of the camp and billed to the proper

account. A list of names of all participants to be insured must be submitted to the office of the Coordinator on the first working day of the camp session. Completing insurance forms are the responsibility of the Camp Director. Forms returned because of insufficient information are also the Camp Director's responsibility.

Health Clinic

A medical release and consent form (see appendix for sample) must be completed and signed by the parent/guardian of each camper under age 18. Neither the clinic nor local hospitals will treat a minor student without this release form in hand. The Camp Director is responsible for having these forms signed and readily accessible at all times in case of an emergency.

Claim forms are available from the Coordinator as needed. The attending physician/professional will forward the claim form to the insurance carrier following a medical visit. No claim will be processed without the signature of a camp official.

A camp official must accompany a student camper to the University Health clinic, local hospital emergency room, or pharmacy.

Emergency Phone Number

All camp participants should be informed that a campus 911 number is available to them should an emergency take place.

Parents of participants should be informed of the twenty-four (24) hour emergency phone number (936) 468-2608 at the University Police Department.

Billing Procedures

Billing for summer camps will be handled through the Coordinator's office. Costs for meals, housing and insurance will be negotiated each year and the projected costs made available upon request. An account number or billing address should be supplied at the time of the original camp reservation. After the camp is completed, one total bill for lodging, damages, lost keys, meals, special banquets, SFA food service deliveries and pick-ups, insurance, and other applicable costs will be assessed and billed to the camp account. Any damages, etc. discovered after the close of the camp will remain the Camp Director's responsibility.

Camp cancellations must be made ***in writing*** to the Coordinator. Cancellations within one month to two weeks prior to the starting date of the camp will incur a \$100dollar cancellation fee. There will be a \$150 per day charge for each day that the camp was scheduled when the cancellation is made within two weeks of the beginning date of the camp.

Housing

The Camp Director should estimate as closely as possible the number of students and counselors needing University housing for the camp session. Space will be reserved as per the reservation

completed by the Camp Director. Concurrent camps may result in two or more groups occupying the same residence hall. In the event that this becomes necessary, the Camp Director will be allowed the opportunity to request additional facilities. The request for additional facilities will be granted if housing facilities are available. Additional fees will be charged for this service and will be established according to the type of facility requested.

Before the camp session, the Camp Director will receive lists of final hall assignments, summer Hall Directors and their current phone numbers. Two weeks before the camp session the Housing Department will send floor plans, roommate lists, information specific to the building such as rooms being used for storage and not available to campers, and the current phone number for the Hall Director. The Camp Director should contact the Hall Director as soon as the lists are received and should keep the Hall Director updated on changes and special needs the camp may have in the hall.

If it is necessary for a camp to have camp staff or campers arrive one night early or check out one day later than the main camp, the early arrivals/late checkouts may be housed in a different facility for this time. Any early arrivals or late checkouts must have authorized supervision.

Final Arrangements

At least two (2) weeks prior to the start of the camp session the Camp Director should contact the Hall Director assigned to the camp to finalize arrangements. Issues to be discussed include early arrivals, pre-camp inventory of the residence hall, check-in and checkout procedures, room assignments, storage of equipment, late departures and end of conference inventory of the residence hall.

The SFA Housing Department is responsible for the overall cleaning of the residence halls, but it is the Camp Director's responsibility to make sure campers posters, trash and other items are removed from the rooms and taken to the dumpster. The Camp Director is responsible for removal of any writing on walls, mirrors or doors prior to departure.

Housing damages and lost key charges are assessed after the group has left the residence hall, but remain the Camp Director's responsibility. (See Damages for more information) Groups meeting in the lobbies of the residence halls are responsible for the general cleaning of these areas. Food deliveries are not permitted after the front desk closes.

Participants may not use hallways, floors, or rooms other than those assigned to the camp.

Special Accommodations

Any camper or conference attendee that will need special accommodations due to a disability should contact the Coordinator prior to arrival on campus.

The Camp/Conference Director Responsibilities

(Participants as presented below refer to all individuals associated with the camp/conference including campers, instructors, staff and guests).

The Camp/Conference Director:

1. Will provide counselors and staff for the camps, preferably one counselor per ten campers. Campers should be supervised during any free time.
2. Inspects residence hall facilities immediately prior to and after the camp session;
3. Advises participants of appropriate check-in and checkout procedures including charges for damages and lost keys;
4. Familiarizes participants with University policies, especially those pertaining to fire and emergency evacuation procedures, appropriate conduct, possession of controlled substances and fire arms, and authorized entry into rooms;
5. Maintains discipline of all participants;
6. Cooperates with the residence hall director and staff who are responsible for the safety, security and maintenance of the building;
7. Collects and has readily available all Medical Release and Consent Forms on all participants;
8. Informs the University in advance of early and late arrivals;
9. Completes insurance forms at the time of treatment;
10. Handles insurance forms returned for lack of student information;
11. Furnishes the coordinator with a camp roster as soon as possible but no later than twenty-four (24) hours after camp check-in begins.
12. It is the responsibility of the sponsoring individual or organization to ensure that programs and activities conducted in the University Center or at other locations on the University campus are in compliance with the Americans with Disabilities Act.

The Hall Director's Responsibilities

The Hall Director is responsible for supervising the SFA residence hall staff. He/she will develop a comprehensive work schedule, *assist with distribution of issue keys and make room assignments as needed to provide the best possible service to conference guests.* The hall director will be available to assist the Camp/Conference Director in providing adequate supervision and disciplinary guidelines to campers.

After camp completion, the Hall Director will be responsible for submitting to the Housing Department the final count of rooms/beds used.

The Hall Director:

1. Acts as a daily contact person to assigned groups;
2. Prepares staff for handling emergencies and familiarizes them with overall building layout (elevators, fire alarms, etc.);
3. Interprets, supports, and enforces University policies, procedures, and regulations;
4. Completes work orders and maintenance requests as needed for efficient hall maintenance;
5. Completes administrative paperwork as required by the Residence Life Office or the Housing Department.
6. Assesses all Housing charges at the Conclusion of the conference.

Hall Director Phone List

Units	6620	Wilson	4906
Wisely	38242663	Hall 14	5408
Todd	4907	Griffith	5401
North	52072644	Hall 16	5100
Hall 10	4708	Steen	4607
Mays	4707	Kerr	5306
South	49032793	Hall 20	2671

The Hall Director reports to the Coordinator of Residence Life.

The Residence Hall Staff's Responsibilities

The residence hall staff, under the supervision of the Coordinator of Residence Life and the day-to-day responsibility of the Hall Director, will assist in summer camp programs.

The Hall Staff:

1. Cooperates with the Hall Director in the operation of the residence hall;
2. Assists with check-in and preparation of facilities for each camp;
3. Assists with checkout and inspection of rooms at the close of each camp ;
4. Performs desk responsibilities during assigned desk hours, gives information, checks guests in and out, issues keys, takes messages, and/or any other duties deemed necessary;

5. Serves as a referral/resource person to camp participants;
6. Assists in acquainting Camp Director with University policy, emergency procedures and facilities lay-out;
7. Maintains necessary reports and an accurate accounting of money, keys, maintenance requests, damages, etc.;
8. Is accessible in emergency situations;
9. Maintains duty hours as assigned by the Hall Director;
10. Attends staff meetings as assigned by the Hall Director; and,
11. Performs other duties as assigned by the Hall Director.

Residence Hall Rules and Regulations

Agenda/Schedule. A copy of the agenda or schedule for each conference group must be left with the Hall Director to assist the residence hall staff in directing student during their stay.

Alcohol. Alcohol is not allowed in residence halls at any time.

Cleaning Fee. Cleaning charges may result if the participant leaves the room in any condition that requires custodial personnel to be called in for extra cleaning or the removal of trash from the building.

Controlled Substance. Unlawful use, manufacture, possession, or delivery of any controlled substance or dangerous drug is prohibited in residence halls.

Damages. The camp will be charged for any damages to the residence hall or its furnishings. Attaching signs or posters to the doors or the walls with tape may result in damage charges. The University is not responsible for any damage to a camper's room as a result of theft, vandalism, or maintenance failure. The Housing Department encourages a representative from each group to conduct a walk through inspection of each room prior to the arrival of the camp. All pre-existing damages should be noted at that time. The Hall Director will be available to inspect each room with the Camp Director upon request. The Camp Director is responsible for removal of any writing on walls, mirrors or doors prior to departure. Housing damages and lost key charges are assessed after the group has left the residence hall, but remain the Camp Director's responsibility.

Desk. The desk will be open from 10 a.m. until the Camp curfew (no later than midnight). Messages for camp participants received by desk attendants will be posted in a central location and not delivered to individual rooms. The Hall Director will unlock the front doors at the time requested by the camp director. The front door will be locked at midnight, or earlier if requested.

Any one that is locked out of the building may use the emergency phone located next to the door to contact the University Police Department for admittance to the building.

Desk Deliveries. Deliveries of prepaid merchandise may be made to the residence hall desk while it is open. Desk assistants will notify participants of a delivery, but shall in no way be made accountable for such items. Occupants will be contacted for deliveries when payment is needed.

Discipline and Supervision. It is the responsibility of the Camp Director or camp staff to administer discipline to participants who violate camp or University regulations. On occasions when camp personnel are not available, residence hall personnel will temporarily handle the situation. In cases of chronic or severe discipline problems, the residence hall director reserves the right to recommend that a camp participant be sent home. Violation of federal, state or municipal law will require the involvement of the University Police Department. All camps must provide on - site camper supervision throughout the duration of the camp. This includes overnight supervision within the residence hall.

Emergency. In case of an emergency call 911 or University Police at (936) 468-2608.

Entry-Authorized Entry Into Rooms. Entry into a residence hall does not normally constitute a search. University personnel and the camp staff may enter a room to remove a potential fire, safety, or health hazard; to perform maintenance; to correct situations intruding upon the comfort of others (a phone or alarm clock continuously ringing, loud radios, etc.); to retrieve items upon request of the participant's immediate family; and to retrieve the personal belongings of other individuals where there is no apparent dispute to ownership of the property.

All other situations which would require entry into a room should be coordinated with the Hall Director who may consult with University Police.

Evacuation Procedures. All persons are required to evacuate a building when an emergency alarm is activated. If an alarm sounds, each person must leave the room and proceed to the nearest clear exit. Stairwells must be used instead of elevators. If the camper is unable to exit the room, a towel, sheet, or similar item should be placed outside the window, so that emergency personnel will know that someone is in the room. Camp Directors may request that a fire drill be scheduled during the camp by contacting the Hall Director prior to arrival.

Facility Sharing. In order to be more energy efficient, two or more camps may be scheduled in the same facility.

Firearms. Possession or use of weapons or explosives (such as pistols, rifles, shotguns, firecrackers, cherry bombs, or any weapons prohibited by laws of the state of Texas) in University-owned-or-controlled buildings is prohibited.

Fire Safety. No incense or candles may be burned in residence halls. If an extinguisher is maliciously discharged, a fee for refilling the extinguisher and for clean-up will be assessed. Transmission of a false alarm is a violation of state law and violators will be prosecuted.

Gambling. Gambling in any form is prohibited.

Games. Because of potential physical harm or residence hall damage, active games such as running and the use of frisbees, footballs, ice or water fights etc., are not allowed within residence halls. It is the responsibility of the camp to store the equipment for the camp such as basketballs, etc.

Guests With Disabilities. Conference guests that need any special accommodations should contact SFA's Camp Coordinator prior to arrival.

Housekeeping. Housekeeping staff are on duty Monday through Friday. Common areas of the residence halls and community bathrooms are cleaned daily. Cleaning of individual rooms and trash in individual rooms is the responsibility of the camper. Any housekeeping concerns should be reported to the front desk.

Keys. ~~Individual~~ *K*-keys are issued *according to the Camp Director's request and University Policy to each camper* at the time of check-in. Keys must be turned in to residence hall staff at checkout. A replacement fee will be assessed for each key that is not returned at the end of the camp session. This charge covers the cost to change the lock and make a new set of keys. Camp officials will not be issued master or front door keys to any building. *In the event a camper is locked out of a room, Camp Staff will be asked to confirm the identity and room assignment of the camper before a new key is issued. Each Camp Director will develop the camp procedure for lockouts.*

Laundry Facilities. Coinless washing machines and dryers are located in each residence hall.

Lost and Found. Lost and found items should be turned into the front desk. At the end of each camp, the Camp Director may pick up any lost and found items. Anything left over from the camp will be turned into the ~~sponsoring department~~ *University Center Information Desk* on campus. SFA cannot be responsible for lost or stolen items.

Maintenance. Any maintenance problems should be reported to the Hall Director or desk personnel. Abuse of elevators, televisions, laundry machines or ice equipment or other excessive maintenance charges may be billed to the camp.

Medication. The residence hall staff will not dispense any type of medication to a camper. Contact the SFA health clinic at (936) 468-4008 if a camper will need assistance with medication during the camp session.

Movies. No movies may be shown in the residence hall lobbies due to licensing law restrictions.

Pets. No pets are allowed within the residence halls.

Public Areas. Eating, drinking and smoking are not permitted in the lobbies, hallways, laundry rooms, community baths or other public areas. Pizza parties etc., should be held outside or the food distributed and the campers dispersed to their rooms.

Roommates. The Camp Director will handle all roommate problems. If a room change is necessary, consult the Hall Director.

Smoking. No smoking is allowed in the residence halls or on the front porches during camps.

Storage. Rooms used for reasons other than living space will be charged the private room rate, (i.e. storage, offices or conference rooms).

Telephones. The University does not furnish telephones for individual residence hall rooms. Camp staff members are encouraged to bring telephones. Local telephone service is provided in each room. Dial 9 for an outside line. In order to place a long distance phone call, a telephone calling/credit card must be used. Incoming collect calls may not be accepted. The phone number is printed on the telephone jack.

Trash Policy. The SFA Housing Department is responsible for the overall cleaning of the residence halls, but it is the Camp Director's responsibility to make sure campers' posters, trash and other items are removed from the rooms and taken to the dumpsters located outside of each building. The Housing Department will furnish each camper with a plastic trash bag when they check into the building and large bags at the end of each camp to gather all of the smaller bags for removal from the building.

Vending. Vending machines are provided for the convenience and enjoyment of the camp participants. Empty or malfunctioning machines should be reported to the front desk as soon as possible. Camp participants who lose money in the machines should report to the U.C. Business Office, located in the basement of the University Center, for a refund.

Windows. Windows in residence halls must be closed at all times for air conditioning systems to function properly. Window screens may not be removed by residents.

Dining Service

Meal tickets to be used by camps will be printed and enclosed in the camp packet according to the estimated number stated on the reservation form. As a general rule, extra meal tickets will be included to handle lost and damaged cards. Meal cards are numbered for use in assignment. If a card is lost, the Coordinator's office should be notified immediately and SFA Dining Services will be alerted to watch for the lost card. SFA Dining Services will charge the group for actual meals eaten. There will be a charge for failure to notify reservations if the group misses a meal. The count will be taken at the cafeteria register and that count will be considered final, should a dispute arise.

To facilitate quick access to the cafeteria when several large groups are on campus simultaneously, meal times will be staggered. From the information provided on the reservation

form, Food Services will be notified of the first and last scheduled meals to be eaten in the cafeteria and whether or not the group will be missing a meal. If the group misses a meal and the Coordinator was not notified, a 75% minimum charge will be assessed. Special banquets in the University Center can be arranged through the Coordinator's office according to University Center policies.

HPE Facilities

~~If the pool is to be reserved for a specific camp, arrangements must be made through the Coordinator's office. The pool cannot be reserved during regular SFA swim hours. A cost per hour, per lifeguard will be assessed for the reservation and billed on the final total camp bill.~~

~~Campers will be required to show camp identification cards for admission into the HPE building. No equipment will be checked out to campers. Gyms, volleyball courts, and softball fields may be reserved at times that do not conflict with SFA classes. Tennis courts are available as long as SFA board students are not preempted. The weight room will be open for casual use at specified times.~~

PHYSICAL ACTIVITY FACILITIES

Primary physical activity facilities are the Shelton Gym, Norton Health and Physical Education Complex (HPE), the outdoor swimming pool, tennis courts, intramural fields and sand volleyball courts. Facility requests will be made in writing by the Camp Director on the Camp/Conference Reservation Contract. All physical activity facilities will be scheduled around academic classes (to be set in March), maintenance, intramural programs and field condition.

- 1. Shelton Gym — basketball or general use. One regulation size basketball court or two smaller basketball courts with P.A. system and bleachers for approximately one thousand. Can be booked for sports camps and cheerleading camps during the day, 8am — 7pm. Can be booked for recreational camp use from 7pm — 10pm. Camps will be allowed one gym only.*
- 2. Norton HPE Complex — five basketball courts with no seating or PA system. Can be booked for sports camps and cheerleading camps from 8am — 7pm and for recreational use from 7pm — 10pm. Camps will be allowed one gym only.*
- 3. Outdoor Swimming Pool — capacity of 150 swimmers, can be booked from 7pm — 10pm for camp use with a two hour minimum.*
- 4. Tennis Courts — twelve courts available for camps/conferences, can be reserved from 8am — 10pm. No equipment will be furnished by the University.*
- 5. Intramural fields — located on Wilson Drive, usually set up for softball during the summer months. Can be requested from 8am — 10pm. The fields will not be confirmed until two weeks prior to the camp.*

6. *Sand volleyball Courts — four courts. Can be reserved from 8am — 10pm.*

University Center Games Area

The Games area located in the University Center basement will be available to campers during regular SFA hours. Special permission for use at other times may be granted by the Director of Auxiliary Services. Group reservations should be made on the camp reservation form. Cost for games and machines are posted in the Games area. A late charge may be assessed for groups staying after hours.

University Center Meeting Rooms

Rooms in the University Center are made available to summer camps on a first-come, first-serve basis following established University Center policies. Only food purchased through the University is to be served in the University Center meeting rooms. Arrangements for room set-up and food orders for banquets or meetings must be made in the Coordinator's office two weeks prior to the event. Failure to notify the Coordinator of a cancellation approximately 72 hours in advance of the scheduled activity will result in payment of the cost incurred by the University Center or Food Service personnel. University Center decorating restrictions will be strictly enforced. The Nibbler's Nook and the lounge areas are non-reservable areas during regular operating hours. Lounges are primarily intended for general use by the public. Due to limited space in the University Center, rooms in the U.C. will not be available for storage before the camp dates. Boxes shipped before the group's arrival to the campus must be held by the sponsoring department.

Academic Buildings for Meeting Rooms

The Coordinator will be available to assist Camp Directors in reserving meeting spaces in academic buildings and auditoriums following policy guidelines for each building. For assistance, the Camp Director should specify dates, hours, and group size on the reservation form.

Coliseum

Reservations for use of the coliseum will be arranged by the Coordinator following the University regulations for coliseum usage. A per-event fee may be charged.

University Police/Parking

Parking permits will be available through the Coordinator's office for campers bringing cars and buses to the SFA campus. Parking permits are to be displayed in the car window while on campus and disposed of after the camp is completed. If a group of parking spaces is needed, the Coordinator will arrange with the University Police Department for an area to be marked off for the camp.

Source of Authority: Board of Regents, President, Vice President for University Affairs

Cross Reference: None

Contact for Revision: Director of Auxiliary Services

Forms: Medical Release and Consent Form (available in Auxiliary Services); Camp/Conference Reservation Contract (available in Auxiliary Services); Camp Director's Check List Form (available in Auxiliary Services)

Energy Conservation

B-6

Original Implementation: December 4, 1987

Last Revision: ~~October 26, 1999~~ January 15, 2002

The University supports, and is committed to, the statewide effort of the Texas Governor's Office, The General Appropriations Act, 70th Legislature and the Energy Conservation Design Standard for New State Building, updated in 1993.

The University has and will continue to maintain the most efficient operation of all utilities and equipment by the operation of: an automated energy management system, replacement of HVAC/Electrical equipment in a timely and cost efficient manner, and a review of building operation, usage, and schedules.

It is the intent of the University to serve its academic and auxiliary needs with cooling and heating requirements based on approved operational schedules. The automation system is programmed ~~each semester~~ *to meet needs* and any significant requirements not included in normal operations must be approved by Director of Physical Plant prior to changes being made.

Start and stop schedules are entered by Physical Plant personnel after approval by the Director of Physical Plant. Physical Plant should be given notice at least eight (8) work hours prior to event. If notice is given after normal work hours, the user may be charged overtime.

All local utility power shortage problems will be handled by the Physical Plant Department, the local energy supplier and the Vice President for Business Affairs. The requirements so determined will be routed thru the appropriate organizational channels.

Users of University facilities that require an additional cost due to utility usage, will be charged a fee to cover the cost of the additional utility expense. The amount of the fee will be determined by the Physical Plant Department and approved by the Vice President for Business Affairs.

Source of Authority: General Appropriations Act, President, Vice President for Business Affairs

Cross Reference: None

Contact for Revision: Director of Physical Plant

Forms: None

Physical Plant Charges

B-21

Original Implementation: December 7, 1987

Last Revision: ~~October 26, 1999~~ January 15, 2002

Funding for repairs to campus buildings comes from several sources and the type and use of the building determines the source of funding. Funding is as provided below- :

Educational and General Buildings- (i.e., Offices, classrooms, Library, etc.) Maintenance of these buildings and building equipment is the responsibility of the Physical Plant Department and paid from funds budgeted for that purpose.

The Physical Plant Department may charge Educational and General accounts for the following material and services.

1. Materials taken from stock not used in maintenance projects.
2. Repair of equipment.
3. Set-up charges.
4. Paint requests when redecorating.
5. Materials and labor for millwork.
6. Vehicle rentals and gasoline.
7. Minor alterations that change the structure of the facility.
8. Replacement of lost keys or lock changes due to lost keys.-
9. Call back expenses that are not caused by normal maintenance requirements. ~~that are the responsibility of Physical Plant. (Example: a special event on a weekend, not scheduled in advance with the Physical Plant Department, or having to call an HVAC person in to turn A/C on)~~

Source of Authority: Vice President for Business Affairs

Cross Reference: None

Contact for Revision: Director of Physical Plant

Forms: None

University Vehicles (Rental & 15-Passenger Van)

B-30

Original Implementation: June 1, 1984

Last Revision: ~~July 17, 2001~~ *January 15, 2002*

The provisions of the policy on the 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. That policy provides that the University may establish additional procedures for the reservation and use of specific facilities; therefore, the following provisions apply to University vehicles.

I. Official Use:

University motor vehicles can only be used for the transaction of official University business.

A. Reservations

1. Vehicles will be rented exclusively to individuals or organizations that have funds budgeted by the University.
2. All vehicles, except road buses, are rented on a first-come, first-serve basis. Reservations can be made by memo to the Physical Plant Grounds and Transportation Department, P.O. Box 13031 SFA Station, by phone at 468-5107, or on the Physical Plant Web site. Reservations should be made as far in advance as possible.
3. Persons for whom reservations are made must be on the Approved Drivers List and be acting on behalf of, and within the responsibility of, the University department that he/she is employed. Must have a minimum of four passengers for vans, must have definite pick-up and return times, and must have an approved University account.
4. Cancellations should be made as far in advance as possible. Cancellations made less than 48 hours in advance will incur a \$20.00 fee.

B. Procedure for Checking Out Vehicles

1. Vehicles can be picked up at the Physical Plant Grounds and Transportation Department, located at Starr Avenue and University Drive, between 7:00 a.m. and 4:00 p.m. Monday through Friday.
2. Special arrangements may be made for pick-up outside normal hours.
3. When two or more users are renting the same vehicle over a weekend, the users may be required to turn in and pick up vehicles at the University Police Department.

4. Individuals picking up vehicles must present a Stephen F. Austin State University Approved Driver Certificate and a valid driver's license.

5. Personnel in the Grounds and Transportation Department, will furnish approved drivers with:

- a. keys to vehicle
- b. copy of vehicle charges and reservation form
- c. credit card(s)
- d. daily record of state-owned motor vehicle use (*See Section E*)
- e. vehicle roadability report
- f. insurance card

C. Passengers

1. Passengers in University vehicles will normally be University employees or students traveling on University business.

2. Passengers who are not University employees or students may be authorized to ride in University vehicles when their presence is consistent with University business or functions.

3. University employees and students may have guest(s), spouse or children accompany them while the University employee or student is traveling on University business provided:

- a. The guest does not interfere with the University business of the trip or cause any additional expense to the University.
- b. The department that sponsors the trip that the guest(s) are attending must be advised in advance of the trip that non-University passengers will be traveling in University vehicles.
- c. If the guest is a minor child, the parent is responsible for the child's actions and is responsible for ensuring the child follows all safety policies and regulations including seat belts and child restraints.
- d. The University bus fleet is not equipped with seat belts or child restraints and safety of the child is the responsibility of the parent. The University fleet bus driver should report behavior difficulties to the parent and sponsoring department,

and may impose future restrictions on passenger privileges for those who have had behavior problems.

e. Non-employee passengers will not be covered by University insurance for medical treatment, unless there is legal liability, which is covered by the general liability policy for University motor vehicles. Personal claims against the driver of another vehicle (non-University) for liability in any accident will be the responsibility of the non-employee passenger or their parent. Passengers should carry personal medical insurance coverage in case of accident or emergency. The University does not assume liability for any passenger, unless otherwise imposed under law. University employees may be covered by Workers' Compensation for injuries received on-the-job; otherwise, personal medical insurance or applicable legal liability would apply.

D. Use of University Road Buses

The 46-passenger Eagle bus and 36-passenger Blue Bird bus provide transportation for University departments and groups. The guidelines in this section have been established to provide a fair and equitable manner for the scheduling of the buses and to generate sufficient revenue to pay for their operation and maintenance.

1. Authorized Trips. Only University groups and departments whose trips have received prior approval from the department head and/or dean of school may reserve the bus. A professional driver will be provided by the Physical Plant Department. Each user must be accompanied by authorized University personnel, who shall be responsible for all travel, schedules, and arrangements. The use of the bus is limited to those destinations that may be reached by hard surfaced roads.

2. Reservations. Application for the use of the University bus shall be made to the Director of Physical Plant. No reservation may be reassigned in whole or in part. The user may not delegate any control or responsibility to another party without prior written approval of the Director of Physical Plant. Furthermore, reservations for one trip may not be used for a different trip without the prior written approval of the Director of Physical Plant.

3. Priorities for Use

a. Use of University buses for athletic purposes will be given the first priority.

b. Those departments having activities scheduled at least a year in advance that require maximum utilization of the buses shall receive second priority.

c. In other cases, the following shall be considered:

1) Advance Scheduling: Where feasible, the use of the buses will be approved on a first-come, first-serve basis.

2) Distance: The distance to be traveled will be considered in determining priority.

3) Number of Passengers: The number of passengers will be considered in determining priority.

4) Purpose of Trip: In cases of simultaneous requests when the number of passengers and distance are approximately the same, the trip providing the most benefit to Stephen F. Austin State University shall receive priority.

E. Record Keeping

Users of University vehicles are required to complete a written report on the use of such vehicles, including a list of University personnel on the trip. Reports are to be made daily, with a separate report required for each day. Required reports are made on forms provided by the Grounds and Transportation Department when checking out a vehicle.

F. Check-in

1. If returned after 7:00 a.m. or prior to 4:00 p.m. on weekdays, the vehicle should be returned to the Grounds and Transportation Building. The vehicle charges and reservation form, the daily record use of State Owned Motor Vehicles form, keys, credit card(s), and gasoline receipts should be given to Grounds and Transportation personnel.

2. If returned at some other time, the vehicle should be parked, the doors should be locked and all the items mentioned above should be dropped into the slot in the front door of the Grounds and Transportation Building at Starr Avenue and University Drive.

3. Individuals may lose the privilege of using University vehicles if the vehicle(s) has been damaged during use, or if reports of vehicle use are incomplete.

4. Purchases; other than *fuel, made* with University credit cards, are at the driver's expense, subject to reimbursement. Reimbursement will be approved when the Physical Plant is furnished an approved voucher accompanied by purchase receipts. Receipts must show vehicle license number, amount of purchase, and item(s) purchased. Failure to properly present receipts will result in non-reimbursement.

5. Purchase of fuel. Fuel is furnished as part of the rental price of the vehicle if purchased on credit cards furnished at the time of the rental. Fuel purchased not using credit cards will be at the expense of the using department. Reimbursement should be claimed on the travel voucher of the individual being reimbursed.

G. Breakdowns and Accidents

1. Instructions for proper reporting and handling of accidents and breakdowns are contained in the glove compartment of all University vehicles.
2. In all cases in which a vehicle cannot be returned to the campus, one of the following people should be contacted:
 - a. During working hours (7:00 a.m. to 4:00 p.m.)
Transportation Manager - 936/468-5107
Director, Physical Plant - 936/468-4341
 - b. After working hours: University Police - 936/468-2608
3. All major repairs must be arranged by the Manager of Transportation.
4. A driver involved in an accident must either report the accident to University Police Department or to a local police agency and notify UPD of having done so, or fill out Texas Department of Public Safety Form ST-2 (blue form) within 24 hours and turn in to University Police upon return to campus. UPD will:
 - a. Forward a copy of the accident report or the blue form to the Safety Department and,
 - b. Complete the blue form and forward it to the Texas Department of Public Safety.
5. Departments using fleet vehicles will be charged for damages as the result of accidents or from abusive use.
6. The Safety Department will contact the insurance adjuster, provide appropriate information, and act as general liaison in the event of an accident.
7. The University's insurance covers a driver's liability if he/she is:
 - a. An approved University Driver.
 - b. Operating the vehicle in an official capacity.

H. Charges

<u>Vehicle</u>	<u>Capacity</u>	<u>Charge per Mile</u>
Sedan	4	current state rate
Vans	15 9 or 11	current state rate
Shuttle	40	\$.60 + driver
Road Bus 1	46	\$2.00

In addition to mileage charges, the following minimum charges for the Road Buses will apply. There will be a minimum daily charge of \$50.00 per day for local use and a minimum charge of \$100.00 per day if the driver is required to be away from home base overnight. If daily mileage charges exceed \$50.00 for local or \$100.00 for away trips, the daily charge will be waived. Also all expenses (meals and lodging) for the driver(s) are the responsibility of the renting department.

I. Special Provisions

1. All drivers of buses must have a Class C-CDL license and submit to DOT physicals and drug baseline and random testing.
2. All drivers must have a valid driver certificate issued by UPD.
3. All drivers of 15 passenger-type vans must be Certified Drivers ~~and must receive additional training specific to van driving with a van endorsement~~
4. Buses must carry at least 1/3 of their capacity.
5. Certain buses, due to mechanical condition, are restricted to use in a 150-mile radius.
6. Users of fleet vehicles who purchase gas, oil, and other products by cash ticket or credit card must sign tickets, including license number of vehicle and items purchased. Purchase of gas, oil, etc on other than University credit cards furnished with the vehicle will be the responsibility of the using department.
7. Drivers may be requested from the Physical Plant Department (PPD) and, if available, will be furnished at a rate established annually by the PPD. Drivers are normally paid on a portal-to-portal basis. Special arrangements should be made for extended trips. There is a minimum charge of two hours for any called driver.
8. No alcoholic beverages will be allowed in state vehicles.

J. 15 Passenger Van

1. All drivers of 15 passenger-type vans must be Certified Drivers ~~and must receive additional training specific to van driving with a van endorsement~~
2. All back seats are to be removed from all University owned 15 passenger vans.
3. Passengers are limited to 11 without cargo/luggage or 9 with cargo/luggage. All passengers must wear seat belts.

4. All cargo is prohibited on the roof. No roof racks may be installed.
5. Cargo inside the van must be stacked no higher than the top of the van seats.
6. Vehicles rented from non University fleet must be limited to 11 passengers and follow the limitations specified for University vans.
 - a. All drivers of 15 passenger-*type* vans must be Certified Drivers ~~and must receive additional training specific to van driving with a van endorsement~~ if the vehicle is rented with University funds.
 - b. Passengers are limited to 11 without cargo/luggage or 9 with cargo/luggage regardless of the capacity. All passengers must wear seat belts.
 - c. All cargo is prohibited on the roof. No roof racks may be installed.
 - d. Cargo inside the van must be stacked no higher than the top of the van seats.
- K. The University will no longer purchase 15 passenger vans.

Source of Authority: Board of Regents, President, Vice President for Business Affairs

Cross Reference: None

Contact for Revision: Director of Physical Plant, Director of Safety

Forms: None

Vehicle Repair and Maintenance

B-31

Original Implementation: Unpublished

Last Revision: ~~October 26, 1999~~ January 15, 2002

The Physical Plant Auto Shop is located at the Grounds and Transportation Department on the corner of University Drive and Starr Avenue. The shop provides for complete repair and maintenance service for University-owned trucks, automobiles, and small equipment such as lawnmowers, chain saws, etc. The Physical Plant Auto Shop maintains an inventory listing of all University-owned vehicles and schedules annual maintenance inspections. Department heads are notified in writing by the Manager of Transportation that those vehicles in their charge are to be delivered to the Auto Shop for an annual inspection. The Auto Shop will conduct a complete and thorough preventive maintenance inspection and make any repairs necessary. Expenses incurred for service on departmentally owned vehicles will be charged to the department.

In the event of a breakdown of a University-owned vehicle off campus during normal working hours, the individual responsible for that vehicle should contact the Transportation Department at 468-5107 for instructions regarding repair or if after normal working hours, the individual incurring the breakdown should contact University Police at 468-2608. The University Police will notify the Transportation Department of location and nature of problem. Transportation will determine if the repair is to be made by a garage or service center in the area of the breakdown or if the vehicle should be towed to campus. Transportation must authorize all off-campus repair prior to any work being done. Expenses incurred for the repair of a departmentally owned vehicle will be charged to the department.

Repair and maintenance of vehicles leased by the University is performed in accordance with the terms of the lease agreement.

Operators of University-owned vehicles are required by The Texas Government Code and University Policy to report daily use of the vehicles. Reports are to be done daily using a State of Texas Vehicle Use Report form. The monthly report must be completely filled out, signed, and sent to the Manager of Transportation by the 5th calendar day of the following month. The Manager of Transportation will report mileage to the State as required.

Source of Authority: Vice President For Business Affairs

Cross Reference: None

Contact for Revision: Director Of Physical Plant

Forms: None

Fleet Management

B-33

Original Implementation: January 30, 2001

Last Revision: ~~None~~ January 15, 2002

Stephen F. Austin State University (SFASU) has adopted the Fleet Management Plan mandated by House Bill 3125 of the 76th Texas Legislature. The fleet of vehicles owned and operated by SFASU shall follow guidelines set forth by government and private sector fleet "best practices" intended to increase State use and efficiency, reduce maintenance, and reduce operating costs.

SFASU Manager of Transportation shall serve as fleet manager and reporting official and shall be responsible for observation and implementation of agency fleet management policies and procedures. Responsibilities of the fleet manager include, but are not limited to, vehicle purchasing, replacement, and disposal, vehicle maintenance and repair, and vehicle assignment and use.

The Grounds and Transportation Automobile department shall serve as the SFASU motor pool and shall have responsibility for maintenance, repairs, records, and alternative fuel location for all campus vehicles. The fleet manager shall assign and meet with campus area coordinators to administer departmental vehicles and comply with reporting requirements of the State's Office of Vehicles and Fleet Maintenance (OVFM).

The fleet manager shall develop vehicle-replacement criteria and shall notify a department when one of its vehicles meets the replacement criteria. Requests for vehicle replacements are the responsibility of each department and shall be considered during the annual budget process begun on a date following the date of notice.

Mandatory fueling requirements for SFASU vehicles includes use of State retail fuel contracts, self-service or central fueling facilities, use of regular unleaded gasoline, and use of alternative fuels (where appropriate).

The number of vehicles in the SFASU fleet is capped at levels in effect ~~September 1, 1999~~ October 1, 2000. Replacements are subject to departmental vehicle-replacement schedule. Exceptions will be considered for legislatively mandated program changes, federal program initiatives, or documented needs resulting from program growth or changes. SFASU President's approval is required, with the OVFM serving as final approval authority.

Fleet operations are subject to minimum use criteria, vehicle-operator training and driver certification requirements, vehicle-disposal procedures, preventive maintenance and warranty tracking, safety and accident reporting procedures, and standardized safety-inspection and registration renewals.

Operators of University-owned vehicles are required by The Texas Government Code and University Policy to report daily use of the vehicles. Reports are to be done daily

using a State of Texas Vehicle Use Report form. The monthly report must be completely filled out, signed and sent to the Manager of Transportation by the 5th calendar day of the following month. The Manager of Transportation will report mileage to the State as required.

SOURCE OF AUTHORITY: Vice President for Business Affairs

CROSS REFERENCE: State Office of Vehicle and Fleet Management Regulations and House Bill 3125, 76th Texas Legislature

CONTACT FOR REVISION: Vehicle Fleet Manager

FORMS: None

Institutional Memberships

C-17

Original Implementation: September 1, 1982

Last Revision: ~~July 27, 1999~~ January 15, 2002

~~All Institutional memberships are held by in the name of the University. and paid for from state or auxiliary funds when the m Memberships that is clearly relate to the University as a whole may be paid from the University's Institutional Membership account, subject to available funding and President's approval. -beneficial to the University as a whole or to one of its departments. Memberships relating to specific departments or functions are funded either from a departmental or college accounts.~~
~~, or a central account. If the membership clearly relates to the University as a whole, rather than a department or college, it can be paid from the central account, subject to available funding.~~

~~Requestss for approval of an institutional memberships isare submitted electronically on a "State of Texas Purchase Voucher" unless the membership includes a subscription, in which case it is submitted on a "Purchase Requisitions-" (available at [website](#)). Such requests are processed through the online Financial Records System (FRS) using Requisition Type DM. Those to be funded on departmental or college accounts should be routed through administrative channels to the appropriate vice president (or the President) and those to be Memberships to be funded from the University's central Institutional Membership account should will be routed through administrative channels to the President. Those to be funded from departmental or college accounts will be routed through administrative channels to the appropriate vice president (or the President).~~

Source of Authority: *Texas Government Code, Section 2113.104; President; Vice President for Business Affairs*

Cross Reference: ~~None~~ *Purchase Requisition, Policy C-30*

Contact for Revision: ~~President~~ *Director of Purchasing & Inventory*

Forms: *Purchase Requisition (available at [website](#)); see Index C-30, State of Texas Purchase Voucher, see Index C-31 (available in University Printing Services)*

Interagency Contract

C-18

Original Implementation: Unpublished

Last Revision: ~~April, 2019~~ January 15, 2002

The purchase of goods or services from another agency of the state of Texas is allowed by the Interagency Cooperation Act, except that a state agency may not enter into an agreement or contract that requires or permits the agency to exceed its duties and responsibilities or the limitations of its appropriated funds. An agency may purchase goods, equipment and special or technical services including the services of an employee through an Interagency Cooperation Contract. *A state agency may not provide services or resources to another agency that are required by Article XVI, Section 21, of the Texas Constitution to be provided under a contract awarded to the lowest responsible bidder.*

~~When agencies make an agreement to work together, the agency providing the service is the "Performing Agency." The agency for whom the work will be done is the "Receiving Agency." A formal written agreement signed by both agency heads is required for contracts where the amount is \$50,000 or greater. (See Policy D20.5 Items Requiring Board of Regents Approval)~~

~~Procedures for obtaining services and providing services follow SFA AS THE RECEIVING AGENCY~~

~~1. Obtaining Services (when Stephen F. Austin State University is the receiving agency). A Purchase Requisition must be completed.~~

~~Identify the goods or services needed to determine that they are allowable under the Interagency Cooperation Act. If the cost is \$50,000 or greater, a formal written agreement signed by both agency heads is required in addition to the purchase requisition. Both the purchase requisition and the formal agreement must include the following: A requisition must be submitted to initiate an inter-agency purchase where SFA is the receiving agency. The requisition must include the following:~~

- ~~a. the kind and amount of goods or services to be provided;~~
- ~~b. the basis for computing reimbursable costs; and~~
- ~~c. the maximum cost during the period of the agreement~~

~~If the cost will be \$50,000 or greater a formal agreement must be completed in addition to the requisition and including the same information above, and Board approval must be obtained.~~

~~2. Providing Services (when Stephen F. Austin State University is the performing agency). SFA AS THE PERFORMING AGENCY~~

~~Identify the goods or services needed to determine that they are allowable under the Interagency Cooperation Act.~~

———*The Purchasing Office is not involved.* If the estimated cost of the goods or services is less than \$50,000 the department must document the exchange through some type of informal letter of agreement or memoranda. If the cost is \$50,000 or greater, a formal written agreement signed by both agency heads is required, *and SFA Board approval must be obtained.* The written agreement must include the following.

- a. the kind and amount of goods or services to be provided;
- b. the basis for computing reimbursable costs; and
- c. the maximum cost during the period of the agreement

An agency shall reimburse another agency for the goods or services provided with an interagency voucher payable to the providing agency or electronically as prescribed by the Uniform Statewide Accounting System. A reimbursement received by an agency for goods or services provided shall be credited to the appropriation items or accounts from which the agency's expenditures for goods or services were made.

Source of Authority: Texas Government Code, Title 7, Chapter 771; President; Vice President for Business Affairs

Cross Reference: ~~None~~ *Purchase Requisition Policy C-30; Items Requiring Board of Regents Approval Policy D20.5*

Contact for Revision: Director of Purchasing and Inventory

Forms: Purchase Requisition (~~see Purchase Requisition Policy C-30~~); Interagency Transaction Voucher (available in Controller's Office)

Interdepartmental Transfer (IDT)

C-19

Original Implementation: Unpublished

Last Revision: ~~July 27, 1999~~ January 15, 2002

A University departments may pay for goods and services received from another departments using ~~with an~~ the Interdepartmental Transfer (IDT) procedure which transfers funds from one account to another. The department ~~receiving~~ providing the goods or services should initiate the IDT. Some units (e.g., Physical Plant, Bookstore, Telecommunications, Central Stores) routinely initiate IDT's for goods and services they provide. Other departments may initiate their IDT's either by memo to the Controller's Office or by completing the IDT form on-line (available at website), printing it, and sending a hard copy to the Controller's Office. If a memo is used, it should contain the same information as requested on the IDT form. The IDT should be a memo to the Controller's Office that states what goods or services were purchased and the amount of the transaction. The memo should also state the FRS account that is to be charged and the FRS account that is to be credited. An electronic IDT form may be accessed from the Controller's Office website ~~<http://www.sfasu.edu/controller/acctindex.html>~~. Departments should strictly adhere to the normal purchasing process and not initiate the IDT procedure unless goods or services needed cannot be acquired otherwise. As a rule, purchases with HEAF funds may not be IDT'd. The only exceptions are purchases from Physical Plant, Telecommunications, and UC Bookstore. As with any other purchase, funds must be available in the applicable account and the goods/services must be reasonably priced.

~~Several departments that regularly provide goods or services generate IDT transactions to charge departmental accounts on a monthly basis. These departments are Physical Plant, Central Stores, UC Bookstore, Post Office, Telecommunications, UC Business Office and the Office of Student Activities.~~

Each account manager is responsible for reviewing monthly account statements to verify accuracy of IDT charges.

An IDT ~~Interdepartmental transfers are~~ is not to be used to transfer capital equipment from one department to another. Such transfers are handled through property management in the Purchasing Department. (See Property Transfer and Disposal, Policy B-24 ~~procedure~~.) However, if an exchange of funds is involved in the equipment transfer, an IDT may be used to effectuate that part of the process.

Source of Authority: Vice President for Business Affairs

Cross Reference: ~~None~~ Property Transfer and Disposal, Policy B-24

Contact for Revision: ~~University~~ Controller

Forms: ~~None~~ Interdepartmental Transfer (IDT) (available at website)

Local Purchase Authorization

C-20.A

Original Implementation: September 1, 1993

Last Revision: ~~October 26, 1999~~ January 15, 2002

Services, supplies and equipment available for immediate pick-up from ~~local~~ *Nacogdoches and Lufkin* vendors in amounts not exceeding \$500 may be purchased through the use of a Local Purchase Authorization (LPA). LPA forms are uniquely numbered and are issued by number series to departments. Authorized individuals will be required to come to the Purchasing Office to pick up the forms and sign for the number series issued to them.

Account Managers hold ultimate responsibility for LPA expenditures. By completing a Local Purchase Authorization Approved Signature Form, they may designate one or more individuals to issue LPA's on behalf of their account(s). The Account Manager or his/her designee is responsible for:

1. completing the form correctly;
2. obtaining the invoice or cash register receipt from the individual making the purchase;
3. routing the LPA and invoice or cash register receipt to Accounts Payable;
4. submitting food authorization with the LPA when required;
5. insuring that appropriate charges are made to LPA's;
6. insuring that purchases do not exceed departmental budgets.

LPAs may be used ONLY with vendors in Nacogdoches and Lufkin. Purchases outside of these two cities must be completed either with a Procurement Card or by submitting a requisition. A 'local' vendor is construed as being within an 100 mile radius from Nacogdoches. Being in Houston or Dallas and being able to 'pick up' the merchandise does not constitute authorized use of an LPA. LPA's should be used primarily for items to be 'picked up' by the department. However, if an item is to be delivered, the vendor must provide an invoice with the delivery. Departments requesting delivery of LPA items will bear the responsibility of dealing with the vendor in the case of damaged or incorrect goods. If an ordered item needs to be delivered, it is preferable that the Purchase Requisition or Telephone Purchase Order ~~delegated authority method~~ be utilized.

The LPA should not be used for:

1. purchases exceeding \$500;
2. purchases which will be delivered

3. purchases to non-local vendors (even if you are picking up the item);
4. purchases for items which are not appropriate based on the funding source of the account; i.e. personal items
5. purchases utilizing a 9XXX account
6. purchases exceeding your department budget
7. splitting purchases to avoid other purchasing requirements
8. purchases which will be billed by the vendor
9. *purchases outside of Nacogdoches and Lufkin*

NOTE: The cost of a single item may not be split on multiple LPA's in order to avoid proper processing. Also, items totaling more than \$500 may not be picked up at one time and invoiced separately on multiple LPA's. Departments violating these rules will have LPA privileges removed.

Completing the LPA Form

The LPA is a 3-part NCR form. Upon issuing the LPA fill out the following areas.

1. Vendor Name. If known. At times you may need to leave this open or fill it in and allow the individual making the purchase to change it if necessary.
2. Date. Date LPA is issued.
3. Department Name. Fill in the department name that corresponds to the account number.
4. Account Number. Fill in the account number from which payment is to be made.
5. Person Authorized To Make Purchase Printed Name. Print the name of the individual whom the account manager or his/her designee is authorizing to make a purchase.
6. Person Authorized To Make Purchase Signature. Have the individual who will actually make the purchase sign the LPA.
7. Account Manager Approval Printed Name. Print the name of the account manager or his/her designee authorizing funds to cover the purchase.

8. Account Manager Approval Signature. Have the account manager or his/her designee sign the form authorizing funds to cover the purchase.

9. Item No. If more than one item is purchased this area may be used simply to number the items.

10. Description. If needed for the individual making the purchase, record the specific item(s) to be purchased. Otherwise, make a general description to include the item(s) to be purchased. Example: 2 Papermate pens, 1 post it ~~fax~~-notes, 1 copy holder, OR general office supplies.

11. Quantity. If desired the quantity of each item purchased may be recorded on the LPA. This may be desirable if you do not keep a copy of the invoice.

12. Amount. If desired the extended price of each item purchased may be recorded on the LPA.

THE DEPARTMENT MUST RECORD THE TOTAL AMOUNT OF THE INVOICE ON THE FACE OF THE LPA.

Distribution of the Form

1. The ORIGINAL should be attached to the invoice or delivery receipt from the vendor and forwarded to Accounts Payable.

2. The YELLOW COPY should be given to the vendor at the time of purchase.

3. The PINK COPY should be retained by the department for budget records.

Budget Information

Purchases made with LPA's are not encumbered. This should be taken into account when monitoring your 'unencumbered' funds.

At End-Of-Year LPA's and invoices must be routed to Accounts Payable by 5:00 PM on the date specified in End-Of-Year instructions. LPA's received in Accounts Payable after the specified date or issued after 8/31 will be paid from the next fiscal year's budget.

When Accounts Payable enters the LPA for payment, the payment process will be stopped if the account has insufficient funds. The LPA will then be routed to the Budget Office for approval or to contact the account manager about the status of his/her account.

Source of Authority: ~~Texas Government Code, Title 10, Subtitle D, Chapters 2151 through 2176;~~ President; Vice President for Business Affairs

Cross Reference: ~~None~~ *Purchase Requisition Policy C-30; Delegated Purchasing Authority Policy C-10*

Contact for Revision: Director of Purchasing and Inventory

Forms: Local Purchase Authorization (available from the Purchasing Department)

Proprietary Purchases

C-26

Original Implementation: September, 1979

Last Revision: January 15-19, 1999, 2002

A proprietary situation occurs when ~~equivalent product~~ competition is not available. When the specification requirement limits consideration to one manufacturer, one product, or one service provider, a written justification must be provided.

A sole product may be available from more than one source and is subject to ~~bidding~~ *best value procurement* rules.

A sole source is a specific item that is available from only one source.

Along with the Purchase Requisition the department must submit a Sole Product/Sole Source Justification Form. On the form only the applicable items must be answered and must provide sufficient explanation to address the following:

1. an explanation of the need for the proprietary specifications; i.e. which part or parts of the stated specification restricts the requisition to one manufacturer or provider; and
2. the reason competing products are not satisfactory.

Justification for proprietary purchases must be signed by the Director of Purchasing. Purchasing will research the market to determine if the proprietary request is appropriate.

Source of Authority: ~~Texas Government Code, title 10, Subtitle D, Chapters 2151-2176;~~
President; Vice President for Business Affairs

Cross Reference: ~~None~~ *Purchase Requisition Policy C-30*

Contact for Revision: Director of Purchasing and Inventory

Forms: Purchase Requisition, ~~(See Purchase Requisition Policy, Index C-30)~~

Purchase of Surplus Property

C-28

Original Implementation: September, 1987

Last Revision: ~~January 19, 1999~~ January 15, 2002

The ~~General Services~~ *Texas Building and Procurement* Commission oversees the Inter-Governmental State Surplus and Federal Surplus Property Programs that make items available for sale or donation to State Agencies. *Available property can be viewed at the following URLs:* ~~The University receives on a monthly basis a partial listing of items available from Federal Surplus Property. A list of surplus items available from other State Agencies is available on the Internet.~~

State Surplus - www.window.state.tx.us/comptrol/surplus/surplus.html

Federal Surplus - www.gsc.state.tx.us/surplus/fspcat.html

~~A requisition must be submitted to initiate the purchase of surplus property. Notify your buyer if you have a need that could be met with item from state or federal surplus property. Your~~ The buyer is available to ~~will~~ research the availability, condition and cost of surplus property and ~~advise the department.~~

FEDERAL SURPLUS

The buyer may also make a written request for Federal Surplus to be held for SFA if it becomes available.

~~To Initiate a Federal Surplus Property Purchase, Follow These Steps~~

- ~~1. Submit a requisition to the Purchasing Office (See Purchase Requisition, Policy C-30). Be sure to state on the requisition FEDERAL SURPLUS PROPERTY.~~
- ~~2. A purchase order issued by the Purchasing Department will be routed to an agent of the University who has been certified through the federal surplus program application process.~~
- ~~3. Visitation to and shopping at a Federal Surplus Warehouse is allowed only by a~~ *A* ~~certified agent of the University must travel to the federal surplus property distribution center to complete the purchase and secure a receipt listing the item(s) purchased and the exact cost. The item(s) may be picked up at the time of purchase or arrangements for pick-up can be made for pick up at a later date. The individual(s) picking up the merchandise do not have to be certified, but they must have the receipt in hand when arriving at the distribution center. If the SFA Transportation Department picks up the item(s), the department will be IDT d for travel and labor costs.~~
- ~~4. When the merchandise is received the itemized receipt and/or invoice should be returned to the Purchasing Department.~~

Restrictions on the Use of Federal Surplus Property

1. All items donated must be placed into use within one (1) year after donation and be used for a minimum of one (1) year after being placed into use.
2. Additional periods of utilization are placed on the following:
 - a. Eighteen (18) months for items with an original government acquisition cost of \$5000 or more
 - b. Eighteen (18) months for passenger motor vehicles regardless of acquisition cost
3. During the restriction period the property cannot be *sold, traded, leased, loaned, bailed, cannibalized, encumbered or otherwise disposed of, or removed permanently outside the State* ~~leased, traded, sold, bailed, permanently "loaned" or otherwise encumbered or disposed of~~ without authorization by the General Services Administration.
4. *Additional special terms, conditions, reservations and restrictions may apply to other property requiring special handling or use limitations set forth in the Conditional Transfer Document or other agreement executed by the authorized donee representative.* ~~Use of federal surplus items does not have to be confined to the use for which the item was manufactured; "conversions" and "cannibalizations" for use are encouraged. However, unless it is very obvious from the nature of the equipment donated or the GSC's invoice states that an item is donated for cannibalization or "secondary use", the donee must request permission to "convert" or "cannibalize" in writing AFTER taking possession of the property.~~
5. *Purchases of Federal Surplus Property are subject to the Single Audit Act of 1984 as required by OMB Circular A-133 and amended in 1996.*

To Initiate a State Surplus Property Purchase from Another State Agency Follow These Steps

STATE SURPLUS

1. ~~The Agency offering the surplus equipment is to be contacted directly to determine a price and make arrangements for transfer. The~~ *Submit a requisition submitted to the Purchasing Office (See Purchase Requisition, Policy C-30). Be sure to* ~~should state on the requisition~~ *STATE SURPLUS PROPERTY . The name of the state agency, the agreed price and arrangements for transfer should also* ~~should be shown as the suggested source.~~
2. ~~A purchase order issued by the Purchasing Department will be completed and will include information regarding arrangements for transporting the item(s) to SFA.~~

Source of Authority: Texas Government Code, Title 10, Subtitle D, Chapter 2175;
President; Vice President for Business Affairs

Cross Reference: ~~None~~*Purchase Requisition Policy C-30* |

Contact for Revision: Director of Purchasing and Inventory

Forms: Purchase Requisition (~~see Purchase Requisition, Policy C-30~~) |

Purchase of Used Equipment or Supplies

C-29

Original Implementation: June 1, 1983

Last Revision: ~~January 19, 1999~~ January 15, 2002

It may occasionally be necessary or advantageous to purchase used or demonstrator equipment and supplies. The most common reasons are:

1. inability to secure new equipment;
2. lack of adequate funds for new equipment; or
3. used equipment will satisfy the department's need at a substantial savings

A requisition must be submitted to initiate the purchase of ~~To purchase~~ used or demonstrator equipment, ~~submit a Purchase Requisition to the Purchasing Office.~~ The buyer will work closely with the department to secure the required documentation:

1. ~~3 bids if possible~~ *competitive bidding or catalog purchase solicitations in accordance with best value procurement rules*
2. a Sole Product/Sole Source Justification form, if available from only one source (~~See Proprietary Purchases, Policy C-26~~)
3. a letter or signed statement from the bidders or vendor guaranteeing quality and condition of the merchandise offered;
4. a letter from an authorized person in the department that:
 - a. states that the equipment or supplies have been personally examined and
 - b. describes the condition and value of the equipment or supplies

After the appropriate documentation is obtained the buyer will proceed with placing an order for the used or demonstrator equipment or supplies.

~~If used equipment is offered through a Qualified Information Systems Vendor catalog, catalog purchase procedure shall be followed. (See Methods of Purchase, Policy C-20)~~

Source of Authority: *Texas Education Code, Chapter 51.9335(a) —* ~~(f) Texas Government Code, Title 10, Subtitle D, Chapters 2151-2176, President, Vice President for Business Affairs~~

Cross Reference: ~~None~~ *Purchase Requisition Policy C-30, Proprietary Purchases Policy C-26*

Contact for Revision: Director of Purchasing and Inventory

Forms: Purchase Requisition (~~See Purchase Requisition, Policy C-30~~); Sole Product/Sole Source Justification Form (~~available from Purchasing~~ ~~See Proprietary Purchases, Policy C-26~~)

Purchase Voucher

C-31

Original Implementation: September 1990

Last Revision: ~~October 23, 2001~~ January 15, 2002

Normally, purchases for goods or services are ordered, delivered and then invoiced by the vendor. These purchases are acquired by submitting a purchase requisition to the Purchasing Department. (See Delegated Purchasing Authority, Policy C-10.) Some purchases, however, do not involve ordering goods or waiting for a vendor's invoice. These transactions are initiated on a purchase voucher. Purchase vouchers should be used for the following:

1. Overnight mail services (See Express Mail Services, Policy F-11)
- ~~2. Membership fees and dues (not including a subscription)~~
32. Licensing fees (except software licensing fees)
43. Notary bonds
- ~~54. Refunds of fees~~
65. Postage
76. Prepayment of registration fees for business conferences, workshops and seminars
87. Settlement agreements
98. All purchases from agency accounts

The Purchase Voucher Form may be accessed online at [purchase voucher form](#). It may be completed online, or printed out and completed manually. Once completed, the hard copy must be signed by the account manager, and forwarded with supporting documentation to the Controller's Office, Box 13035, for processing.

Payments which have been inappropriately initiated on a purchase voucher will be returned to the originating department for proper processing through the Purchasing Department.

Source of Authority: Vice President for Business Affairs

Cross Reference: Delegated Purchasing Authority, Policy C-10; Express Mail Services, Policy F-11

Contact for Revision: Controller; Director of Purchasing and Inventory

Forms: Purchase Requisition; Purchase Voucher

Questions regarding the preparation of forms mentioned in this policy should be directed to the Purchasing Department or the Controller's Office.

Investments

C-41

Original Implementation: April 30, 1996

Last Revision: ~~January 30, 2001~~ *January 15, 2002*

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), 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 of the United States of America, 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 by a state or national bank or savings and loan association domiciled in Texas that is:
 - 1) guaranteed or insured by the Federal Deposit Insurance Corporation;
 - 2) fully collateralized by obligations 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.
- G) fully collateralized repurchase agreements with a definite termination date, secured by obligations described by Authorized Investments section F, 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 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;
- 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) 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, 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) FDIC 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~~ *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 Business Affairs (VPBA) of Stephen F. Austin State University is responsible for investment management decisions and activities. The VPBA delegates the day-to-day management of the investment activities to the Director of Financial Services.

The VPBA 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 VPBA 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 VPBA shall be designated as the University's investment officer and is responsible for the duties outlined herein. The name and title of the investment officer shall be filed with the Board of Regents. Changes of name and/or title must be filed with the Board of Regents as they occur.

Decisions requiring security purchases with stated maturity in excess of five (5) years will require approval of the VPBA 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 VPBA 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.

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:

<u>Category</u>	<u>Maximum</u>
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 30%
Bankers acceptances	25%
Commercial paper	25%
Repurchase agreements	100%
Registered money market funds	80%
Local Government Investment Pool	100%

The VPBA and his or her designee 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 effect 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 VPBA shall submit quarterly reports to the Board of Regents through its Finance 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 VPBA 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

The University's Department of Audit Services office shall conduct annual compliance audits of management controls on investments and adherence to the University's investment policy and report the results to the President and VPBA and the State Auditor's Office. In addition, the Department of Audit Services shall annually review the quarterly investment reports, and report the result of the review to the governing body.

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.

Source of Authority: Board of Regents, Stephen F. Austin State University

Cross Reference: None

Contact for Revision: Vice President for Business Affairs

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, VPBA, or Director of Financial Services is required for release of pledged securities from safekeeping unless the securities being released are replaced by securities with the same market value. Only changes in the level of collateralization require approval by the above.

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 VPBA, and either the Director of Financial Services 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 Business Affairs 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.

Items Requiring Board of Regents Approval

D-20.5

Original Implementation: July 5, 1988

Last Revision: ~~July 17, 2001~~ January 15, 2002

A. Items That Require Approval by the Board of Regents

1. Construction/renovation projects if the estimated cost is \$50,000 or more, including
 - a. Selection of an architect/engineer
 - b. Authority to submit the proposal to the Coordinating Board if the estimated project cost (includes all cost) is at least \$1,000,000 for new construction, \$2,000,000 for renovation, or as otherwise required under law.
 - c. Construction contract awards
 - d. Change orders that would increase the cost of the project beyond the amount of the approved budget
2. Actions relating to University employees, including
 - a. Appointment of full-time faculty
 - b. Faculty promotions
 - c. Awarding of faculty tenure
 - d. Appointment of *full-time* administrative/professional staff (non-classified) *excluding those requiring student status and those paid with grant funding*
 - e. Change of position status of full-time faculty and administrative/professional (non-classified) staff
 - f. Advisement on termination of full-time faculty and administrative/professional (non-classified) staff (Executive Session only, does not require Board action for approval)
 - g. Leaves of absence for faculty and administrative/professional (non-classified) staff for one semester (four and one-half months) or more
 - h. Dual employment (with state agencies) of faculty and administrative/professional (non-classified) staff
3. Delegations of administrative authority, including

- a. Authority to approve travel
 - b. Authority to approve purchases
4. Policy statements when the effect will be to
- a. change admission, probation, or suspension regulations
 - b. establish or alter policies, regulations, or rules relating to employment or property rights
 - c. govern the activities of the entire University or a major section of the University, such as rules for admission into teacher education or any other major curriculum
 - d. change long standing and well accepted practices or patterns of behavior
 - e. implement rules, regulations, or activities established by external authorities
5. Contracts, purchases, or agreements in the amount of \$50,000 or more
6. Any lease of any item (building, equipment, etc.) if the total cost of the lease is expected to be \$50,000 or more without regard to the length of the lease period
7. Purchase, sale or exchange of real property
8. Depository contract (presently submitted annually)
9. Food service (or similar) contracts, including changes in existing contracts
10. Contracts and agreements with support or development foundations
11. Settlements, consent decrees, authority to enter into litigation (Executive session only, does not require Board action for approval.)
12. Establishment (or change) of mandatory fees
13. Curriculum matters, including
- a. Establishment or elimination of academic programs
 - b. Establishment or elimination of courses
 - c. Major changes in programs or courses
14. Designation of a name for University buildings, facilities, streets, etc.

15. Annual holiday schedule
16. Private, governmental, or foundation grants or agreements if the purpose of the grant, etc. is not designated ("President's Discretion" constitutes a designation)
17. Annual operating budget
18. Increases in existing budgets through a "budget adjustment" if over \$50,000, except revolving funds.
19. Biennial legislative request
20. Long Range Master Plan

B. Items That Do Not Require Approval by the Board of Regents

1. Construction or renovation projects under \$50,000
2. Change orders under \$50,000 as long as the approved budget is not exceeded
3. Appointment, change-of-status, promotion, termination of classified employees
4. Appointment, change-of-status, termination of graduate or student assistants
5. Resignations
6. Contracts, purchases, and agreements when the amount is less than \$50,000
7. Budget transfers that do not increase the Board approved budget
8. Private, governmental, and foundation grants or agreements if the purpose of such is stipulated by the grantor, etc.
9. Materials purchased for resale in auxiliary operations and central stores
10. Materials purchased for inventory stock of the physical plant operation
11. Materials purchased for normal inventory stock from operation and maintenance budgets previously approved by the Board
12. Maintenance and service contracts
13. Library subscription services
14. Recurring printing orders

15. Contracts and agreements for athletic events, entertainment concerts, fine arts events, and other similar activities
16. Group travel packages for resale
17. Materials or services purchased for emergencies resulting from disasters, hazards, or other exigent circumstances
18. Other items approved by the President of the University which are not listed in Section I of this policy.

Source of Authority: Board of Regents

Cross Reference: None

Contact for Revision: President

Forms: None

University Publications

D-39

Original Implementation: March 15, 1977

Last Revision: January 4, 1989/15, 2002

To assure that ~~University publications~~*communication to the general public* contains accurate and current information and presents, through both content and appearance, a professional image which properly reflects the character, integrity, and accreditation status of the institution, official University publications *and non-broadcast video presentations* intended for off-campus distribution, or on-campus distribution to non-University individuals or groups, must be approved by the ~~Editor of University Publications or the Director of University News and Information~~*Office of Public Affairs* prior to printing *or electronic distribution*.

("Non-University groups" are those not employed by or enrolled in the University.). Communication intended solely for students and/or University employees is not subject to his approval policy.

~~Publications that should be submitted to the Editor include~~*Examples of communication that must be submitted for approval are:* academic bulletins, brochures, flyers, pamphlets, handbooks, newsletters, program announcements, ~~employment bulletins, etc.~~ *Those that should be submitted to the Director include* advertising copy (radio *and television spots*, newspaper ads, billboards, posters, etc.) and publications for intercollegiate athletics (media guides, programs, newsletters, etc.).

~~The requirement for editorial review~~*This approval policy* applies to publications printed by University Printing Services, off-campus printers, and departments using desktop publishing *or video equipment*. ~~Editorial Review~~ may include any or all of the following: writing, editing, assisting with layout and graphic design, *videotaping, video editing, assessing visual and audio content*, preparing specifications required for competitive bidding and coordinating production schedules and delivery with outside vendors.

~~Copy Materials~~ should be submitted for editorial review to either the ~~Editor or the Director of University News and Information~~*Office of Public Affairs* at least ten working days prior to the date due to the printer. It should first be reviewed by the appropriate department head or chair and his/her director or dean. The department head/chair and the director/dean must indicate approval for printing by their signature on an "Approval For Printing" label affixed to the copy.

Upon approval by the ~~Editor or the Director of University News and Information~~*Office of Public Affairs*, the ~~department head of the originating department~~ or his designee will work directly with University Printing Services or the Purchasing Department to initiate the printing process. If an off-campus printer is used and competitive bidding is required, the Purchasing Department will develop specifications and secure bids as required by the State Purchasing and General Services Commission. Copy submitted to University

Printing Services or Purchasing without proper approval will be returned to the originating department. If departmentally-owned equipment is used for printing or assembly of radio and television ads or video presentations, the approval of the ~~Editor or Director~~ Office of Public Affairs authorizes printing or distribution.

The President or Vice President for Advancement may authorize individual exemptions to the University publications policy.

As required by Texas law, all University publications must clearly reflect the date the publication is produced or initially distributed. the date must be in a conspicuous location at or near the beginning of the publication. For purposes of complying with this law, a publication means printed material produced in multiple copies by the University or at the total or partial expenses of the University. This includes publications sponsored by or purchased for distribution by the University or released by research firms, consulting firms or other private institutions under contract with the University. This does not include correspondence, memos or other routine forms.

Source of Authority: President; Vice President for University Advancement; Section 441.103 (e), Government code

Cross Reference: None

Contact for Revision: ~~Editor of University Publications~~ Director of Public Affairs

Forms:: Approval For Printing (available in University Printing Services)

Computing Software Copyright

D-43

Original Implementation: July 27, 1999

Last Revision: ~~None~~ January 15, 2002

Purpose and Scope

Most software on computers at Stephen F. Austin State University is protected by Federal copyright laws. In addition to the copyright laws, there usually is a license agreement between the software seller and the purchaser to protect the software. Educational institutions are not exempt from legislation covering copyrights. The University's policy is to respect the copyright protections given under Federal Law, and to adhere to the conditions of the license agreement. The following policies and procedures apply.

Policies and Procedures

1. Software provided through the University for use by faculty, staff, and students may be used on computing equipment only as specified in the specific software licenses.
2. Licensed software may not be copied on University equipment except as specifically permitted by the software license (to create a backup copy, for example).
3. Faculty, staff, and students may not use unlicensed or unauthorized copies of software on University owned computers, or any computer housed in University facilities.
4. The individual who normally uses a specific computer is responsible for ensuring and being able to document via license agreement or proof of purchase that the software used on that machine is licensed. An appropriate supervisor is responsible when the same machine is used by several persons.
5. For multi-user computing system, the director of the organization unit owning the system, or the manager responsible for its operation, must document licenses and inform users of licensing conditions and take reasonable actions to ensure compliance.
6. It is a violation of University policy to knowingly use or attempt to use software which is not authorized for use under normal operating procedures.

Sanctions for Policy Violations

Unauthorized or unlicensed use of software is a serious matter and is without the consent of Stephen F. Austin State University. Faculty, staff, and students should bring to the attention of supervisors other responsible persons such as the Director of ~~University Information Systems~~ *Information Technology Services*, known or suspected violations of these policies. Any individual violating these policies is required to take immediate remedial action; e.g. remove the unlicensed software from the machine. Persons refusing to do so are subject to University disciplinary procedures.

Source of Authority: Vice President for Business Affairs

Cross Reference: Computer and Network Security, D-8.1

Contact for Revision: Computing and Telecommunications Advisory Committee

Forms: None

Academic Appointments and Titles

E-1A

Original Implementation: September 6, 1979

Last Revision: ~~July 27, 1999~~ January 15, 2002

The allocation of positions and appointments to fill positions is the responsibility of the Vice President for Academic Affairs as delegated by the President of the University. The dean of the appropriate college makes recommendations to the Vice President for Academic Affairs concerning the creation of new positions and appointments to fill existing vacancies. The faculty in each department participates in the development of staffing plans.

All conditions of appointment are in writing at the time of appointment.

The rank of initial appointment is based upon the qualifications of the appointee in relation to programmatic needs of the appropriate college and the university.

For the appointment of a faculty member or librarian, the appropriate title from the following list shall be assigned:

1. Professor
2. Associate Professor
3. Assistant Professor
4. Instructor
5. Librarian I, II, III, or IV

These ranks (positions 1-5) are used for full-time appointments for a full academic year and are the only ones creditable toward tenure.

6. Lecturer, Adjunct¹
7. Librarian I-T, II-T, III-T, or IV-T

These ranks (6,7) are used only for temporary full-time or part-time appointments for a semester or a full academic year. Service in these ranks is NOT creditable toward tenure and is not eligible for merit, but may on an individual basis be considered for salary adjustments if re-appointed.

8. Lecturer Intern

This rank is used exclusively for full-time appointments for a semester or a full academic year of persons recently awarded appropriate master's or doctoral degrees and without previous full-time teaching experience on the university level. Such appointments are limited to one year. Service in this rank is NOT creditable toward tenure.

9. Visiting (Rank):

(Assistant, Associate, Full)

These positions are full-time, nine-month appointments. The visiting assistant professor may hold the assistant position at another institution, or may have recently completed the *Ph.D. terminal degree* or be ABD. The visiting associate and visiting full professors shall hold the associate or full position at another institution. Service in this rank is NOT normally creditable toward tenure.

10. Designated

This rank is used for part-time and/or full-time appointments. In addition to the designation, "Part-time," appointees in this rank may carry specially designated titles (assigned by the appropriate academic dean in consultation with the Vice President for Academic Affairs). Designations such as the following are suggested examples: Clinical Instructor, Artist-in-Residence, Director of Bands, Research Associate. Service in this rank is NOT normally creditable toward tenure.

11. Graduate Assistant

This rank is used only for appointments of enrolled graduate students to no more than half-time assignments in teaching or research. Service in this rank is NOT creditable toward tenure.

¹Generally the lecturer position would be considered a full-time, nine-month position given to someone who has not completed a *Ph.D. terminal degree*. The adjunct position refers to a full-time or part-time position that is awarded on a semester-by-semester basis.

Note: Positions 6-11 are not subject to the terms and guarantees of the tenure policy (E-50A)

Source of Authority: Vice President for Academic Affairs

Cross Reference: None

Contact for Revision: Vice President for Academic Affairs

Forms: None

Duties and Responsibilities of Offices Reporting to the V. P. for Academic Affairs

E-13A

Original Implementation: September 4, 1979
Last Revision: ~~July 14, 1998~~ January 15, 2002

Academic Deans, ~~the~~ Associate Vice President for Graduate Studies and Research, *Registrar*, ~~directors~~ *Director* of Admissions, ~~and the~~ *Library Director*, and Instructional Technology *Director*; ~~and the Registrar~~ report directly to the Vice President for Academic Affairs. The duties and responsibilities of these officers are defined as follows:

Academic Deans

1. Deans are responsible for fostering excellence in teaching, research, and service in their colleges.
2. Among the responsibilities of the Deans of the Colleges are:
 - a. supervise, counsel, and evaluate department chairs program directors, and faculty;
 - b. exercise leadership in budget preparation, establish funding priorities, and monitor budget execution within the college, and coordinate fund raising;
 - c. make recommendations on all personnel actions within the college;
 - d. facilitate college policy development;
 - e. facilitate program development, operation, and evaluation;
 - f. interpret policy and adjudicate appeals and exceptions;
 - g. oversee degree plan preparation and qualification for graduation, and monitor student progress;
 - h. advise the Vice President for Academic Affairs on matters affecting the instructional programs of the University;
 - i. discharge other duties as assigned by the Vice President for Academic Affairs.

Associate Vice President for Graduate Studies and Research

1. The Associate Vice President for Graduate Studies and Research is responsible for supervision of the University's graduate education concerns and for the oversight and management of the Office of Research and Sponsored Programs.
2. Among the responsibilities of the Associate Vice President relating to graduate education are:
 - a. recommend approval of graduate courses, programs, and degrees;
 - b. serve as a resource person in budget, space, and personnel decisions affecting graduate education;
 - c. recommend approval of faculty eligibility for teaching graduate courses;

- d. establish and maintain standards and procedures by which graduate students are admitted, enrolled, supervised, retained, and awarded advanced degrees;
 - e. assign and/or approve graduate committees, and accept final thesis, exhibition or dissertation documents;
 - f. chair the University Graduate Council which shall be advisory to the Associate Vice President;
 - g. recommend funding for graduate assistantships, recommend allocation of graduate assistantships to the colleges, monitor budget execution of graduate assistantship funds, and monitor graduate assistant appointments;
 - h. prepare and administer the budget for the Graduate Office;
 - i. interpret Graduate School policy and adjudicate various appeals and exceptions.
3. Among the responsibilities of the Associate Vice President relating to research are:
- a. supervise, counsel, and evaluate the Director of the Office of Research and Sponsored Programs;
 - b. provide leadership and direction in the development, evaluation, and institutional-level management of the Office of Research and Sponsored Programs;
 - c. review and provide signature approval of all proposals for external funding routed through the Office of Research and Sponsored Programs;
 - d. chair the University Research Council which is advisory to the Associate Vice President;
 - e. coordinate the development of policies relating to the research enhancement program and federal and state regulations regarding the conduct of research and sponsored projects;
 - f. prepare and administer the budget for the Office of Research and Sponsored Programs;
 - g. make recommendations on all personnel actions within the Office of Research and Sponsored Programs.

Registrar

1. The Registrar is responsible for the operation and development of the Office of the Registrar as a support service to the academic function of the University.
2. Among the duties and responsibilities of the Registrar are:
 - a. prepare all registration materials, maintain software tables, and oversee registration, ~~Associated with registration,~~ prepare schedule of classes, interim rosters and Official Reporting Date Class Rosters, and grade sheets. ~~grade mailers and copies of grades to students, deans, and department chairs~~ At the conclusion of the semester, prepare and distribute post-semester reports to interested offices.
 - b. initiate a student's final graduation plan, prepare deficiency lists, tabulate

- honor rolls and rank in class;
- c. coordinate commencement procedures;
- d. maintain students' academic records on a permanent basis;
- e. prepare and administer the budget for the office of the Registrar;
- f. make recommendations on all personnel actions within the office of the Registrar;
- g. prepare and maintain the official course inventory for the University as required by the Texas Higher Education Coordinating Board;
- h. prepare and maintain the official degree audit program for the entire University as approved by the Texas Higher Education Coordinating Board;
- i. select the highest ranking graduating senior according to university policy;
- j. prepare enrollment certification letters and reports upon request.

Director of Admissions

1. The Director of Admissions is responsible for the development and operation of Admissions as a support service to the academic function of the University.
2. Among the duties and responsibilities of the Director of Admissions are:
 - a. recommend standards and develop procedures for the admission of undergraduate students;
 - b. supervise the recruitment and admission of undergraduate students;
 - c. articulate programs and courses with ~~junior~~ *community* colleges and other colleges and universities;
 - d. compile and gather data for the Office of Institutional Research regarding new students enrollment for Coordinating Board reports;
 - e. supervise the development of promotional material used for recruiting purposes;
 - f. prepare and administer the budget for Admissions;
 - g. make recommendations on all personnel actions within Admissions.

Library Director

~~1. The Library Director is responsible for the development and operation of University library functions~~

~~2. Among the duties and responsibilities of the Library are:~~

- ~~a. plan, organize, and direct library service programs in support of educational and research goals of the University;~~
- ~~b. coordinate employment of library staff and direct performance;~~
- ~~c. develop and recommend University Library policy with the assistance of the faculty/student Library Committee;~~
- ~~d. prepare, submit, and administer the library budget.~~

~~e. oversee the programs and services of the Academic Assistance and Resource Center~~

1. *The Library Director is responsible for the development and operation of various educational resource and information technology functions in addition to traditional library services.*
2. *Among the duties and responsibilities of the Library Director are:*
 - a. *plan, organize, and direct library collection development, technical and information service programs;*
 - b. *oversee student tutoring services provided through the Academic Assistance and Resource Center;*
 - c. *provide generalized student computing support through the Library Information Network Center;*
 - d. *plan and direct the University records management program and imaging services;*
 - e. *promote development of a coherent and effective campus portal through campus webmastering and Web Development Office services*

Instructional Technology Director

1. *The Director of Instructional Technology is responsible for coordinating, advising, and assisting academic units in integrating instructional technologies, including distance learning, into teaching, learning, research and outreach.*
2. *Among the responsibilities of Instructional Technology Director are:*
 - a. *serve as leader in recommending and evaluating instructional technology priorities and policies for the University;*
 - b. *collaborate with academic units to incorporate instructional technology into teaching/learning processes;*
 - c. *serve as academic liaison in all University-wide computing, telecommunications and networking initiatives;*
 - d. *conduct strategic planning, needs assessments, and budget projection analysis for assessing instructional technology program development alternatives;*
 - e. *administer programs of technology training and instruction activities for faculty including training for distance learning delivery;*
 - f. *coordinate faculty and student services supportive of extended and distance learning curricula;*
 - g. *advise deans on integrity of external distance learning programs;*
 - h. *develop and promote internal and external partnerships, including collaborative instruction and the marketing of training and instruction to business and industry;*
 - i. *prepare grant proposals to secure extramural funding in support of instructional technology program initiatives;*
 - j. *assist academic units in ongoing assessment of instructional technology effectiveness;*

- k. prepare and administer the budget for the Office of Instructional Technology;*
- l. make recommendations on all personnel actions within the Office of Instructional Technology.*

Source of Authority: Vice President for Academic Affairs

Cross Reference: None

Contact for Revision: Vice President for Academic Affairs

Forms: None

Guarantees Relating to Matters other than Termination and Non-Renewal of Contracts

E-26A

Original Implementation: April 3, 1979

Last Revision: ~~July 27, 1999~~ January 15, 2002

The resolution of disagreements regarding administrative decisions other than dismissal is to be pursued first with the department chairman. If the matter is not, or cannot be, satisfactorily resolved at that level, the faculty member may put in writing the disagreement and submit it to the dean of the college, with a copy to the department chairman.

The dean of the college will consult with the faculty member and the department chairman in an effort to resolve the disagreement. The dean may consult with others deemed to have insight into the matter. If the matter is not, or cannot be, satisfactorily resolved at that level, the faculty member may request that it be referred to the Vice President for Academic Affairs.

The Vice President for Academic Affairs will consult with the faculty member, the department chairman, and the dean of the college in an effort to resolve the disagreement. The Vice President may consult with others deemed to have insight into the matter. If the matter is not, or cannot be, satisfactorily resolved at that level, the faculty member may request that it be referred to the President.

The President will consult with the faculty member, the department chairman, the dean of the college, and the Vice President for Academic Affairs in an effort to resolve the disagreement. The President may consult with others deemed to have insight into the matter. The decision of the President is final and will be communicated to the faculty member in writing within a reasonable time through administrative channels.

If the disagreement under review is an allegation that University policy regarding the faculty member's conditions of employment have been violated, the faculty member may request that prior to the President's final determination the matter be heard by a committee of the University Grievance Panel.

1. Advisory Committee to hear the evidence will be composed of five members selected as follows from the University Grievance Panel: two members selected by the faculty member, two by the President or the President's delegate, and one by lot. Each party will have one challenge without stated cause.
2. Once constituted, the Advisory Committee will organize itself to carry out its responsibilities and establish its procedures.
3. When the Advisory Committee has made its determination of whether and to what extent University policy with regard to the faculty member's conditions of employment have been violated, it will advise the President and the faculty member of its findings.
4. The President will review the report of the Advisory Committee and will consult with the faculty member, the department chairman, the dean of the college, and the Vice President for Academic Affairs in an effort to resolve the issue. The President may

consult with others deemed to have insight into the matter. The decision of the President is final and will be communicated to the faculty member in writing within a reasonable time through administrative channels.

Source of Authority: President

Cross Reference: Faculty Handbook

Contact for Revision: President

Forms: None

Leave of Absence (Non-Academic)

E-30N

Original Implementation: September 1, 1981

Last Revision: ~~October 23, 2001~~ January 15, 2002

The President may grant a leave of absence without pay to non-academic employees *after receiving input from the supervising department regarding departmental needs and* subject to the following provisions:

1. All accumulated paid leave entitlements must be exhausted before granting such leaves, with the additional provision that sick leave must be exhausted only in those cases where the employee is eligible to take sick leave.
2. Such leaves will be limited in duration to twelve (12) months.
3. Subject to fiscal constraints, approval of such leaves constitutes a guarantee of re-employment.
4. The return to work date shall be specified when the leave is requested; or, in the event that the return date is not known, the employee must make arrangements to contact the supervisor at least once each week or as often as requested by the supervisor. The employee is required to call Human Resources on the 1st and 3rd Monday of each month during the leave to report their leave and/or return to work status.

Individuals on leave due to a Worker's Compensation claim must contact their supervisor at least once each week, or as often as requested by their supervisor, regarding the status of the condition and the intention to return to work. Additionally, the employee is required to provide a work status report to the University Safety Office from the treating physician after each appointment. The Safety Office will provide a form to the physician upon request. The employee is responsible for insuring the information is provided as requested.

5. The employee must report to the supervisor and the Human Resources department if he/she will be unable to return to work at the end of the leave period and must provide an acceptable reason for the delay. Failure to return to work from an approved leave of absence by the intended date and to provide an acceptable reason will be considered job abandonment.

Employees who are recovering from a worker's compensation injury, are concurrently on FMLA leave, and who have exhausted all accrued paid leave are in leave without pay status (LWOP). Those employees must make a written request for a leave of absence (LOA) from the University President not to exceed a 12-month period from the beginning of their FMLA leave. Except as provided for in the following leave provisions, any extended leaves of absence without pay for a period of four and one-half (4 1/2) months or more for professional (exempt, non-academic) employees must be approved by the Board of Regents upon the recommendation of the President.

*The President designates the department head to permit an employee to a leave of absence **without pay** for 1-3 days for appropriate reasons. The department head can approve a leave of absence without pay only one (1) time per fiscal year. An individual who chronically exhausts all paid leave and has utilized one department-approved leave of absence without pay will be required to request a leave of absence without pay in advance from the President for future leave needs unless entitled to other benefits under University policy or law. All leaves for a semester or less, except as stated above, must be approved by the President. The Board of Regents must approve leaves of more than a semester.*

Family Medical Leave - The Family Medical Leave Act (FMLA) will, in many circumstances, entitle University employees with more than one year of service and who have worked at least 1,250 hours in the last year, to request up to twelve weeks of medical leave per year. Employees entitled to FMLA leave are required to use all of their paid vacation and sick leave while taking the FMLA leave.

Parental Leave - Employees with less than 12 months of state service or less than 1,250 hours of work in the 12 months immediately preceding the start of leave are entitled to a parental leave of absence, not to exceed 12 weeks, if the employee uses all available and appropriate paid vacation and sick leave while taking the parental leave. Such parental leave may only be taken for the birth of a natural child or the adoption or foster care placement with the employee of a child under 3 years of age. The leave period begins with the date of birth or the adoption or foster care placement.

Foster Parent Leave - An employee, who is a foster parent to a child under the conservatorship of the Department of Protective and Regulatory Services (DPRS), is entitled to a leave of absence with full pay for the purpose of attending staffing meetings held by the DPRS regarding the employee's foster child. In addition, the employee may attend, with a paid leave of absence, the Admission, Review, and Dismissal (ARD) meeting held by a school district regarding the child under the foster care of the employee.

Emergency Leave -

a) **Bereavement Leave** Regular employees will be granted bereavement leave without a loss in pay when a death occurs in their family. For the purposes of bereavement leave, family is defined as the employee's spouse, or the employee's and spouse's parents, children, brothers, sisters, grandparents and grandchildren.

The amount of time granted for bereavement leave shall not exceed three days. A full three days is not automatically granted since it is intended that such leave be limited to the reasonable amount of time necessary for travel, funeral arrangements, and funeral services. If additional days are needed, the employee will be required to use vacation or compensatory time. Employees who have exhausted all accruals will be required to take leave without pay if extended leave is approved.

Requests for bereavement leave should be submitted to the department official who has the authority to approve leave. Requests for bereavement leave for family members not mentioned above, or for leaves greater than three days are subject to the approval of the Director of Human Resources, the Divisional Vice President, and the University President. Employees requesting bereavement leave may be required to provide documentary evidence of the relative's death to qualify for paid leave.

b) Administrative Leave Administrative leave will be granted in only the rarest of circumstances. While employees hold no entitlement to additional leave, they may be granted paid emergency/administrative leave when it is determined that there is good cause for such leave. Such leaves will not normally exceed three workdays per fiscal year.

For the purposes of this leave, an emergency is defined as an unforeseen event or combination of circumstances calling for immediate action which if not responded to immediately would present imminent danger to human life or substantial damage to property. Except for extraordinary circumstances, employees accruing sick leave would not be eligible for emergency leave for their own, or a family member's medical illness.

Administrative leave may be requested by an employee and approved by the department head for the employee to attend the funeral of a co-worker or other University employee with whom they regularly worked. Department heads, however, must ensure minimum staff levels are maintained in the department.

Inclement weather conditions will not constitute just cause for an emergency leave unless approved by the President for the institution as a whole.

Requests for emergency/administrative leave will not be approved unless authorized by the employee's immediate supervisor and department head, the Director of Human Resources, the Divisional Vice President, and the University President. All requests for emergency leave should be routed to the employee's supervisor on the "Emergency Leave Request" form.

Parent-Teacher Conference Leave - An employee may use up to 8 hours of sick leave each calendar year to attend parent-teacher conference sessions for the employee's children who are in pre-kindergarten through 12th grade. Employees must give reasonable notice of intention to use sick leave to attend such conferences.

Jury Duty - No deduction shall be made from the salary or wages of any employee who is called for jury service.

National Guard Active Duty - A leave of absence with full pay shall be provided any employee who is called to active duty with the National Guard by the Governor of Texas because of an emergency.

Military Training or Duty - Employees shall be entitled to leave of absence from their respective duties without loss of time or efficiency rating or vacation time or salary on all days during which they shall be engaged in authorized training or duty ordered or authorized by proper authority, for a period not to exceed fifteen (15) days in any one federal fiscal year.

National Emergency Duty - An employee called to active duty during a national emergency by a reserve branch of the United States Armed Forces shall have a leave of absence. The employee shall not lose the ability to accrue state service credit while on active duty but shall not accrue vacation or sick leave. However, the employee shall retain any accrued vacation or sick leave and shall be credited with such balances upon return.

American Red Cross Activities - With supervisory authority, a request from the Red Cross and approval of the Governor's office, SFASU employees who are certified disaster service volunteers of the American Red Cross will be granted up to ten days of paid leave each year to participate in specialized disaster relief services.

Volunteer Fire Fighting Training - An employee who is a volunteer fire fighter shall be granted a leave of absence with full pay to attend training schools conducted by state agencies provided such leave does not exceed five (5) working days in any one fiscal year. The leave of absence shall in no way be charged against the employee's vacation or sick leave. This leave of absence may also be granted to volunteer firefighters for the purpose of responding to emergency fire situations.

Guide Dog Training - SFASU employees who are blind shall be granted up to 10 working days of absence with pay each fiscal year for the purpose of attending a training program to acquaint the employee with a seeing-eye dog to be utilized by the employee. This leave is in addition to other leave entitlements.

All requests for leave must be accompanied by a "Personnel Action Request" form.

Source of Authority: General Appropriations Act, art. V, secs. 2 and 8; President; Vice President for Business Affairs

Cross Reference: Non-Academic Employee Handbook

Contact for Revision: Vice President for Business Affairs

Forms: Personnel Action Request, see Index E-39; Emergency Leave Request
Bereavement Leave; Emergency Leave Request - Administrative Leave (all available in University Printing Services)

Overtime and Additional Compensation

E-36

Original Implementation: Unpublished

Last Revision: ~~October 26, 1999~~ January 15, 2002

Non-Exempt Employees:

A non-exempt employee who is required to work in excess of 40 hours in a workweek is entitled to compensation for the excess hours through one of the following methods.

1. The employee should be allowed (or required) to take compensatory time off within twelve (12) months following the end of the workweek in which the overtime occurred at the rate of 1-1/2 hours off for each hour of overtime. Time that is to be taken is at the discretion of the supervisor and must be authorized in advance.
2. When granting compensatory time off is impractical, the employee receives pay for the overtime at the rate of 1-1/2 times the employee's regular rate of pay. Payment must be made for all overtime in excess of 240 hours, which is 160 straight time hours.

Any paid leave or holidays taken are not counted as hours worked in determining overtime hours under the preceding paragraph. In situations in which the employee has not worked more than 40 hours in a workweek but the total hours worked and hours of paid leave or paid holidays exceeds 40 hours, the employee shall be allowed equivalent compensatory time off for the excess hours. The compensatory time must be taken during the 12-month period following the end of the workweek in which compensatory time was accrued. Compensatory time under this paragraph may not be carried forward past the end of the 12-month period and only in specially approved instances may an employee whose compensatory time off would be disruptive to normal teaching, research or other critical function be paid for the unused time.

Non-exempt part-time employees must be paid for hours worked over their designated hours; they may not accrue compensatory time.

Exceptions to the workweek overtime calculation for University Police Department law enforcement officers shall be made in accordance with the Fair Labor Standards Act.

To receive overtime pay:

1. Hourly employees record overtime on the "Semi-Monthly Time Record" in the section designated for overtime. This overtime is then recorded on the semi-monthly time sheet (computer print-out) which is provided by Payroll Services.
2. Monthly employees must obtain approval from the department head to receive overtime pay in lieu of compensatory time off. Overtime hours are to be recorded on the "Monthly Time Record" which is kept in the departmental office. If the employee is to be paid for overtime on a recurring basis, the employee's name and social security number only are to be written on the semi-monthly time sheet (computer print-out). Payroll Services will add that employee's name permanently to the list.

If the overtime is to be paid on a one-time basis, the department head must approve and submit a request for payment in memorandum form to the appropriate vice president for signature. The memorandum will be submitted to Payroll Services and overtime payment will be processed.

Non-exempt employees (or their estates) must be paid for any unused accumulated compensatory time at the time of separation from employment.

Exempt Employees:

An employee who is not subject to the overtime provisions of the FLSA may be allowed compensatory time off for hours in excess of 40 hours in a work week in which the combination of hours worked, paid leave, and holidays exceeds a total of 40 hours.

An employee who is exempt as an executive professional, or administrative employee, may be allowed compensatory time off during the 12-month period following the end of the workweek in which the overtime was accrued, at a rate not to exceed equivalent time, but limited to ten (10) days during any one fiscal year. An exempt employee will not be paid for any unused compensatory time earned in this manner.

Part-time exempt employees may accrue compensatory time when the number of hours worked plus holiday or other paid leave taken during that week exceeds the number of hours that the employee was designated to work.

Time that is to be taken is at the discretion of the supervisor and must be authorized in advance on a "Request for Vacation, Compensatory Time, Sick Leave Taken" form which is maintained in the employee's departmental file.

All Employees:

No employee may accrue compensatory time for work performed at any location other than the employee's regular place of employment or duty point. For compensatory time purposes, the employee's personal residence may not be considered to be their regular place of employment or duty point.

Source of Authority: 29 U.S.C., sec. 201 et seq.; General Appropriations Act; President; Vice President for Business Affairs

Cross Reference: Non-Academic Employee Handbook

Contact for Revision: Vice President for Business Affairs

Forms: Semi-Monthly Time Record, Monthly Time Record, Request for Vacation, Comp Time, Sick Leave Taken Form (all available in University Printing Services)

Part-time Faculty

E-37A

Original Implementation: September 19, 1984

Last Revision: ~~January 19, 1999~~ January 15, 2002

A part-time faculty member may be (1) a former tenured full-time faculty member who has opted for less than a full teaching load, or (2) one who has never held a tenured appointment on a full-time basis. Regulations on the employment, duties, and privileges of a part-time faculty member follow:

1. Procedure for Selection

- a. Each academic unit shall establish criteria for the selection of a part-time faculty member, provided that one criterion shall be that the appointee must hold at least an appropriate master's degree or have substantial professional experience related directly to the teaching assignment, and provided further that all other state and University employment regulations are observed.
- b. Each academic unit shall develop and maintain a list of persons eligible for and interested in part-time faculty assignments and, as a need arises, select the best qualified person for appointment subject to approval through regular administrative channels.

2. Academic Rank, Length of Appointment, and Teaching Load

- a. A former tenured full-time faculty member appointed to a part-time position shall carry the academic rank he/she held at the expiration of his/her regular employment, except that the rank shall be conditioned by the designation Part-time (Instructor, Assistant Professor, Associate Professor, or Professor). Likewise, any part-time faculty member not previously holding full teaching employment shall carry the rank of Part-time (Instructor, Assistant Professor, Associate Professor, Professor, whichever is appropriate).
- b. A part-time faculty member may be appointed for one or both semesters of the regular academic year and, separately, one or both sessions of the summer. An appointment, however, shall not be made for a time in excess of an academic calendar year (i.e., September-August).
- c. A part-time faculty member shall be advised of his/her appointment at the earliest possible time.

3. Stipend

The salary of a part-time faculty member shall be negotiated with each appointment, subject to the approval of the dean of the college and the Vice President for Academic Affairs.

4. Duties

- a. A part-time faculty member shall teach the course(s) assigned to him/her and maintain office hours commensurate with the teaching assignment.
- b. Likewise, the part-time faculty member shall be expected to perform such other academic duties as may be assigned by the departmental/divisional chair/director in proportion to the part-time faculty member's teaching assignment (e.g., assisting in the advising of students). Such additional duties may occasionally include service on a departmental/divisional, but not college or university, committee provided that the committee to which he/she is assigned is not concerned with making recommendations for the appointment of a departmental/divisional chair/director or a full-time faculty member nor with matters bearing upon merit pay, promotion, or tenure for a full-time faculty member.

5. Privileges

A part-time faculty member shall enjoy those rights and privileges appropriate to his/her assigned academic duties and to the profession generally, except tenure and except that such rights and privileges must be consonant with all other parts of this policy statement, all other University policy statements, and state and national law.

SOURCE OF AUTHORITY: Vice President for Academic Affairs

CROSS REFERENCE: None

CONTACT FOR REVISION: Vice President for Academic Affairs

FORMS: None

Summer Contracts

E-48A

Original Implementation: March 14, 1978

Last Revision: ~~July 27, 1999~~ *January 15, 2002*

The University offers no guarantee of summer employment to any faculty member except as specifically contracted. All summer instructional contracts are contingent upon sufficient class enrollments and availability of funding.

Utilizing faculty input, each department or college is required to adopt a written policy concerning the allocation of summer teaching assignments. These policies will define priority for summer course offerings and set criteria for allocating teaching assignments among the eligible faculty.

Source of Authority: Vice President for Academic Affairs

Cross Reference: Faculty Handbook

Contact for Revision: Vice President for Academic Affairs

Forms: None

Family and Medical Leave

E-58

Original Implementation: August 5, 1993

Last Revision: ~~October 23, 2001~~ January 15, 2002

Employees are eligible to take up to twelve (12) weeks of family/medical leave within any 12 month period and be restored to the same or an equivalent position upon return from leave, provided that the employee has worked for the State of Texas for at least twelve (12) continuous months and for at least 1,250 hours within that twelve (12) month period. Leave without pay may begin after all available applicable paid leave has been exhausted and will be included in the twelve (12) weeks of Family and Medical Leave Act (FMLA). Applicable Sick Leave Pool benefits and leave resulting from Workers' Compensation claims (See Workers Compensation Coverage Policy E-55 for more details) will be included in the twelve (12) week period. For purposes of the FMLA, a rolling twelve (12) month period will be measured backward from the date leave begins.

Reasons For Family/Medical Leave: Eligible faculty and staff may take family/medical leave for any of the following reasons:

1. the birth of a child and in order to care for such child;
2. the placement of a child with the employee for adoption or foster care;
3. to care for a spouse, son, daughter, or parent with a serious health condition; or,
4. because of the employee's own serious health condition which renders the employee unable to perform the job functions essential to the employee's position.

Leave because of reasons (1) or (2) must be completed within the twelve (12) month period beginning on the date of birth or placement. *An employee is allowed to use sick leave for the period of time that is certified by the physician to recover from childbirth. While an employee may take additional time off under FMLA (including annual leave, or leave without pay), the employee may not use sick leave for this additional time unless the employee or the infant is actually sick.* In addition, spouses, employed by Stephen F. Austin State University who request leave because of reasons (1) or (2) or to care for an ill parent may only take a combined total of twelve (12) weeks during any twelve (12) month period.

Employees with less than 12 months of state service or less than 1,250 hours of work in the 12 months immediately preceding the start of leave are entitled to a parental leave of absence, not to exceed 12 weeks (480 hours), if the employee uses all available and appropriate paid vacation and sick leave while taking the parental leave. Such parental leave may only be taken for the birth of a natural child or the adoption or foster care placement with the employee of a child under three years of age. The leave period begins with the date of birth or the adoption or foster care placement. Sick leave may be used in conjunction with FMLA leave when a child under the age of three is adopted regardless

of whether the child is actually sick at the time of adoption. Furthermore, an employee, who is the father of a child, may use his sick leave in conjunction with the child's birth only if the child is actually ill, or to care for his spouse while she is recovering from labor and delivery.

Notice of Leave: If the need for family/medical leave is foreseeable, the employee must give thirty (30) days prior written notice. If this is not possible, the employee must give notice within one to two working days of learning of the need for leave or as soon as practicable. Failure to provide such notice may be grounds for delay of leave. Where the need for leave is not foreseeable, the employee is expected to notify the supervisor and Human Resources within 1 to 2 working days of learning of the need for leave, except in extraordinary circumstances. Requests for Family/Medical Leave forms are available from Human Resources. Employees should use these forms when requesting leave.

Medical Certification: If an employee is requesting leave because of their own or a covered relation's serious health condition, the employee and the relevant health care provider must supply appropriate medical certification. Medical Certification Forms may be obtained from Human Resources. The form must be returned to the Director of Human Resources within fifteen (15) days after the date leave is requested. Failure to provide requested medical certification in a timely manner may result in denial of leave until the certification is provided. The University, at its expense, may require an examination by a second health care provider designated by the University. If the second health care provider's opinion conflicts with the original medical certification, the University, at its expense, may require a third, mutually agreeable, health care provider to conduct an examination and provide a final and binding opinion. The University may require subsequent medical re-certification on a reasonable basis.

Reporting While On Leave: If an employee takes FMLA because of a personal serious health condition or to care for a covered relation, the employee must contact the supervisor at least once each week, or as often as requested by the supervisor, regarding the status of the condition and the intention to return to work. The supervisor is responsible for reporting this information to the Director of Human Resources. Additionally, you are required to call Human Resources on the 1st and 3rd Monday of each month during your leave to report your leave and/or return to work status.

Leave Is Unpaid: Family/medical leave is unpaid leave after applicable vacation leave and sick leave have been exhausted. Employees may apply for sick leave from the Sick Leave Pool which, if approved, will be included within the FMLA period. Employees may be eligible for short or long-term disability payments and/or workers' compensation benefits under the provisions of those plans. This leave time will also be included in the twelve (12) week period of FMLA. The use of paid leave time does not extend the twelve (12) week leave period.

Medical And Other Benefits: During an approved family/medical leave, the University will maintain the State contribution for the employee's health benefits as if the employee continues to be actively employed. During periods of paid FMLA leave the University

will deduct the employee's portion of the insurance premiums as a regular payroll deduction. If the employee's FMLA leave is unpaid, the employee portion of the premium must be paid by the employee through the Benefits Manager in Human Resources. The employee's insurance coverage will cease if the premium payment is more than thirty (30) days late. If the employee elects not to return to work at the end of the FMLA leave period, the employee will be required to reimburse the University for the cost of the premiums paid by the University for maintaining coverage during the leave, unless the employee cannot return to work because of a serious health condition or other circumstances beyond the employee's control. An employee on FMLA is not entitled to accrue state service credit for any full calendar months of leave without pay taken while on FMLA and does not accrue vacation or sick leave for such months of leave without pay.

Intermittent And Reduced Schedule Leave: Leave because of a serious health condition may be taken intermittently (in separate blocks of time due to a single health condition) or on a reduced leave schedule (reducing the usual number of hours worked per work week or work day), if medically necessary. A reduced schedule is subject to availability depending on the business need of the department or the University. If leave is unpaid, the University will reduce the employee's salary based on the amount of time actually worked. In addition, while the employee is on an intermittent leave or reduced schedule, the University may temporarily transfer the employee to an alternative position which better accommodates recurring leave and which has equivalent pay and benefits.

Returning From Leave: If the employee takes leave because of a personal serious health condition, the employee is required to provide medical certification that the employee is fit to resume work. Return to Work Medical Certification Forms (Attachment C) may be obtained from Human Resources. Employees failing to provide the Return to Work Medical Certification Form will not be permitted to resume work until it is provided.

Extended Leave For Serious Health Conditions: Leave taken because of the employee's personal serious health condition may be extended on a month-to-month basis for a maximum of an additional twelve (12) weeks upon: (1) written request to the University; (2) proof that the serious health condition has continued; and, (3) approval by the University, subject to the department's business needs. If the employee does not return to work on the originally scheduled return date nor request in advance an extension of the agreed upon leave with appropriate documentation, the employee will be deemed to have voluntarily terminated employment with the University. If the employee requests an extension of leave beyond the initial twelve (12) week period, he/she must submit medical certification of continued serious health condition in advance for each month of extended leave. Reinstatement is not guaranteed on an extended leave and will depend on University needs. If the employee's cumulative leave for any reason extends beyond twenty-four (24) weeks in any two-year period, the employee automatically will be deemed terminated, but may be entitled to disability payments in accordance with the University's disability insurance and/or workers' compensation plans, if applicable.

Definitions: For the purpose of this policy, the following definitions apply.

Applicable Paid Leave Sick leave and vacation accruals.

Spouse - Those recognized as spouses by the State of Texas.

Parent - Parent includes biological parents and individuals who acted as the employee's parents, but does not include parents-in-law.

Son or Daughter - Son or daughter, legally recognized, includes biological, adopted, foster children, stepchildren, and legal wards, who are under eighteen (18) years of age but incapable of caring for themselves.

Serious Health Condition - A serious health condition means any illness, injury, impairment, or physical or mental condition that involves: (1) any incapacity or treatment in connection with inpatient care; (2) an incapacity requiring absence of more than three calendar days and continuing treatment by a health care provider; or, (3) continuing treatment by a health care provider of a chronic or long-term condition that is incurable or will likely result in incapacity of more than three days if not treated.

Continuing Treatment - Continuing treatment means: (1) two or more treatments by a health care provider; (2) two or more treatments by a provider of health care services (i.e., physical therapist) on referral by or under orders of a health care provider; (3) at least one treatment by a health care provider which results in a regimen of continuing treatment under the supervision of the health care provider (i.e., a program of medication or therapy); or, (4) under the supervision of, although not actively treated by, a health care provider for a serious long-term or chronic condition or disability which cannot be cured (i.e., Alzheimer's or severe stroke).

Health Care Provider - Health care provider includes: licensed medical (MD) and osteopathic (OD) doctors, podiatrists, dentists, clinical psychologists, optometrists, chiropractors authorized to practice in the State, nurse practitioners and nurse-midwives authorized under State law, and Christian Science practitioners.

"Needed To Care For" - "Needed to care for" a family member encompasses: (1) physical and psychological care; and, (2) where the employee is needed to fill in for others providing care or to arrange for third party care of the family member.

"Unable To Perform The Functions Of The Employee's Job" - The phrase "unable to perform the functions of the employee's job" means an employee is (1) unable to work at all; or, (2) unable to perform any of the essential functions of their position. The term "essential functions" is borrowed from the Americans with Disabilities Act (ADA) to mean "the fundamental job duties of the employment position," and does not include the marginal functions of the position.

Source of Authority: United States Department of Labor, Title 29, Part 825, Code of Federal Regulations, The Family and Medical Leave Act of 1993; General Appropriations Act, Article V, Section 8

Cross Reference: None

Contact for Revision: Vice President Business Affairs and General Counsel

Forms: Family/Medical Leave Request for Leave Form, Certification of Physician or Practitioner Form, Family/Medical Leave Return to Work Medical Certification Form

Selection of Academic Deans

E-59

Original Implementation:

Last Revision: ~~October 20, 1998~~ January 15, 2002

The Academic Dean is the Chief Executive of the College and is responsible for fostering excellence in teaching, research and service in the College. Reporting directly to the Vice President for Academic Affairs, the Academic Dean has a major role in developing and interpreting University policy.

A search and screen committee will be used in each search for a dean. Each search initially will be open and without prejudice for inside or outside candidates. Should considerations indicate that a fully open search may not be a viable choice, a decision limiting the scope of the search should be made prior to the selection of the committee. Such a decision will not be made without consultation with the department chairs and faculty.

Search and Screen Committee Responsibilities and Process:

1. The search and screen committee has the responsibility of overseeing the recruitment process working in close agreement with the Vice President for Academic Affairs. The committee will be responsible for developing an appropriate description advertising the position, initial screening of candidates, and arranging interviews for candidates invited to campus. The committee is also responsible for seeing that procedures are followed to assure that all candidates are given fair and full consideration for the position.
2. The committee will be constituted by the Vice President for Academic Affairs on consultation with the department chairs and faculty of the College.
3. The committee shall have a minimum of five members. Larger membership will depend on the size of the college and the complexity of its programs.
4. Once the composition of the committee has been determined, the departments/college shall elect the specified number of representatives to the committee. Faculty members, chairs and directors eligible both to vote and to serve on the committee will be those on full-time contract with the university who hold faculty rank in the department. In all cases faculty, chairs and directors within the college shall constitute a majority of the committee.
5. Each search and screen committee shall have representation from outside the college. Outside representative(s) may be elected or appointed. To enhance the ability of the committee to focus on the administrative capabilities of the candidates, at least one member of the committee should be an individual with appropriate academic administrative experience. If only one outside representative is chosen, that individual ordinarily should be another academic dean.

6. The Vice President for Academic Affairs after consultation with the college faculty, chairs and directors, shall then fill the other positions on the committee from within and/or without the college with a view toward creating a balanced committee which can best represent the interest of the college and the university. Outside positions on the committee may be filled by undergraduate and/or graduate students and community representatives.
7. The Vice President for Academic Affairs will appoint the committee chair and arrange for convening the committee for its organizational meeting. The committee may choose to elect other committee officers.
8. Ordinarily, at least two candidates recommended by the committee will be interviewed on campus. The itinerary for the interviews will provide ample opportunity for the candidates to meet college faculty, students, department chairs, other deans, vice presidents and the president.
9. After the interviews, the committee makes its recommendation to the Vice President for Academic Affairs.
10. Appointment is by the President and requires the approval of the Board of Regents.

Source of Authority: President

Cross Reference: Faculty Handbook

Contact for Revision: Vice President for Academic Affairs

Forms: None

Central Stores

F-7

Original Implementation: Unpublished

Last Revision: ~~January 19, 1999~~ January 15, 2002

Central Stores provides a supply of materials primarily to support maintenance activities. Additionally, a limited number of other items are provided to support instructional and administrative activities.

Purchases

Purchases from Central Stores will be allowed only upon presentation of a valid University account number, work request number, and authorized signature on sales receipt. ~~Sales will not be made to overdrawn accounts without approval of the appropriate vice president.~~

Orders may be placed with Central Stores in the following manner:

1. in person at the Central Stores sales counter;
2. by telephone at extension 5303; or,
- ~~3. by on-line entry to Physical Plant home page~~

Returns

Returns with credit will be allowed for non-discontinued merchandise within ~~thirty (30)~~ *ten (10)* days of purchase. Defective merchandise will be replaced, or a refund made, when return is made within a reasonable period of time. The sales receipt (pick ticket) is required for all returns, replacements, or credits.

Delivery Services

Bulk items of Central Stores merchandise will be delivered without additional cost *by Central Receiving*. Small items and small quantities will not be routinely delivered. Orders may be picked up at the Central Stores sales counter.

Requests to Stock Merchandise

New merchandise will be added to the Central Stores stock upon the request of a department head or his/her designee when the item meets one or more of the following criteria:

1. the item is critical to operations and not available in the local marketplace;
2. the item is needed routinely by one or more departments;

3. institutional benefits can be shown either in having the item available when needed, or by saving money through ordering in bulk;

4. adequate physical facilities are available to store and protect the merchandise.

Special items stocked at the request of a department, which are not sold after a reasonable time (one year) will be charged to the requesting department and disposal of the items will be the responsibility of the requesting department.

Source of Authority: Vice President for Business Affairs

Cross Reference: None

Contact for Revision: Director of Physical Plant

Forms: None

Administrative Systems Software Changes

F-36

Original Implementation: January 19, 1999

Last Revision: ~~None~~ January 15, 2002

System software changes to administrative systems allow the systems to:

- A. Meet the changing needs of the user community and system owners.
- B. Provide patches when problems are encountered.
- C. Provide upgrades ~~to~~ *to* the systems as new features are added.

Changes to systems software involving the Financial Records System (FRS), the Human Resources System (HRS), and the Student Information System (SIS) are requested by the system owners or the managers for those respective systems within ~~University Information Systems Technology Services (UIS/ITS)~~. The changes are then evaluated as a solution for the problem or need they address by the appropriate system manager within ~~UIS-ITS~~ and are approved or rejected for application to the system.

Application of Software Changes

The Database Administrator, (DBA), is exclusively responsible for performing changes to system software in FRS, HRS, and SIS in the production systems. Candidate code is modified and/or tested in the appropriate test system by the ~~UIS-ITS~~ programming staff and the system managers for the respective systems. After the candidate code has been successfully tested and evaluated for correct function, the programmer or system manager may request that the DBA move the code to the production system by sending his move request through the SCT Move Request System (SCTREQ).

After the DBA receives the request to promote the candidate code to production via SCTREQ, the DBA will review the changes, compile the code, and schedule the new code for activation after the nightly batch scheduler run completes that night. The new change will be available for the next business day's processing.

Source of Authority: Vice President for Business Affairs

Cross Reference: None

Contact for Revision: Director of ~~University Information Systems~~ *Technology Services*

Forms: Account Authorization Form (available in the Boynton Computer Center or via the web at < https://apache.sfasu.edu/sfa_forms/index.shtml ~~http://www.uis.sfasu.edu/sfa_forms/~~ >)

Computer System Access

F-37

Original Implementation: January 19, 1999

Last Revision: ~~None~~ January 15, 2002

SFA Administrative Account Security

Administrative accounts are provided for access to SFA's administrative information systems. The accounts have the following security characteristics that have been arrived at by the functional need of the type of user.

General Guidelines

All accounts adhere to the following general guidelines:

- Minimum password length of six characters.
- Rejection of trite or easy to guess passwords as a user's password.
- Password history; Passwords are not allowed to be re-used by a user.
- *OpenVMS break-in detection and evasion*: An excessive number of unsuccessful login attempts will activate a feature of the operating system that "evades" or locks out further attempts to login from the network address in question.
- As a rule, we do not create "generic" or group accounts. All accounts are tied to an individual whenever possible to promote accountability.

Staff Accounts

Staff accounts are provided for SFA faculty and staff for access to the administrative systems, specifically, the SCT suite of systems: SIS, FRS, and HRS. These accounts are generally organized as follows:

User Identification Code: The UIC for staff accounts are grouped by department i.e. each department has a common group identifier followed by a unique user identifier.

Password Lifetime: The password lifetime is set to 90 days for staff accounts.

Directory tree: Each staff's account has a home directory organized under a common staff root.

The protection is set to give only the account holder access to the home directory.

Access to the Data Command Language prompt: No, except in certain circumstances. The user is held within a menu system that denies access to the command prompt.

Privilege: Low

Programmer Accounts

Programmer accounts are provided to ~~University Information Systems (UIS)~~ *Information Technology Services (ITS)* programming staff for the purpose of maintaining ~~UIS~~ *ITS* systems, providing support to staff users, and augmenting current systems. These accounts are generally organized with the following characteristics:

User Identification Code: The UIC for programmer accounts consists of a unique group identifier for the programming group. Each user has a unique user identifier.

Password Lifetime: The password lifetime is set to 60 days.

Directory tree: Each programmer account has a home directory organized under a common programming staff root separate from the staff root. The protection is set to give only the account holder access to the home directory in some instances. Group read access is allowed for the sharing of information between the programming staff.

Access to the Data Command Language prompt: Yes

Privilege: Low

Operator Accounts

Operator accounts are provided for ~~UIS-ITS~~ operations staff to allow them to:

- A. Monitor ~~UIS-ITS~~ systems and take corrective action autonomously, if necessary
- B. Service requests for print, tape or other associated resources
- C. Oversee operation of the batch scheduler

User Identification Code: The UIC for operator accounts consists of a unique group identifier for the operations group. Each user has a unique user identifier.

Password Lifetime: The password lifetime is set to 30 days.

Directory tree: Each operator account has a home directory organized under a common operations staff root separate from the other roots. The protection is set to give only the account holder access to the home directory.

Access to the DCL prompt: Yes

Privilege: High

Database Administrator Accounts

Database Administrator accounts are provided for ~~UIS-ITS~~ operations staff to allow them to:

- A. Maintain ~~UIS- ITS~~ Database systems
- B. Upgrade IA-Plus software (patches and new release software)
- C. Provide programming necessary to maintain and augment administrative environment.
- D. Provide general support to programming staff

UIC: The UIC for Database Administrator accounts are grouped with the programmers. A unique user identifier is provided for each account.

Password Lifetime: The password lifetime is set to 30 days.

Directory tree: Each Database Administrator, (DBA), account has a home directory organized under a common root with the programmers. This configuration is dictated by the close support relationship between the programmers and the DBAs. The protection is set to give only the account holder access to the home directory, some group read access is allowed as necessary.

Access to the DCL prompt: Yes

Privilege: High

System Manager Accounts

System Manager accounts are provided for ~~University Information System~~ *Information Technology Services, (UIS), (ITS)* operations staff to allow them to:

- A. Maintain system software.
- B. Upgrade system software (patches and new release software).
- C. Provide programming necessary to maintain and augment the system environment.
- D. Perform security monitoring and monitor system viability; performance management.
- E. Administer user accounts, SCT online system security, and email.

UIC: The UIC for System Manager accounts are in a unique group. A unique user identifier is provided for each account.

Password Lifetime: The password lifetime is set to 30 days.

Directory tree: Each System Manager account has a home directory organized under a common system manager root separate from the other roots. The protection is set to give only the account holder access to the home directory. No group access is allowed.

Access to the DCL prompt: Yes

Privilege: High

Investigation of Access Violations

Reported or suspected access violations whether they be by "terminal" or any other avenue will be investigated aggressively and completely by the Technical Support Staff of ~~University Information Systems (UIS)~~ *Information Technology Services (ITS)*. Upon notification of any such event, the Director of ~~University Information Systems~~ *Information Technology Services* will be notified and the Assistant Director of Technical Support shall initiate a complete investigation utilizing any system and/or ~~UIS~~ *ITS* resources necessary. The Director of ~~University Information Systems~~ *Information Technology Services* will notify the Vice President for Business Affairs and in the event a business system is involved, the Internal Auditor.

The primary concern is outlined below. The exact order of steps taken below depends on the situation at hand:

- A. Close any avenue used to commit the violation and return the system at once to a secure state.
- B. Immediately take steps to preserve and protect any evidential data sources. These may include:
 1. User accounts including email, files, programs, scripts, etc., in an account.
 2. System security files including operator (OPCOM) logs, security audit journals and system accounting logs.
 3. Data files from application software, application source code, logs and application transaction journals.
 4. Flag system backups from a range of time surrounding the event to prevent their expiration and re-use that would effectively result in erasure. The exact range of time is dependent upon the situation.
- C. Perform any real-time monitoring of suspected violations in progress.
- D. Engage ~~UIS-ITS~~ and system owner staff as needed to assess and report on the health of any affected application systems.
- E. Assess any other systems, application or system-related, that for any reason may be suspected of being involved in the access violation.
- F. The University Police Department must be alerted. Notify any other Stephen F. Austin State University staff as required. This may include the system owner or any other department that has a justifiable need for involvement.
- G. Maintain a high state of system monitoring to ascertain if any related violations are attempted. The exact length of any high state of alert is to be commensurate with the situation encountered.

The ~~UIS-ITS~~ Technical Support Staff reserves complete authority to inspect in real-time or by other means any suspected activity that appears to represent an abuse of any ~~UIS/ITS~~

managed system. This includes, but is not limited to, inspection of email, real time monitoring of users, logging of activity and inspection of files of any type. A complete report and analysis of the access violation will be produced after the investigation is complete. Any criminal investigation will fall under the auspices of the appropriate investigating body. The report will be filed by UHS-ITS and full and complete measures will be taken to repair any security breaches uncovered by the investigation.

Assignment of New Passwords

Students, faculty and staff may request a password change in the event their password has been forgotten or some other problem dictates resetting their password. The process of obtaining password change is outlined below:

Faculty/Staff Accounts

- A. Call the Customer Support Help Desk at 468-1212. In the event no one is available at the help desk, call University Information Systems directly at 468-1110.
- B. Be prepared to provide your username and account type: (Academic account on Titan or Administrative account on SFAADM), as well as additional personal information to help confirm your identity.
- C. Request that the help desk personnel reset your password.
- D. At your earliest convenience, login to the account to reset the password. Leaving the account set to the password given to you by the help desk attendant is strongly discouraged and may result in a breach of system security.
- E. If you use the account you had the password reset on with any email software, you will have to supply the email software with your new password the next time the software is used.

Student Accounts

- A. ~~Report to the Boynton Computer Lab (room 109, Boynton Building) and request that your password be reset.~~ *Students can activate and reset their password using an online authorization form located at <http://apache.sfasu.edu/accountman/>.*
- B. ~~Be prepared to provide your validated Student ID card. All password changes are keyed on your Student Identification Number.~~ *Be prepared to enter your Student Identification Number and your PIN..*
- C. At your earliest convenience, login to the account to reset the password. Leaving the account set to the password given to you by the lab attendant is strongly discouraged and may result in a breach of system security.

Source of Authority: Vice President for Business Affairs

Cross Reference: None

Contact for Revision: Director of ~~University Information Systems~~ *Information Technology Services*

Forms: Account Authorization Form (available in the Boynton Computer Center or via the web at ~~http://www.uis.sfasu.edu/sfa_forms/~~ http://apache.sfasu.edu/sfa_forms/index.shtml)

Restart and Recovery

F-38

Original Implementation: April 20, 1999

Last Revision: ~~None~~ January 15, 2002

Restart and Recovery procedures are differ depending on the system that aborts and the state of the system when the failure occurs.

I. The following procedures are used by all modules in the SIS system.

- A. If the system fails during on-line processing:
 - 1. Be sure all users sign off of the on-line system.
 - 2. Copy the Checkpoint/Recovery File.
 - 3. Restore to the last backup.
 - 4. Run ZBA001 to recover what has been processed on-line since the last backup.
- B. If the system fails during Batch Maintenance:
 - 1. Restore from the last backup.
 - 2. Rerun Batch Maintenance from the beginning.
- C. If the system fails during Update Programs:
 - 1. Restore from the last backup.
 - 2. Rerun the Batch Maintenance Program if the program was run after the last backup.
 - 3. Rerun the update programs in the same sequence.
- D. If the system fails during the Report Program:
 - 1. Rerun the report programs.

II. The following procedures are used in the HRS system.

- A. If the system fails during on-line processing:
 - 1. Be sure all users sign off of the on-line system.
 - 2. Copy Back-Up/Recovery Audit File.
 - 3. Restore to last Backup.
 - 4. Run ZBA001. To recover what has been processed on-line since the last backup.
- B. If the system fails during Batch Maintenance:
 - 1. Restore from the last backup.
 - 2. Rerun Batch Maintenance from the beginning.
- C. If the system fails during Update Programs:
 - 1. Restore from the last backup.
 - 2. Rerun the Batch Maintenance Program if the program was run after the last backup.
 - 3. Rerun the update programs in the same sequence.
- D. If the system fails during the Report Program:
 - 1. Rerun the report programs.
- E. If the system fails during Printing Checks or Direct Deposit Stubs:
 - 1. Determine employee ID number of last good check or stub.
 - 2. Change control record for program to include last employee ID number processed correctly.
 - 3. Run program.

III. The following procedures are used in the FRS system.

A. If a controlled abort occurs during batch processing:

1. Review the .LOG or .PRT files for the system messages generated.
2. Check the message from the program that aborted.
3. If it is a system-generated message, look up the IA-Plus diagnostic message Help and follow the directions given.
4. If the message is generated by something other than FRS, look up the message description and follow the directions.
5. If steps 3 and 4 do not work contact SCT using CSN or ActionLine.

B. If a controlled abort occurs during on-line processing:

1. Run FBM100 to get the abort information from the FB records generated during the abort.
2. Look up the abort messages and follow the directions given.

C. If an uncontrolled abort occurs:

1. Read the abort information.
2. Look up the message description in the corresponding documentation.
3. Follow the message directions.
4. Go to the program listing and identify the paragraph of the source code where the program aborted.
5. If the actions of steps 3 and 4 do not resolve the problem, determine whether to call SCT via ActionLine or another vendor based on what caused the abort.

Access Review

Access Review reports, produced utilizing our vendor supplied software, are to be distributed quarterly to all system owners (Financial Aid, Student Records, Billing and Receivables, Admissions, Housing, Financial Record System, Human Resource System). If any access modifications are required, a written request specifying the necessary changes must be submitted to the ~~University Information Systems~~ *Information Technology Services* department. The changes will be forwarded to the system security officer for implementation.

Source of Authority: Vice President for Business Affairs

Cross Reference: None

Contact for Revision: Director of ~~University Information Systems~~ *Information Technology Services*

Forms: None