Board Minutes for January 19, 2006
(Volume 221)

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Stephen F. Austin State University
Minutes of the Regular Meeting of the Board of Regents
Nacogdoches, Texas
January 19, 2006
9:00 a.m.
Austin Building 307

The Meeting of the Board of Regents was called to order at 9:02 a.m., Thursday, January 19, 2006, by Chair Fred Wulf.

PRESENT:

Board Members: Mr. Richard Boyer
Dr. Margarita de la Garza-Grahm
Ms. Valerie Ertz
Mr. Joe Max Green
Mr. Kenneth James
Mr. Paul Pond
Mr. James Thompson
Mr. Melvin White
Mr. Fred Wulf

President: Dr. Tito Guerrero

Vice-Presidents: Dr. Mary Cullinan
Dr. Jerry Holbert
Dr. Baker Pattillo
Dr. Marlin Young

General Counsel: Ms. Yvette Clark

Other SFA administrators, staff, and visitors also were present in Room 307.

Chair Wulf presented a Board of Regents Lumberjack Axe to Monique Cossich for her contributions in student recruitment.

Vice President Baker Pattillo introduced the following championship teams:

Southland Conference Women's Soccer Champions; Jamie Frias, Coach
Southland Conference Women's Volleyball Champions; Debbie Humphreys, Coach
Southland Conference Men's Cross Country Champions; Louis Snelling and Phil Olsen, Coaches
ESPN College Smash-Mouth Bass Champions; Dr. Ray Worsham, Coach

Ms. Sally Ann Swearingen, Associate Professor of Human Sciences, introduced her design students who made a presentation on their Signage and Wayfinding Plan.
APPROVAL OF MINUTES

06-13
Upon motion by Regent Pond, seconded by Regent Ertz, with all members voting aye, it was ordered that:

1. The minutes of the October 20, 2005 meeting be corrected to add the following note to the Financial Affairs item in Board Order 06-05:

   Research Development Fund (Clarification)

   The original board item incorrectly noted that the Research Development Fund involved an additional appropriation beyond that which was originally appropriated by the Legislature and augmented the budget to add $271,591 to the University’s total budget. These funds were included in the original Legislative appropriation and the University’s budget should not have been increased. These funds will still be expended as noted, but are not an addition to the budget.

2. The minutes of the October 19, October 20, November 12, December 9, and December 14, 2005, meetings be approved and that the correction to the July 14, 2005, minutes be approved as follows:

   The minutes of the July 14, 2005, board meeting are corrected to add the following Financial Affairs item to Board Order 05-48:

   Automobile Insurance

   Approval was given to secure Auto Insurance through the SORM program for Fiscal Year 2006. The President was authorized to sign all contracts.

PERSONNEL

06-14
Upon motion by Regent Thompson, seconded by Regent Green, with all members voting aye, it was ordered that the following personnel items be approved:

A. FACULTY APPOINTMENTS FOR 2005 – 2006

1. Applied Arts and Sciences

   a) Karren Price, Assistant Professor of Criminal Justice, J.D. (Mississippi College School of Law), at a salary of $45,000 for 100 percent time for nine months, effective January 12, 2006.

   b) Georgen Guerrero, Instructor of Criminal Justice, M.A. (Texas State University), at a salary of $19,500 for 100 percent time for one semester, effective January 12, 2006, contingent upon completion of Ph.D. by May 31,
2006. Upon completion of doctorate the position will be that of Assistant Professor at a salary of $45,000 for nine months.

2. Business

   a) Todd Brown, Assistant Professor of Economics and Finance, Ph.D. (University of Nebraska), at a salary of $87,500 for 100 percent time for nine months, effective August 22, 2006.

3. Education

   a) Erica Dillard, Instructor of Elementary Education, M.Ed. (Stephen F. Austin State University), at a salary of $41,000 for 100 percent time for nine months, effective January 12, 2006, contingent upon completion of doctorate by January 2012.

   b) Jannah Nerren, Instructor of Elementary Education, M.Ed. (Stephen F. Austin State University) at a salary of $41,000 for 100 percent time for nine months, effective January 12, 2006, contingent upon completion of doctorate by Fall 2011.

   c) Claudia Whitley, Instructor of Elementary Education, M.Ed. (Stephen F. Austin State University), at a salary of $41,000 for 100 percent time for nine months, effective January 12, 2006, contingent upon completion of doctorate by Fall 2011.

4. Forestry and Agriculture

   a) Matthew McBroom, Assistant Professor of Forestry Hydrology, Ph.D. (Stephen F. Austin State University), at a salary of $46,000 for 100 percent time for nine months, effective December 1, 2005.

5. Sciences and Mathematics

   a) Laura Logan, Clinical Instructor of Nursing, B.A. (Lamar University), at a salary of $43,000 for 100 percent time for nine months, effective January 12, 2006, contingent upon completion of M.A. by August 2006 and with a waiver from the Board of Nurse Examiners for the State of Texas.

B. STAFF APPOINTMENTS FOR 2005 – 2006

1. Auxiliary Services

   a) Edward H. Burr, Manager of Computer Support at a salary of $41,000 for 100 percent time for 12 months, effective November 2, 2005.
2. Education

a) H. Ray Brown Jr., Director of State Leadership Consortium of the College of Education at a salary of $72,000 for 100 percent time for 12 months, effective September 13, 2005. This position is contingent upon grant funding.

b) Barbara Davis, Director of Gear Up Project of Secondary Education at a salary of $72,000 for 100 percent time for 12 months, effective October 1, 2005. This position is contingent upon grant funding.

3. Forestry and Agriculture

a) Stacy L. Ownby, Medicinal Plant Research Associate at a salary of $28,000 for 100 percent time for 12 months, effective September 22, 2005. This position is contingent upon grant funding.

b) Ping Wang, Medicinal Plant Research Associate at a salary of $28,000 for 100 percent time for 12 months, effective October 28, 2005. This position is contingent upon grant funding.

c) Wei Yuan, Medicinal Plant Research Associate at a salary of $28,000 for 100 percent time for 12 months, effective October 3, 2005. This position is contingent upon grant funding.

d) Wanli Zhang, Medicinal Plant Research Associate at a salary of $30,000 for 100 percent time for 12 months, effective October 3, 2005. This position is contingent upon grant funding.

4. Health Services

a) Flamen David Ball Jr., M.D., Physician at a salary of $84,000 for 100 percent time for 10.5 months, effective January 17, 2006.

5. Human Resources

a) Kristen Herring, Human Resource Representative at a salary of $38,600 for 100 percent time for 12 months, effective November 28, 2005.

6. Information Technology Services

a) Novel G. Schmidt, Programmer/Analyst I at a salary of $27,810 for 100 percent time for 12 months, effective December 5, 2005.
7. Sciences and Mathematics
   
a) Irina Teplova, Biotechnology Research Associate at a salary of $35,000 for 100 percent time for 12 months, effective December 1, 2005.

8. University Advancement
   
a) Kristen E. King, Telephone Outreach Program Supervisor at a salary of $28,706 for 100 percent time for 12 months, effective December 1, 2005.

C. CHANGES OF STATUS FOR 2005 – 2006

1. Admissions
   
a) Andrea R. Graves, from Admissions Counselor at a salary of $18,000 for 100 percent time for 9 months to Admissions Counselor at a salary of $24,000 for 100 percent time for 12 months, effective November 2, 2005.

b) Stephanie L. Porter, from Accounting Clerk III at a salary of $24,801 for 100 percent time for 12 months to Admissions Counselor at a salary of $24,000 for 100 percent time for 12 months, effective October 3, 2005.

2. Applied Arts and Sciences
   
a) Jennifer M. Crenshaw, from Assistant Outreach Coordinator at a salary of $30,024.54 for 100 percent time to Outreach Coordinator at a salary of $35,880 for 100 percent time for 12 months, effective November 1, 2005.

3. Auxiliary Services
   
a) Shelly Lackey, from Assistant to the Director of Auxiliary Services at a salary of $53,162 for 100 percent time for 12 months to Interim Director of Student Center at a salary of $53,162 and an additional $500 per month while Interim Director, effective January 1, 2006.

4. Education
   
a) Edward F. Wittel, from Manager Computer Support Auxiliary Services at a salary of $41,748.96 for 100 percent time to Technology and Data Management Coordinator at a salary of $45,000 for 100 percent time for 12 months, effective October 1, 2005.
5. Forestry and Agriculture

a) James H. Bills, from Research Associate Systems Administrator at a salary of $42,000 for 100 percent time to Research Associate Forestry Systems Administrator at a salary of $43,260 for 100 percent time for 12 months, effective September 1, 2005. This position is contingent upon grant funding.

b) Paul R. Blackwell, from Information Scientist at a salary of $75,261.65 for 100 percent time to Assistant Director Operations CRGSCS at a salary of $80,000 for 100 percent time for 12 months, effective December 1, 2005. This position is contingent upon grant funding.

c) Terry A. Corbett from Research Technician at a salary of $32,445 for 100 percent time to Research Technician Measurement/Biometrics at a salary of $33,418.35 for 100 percent time for 12 months, effective September 1, 2005. This position is contingent upon grant funding.

d) Jason B. Grogan, from Research Associate Forest Measurement at a salary of $36,249.82 for 100 percent time to Geospatial Data Acquisition Specialist II at a salary of $45,000 for 100 percent time for 12 months, effective November 14, 2005. This position is contingent upon grant funding.

e) Ching-Hsun Huang, from Research Scientist at a salary of $68,250 for 100 percent time to Research Scientist at a salary of $70,297.50 for 100 percent time for 12 months, effective September 1, 2005. This position is contingent upon grant funding.

f) Benjamin H. Koerth, from Research Associate at a salary of $43,328.28 for 100 percent time to Research Associate at a salary of $44,628 for 100 percent time for 12 months, effective October 1, 2005. This position is contingent upon grant funding.

g) James C. Kroll, from Professor/Director at a salary of $97,356 for 100 percent time to Professor/Director of Columbia Regional Geospatial Service Center at a salary of $114,999.96 for 100 percent time for 12 months, effective September 1, 2005, for the duration of this grant.

6. Information Technology Services

a) Richard M. Barnhart, from Programmer/Analyst III at a salary of $41,219 for 100 percent time to Manager ITS SIS for 100 percent time at a salary of $51,000 for 12 months, effective October 1, 2005.

b) Tracey P. Foster, from Programmer/Analyst I at a salary of $27,810 for 100 percent time to Programmer/Analyst III at a salary of $37,500 for 100 percent time for 12 months, effective November 1, 2005.
7. Social Work

   a) Becky L. Price-Mayo, from Lecturer/Interim Director at a salary of $47,377 for 100 percent time to Lecturer/Interim Director at a salary of $51,847 for 100 percent time for 12 months, effective September 1, 2005.

8. Sciences and Mathematics

   a) Jennifer A. Edwards, from Research Specialist at a salary of $32,919 for 100 percent time to Research Specialist Lab Management at a salary of $34,670 for 100 percent time for 12 months, effective September 1, 2005.

9. University Advancement

   a) April L. Smith, from Telemarketing Program Supervisor at a salary of $28,707 for 100 percent time to Assistant Director of Development Giving for $32,702 for 100 percent time for 12 months, effective October 5, 2005.

E. RETIREMENTS

1. Auxiliary Services

   a) Jack Nelson, Director of Auxiliary Services, effective December 31, 2005.

2. Education

   a) Paulette D. Wright, Lecturer/Director Accessibility and Accountability, effective December 31, 2005.

3. Liberal Arts

   a) William D. Whitescarver, Assistant Professor of English and Philosophy, effective December 31, 2005.

4. Physical Plant

   a) Sherry Moore, Assistant Director of Physical Plant, effective January 31, 2006.

F. VOLUNTARY MODIFICATION OF EMPLOYMENT

1. Human Sciences

   a) Rachel Underwood, at a salary of $26,484, effective August 28, 2006.
2. Psychology
   a) **Heinz Gaylord**, at a salary of $34,089, effective August 28, 2006

ACADEMIC AND STUDENT AFFAIRS

06-15
Upon motion by Regent Green, seconded by Regent Boyer, with all members voting aye, it was ordered that the following academic and student affairs items be approved:

A. FACULTY WORKLOAD REPORT FOR FALL 2005

   The faculty workload report for Fall 2005 was approved.

B. LAST CLASS DAY REPORTS FOR SUMMER AND FALL 2005

   The last Class Day Reports for Summer sessions and Fall 2005 were approved as presented.

C. NAME CHANGE FOR OFFICE OF INTERNATIONAL STUDIES AND PROGRAMS

   The name of the Office of International Studies and Programs was changed to the Office of International Programs.

D. DEPARTMENT OF ACCOUNTING NAME CHANGE

   Approval was given to change the name of the Department of Accounting to the School of Accountancy.

E. NAMING OF DEPARTMENT OF ACCOUNTING

The Board of Regents adopted the following resolution:
RESOLUTION

Adopted on January 19, 2006 by the

Board of Regents

of

Stephen F. Austin State University

WHEREAS, Gerald W. Schlief has served Stephen F. Austin State University with distinction and honor as an outstanding student, varsity athlete, ROTC cadet and fraternity officer; and

WHEREAS, he continues to faithfully serve Stephen F. Austin State University as a dedicated and loyal alumnus; and

WHEREAS, he has distinguished himself as an innovative leader in the independent oil and gas industry in Houston and internationally; and

WHEREAS, he has contributed and continues to contribute generously to the programs of Stephen F. Austin State University and especially the Department of Accounting; and

WHEREAS, in his loyal dedication to Stephen F. Austin State University, generous spirit of service and standards of excellence, he has set a distinguished example for others;

NOW THEREFORE, BE IT RESOLVED, that for his record of effective and devoted service to Stephen F. Austin State University, the Board of Regents expresses its admiration, gratitude and high regard by naming the Department of Accounting at Stephen F. Austin State University the

Gerald W. Schlief Department of Accounting

Fred Wulf, Chairman

Margarita de la Garza-Graham, Secretary
Upon motion of Regent James, seconded by Regent de la Garza-Grahm, with all members voting aye, it was ordered that the approval of Academic and Student Affairs Items A (Faculty Workload Report for Fall 2005) & B (Last Class Day Reports for Summer and Fall 2005) be rescinded and that these items be tabled. These items will be placed on the agenda for the next board meeting.

FINANCIAL AFFAIRS

Upon motion of Regent Ertz, seconded by Regent Pond, with all members voting aye, it was ordered that the following financial affairs items be approved:

A. APPROVAL FOR PURCHASE OVER $50,000 (STUDENT AFFAIRS - JACK CAMP)

The Board of Regents authorized the President to approve contracts between the University and Camp Olympia in excess of $50,000 necessary for the production of the 2006 sessions of Jack Camp.

B. FOOD SERVICE EXPENDITURE

The Food Service expenditure budget was increased by $325,000.00 to cover increased food service costs. This increase will be covered by over realized meal plan revenue from the Fall 2005 semester.

C. STRENGTH AND CARDIO FITNESS EQUIPMENT REPLACEMENT

Approval was given to proceed with the purchase and installation of new strength and cardio fitness equipment for the Norton HPE Complex weight room at a total cost not to exceed $110,000. The source of funding will be the student Recreational Sports fee.

D. RESOLUTION TO REVIEW QUALIFIED INVESTMENT BROKERS AND FINANCIAL INSTITUTIONS

The Resolution Approving Financial Institutions and Brokers for Investment Transactions was approved as presented in Appendix 1. The following brokers/investment managers were approved: Merrill Lynch, Inc., ING, Neuberger Berman, Fayez Sarofim & Co., Davis Advisors, Lazard Asset Management, Franklin Private Client Group, Inc., MLIM L.P. Relative Value and NFJ Investment/PIMCO Allianz. The following financial institutions were approved: Citizens First Bank, Commercial Bank of Texas, First Bank and Trust East Texas, Bancorp South Fredonia, Regions Bank Stone Fort, and Texas Bank.
E. RESOLUTION TO ACKNOWLEDGE REVIEW OF INVESTMENT POLICY AND STRATEGY

The Resolution to Acknowledge Review of the Investment Policy and Strategy was ratified as presented in Appendix 2.

F. MICROSOFT SITE LICENSE

Approval was given to proceed with the Microsoft site license renewal, but rather than only for Office and OS components, for Microsoft Desktop Package which includes Office Pro, Windows OS and CORE CAL at a cost not to exceed $62,514.00 in FY06. Source of funds will be HEAF and Library O&M. The President was authorized to sign the contract.

G. LEASE OF XEROX DOCUCOLOR 250 AND XEROX 4110 FOR PRINTING SERVICES

Approval was given for Printing Services to terminate the two existing copier lease agreements with Xerox for a Docucolor 12 and Xerox 5995 and replace them with two new copier lease agreements for a Docucolor 250 and Xerox 4110 at a cost not to exceed $236,559 over the five year term of the leases. The new leases are currently on the TCPN contract list. The President was authorized to sign the necessary documents.

H. REALLOCATION OF HEAF

Approval was given to reallocate $899,000.00 of HEAF for the following:

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ferguson Building Renovations</td>
<td>$150,000.00</td>
</tr>
<tr>
<td>Utility Energy-Saving Upgrades</td>
<td>$100,000.00</td>
</tr>
<tr>
<td>Poultry House</td>
<td>$200,000.00</td>
</tr>
<tr>
<td>Austin Building Offices</td>
<td>$50,000.00</td>
</tr>
<tr>
<td>Police Communication System</td>
<td>$160,000.00</td>
</tr>
<tr>
<td>Campus Signage (Way-Finding)</td>
<td>$100,000.00</td>
</tr>
<tr>
<td>Theatre Scene Shop</td>
<td>$60,000.00</td>
</tr>
<tr>
<td>UPD Roof Repair</td>
<td>$30,000.00</td>
</tr>
<tr>
<td>Science Technology</td>
<td>$24,000.00</td>
</tr>
<tr>
<td>(Support for Biology and Chemistry Equipment)</td>
<td></td>
</tr>
<tr>
<td>Welcome Center Upgrade</td>
<td>$25,000.00</td>
</tr>
<tr>
<td>Total</td>
<td>$899,000.00</td>
</tr>
</tbody>
</table>

This reallocation is from previously funded projects specified in Appendix 3 and totaling $1,815,540.97.
I. DAKTRONICS CONTRACT (SCOREBOARD/MARQUEE ATHLETIC SPONSORSHIP)

Approval was given to enter into an agreement with Daktronics to manufacture, install, finance and obtain sponsorships for new scoreboards and marquees at Homer Bryce Stadium, the William R. Johnson Coliseum and the soccer field, and the President was authorized to sign the contract. The University will later purchase the baseball/softball complex scoreboards. Cost of the current order placed with Daktronics shall not exceed the sponsorship revenues contracted to finance the project.

BUILDING AND GROUNDS

06-18

Regent Green recused himself from the discussion and vote for the selection of the Construction Manager at Risk for the Baseball/Softball Complex. Upon motion by Regent Thompson, seconded by Regent Ertz, with eight members voting aye, Regent Green abstaining, it was ordered that the following Building and Grounds items be approved:

A. APPROVAL OF PINEYWOODS NATIVE PLANT CENTER

The Board of Regents authorized the SFA Pineywoods Native Plant Center Recreational Trail Project and allowed construction to proceed at a cost not to exceed $120,877. Source of funds: Texas Parks and Wildlife grant and Temple College of Forestry and Agriculture matching funds.

B. REAL ESTATE PURCHASES

The University was authorized to purchase Lot 2 of the J. F. Feazell Subdivision otherwise known as 214 Feazell Street and Lot 9-H of the City Block 45 otherwise known as 305 East Starr Avenue as authorized by Chapter 101, Sections 95.31 and 95.33 of the Texas Education Code, if required, subject to approval by the Texas Higher Education Coordinating Board. The price is $130,000 for the Feazell property and $105,000 for the Starr property, subject to seller removing houses as part of the consideration. Mr. John Rulfs, Director of the Physical Plant, was authorized to sign necessary documents. The source of funds will be Designated Fund Balance.

C. SEWER EASEMENT

This item was tabled and will be considered at a future Board Meeting.
D. CONTRACTING WITH ENVIRONMENTAL CONSULTANT

Approval was given for Hydrex Environmental, Inc. to be employed as an environmental consultant for a period of five years at a cost not to exceed $150,000. Costs will be allocated to specific projects as needed.

E. CONTRACTING WITH CONSTRUCTION MANAGER AT RISK FOR BASEBALL/SOFTBALL COMPLEX

J.E. Kingham Construction Company was selected as the Construction Manager at Risk for the Baseball/Softball Complex. (See Building and Grounds Committee minutes of January 18, 2006, for basis of selection.)

UNIVERSITY POLICIES AND PROCEDURES

06-19
Upon motion by Regent Ertz, seconded by Regent Green, with all members voting aye, it was ordered that the Board of Regents adopt the policy revisions as presented in Appendix 4.

REPORTS

A. FACULTY SENATE

Chair Brian Oswald presented a report from the Faculty Senate. The Faculty is working with the Provost in developing an improved Faculty Handbook. The Faculty has expressed concern over the lack of funding for faculty searches. The Faculty has heard presentations from administrators from various areas of the university during this past semester, and the effort has improved communication and understanding. The Faculty Senate is conducting an opinion survey of the faculty concerning whether SFA should be part of a university system. Results will be reported in April at the board meeting.

B. STUDENT GOVERNMENT ASSOCIATION

President Amber Lara reported that the Student Regent should be appointed on February 1. The Chamber Connection, a forum between local businesses and students, will be held on February 22. SGA Day was a big success; another one is planned for the spring semester. Vice President Brittany Scott reported that the SGA scholarship of $1000 over two semesters will be awarded soon. Pizza with the President is a popular event and will be held again this semester. Reaction from students to the new Lumberjack Lodge has been very positive.

C. AUDIT SERVICES REPORT

Gina Oglesbee reported results of a wireless security review and a public funds investment act review. An NCAA audit has been conducted and results are available.
The Ethicspoint fraud reporting mechanism is due to be implemented in February. Trainings for employees are being held during the next two months.

D. VICE PRESIDENT FOR UNIVERSITY ADVANCEMENT

Dr. Jerry Holbert presented a development report for the first quarter of FY06.

E. PRESIDENT

Dr. Tito Guerrero reported on the following topics:

- Presentation to the Texas Lyceum on the Challenges of Higher Education in a Geographically Diverse State—Texarkana, Texas (January 21, 2006)
- Coordinating Board Meeting (January 26, 2006)
- Dinner Hosted by Nelson and Gertrude Rusche in Honor of the Schlief Family (January 27, 2006)
- Ballet Hispánico in Turner Auditorium (January 31, 2006)
- Nacogdoches/Lufkin/SFA Day in Austin (February 8, 2006)
- Harlem Globetrotters in Johnson Coliseum (February 8, 2006)
- Symphonic Band in Cole Auditorium (February 9, 2006)
- NCAA Peer Review Campus Site Visit (February 22 and 23, 2006)
- Big Switch (February 28, 2006)
- Swinging Axes in Cole Auditorium (February 28, 2006)
- Salzburg Chamber Soloists in Turner Auditorium (March 6, 2006)
- Women’s Choir and Choral Union in Cole Auditorium (March 7, 2006)
- Speaking Engagement with the Nacogdoches County Medical Society (March 8, 2006)
- A Capella Choir in Cole Auditorium (March 8, 2006)
- Spring Break (March 13-17, 2006)
- Showcase Saturday (March 25, 2006)

Chair Fred Wulf announced an executive session of the board at 10:40 a.m. to discuss the personnel items, football coaches and president.

The board returned to open session at 11:55 a.m.

06-20

Upon motion by Regent Ertz, seconded by Regent de la Garza-Graham, with all members voting aye, it was ordered that the following Personnel items be approved:

Athletics

a) Robert McFarland, Head Football Coach, at a salary of $113,300 for 100 percent time for twelve months, effective February 1, 2006.

b) James C. Harper, Assistant Football Coach, at a salary of $63,860 for 100 percent time for 10.5 months, effective February 1, 2006.
c) Matthew Graves, Assistant Football Coach, at a salary of $53,560 for 100 percent time for 10.5 months, effective February 1, 2006.

d) Jay Rodgers, Assistant Football Coach, at a salary of $54,000 for 100 percent time for 10.5 months, effective February 1, 2006.

e) Gerald Broussard, Assistant Football Coach, at a salary of $61,800 for 100 percent time for 10.5 months, effective February 1, 2006.

f) Arlington Nunn, Assistant Football Coach, at a salary of $58,200 for 100 percent time for 10.5 months, effective February 1, 2006.

g) Darren Drago, Assistant Football Coach, at a salary of $53,000 for 100 percent time for 10.5 months, effective, January 11, 2006.

REPORT UPDATE FROM VICE PRESIDENT FOR ADVANCEMENT

Jerry Holbert was asked to add to his advancement report in the area of marketing. Specifically, the board wanted to know what publicity was received for the Ribbon Cutting Ceremonies the previous day. Jerry indicated that both the newspaper and television had covered these events and offered to show the television news report during the lunch hour.

06-21
Chair Wulf appointed the following regents as members of the nominating committee: Regent Margarita de la Garza-Graham, Chair; Regent Paul Pond; and Regent James Thompson.

The meeting was adjourned at 12:05 a.m.
RESOLUTION APPROVING
FINANCIAL INSTITUTIONS AND BROKERS
FOR INVESTMENT TRANSACTIONS

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

WHEREAS, the following firms are approved investment brokers:
  Merrill Lynch, Inc.
  ING
  Neuberger Berman
  Fayez Sarofim & Co.
  Davis Advisors
  Lazard Asset Management
  Franklin Private Client Group, Inc.
  MLIM L.P. Relative Value
  NFJ Investment/PIMCO Allianz

WHEREAS, the following firms are approved financial institutions:
  Citizens 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 19, 2006 meeting of the Board.

THE BOARD OF REGENTS, STEPHEN F. AUSTIN STATE UNIVERSITY

Fred Wulf, Chair
Margarita de la Garza-Graham, M.D., Secretary
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 19, 2006; and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 19, 2006 meeting of the Board.

Attest:

Fred Wulf, Chair

Marganta de la Garza-Graham, M.D., Secretary
### HEAF Plant and R&R Analysis

**HEAF Plant and R&R Available for Board Reallocation**

*January 3, 2006*

<table>
<thead>
<tr>
<th>Account Number</th>
<th>Account Name</th>
<th>Fund Group</th>
<th>Projected Available Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>8-32015</td>
<td>HEAF McGee/McKibben</td>
<td>Unexpended Plant</td>
<td>1,160,964.65</td>
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<tr>
<td>8-32014</td>
<td>HEAF Wtr Drain Proj</td>
<td>Unexpended Plant</td>
<td>29,978.89</td>
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<tr>
<td>8-32016</td>
<td>HEAF Chiller Replace</td>
<td>Unexpended Plant</td>
<td>61,491.47</td>
</tr>
<tr>
<td>8-32017</td>
<td>HEAF EM Pwr Comp Ctr</td>
<td>Unexpended Plant</td>
<td>100,000.00</td>
</tr>
<tr>
<td>8-32018</td>
<td>HEAF Elect Rep F.A.</td>
<td>Unexpended Plant</td>
<td>56,138.03</td>
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<tr>
<td>8-39200</td>
<td>HEAF Athltc Trg Fac</td>
<td>Unexpended Plant</td>
<td>12,430.49</td>
</tr>
<tr>
<td>8-60200</td>
<td>HEAF Soc Wk Air Hand</td>
<td>R &amp; R</td>
<td>15,000.00</td>
</tr>
<tr>
<td>8-60600</td>
<td>HEAF Safety House</td>
<td>R &amp; R</td>
<td>451.08</td>
</tr>
<tr>
<td>8-61352</td>
<td>HEAF Griffith Repair</td>
<td>R &amp; R</td>
<td>207,224.31</td>
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<tr>
<td>8-62600</td>
<td>HEAF Kin Court Repair</td>
<td>R &amp; R</td>
<td>41,346.10</td>
</tr>
<tr>
<td>8-64100</td>
<td>HEAF Res Svcs Reloc</td>
<td>R &amp; R</td>
<td>10,061.29</td>
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<tr>
<td>8-67400</td>
<td>HEAF PP 1 Chiller</td>
<td>R &amp; R</td>
<td>36,538.92</td>
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<tr>
<td>8-67500</td>
<td>HEAF Fine Arts Stage</td>
<td>R &amp; R</td>
<td>23,364.10</td>
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<tr>
<td></td>
<td>HEAF McGee</td>
<td></td>
<td></td>
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<tr>
<td>8-68100</td>
<td>Landscape</td>
<td>R &amp; R</td>
<td>4,156.26</td>
</tr>
<tr>
<td>8-68700</td>
<td>HEAF Lib Collec HVAC</td>
<td>R &amp; R</td>
<td>48,000.00</td>
</tr>
<tr>
<td>8-69300</td>
<td>HEAF Charter School</td>
<td>R &amp; R</td>
<td>8,395.38</td>
</tr>
</tbody>
</table>

**Total Available HEAF**

1,815,540.97
## Policies for Board Review

**January 19, 2006**

<table>
<thead>
<tr>
<th>Policy No.</th>
<th>Policy Name</th>
<th>MAJOR Action/Change</th>
<th>PAGE NO.</th>
</tr>
</thead>
<tbody>
<tr>
<td>A-2</td>
<td>Academic Appeals by Students</td>
<td>Minor wording clarification.</td>
<td>4</td>
</tr>
<tr>
<td>A-9.1</td>
<td>Academic Integrity</td>
<td>Minor wording clarification.</td>
<td>6</td>
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<td>A-12.1</td>
<td>Course Incidental Fees</td>
<td>Minor wording clarification.</td>
<td>10</td>
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<td>A-24</td>
<td>Laboratory Fees</td>
<td>Minor wording clarification.</td>
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<td>A-XX</td>
<td>Research Development Program</td>
<td>New policy.</td>
<td>12</td>
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<tr>
<td>C-4</td>
<td>Budget Change and Additional Appropriation</td>
<td>Updated titles and included website location for form.</td>
<td>14</td>
</tr>
<tr>
<td>C-33</td>
<td>Purchasing Ethics and Confidentiality</td>
<td>Written disclosure for contracts of $1 million or more must be signed by President and retained in purchasing office.</td>
<td>15</td>
</tr>
<tr>
<td>C-34</td>
<td>Request to Establish An Account</td>
<td>Updated titles and included website location for form.</td>
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</tr>
<tr>
<td>C-36</td>
<td>Special Purchases</td>
<td>Major Rewrite.</td>
<td>18</td>
</tr>
<tr>
<td>C-41</td>
<td>Investments</td>
<td>Added disclosure requirements for outside financial advisors and investment officers. Title update.</td>
<td>21</td>
</tr>
<tr>
<td>C-41.A</td>
<td>Investments-Endowment Funds</td>
<td>Added disclosure requirements for outside financial advisors and investment officers.</td>
<td>34</td>
</tr>
<tr>
<td>C-44</td>
<td>Procurement Card</td>
<td>Charge limits removed for purchasing department. Updated name of Texas Building and Procurement Commission. Changed documentation process to online transaction detail entries and monthly reconciliation report.</td>
<td>43</td>
</tr>
<tr>
<td>D-1</td>
<td>Access to University Records</td>
<td>Office of General Counsel designated as public information coordinator. Process for requesting public information delineated.</td>
<td>48</td>
</tr>
<tr>
<td>D-5</td>
<td>Asbestos Removal</td>
<td>Inspections have been completed. Continuing monitoring will be done as buildings are renovated. Contractors must provide asbestos-free certification for new construction.</td>
<td>49</td>
</tr>
<tr>
<td>D-7</td>
<td>Authority to Act in Absence of President</td>
<td>Differentiated administrative decisions from emergency situations; cross-referenced Policy D-11 for emergency operations.</td>
<td>52</td>
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<tr>
<td>Policy No.</td>
<td>Policy Name</td>
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</tr>
<tr>
<td>D-8.1</td>
<td>Computer and Network Security</td>
<td>Printers included as computer equipment. Removed reference to University Computing and Telecommunications Advisory Committee. Removed policy numbers. Added link to federal information policy.</td>
<td>53</td>
</tr>
<tr>
<td>D-9</td>
<td>Disposition of Abandoned Personal Property</td>
<td>Reviewed with no changes.</td>
<td>56</td>
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<tr>
<td>D-11</td>
<td>Emergency Management Plan</td>
<td>Major Rewrite.</td>
<td>58</td>
</tr>
<tr>
<td>D-12</td>
<td>Faculty/Staff Traffic Appeals</td>
<td>Differentiated simple appeals made directly to UPD from those more serious, which go through formal appeal process to Faculty/Staff Traffic Appeals Board.</td>
<td>67</td>
</tr>
<tr>
<td>D-19</td>
<td>Illicit Drugs and Alcohol Abuse</td>
<td>Reviewed with no changes.</td>
<td>71</td>
</tr>
<tr>
<td>D-19.1</td>
<td>Inclement Weather and Other Emergencies</td>
<td>Updated title.</td>
<td>79</td>
</tr>
<tr>
<td>D-28</td>
<td>Records Management</td>
<td>Reviewed with no changes.</td>
<td>80</td>
</tr>
<tr>
<td>D-43</td>
<td>Computing Software Copyright</td>
<td>Policy covers any computer connected to university network. Clarified responsible party. Included allowance for audits of software on university connected computers.</td>
<td>83</td>
</tr>
<tr>
<td>E-11</td>
<td>Discipline and Discharge</td>
<td>Added grant termination as reason for employee termination; added appeal process for terminations for non-disciplinary reasons.</td>
<td>85</td>
</tr>
<tr>
<td>E-15</td>
<td>Employee Conduct</td>
<td>Policy deleted; incorporated into Ethics Policy E-56.</td>
<td>92</td>
</tr>
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<td>E-33</td>
<td>Nepotism</td>
<td>Updated title.</td>
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<td>E-44</td>
<td>Security Sensitive Positions</td>
<td>Updated title.</td>
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<td>E-47</td>
<td>Sick Leave</td>
<td>Major Rewrite.</td>
<td>97</td>
</tr>
<tr>
<td>E-63</td>
<td>USA Patriot Act</td>
<td>Not Changed.</td>
<td>100</td>
</tr>
<tr>
<td>E-64</td>
<td>Employee Training</td>
<td>Updated title.</td>
<td>101</td>
</tr>
<tr>
<td>E-66</td>
<td>At Will Employment</td>
<td>Added Associate Provost.</td>
<td>104</td>
</tr>
<tr>
<td>F-10</td>
<td>Emergencies</td>
<td>Minor wording changes.</td>
<td>106</td>
</tr>
<tr>
<td>F-36</td>
<td>Administrative Systems Software Changes</td>
<td>Updated name from University Information Systems to Information Technology Services. Added website for forms availability.</td>
<td>108</td>
</tr>
<tr>
<td>Policy No.</td>
<td>Policy Name</td>
<td>MAJOR Action/Change</td>
<td>PAGE NO.</td>
</tr>
<tr>
<td>------------</td>
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</tr>
<tr>
<td>F-37</td>
<td>Computer System Access</td>
<td>Major Rewrite.</td>
<td>109</td>
</tr>
<tr>
<td>F-38</td>
<td>Restart and Recovery</td>
<td>Policy deleted.</td>
<td>115</td>
</tr>
<tr>
<td>F-40</td>
<td>Acceptable Use of Information Resources</td>
<td>Major Rewrite.</td>
<td>120</td>
</tr>
</tbody>
</table>
Academic Appeals by Students

Original Implementation: August 31, 1981

Last Revision: January 15, 2002-January 19, 2006

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. The faculty member, after considering the outcome of the appeals process, shall retain complete academic freedom to make the final determination on the matter, and to assign semester grades.

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

1. In the event of course-related complaints or disputes, the student must first appeal to his/her the instructor for a resolution of the matter and must do so within 30 days after the first class day of the next long semester/session. Exceptions will be granted in which appeals may be considered after this time period given extenuating circumstances. Given extenuating circumstances, exceptions to this deadline may be granted.

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 Dean of the academic college in which the complaint or dispute is centered. The dean Dean will notify the faculty member or student of the appeal.

4. If a resolution of the matter is not reached, the dean student or the faculty member may refer the -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 Dean to recommend no more than two student representatives from that college to serve for each case. The College Council will submit its recommendation to the dean 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 Provost/Vice President for Academic Affairs. The Dean's written recommendation in addition to all previous materials will be submitted to the Provost/Vice President for Academic Affairs. 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 Provost/Vice President for Academic Affairs will inform the student and all persons involved in the appeal process of the final disposition recommendation 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

Provost/Vice President for Academic Affairs

Appeals heard by the University Committee on Academic Integrity will not be processed under Policy A-2, Academic Appeals by Students.

Source Of Authority: Provost/Vice President for Academic Affairs

Cross Reference: Faculty Handbook, Student Handbook and Activities Calendar

Contact For Revision: Provost/Vice President for Academic Affairs

Forms: None
Academic Integrity

Original Implementation: Unpublished
Last Revision: July 15, 2003 January 19, 2006

Academic Integrity is a responsibility of all university faculty and students. Faculty members promote academic integrity in multiple ways including instruction on the components of academic honesty, as well as abiding by University policy on penalties for cheating and plagiarism.

Education

Faculty members are responsible for providing information about academic integrity and education for maintaining academic honesty during their regular coursework. Course syllabi provide information about penalties and the appeal process.

Definition of Academic Dishonesty

Academic dishonesty includes both cheating and plagiarism. Cheating includes but is not limited to (1) using or attempting to use unauthorized materials to aid in achieving a better grade on a component of a class; (2) the falsification or invention of any information, including citations, on an assigned exercise; and/or (3) helping or attempting to help another in an act of cheating or plagiarism. Plagiarism is presenting the words or ideas of another person as if they were your own. Examples of plagiarism are (1) submitting an assignment as if it were one’s own work when, in fact, it is at least partly the work of another; (2) submitting a work that has been purchased or otherwise obtained from an Internet source or another source; and (3) incorporating the words or ideas of an author into one’s paper without giving the author due credit.

Procedure

A faculty member who has evidence and/or suspects that academic dishonesty has occurred shall gather all pertinent information, approach the student or students involved, and initiate the following procedure.

The faculty member shall review all evidence of cheating or plagiarism and discuss it directly with the student(s) involved. After hearing the student(s)' explanation or defense, the faculty member will determine whether or not academic dishonesty has occurred and will decide what penalty will be imposed. The faculty member will consult with his/her chair Chair and dean Dean in making these decisions. Penalties may include reprimand or no credit for the assignment or exam, or re-submission of the paper, or make-up exam, or failure of the course. (Penalties for academic dishonesty and information on the appeals process should be outlined in the course syllabi.)
After a determination of dishonesty, the faculty member shall notify the Office of the Dean of the student's major by submitting a Report of Academic Dishonesty form, along with supporting documentation as noted on the form. This report shall be made part of the student's record and shall remain on file with the Dean's office for at least four years. The Dean shall refer second or subsequent offenses to the University Committee on Academic Integrity established under this policy. The faculty member shall also inform the student of the appeals process available to all SFA students. *(Academic Appeals by Students, Policy A-2)* *(Policy A-2)*.

**The Student File**

A student's file on academic dishonesty will not be available to faculty members. The purpose of the file is for the Dean to track a pattern of multiple cases of academic dishonesty during a student's academic career at Stephen F. Austin State University.

Students who are found to have cheated/plagiarized and have withdrawn prior to the award of a grade will continue to have the determination of the infraction within their student records. This finding will be considered by the University Committee on Academic Integrity should the student commit future offenses.

**Appeals**

A student who wishes to appeal decisions related to academic integrity follows procedures outlined in policy A-2. A student must appeal within 30 days of the beginning of the long semester following the incident. The student(s)' grade may be withheld by the instructor pending resolution through the above procedures.

If the student wishes further appeal, he/she may apply to the Provost V.P. for Academic Affairs for a hearing by the University Committee on Academic Integrity.

**The University Committee on Academic Integrity**

This committee shall be formed by the academic vice president Provost and Vice President for Academic Affairs for the purpose of monitoring academic integrity among students. The committee shall be composed of a faculty representative elected from each college and one student representative appointed by the provost Provost and Vice President for Academic Affairs. The committee chair will be appointed by the Academic Vice President Provost. A faculty member who reports an offense may not serve on the committee considering that offense.

The Committee is charged to adjudicate in the following situations:

1. appeal by student
2. referral by academic dean on account of repeat offenses
3. **direct referral by faculty member for potentially grievous infraction**

When a student is found guilty of two or more infractions, the case will be referred to the University Committee on Academic Integrity. In addition, faculty members may request that the Dean refer particularly serious cases (buying or selling papers, stealing an exam, significant plagiarism at the graduate level, etc.) directly to the University Committee on Academic Integrity.

When the committee is convened for a hearing, the case will be reviewed, and the professor and student(s) will be interviewed. The committee may will make one of the following recommendations to the Academic V.P. who is responsible for the implementation of this policy.

- a. no action is taken
- b. the faculty decision is upheld
- c. the student is found not guilty
- d. probation
- e. suspension from the university

A student must accept the decision of the committee; however, the committee may not interfere in the faculty member’s selection of a penalty for a confirmed instance of academic dishonesty. If the committee rules that the student did not commit academic dishonesty, the faculty member may not impose a penalty of any kind. The faculty member retains the right to assign student course grades without interference from the committee. When a student who is found guilty of two or more infractions, the case will be referred to the University Committee on Academic Integrity. In addition, faculty members may request that the dean refer particularly serious cases (buying or selling papers, stealing an exam, significant plagiarism at the graduate level, etc.) directly to the University Committee on Academic Integrity. The committee may also function when a student has exhausted the normal appeals process and wishes to have an additional hearing.

**Source of Authority:** Provost and Vice President for Academic Affairs and Vice President for University Affairs
Appendix 4


Contact for Revision: Provost and Vice President for Academic Affairs

Current Policy Committee

Forms: Report of Academic Dishonesty Form.doc
Course Incidental Fees

Original Implementation: April 30, 2001

Last Revision: October 27, 2005 January 19, 2006

Each course other than a laboratory class that is offered by the University will may charge a course incidental fee of $6. The course incidental fee charged must reasonably reflect the actual cost to the University of the materials and services for which the fee is collected. These funds will be used to provide cover the cost of materials, supplies, and/or services which result in a direct educational benefit in the classroom, including such things as guest lecturers or travel expenses to off-campus locations.

Laboratory classes charge a fee for the purpose of providing materials and supplies in the laboratory (See Policy A-24, Laboratory Fees); therefore, the course incidental fee will not be charged for a laboratory class.

In these cases where the costs of classroom materials, supplies, expendable equipment, and guest lecturers or travel expenses to off-campus locations as an integral part of the classroom learning experience exceed the $6 minimum, the additional per capita cost of these goods and services and other educational opportunities may be added to the minimum fee. The course incidental fee charged must reasonably reflect the actual cost to the University of the materials and services for which the fee is collected.

Course incidental fees in excess of $6 shall be may be recommended by the department chair/director must be and approved by the Dean of the College and the Provost and Vice President for Academic Affairs. These fees shall be and published in the appropriate bulletin media of the University. New and changed These fees will be reviewed and approved annually by the Board of Regents. All course incidental fees will be published in the appropriate media and will be are to be collected by the Controller’s Office through student billings. All course incidental fees collected are to be spent for materials, supplies and/or services which provide a direct benefit to the classroom environment.

Source of Authority: Texas Education Code, Sec. 54.501 and 54.504, VTCA, Board of Regents, President, Provost and Vice President for Academic Affairs

Cross Reference: None

Contact for Revision: Provost/Vice President for Academic Affairs

Forms: Lab and Course Incidental Fee
Laboratory Fees

Original Implementation: June 29, 1981

Last Revision: July 25, 2002-January 19, 2006

Laboratory fees shall be assessed in an amount sufficient to cover in general the cost of laboratory materials and supplies used by a student. A department division or a-school may choose to average the costs over its total laboratory program and set an appropriate uniform fee. The basic fee is $10. For those classes where it can clearly be demonstrated that the value of expendable supplies is well beyond $10, a reasonable laboratory fee, not to exceed $30 may be charged.

Laboratory fees will be recommended by the department Chair/Director and approved by the Dean of the College and the Provost and Vice President for Academic Affairs and published in the appropriate bulletin media of the University. Fees will be reviewed annually in conjunction with the April meeting of the Board of Regents.

Source Of Authority: Texas Education Code, Sec 54.501 and 54.504, VTCA, Board of Regents, President, Provost and Vice President for Academic Affairs

Cross Reference: Faculty Handbook

Contact For Revision: Provost/Vice President for Academic Affairs

Forms: None
Research Development Program

Original Implementation: January 19, 2006

Research Development Program funds are intended to provide funding to promote increased research capacity at eligible general academic teaching institutions (Texas Education Code, Chapter 62).

The Research Development Program at Stephen F. Austin State University provides support for building research capacity, collaborative research, and/or activities that will increase competitiveness in the acquisition of external funds for research.

The Associate Vice President for Graduate Studies and Research (AVP) will evaluate research development grant proposals and award funding based upon criteria established by the AVP and approved by the University Research Council. For proposals that request $50,000 or more in Research Development Program funds, the AVP will make recommendations for funding to the Provost and Vice President for Academic Affairs.

Any faculty member of the rank of instructor or higher, research associate, or any professional librarian is eligible to apply for a research development grant, subject to the following conditions:

1. A research development proposal must address the purpose of the Research Development Fund (i.e., to increase the research capacity of the University) and therefore proposals which would benefit or address only the research interests of a single individual will not be considered.

2. Except in extraordinary circumstances, an applicant is limited to one faculty research grant award, one minigrant award, or one Research Development grant in a single year.

3. Research development grant funds may not be used to supplant funds for research activities or equipment supported by other sources. However, research development funds may be used for matching or cost-sharing.

Researchers who have access to research funds from other sources are encouraged to exhaust all alternative funding pathways before applying for a research development grant.

4. In the expenditure of research development grant funds, a recipient is subject to all local, state, and federal regulations.

5. Any research proposal that would involve the use of human subjects, laboratory animals, or hazardous materials must be accompanied by a memorandum of approval from the chair of the appropriate University committee. These committees are: Institutional Review Board for the Protection of Human Subjects,
Institutional Animal Care and Use Committee, Environmental Safety and Health/Radiation Committee, Biosafety Committee, and Public Health Committee.

6. A research grant recipient must meet deadlines for deliverables as outlined in the approved proposal. Periodic reports are expected and are to be filed with the Office of Research and Sponsored Programs. The final report must include a 200-word abstract of the results of the award and a statement of the increased research capacity that has resulted from the award.

7. Any publication resulting from a research development grant shall acknowledge the source of funds as a Stephen F. Austin State University research development grant. Copies of the publication shall be filed with the Office of Research and Sponsored Programs and with the Steen Library.

8. Each recipient of a research development grant is subject to the provisions of, and shall be responsible for adherence to, the University policy on Intellectual Property (Policy D-20), which applies to "...intellectual property of all types (including any invention, discovery, trade secret, technology, scientific or technological development, computer software, conception, design, creation or other form of expression of an idea) regardless of whether subject to protection under patent, trademark, or copyright laws or common law."

In addition, each recipient is responsible for securing and disposing of all other legal claims, such as copyrights, to any publication or other original creation made or conceived in the course of research or other activity supported by a research development grant.

For information on application procedures, program guidelines, submission deadlines, methods and criteria for evaluating research development proposals, contact the Office of Research and Sponsored Programs.

Source of Authority: Texas Education Code, Ch. 62, Subchapter E; Provost and Vice President for Academic Affairs


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

Forms: Application cover page (link to)
Appendix 4

Budget Change and Additional Appropriation

Original Implementation: Unpublished

Last Revision: April 30, 2002 January 19, 2006

A "Budget Change and Additional Appropriation" form is used to transfer budgeted funds from one budget category to another within an account, from account to account, used to request funds to supplement existing budgets, and may be used to transfer funds between accounts. In addition, the form may be used to request a budget change. If a departmental income account's actual revenue exceeds its revenue estimate, a department may request a budget revision to increase its revenue estimate and expenditure budget. All budget changes in excess of $1,000 require approval of the Vice President for Business Affairs Finance and Administration and the President, and budget changes in excess of $50,000 require approval of the Board of Regents.

The "Budget Change and Additional Appropriation" form must be completed by the originator and approved at appropriate division levels. After division approval, the form will be sent to the budget office. The request will be reviewed, and if appropriate, approved and recorded. If additional information is needed, the originating department will be contacted.

Account managers should verify that the transaction has been recorded in the accounting system.

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

Cross Reference: None

Contact for Revision: Director of Financial Services

Forms: Budget Add/Change and Additional Appropriation form (available on SFA FormsServer Budget Office https://apache.sfasu.edu/sfa_forms/budget_chg.shtml)
Appendix 4

Purchasing Ethics and Confidentiality

Credibility and public confidence are vital throughout the purchasing and contracting process. If any involved party displays a lack of honesty, integrity or openness, the entire program is injured. Even the shadow of doubt can be as harmful as the conduct itself.

Any SFA employee involved in any form of procurement or the procurement process may not:

- participate in work on a contract by taking action as an employee through decision, approval, disapproval, recommendation, giving advice, investigation or similar action knowing that the employee, or member of their immediate family has an actual or potential financial interest in the contract, including prospective employment;
- solicit or accept gifts or gratuities which might tend to influence purchasing decisions;
- be employed by, or agree to work for, a vendor or potential vendor;
- knowingly disclose confidential information for actual or anticipated personal gain, or for the actual or anticipated gain of another person.

When an actual or potential violation of any of these standards is discovered, the person involved shall promptly file a written statement concerning the matter with an appropriate supervisor. The person may also request written instructions and disposition of the matter.

Written disclosure must be signed by submitted to the President for any contract of $1 million or more in value. All such written disclosures will be retained in the Purchasing Office. Reference Ethics Policy E-56 for specific information regarding the disclosure.

If an actual violation occurs or is not disclosed and remedied, the employee involved may be either reprimanded, suspended, or dismissed. The vendor or potential vendor may be barred from receiving future contracts and/or have an existing contract canceled.

If not related to a particular transaction, University employees may accept from vendors and others: (1) unsolicited advertising or promotional material such as pens, pencils, scratch pads, and calendars; (2) occasional business lunches or food and refreshments of insignificant value; and (3) other items of nominal or minor value (i.e., a box of candy or fruitcake, etc.) that are merely tokens of appreciation. Refer to Ethics Policy E-56 for the statutory definition of a “benefit.”

Purchasing professionals have the right under law to have any ethics question reviewed and decided by the State Ethics Commission. If you wish to learn whether a specific
action violates the ethics rules, please contact the State Ethics Commission, 1101 Camino La Costa, Austin, Texas 78752 or call them at 1-800-325-8506.

Source of Authority: Vice President for Finance and Administration, Texas Government Code 2262.004

Cross Reference: Ethics Policy E-56

Contact for Revision: Director of Purchasing and Inventory

Forms: None
Appendix 4

Request to Establish an Account

Original Implementation: Unpublished


Requests to establish a new account must be submitted on the "Request to Establish an Account" form. This form originates in the requesting department and is submitted through appropriate division channels for approval. The request is submitted to the Director of Financial Services after division approval. The Director of Financial Services may approve the request or obtain the approval of the Vice President for Business Affairs Finance and Administration, establish the account, or forward the request to the Controller to approve and establish the account. Requests for expenditure accounts must include a detailed budget. No account will be established until funding for the account is available. No funds will be obligated or expended until the account is established.

The office that assigns the account number will notify the account manager when the account is ready for use.

Source of Authority: Vice President for Business Affairs Finance and Administration

Cross Reference: None

Contact for Revision: Director of Financial Services

Forms: Request to Establish an Account (available on SFA Forms Server University Printing Services, the Controller’s Office and the Director of Financial Services’s Office, https://apache.sfasu.edu/sfa_forms/frs_acct_reg.html)
Special Purchases

The following items require special consideration for proper processing:

1. **Advertising copy** Requires approval by (radio spots, newspaper ads, billboards, etc.) should be submitted to the Director of Public Affairs for approval prior to release. See Policy D-39 University Publications.

2. **Account Types** Purchasing generally views the distinction between types of accounts as follows:

   - 1xxxxx (except for the 17xxxx series); State Appropriated Funds - Purchases use of funds must relate directly to the educational purpose of the University.

   - 17xxxx; HEAF and Instructional Capital (IC) - Use of these funds must be used for the purchase of equipment only. Books and videos may also be purchased with HEAF and IC. Maintenance may be purchased only if purchased concurrently with equipment.

   - 2xxxxx; Designated Funds other than Course Fee Accounts - The use of these funds is designated by the University and purchases must relate to the educational purpose of the University or be of benefit to the University department.

   - 2xxxxx; Course Fee Accounts - Use of funds must be for the specific course to which it applies.

   - 3xxxxx; Auxiliary Funds - The use of these funds must be related to a University business type enterprise.

   - 4xxxxx; Restricted Grant Funds - These use of funds is restricted are limited to the purpose and/or restrictions of the grant.

   - 5xxxxx; Gift Funds - These use of funds is restricted to certain departments or specific purposes; and incurring use at the discretionary funds from which purchases are made at the discretion of the Account Manager/Department Head.

   - 09xxxx; Agency Funds - Purchases cannot be initiated on a requisition. Use of funds is never processed through the requisition/purchase order process. See Policy C-01.2 Agency Accounts for detailed information about the use and disbursement of funds from these accounts.
3. **Aggregate Total $50,000 Or Greater.** Requires Board of Regents approval unless otherwise exempted by Policy D-20.5 Items Requiring Board of Regents Approval or C-9 Contracting Authority.

4. **Bus Charters.** Requires standard contract from vendor plus Addendum to Charter Bus Contract.

5. **Consultant Contracts.** The rules are numerous and complicated. Review the Professional and Consultant Services Policy, C-45, carefully before making any commitment on behalf of the University.

6. **Purchases from Employees.** Any payments for SERVICES made to a current employee or an individual employed during the past 12 months is to be submitted on an additional compensation request form. Any purchase of GOODS from a current employee must be submitted through the requisition process and must comply with See Policy C-27 Purchases from Employees.

5. **Entertainers.** See Professional Services.

7. **Food Purchases.** All purchases of food must be submitted on a Purchase Requisition and must be certified by the account manager in accordance with Policy C-13 Food Purchases.

7. **Guest Speakers, Lecturers, Instructors, Artists, Musicians.** See Professional Services

8. **Insurance.** Purchase of insurance is to be submitted on a Purchase Requisition and requires approval by the State Office of Risk Management. Specific insurance requirements should be brought to the attention of the Safety and Risk Management Officer.

9. **Interagency and Interlocal Contracts.** See Policy C-18 Interagency and Interlocal Contracts

9. **Lease of Real Property.** The rental or lease of real estate requires approval of the Vice President for Business Affairs. State funded rentals or leases require approval of the Facilities, Construction, and Space Management Division of the General Services Commission. Such issues as access to the handicapped, fire safety, and the availability of other space on a competitive basis will be considered.

10. **Memberships.** in professional organizations require approval by the appropriate vice president and/or the President. Memberships are to be submitted on a "Purchase Requisition". See Policy C-17 Memberships.

11. **Moving Expenses.** may be made by direct pay to the vendor or reimbursement to the University employee. See Policy C-21 Moving Expenses)

12. **Printing.** University Printing Services is to be utilized to the extent possible for printing and duplication. All official University publications require editorial approval prior to printing regardless of the source of printing services. See Policy D-39 University Publications. All printing requires competitive bids, regardless of the dollar amount, if using state funds.

Appendix 4

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13. Professional Services. Review the Professional and Consultant Services Policy C-45 carefully before making a commitment on behalf of the University.

14. Proprietary Purchases. Purchase requisitions which are submitted for items to be purchased for a single brand and/or from a single vendor shall include a Sole Product/Sole Source Justification Form, which is available from the Purchasing Department. See Policy C-26 Proprietary Purchases.

15. Radioactive or Radiation Producing Materials or Equipment. All "Purchase Requisitions" for radioactive or radiation producing materials or equipment must be identified by completing the on-line purchase requisition with Requisition Type 'DR'—See Policy D-27 Radioactive or Radiation Producing Material or Equipment.

16. Real Property – Rental, Lease or Purchase. The rental, lease or purchase of real estate requires approval of the Vice President for Finance and Administration.

17. TIBH (Texas Industries for the Blind and Handicapped). Required source if using state funds. If TIBH is not used an exception report must be completed and submitted to the Director of Purchasing.

18. Used Equipment. The purchase of used equipment valued over $5000 requires additional documentation to be completed for the order file. See Policy C-29 Purchase of Used Equipment or Supplies.

Source of Authority: Texas Government Code, Title 10, Subtitle D, Chapters 2151 through 2176, 2254 and General Appropriations Act; Board of Regents; Vice President for Finance and Administration; Business Affairs; President

Cross Reference: Agency Accounts, Policy C01.2; Food Purchases, Policy C-13; Memberships, Policy C-17; Moving Expenses, Policy C-21; Proprietary Purchases, Policy C-26; Purchases From Employees, Policy C-27; Purchase of Used Equipment or Supplies, Policy C-29; Professional and Consultant Services, Policy C-45; Radioactive or Radiation Producing Materials or Equipment, Policy D-27; University Publications, Policy D-39

Contact for Revision: Director of Purchasing and Inventory

Forms: Purchase Requisition (See Policy C-30 Purchase Requisition); State of Texas Purchase Voucher (available in University Printing Services); Sole Product/Sole Source Form (available from Purchasing); Addendum to Charter Bus Contract (available on General Counsel's website)
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. Secondarily, 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

C-41
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 that 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 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;
Appendix 4

(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 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:

<table>
<thead>
<tr>
<th>Type of Funds</th>
<th>Time Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Unrestricted and</td>
<td>2 days to one year</td>
</tr>
<tr>
<td>Restricted Funds</td>
<td></td>
</tr>
<tr>
<td>Plant Funds</td>
<td>3 months to 3 years</td>
</tr>
</tbody>
</table>

Delegation of Authority

The Vice President for Business Affairs (VPBA) Finance and Administration (VPFA) of Stephen F. Austin State University is responsible for investment management decisions.
Appendix 4

and activities. The VPBA-VPFA delegates the day-to-day management of the investment activities to the Director of Financial Services.

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

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

The VPBA-VPFA 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.

The maximum stated maturity date of any security may not exceed ten years, and the weighted average duration of the portfolio shall not exceed five years without approval by the VPBA-VPFA and ratification by the Board of Regents.

No officer or designee may engage in an investment transaction except as provided under terms of this policy as approved by the Stephen F. Austin State University Board of Regents.

Prudence

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

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

Internal Controls

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

Investment Authority
The VPBA-VPFA 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.

**Disclosure Requirements for Outside Financial Advisors**

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

**Disclosure Requirements for Investment Officers**

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

1) _________(1)—the investment officer owns 10 percent or more of the voting stock or shares of the business organization or owns $5,000 or more of the fair market value of the business organization;

2) _________(2)—funds received by the investment officer from the business organization exceed 10 percent of the investment officer's gross income for the previous year; or
3) The investment officer has acquired from the business organization during the previous year investments with a book value of $2,500 or more for the personal account of the investment officer.

**Diversification**

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

<table>
<thead>
<tr>
<th>Category</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>U. S. Treasury securities and securities having principal and interest guaranteed by the U. S. Government</td>
<td>100%</td>
</tr>
<tr>
<td>U. S. Government agencies, instrumentalities and government sponsored enterprises (excluding mortgage backed securities)</td>
<td>50%</td>
</tr>
<tr>
<td>Collateral mortgage backed securities</td>
<td>25%</td>
</tr>
<tr>
<td>Fully insured or collateralized certificates of deposit</td>
<td>100%</td>
</tr>
<tr>
<td>Bankers’ acceptances</td>
<td>25%</td>
</tr>
<tr>
<td>Commercial paper</td>
<td>25%</td>
</tr>
<tr>
<td>Repurchase agreements</td>
<td>100%</td>
</tr>
<tr>
<td>Registered money market funds</td>
<td>80%</td>
</tr>
<tr>
<td>Local Government Investment Pool</td>
<td>100%</td>
</tr>
</tbody>
</table>
The VPBA-VPFA 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 affect the sale.

The weighted average maturity of the entire portfolio shall be maintained at no more than 10 years and shall be reported quarterly to the Board of Regents. Pooled fund groups eligible for University investment shall have a maximum weighted average maturity of 10 years.

Safekeeping and Collateralization

All securities transactions, including collateral for repurchase agreements, but excluding mutual funds and investment pools, must be settled on a delivery versus payment basis. Collateral for certificates of deposit shall be held by a third party custodian in the name of the University. The third party custodian shall be required to issue a safekeeping receipt to the University listing the specific instrument, rate, maturity, safekeeping receipt number, and other pertinent information. Any collateral safekeeping receipt shall be clearly marked on its face that the security is "pledged to Stephen F. Austin State University".

Collateralization shall be required on certificates of deposit and repurchase agreements. The collateralization level shall be no less than 100% of the market value of the principal and interest due on these instruments.

Collateral for certificates of deposit and repurchase agreements shall consist of any of the securities authorized for investment within this policy.

Performance Evaluation

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

Audits

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

Investment Policy Adoption and Certification

Upon adoption by the Stephen F. Austin State University Board of Regents, the University’s investment policy shall be reviewed annually to ensure current applicability and significant modifications thereto submitted to the Board of Regents for approval.
Source of Authority: Board of Regents, Stephen F. Austin State University, Texas Government Code

Cross Reference: Texas Government Code Chapters 2256 and 2263

Contact for Revision: Vice President for Business Affairs, Finance and Administration

Forms: None
APPENDIX A

INTERNAL CONTROLS

The University has prepared an Investment Policy as of April 12, 1996. The policy was approved by the Board of Regents April 30, 1996.

The Investment Policy will be reviewed and/or updated no less than annually.

All pledged securities shall be held by a third party custodian in the name of the University. A safekeeping receipt will be issued to the University listing the specific instrument, rate-, maturity, safekeeping receipt number, and other relevant information.

The signature of the President, VPBAVPFA, 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 VPBAVPFA, 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 - Finance and Administration in accordance with the Performance Evaluation section of this investment policy.

The market price of securities will be monitored quarterly using industry published data or appropriate financial publications.
Investments - Endowment Funds

Original Implementation: Unpublished
Last Revision: October 20, 2005 January 19, 2006

GENERAL

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

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

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

The investment of the Endowment funds is governed by Section 51.0031 of the Texas Education Code. This section states that the University "... with regard to donations, gifts and trusts may establish endowment funds that operate as trusts and are managed under prudent person standards. As used in this section, "prudent person standard" is the standard of care described in Article VII, Section 11b. of the Texas constitution, and means that standard of judgment and care that persons of ordinary prudence, discretion, and intelligence exercise in the management of their affairs in regard to the investments of their funds, considering probable income as well as probable safety of their capital.

In the management of the University endowment investments, consideration will be given to the need to balance a requirement for current income for present activities with a requirement for growth in principal to compensate for inflation. Consideration will be given to the need for safety of principal, liquidity, diversification, yield and quality.

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

RESPONSIBILITIES

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

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

The Vice President for Finance and Administration (Vice President) is designated as the investment officer for the University. As such, the Vice President or designee(s), is responsible for accounting for investments, monitoring and evaluating performance results, and ensuring that policy guidelines are being adhered to and investment objectives are being met. In addition, the Vice President or designee(s), is responsible for the purchase, sale, assignment, transfer and management of investments, for communicating with investment managers, brokers and dealers, for compiling performance results, and for determining the proper distribution of investment returns to the various accounts. The Vice President is also responsible for determining the appropriate distribution of income in accordance with the distribution policy in the distribution policy section. The Vice President or his designee will submit an annual investment perspective to the Board of Regents.

INVESTMENT POLICY

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

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

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

INVESTMENT POLICY GUIDELINES

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

The following categories of securities are permissible investments:

a) Direct obligation of the United States Government or its direct agencies.

b) Direct obligations of federally-sponsored agencies in accordance with the above paragraph.

c) United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.

d) Common stock and preferred stock issued by United States domiciled corporations and common stocks of foreign companies listed on the major U.S. or foreign security exchanges.

e) Certificates of Deposit issued by federally insured state banks, federally insured savings and loan associations and saving banks or federally insured credit unions. Amounts over the insurance limit of the institutions must be secured by pledged securities.

f) Bankers acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.

g) Money Market Mutual Funds. Funds must be registered with the Securities and Exchange Commission, have a maximum dollar weighted average maturity of no longer than 13 months, and be no-load funds. Funds
must have assets consisting of securities described in the paragraphs above and seek to maintain a stable net asset value of $1.00 per share (or unit).

h) Direct Security Repurchase Agreements. Direct Repos must be fully secured (collateralized) by securities authorized under the sections (a) through (f) above. Such collateral must be held by a third party. All agreements will be in compliance with Federal Reserve Bank guidelines.

i) Shares of investment companies as defined by the Investment Company Act of 1940. These companies include both closed-end investment companies and open-end investment companies (mutual funds). Shares in these companies may be purchased if they own securities described in sections (a) through (h) above.

j) Certain types of transactions and purchase of certain types of securities are specifically prohibited by this policy. Commodity trading including all futures contracts, purchasing of letter stock, short selling, option trading, and margin trading are specifically prohibited. Neither tax-exempt debt of state and local governments, private placements, nor guaranteed investment contracts may be purchased. No investments will be made in derivative products as defined by the Financial Accounting Standards Board in SFAS, No. 119. Collateral mortgage obligations that do not pass the FFIEC test may not be purchased.

k) 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.
1) Except for up to three cases, no more than five percent (5%) of the portfolio, including convertible securities, can be invested in any one company. This will be measured on a cost basis. No more than ten percent (10%) of the portfolio can be invested at any time in one company based on the market value of the stock and portfolio. This section is not applicable to investments in U.S. Government securities.

m) No more than fifteen percent (15%) of the portfolio can be invested in any one industry, as defined by Standard and Poor's broad categories, based on the cost value of the portfolio. No more than thirty percent (30%) of the portfolio can be invested in any one industry based on the market value of the portfolio. The holdings do not have to be invested in industry groups that represent a cross-section of the economy.

n) All of the equities purchased for the portfolio (based at market value) should have a minimum market capitalization of $250 million.

The allowable range and target asset allocation for the endowment funds is:

<table>
<thead>
<tr>
<th>Class</th>
<th>Allowable Range</th>
<th>Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equities securities</td>
<td>0% - 70%</td>
<td>60%</td>
</tr>
<tr>
<td>Fixed income securities</td>
<td>0% - 60%</td>
<td>40%</td>
</tr>
<tr>
<td>Cash or cash equivalents</td>
<td>0% - 100%</td>
<td>0%</td>
</tr>
</tbody>
</table>

For the fixed income portion of the portfolio the asset mix should be, maximum U.S. government bonds 100%, minimum government bonds 0%, maximum corporate bonds 50%, minimum corporate bonds 0%, maximum cash 100%, minimum cash 0%.

Gifts of individual securities will be liquidated or transferred to an equity fund manager currently employed by the University under the Use of Investment Firms section. The liquidation or transfer will take place as soon as possible. If liquidated, the proceeds will be invested in accordance with the allowable range and target asset allocation set forth in this policy. Exceptions to this policy are securities described by sections (a), (b) and (c) above. Such securities may be held so long as the asset allocation ranges are maintained.

The policy in this section can be overridden by a written directive from a donor.
USE OF INVESTMENT FIRMS

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

Selection of outside investment managers will follow these guidelines:

a) The Vice President or designee, within statutory and other regulatory authority, may place selected funds of the University with investment managers outside the University for investment purposes. The investment of such funds will be subject to the provisions of this investment policy statement. The Vice President is authorized to negotiate with outside investment managers for the benefit of the University.

b) Outside investment manager(s) will receive a copy of the IPS and a Letter of Instructions outlining investment instructions and asset allocation parameters expressed in writing by the Vice President. The Letter of Instructions will state return objectives that are reasonable and achievable within the guidelines provided herein. These return objectives should be achieved over a reasonable time frame, thus it is not necessary for the outside manager(s) to exceed the return expectations each quarter. In addition, each outside investment manager must execute a written statement to the effect that the registered principal of the organization has received and thoroughly reviewed the investment policy of the University. The statement must also acknowledge that the organization has implemented reasonable procedures and controls in an effort to preclude imprudent investment activities.

c) Consistent with this investment policy statement and their Letter of Instruction, the outside investment manager(s) will be responsible for making decisions on a discretionary basis. This includes buy, hold, sell and timing decisions. The outside manager(s) must make responsible decisions in the selections of specific securities and the general timing of purchases and sales necessary to achieve a satisfactory overall return for the assets.

d) Outside manager(s) will invest only into the security class(es) for which they were retained to manage. The manager(s) have discretion to place funds into cash, however, their performance will be measured against an index which measures their security class without deducting the cash position.
Investment managers employed by the University to invest in equities may be evaluated using the following guidelines:

a) The average portfolio Beta should be between 1.10 and 0.90. That is to say that the volatility of the fund should not differ from the volatility of the S&P 500 by more than ten percent. The Beta calculation should include any cash position in the portfolio.

b) The R-Squared may be as high as 100% over a time frame of one year or longer if all investment objectives are met. R-Squared is a statistical evaluation to measure similarity in behavior of the portfolio to the market.

c) The annualized Alpha should be greater than the managers fee essentially showing that value is being added for the risk taken. Alpha measures the excess return for the amount of risk taken.

d) Portfolio turnover will be monitored. If the performance results of the portfolio meet the objectives stated herein, the rate of turnover in the portfolio will not be an evaluative factor. However, a portfolio turnover higher than the average of similar fund managers is considered a negative.

Files will be maintained on investment firms with which the University deals. The files will contain information that supports the financial stability of the firms. These files will be updated annually. A list of approved brokers and firms will be maintained and changes will be approved by the Board of Regents.

**DISTRIBUTION POLICY**

The spending policy should balance the long-term objective of maintaining the purchasing power to the endowment funds with the goal of providing a reasonable, predictable, stable, and sustainable level of income to support current needs. The Vice President may review the nature of the various endowments to determine the need for income for current spending and the ability to tolerate variability in current income. The asset allocation between fixed-income securities and equities may reflect diversification needs of the endowments.

**PERFORMANCE EVALUATION**

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

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

CONFLICTS OF INTEREST

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

a) a member of the Board shall not direct nor participate in the decision to purchase or sell securities of a firm with which such member is affiliated; and

b) investments will not be purchased from or sold to a member of the Board.

DISCLOSURE REQUIREMENTS

Disclosure Requirements for Outside Financial Advisors

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

Disclosure Requirements for Investment Officers

Pursuant to Texas Government Code Sec. 2256.005, an investment officer of an entity who has a personal business relationship with a business organization offering to engage in an investment transaction with the entity shall file a statement disclosing that personal business interest. An investment officer who is related within the second degree by affinity or consanguinity, as determined under Chapter 573, to an individual seeking to sell an investment to the investment officer’s entity shall file a statement disclosing that relationship. A statement required under this subsection must be filed with the Texas Ethics Commission and the governing body of the entity. For purposes of this subsection, an investment officer has a personal business relationship with a business organization if:
Appendix 4

(1) the investment officer owns 10 percent or more of the voting stock or shares of the business organization or owns $5,000 or more of the fair market value of the business organization;

(2) funds received by the investment officer from the business organization exceed 10 percent of the investment officer's gross income for the previous year; or

(3) the investment officer has acquired from the business organization during the previous year investments with a book value of $2,500 or more for the personal account of the investment officer.

AUDITS

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

Source of Authority: Board of Regents

Cross Reference: Texas Education Code, Section 51.0031

Contact for Revision: Vice President for Finance and Administration

Forms: None
Appendix 4

Procurement Card

Original Implementation: July 26, 1999
Last Revision: October 14, 2004, January 19, 2006

University employees other than the Director of Purchasing and Purchasing Department Buyers may order supplies and small items in amounts not exceeding $2000 may be purchased using a University Procurement Card (ProCard). The Director of Purchasing and Purchasing Department Buyers may purchase on behalf of the University any item of any amount using a Procurement Card if they have determined by payment by ProCard represents the best value to the University and so long as all procurement policies and rules have been followed.

The terms and conditions of the MasterCard Procurement Card contract were specified and awarded by the General Services Texas Building and Procurement Commission for the State of Texas. In addition to internal policies and procedures, Stephen F. Austin will comply with the terms and conditions of the state contract.

Responsibilities

ProCards will be issued in the name of the employee with the State of Texas emblem and the wording 'Official Use Only' clearly indicated on the card. The ProCard is to be used for official University business purposes only and may not be used for ANY personal transactions. The employee is responsible and accountable for the security and documentation associated with the use of the SFA Procurement Card. Documentation shall include maintaining a Transaction Log or providing Transaction Detail information for each transaction through the Oracle System and keeping documentation of all transactions including returns, credits and disputed charges as required in the ProCard Procurement Guide.

The Account Manager or his/her designee is responsible for: 1) designating departmental cardholders; 2) determining spending limits; 3) establishing yearly encumbrance amounts for each account against which credit card charges will be made; and 4) approving monthly reconciliations of ProCard cardholder statements and supporting documentation to ensure purchases are within SFA's policies and procedures and departmental budgets. Account Managers should be sure that all employees issued a card understand the departmental budget constraints under which they are to use the card.

The Purchasing Department is responsible for maintaining complete and accurate information regarding ProCard users and associated credit limits, for establishing and updating restricted Merchant Category Codes, and for determining compliance with University policies and procedures through periodic audits.
Card Use By Another Employee

The only person authorized to use the ProCard is the cardholder whose name appears on the card. The cardholder may not allow someone else to use their card unless the cardholder and account manager have completed a ProCard Use form and it is on file with the Program Coordinator in the Purchasing Office.

Training and Issuing Cards

All account managers will be required to attend training and sign the Cardholder Application/Approval Form before any cards will be issued to employees within the department. All employees will be required to attend training and sign a Cardholder Agreement before being issued a card.

Making A Purchase with the ProCard

Refer to the Procurement Card Program Guide for detailed information related to making a purchase with the ProCard. The Director of Purchasing and Purchasing Department Buyers are not subject to the Procurement Card Program Guide, but rather to University policies and procedures relating to procurement.

Transaction Detail Log, Monthly Statement, Reconciliation and Approval

The Transaction Log or Transaction Detail entries are required and provide an audit trail for expenditures made with the ProCard. Each individual purchase must be recorded in the log or detailed in the Oracle ProCard System. See the Procurement Card Program Guide for detailed instructions on completing the Transaction Log or Transaction Detail entries. The Transaction Log must be maintained electronically in MS Excel. If the cardholder does not have access to Excel, contact the Program Coordinator to discuss alternatives. Transaction Detail entries are completed on-line through the Oracle system accessed through MySFA.

Upon receipt of the monthly statement from the credit card vendor, the cardholder shall reconcile the statement with the Transaction Log or Transaction Detail Summary and forward the reconciled statement, Transaction Log or Transaction Detail Summary and all supporting documentation to the Account Manager or his/her designee for review and signature. After reconciliation the Transaction Log Excel file MUST BE E-MAILED to the Accounts Payable Supervisor. Those individuals utilizing the Oracle System are not required to submit anything to Accounts Payable.

The Account Manager is responsible to verify that all purchases are appropriate expenditures and should take necessary disciplinary action with employees making inappropriate expenditures.

The documentation identified in the ProCard Program Guide must be kept for three (3) years plus the current fiscal year to comply with the University's Records Retention
Appendix 4

Schedule. These are the official University records. The records for procurement card purchases will be required for periodic audits by the Purchasing Office or when SFASU is audited by the General Services Building and Procurement Commission, the State Auditor or Internal Audit Services.

Card Termination

Be sure arrangements are made for detail entry information and monthly reconciliation when people will be out of the office; i.e. vacation, sick leave, jury duty, etc.

1. NON-USE - If it is found that a cardholder has not used the procurement card for four consecutive months, this card may be terminated at the discretion of the Program Coordinator. Any cards so deactivated may be reactivated within 8 months upon submission of an Application/Approval Form and a Cardholder Agreement form. Beyond 8 months, the individual will be required to attend training again before the card will be reactivated.

2. TERMINATION OF UNIVERSITY EMPLOYMENT - When a cardholder terminates employment with the University, the department has specific obligation to reclaim the ProCard and return it to the Program Coordinator prior to the employee termination date. Failure to do so may result in the department being responsible for payment of any fraudulent charges and revocation of all department card privileges. Verification of card return will be part of an employee's exit interview with Human Resources. Fraudulent charges will be reported to the University Police Department and the terminated employee will be expected to reimburse the University.

3. TRANSFER TO A DIFFERENT UNIVERSITY DEPARTMENT - When a cardholder changes employment from one University department to another, the department has specific obligation to reclaim the ProCard and return it to the Program Coordinator prior to the effective date of change. Failure to do so may result in revocation of all department card privileges.

4. INSUFFICIENT BUDGET - Payments will not be delayed due to insufficient department budgets. In making adjustments to the purchase order encumbrance amounts during the year, if an over-ride has to be made (in order to make payment) resulting in an account having a negative balance which is not approved by the Budget Office, all cards utilizing the account in question will be deactivated immediately. The cards will be reactivated after budget problems are resolved. Repeated budget problems may result in all cards for the account in question being deactivated at the Program Coordinator's discretion for a 4-month waiting period.

5. FAILURE TO PASS AUDIT - The Program Coordinator will audit transactions on a periodic basis. Cards will be deactivated immediately for any cardholder who fails to produce the required documentation. The cardholder will be subject to a minimum 4-month waiting period and will be required to attend training again at a cost to the department of $25 before the card will be reactivated. Repeated failures to produce the
required documentation may result in the card being permanently terminated at the Program Coordinator's discretion. If the documentation is incomplete according to the Program Guide, the Program Coordinator will provide one on one instruction to the cardholder. Repeated errors will result in the card being deactivated at the Program Coordinator's discretion. The cardholder will be required to attend training again at a cost to the department of $25 before the card will be reactivated.

6. FAILURE TO MAINTAIN THE ELECTRONIC LOG AND SUBMIT TO ACCOUNTS PAYABLE MONTHLY - Failure to email the log to the Accounts Payable Supervisor, when required, will result in the card being deactivated at the Program Coordinator's discretion. The cardholder will be required to attend training again at a cost to the department of $25 before the card will be reactivated. Repeated failures to submit the electronic log to Accounts Payable may result in the card being permanently deactivated at the Program Coordinator's discretion.

7. CARD USE BY ANOTHER EMPLOYEE - Allowing someone else to use your card without having completed a ProCard Use form may result in the card being deactivated at the Program Coordinator’s discretion. The cardholder may be required to attend training again at a cost to the department of $25 before the card will be reactivated.

8. VIOLATION OF PURCHASING PROCEDURES - If the cardholder, other than the Director of Purchasing or Purchasing Department Buyers, violates any ProCard Purchasing Procedures outlined in this Program Guide, the Program Coordinator may provide one on one instruction or the card will be deactivated immediately at the Program Coordinator's discretion. If the card is deactivated, the cardholder will be subject to a minimum 4-month waiting period and will be required to attend training again at a cost to the department of $25 before the card will be reactivated. Repeated violations may result in the card being permanently terminated at the Program Coordinator's discretion. If the violation appears fraudulent or abusive, the cardholder may be subject to personal liability and/or disciplinary action, which may include termination of employment or possible criminal penalties.

9. FAILURE TO PROMPTLY REPORT A LOST OR STOLEN CARD - If a cardholder fails to make a report of a lost or stolen card immediately upon discovery, the cardholder may be required to reimburse the University for any fraudulent charges made on the card until it has been cancelled, including a $50 deductible for fraudulent charges up to $15,000. The University's FRS account will pay the charges and the employee will be required to reimburse the University. The cardholder will be subject to a minimum 4-month waiting period and will be required to attend training again at a cost to the department of $25 before a new card will be issued. Upon the loss of a second card, no additional cards will be issued to the cardholder.

10. ACCOUNT MANAGER AUTHORITY - The Account Manager or supervising Dean, Vice President, or President has the authority to request that the Program Administrator terminate an employee's card at any time for any reason. Any cards so deactivated may be re-issued with appropriate approvals within 12 months upon
submission of an Application/Approval Form and a Cardholder Agreement form. Beyond 12 months, the employee will be required to attend training again before a card will be re-issued.

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

**Cross Reference:** None

**Contact for Revision:** Director of Purchasing and Inventory

**Forms:** Cardholder Application/Approval Form, Cardholder Procurement Card Agreement, Transaction Log, ProCard Use Form, Tax Exempt Letter, Statement of Disputed Item Form, ProCard Problem Resolution Form (all available from the Purchasing Department)
Access to University Records

Original Implementation: 1975
Last Revision: October 23, 2003 January 19, 2006

Access to documents or records in the custody or control of Stephen F. Austin State University is determined by the provisions of state law. In general, the records of the University are open to public inspection during normal business hours, upon written request. However, various exceptions to the public's right to examine University documents exist under law. These include, but are not limited to, information in personnel files, the disclosure of which would clearly be an unwarranted invasion of privacy; documents relating to litigation or settlement negotiations; information relating to the possible purchase of real property; student records; interagency or intragency memoranda or letters not available by law except in the context of litigation; and rare books or original manuscripts held for the purpose of research.

Written requests for the inspection of records or documents, except for lists of employees, should be immediately referred to the Office of the General Counsel. Requests for lists of employees, with addresses, should be submitted to the Director of Personnel Services. The Office of the General Counsel has been designated by the Board of Regents as the Public Information Coordinator responsible for processing public information requests. Requests for public information by outside entities and vendors are to be immediately referred to the Office of the General Counsel. The requests must be in writing and may be submitted by mail, fax, email or in person. The requestor must include enough description and detail about the information requested to enable the governmental body to accurately identify and locate the information requested. The requestor must also cooperate with the governmental body's reasonable efforts to clarify the type or amount of information requested. The University may charge for copies of public information in accordance with the fee schedule created by the Texas Building and Procurement Commission.

Requests by student organizations that are for organizational use only should be submitted to the Office of Student Affairs. Requests for Alumni information should be submitted to the Alumni Association.

This policy does not prevent either students or employees from examining University records applying to themselves.

Source of Authority: Public Information Act, Texas Government Code, Chapter 552; President

Cross Reference: None

Contact for Revision: General Counsel

Forms: None
Stephen F. Austin State University provides for the training of certain University personnel, the establishment of an inspection and abatement program, and maintenance procedures relating to asbestos in University buildings and facilities. The University's objective is that all personnel who may work in an area with asbestos or materials which contain asbestos be informed of the history of asbestos, its past and present use, health affects, and remedial action necessary to meet current regulations and to maintain a safe work environment.

I. **Purpose**

A. Identification and immediate removal of any asbestos-containing material that is in a friable state by accredited, competent, trained personnel

B. Strict enforcement of OSHA, EPA, NIOSH, NESAPHS, and the Texas State Health Department regulations and guidelines to ascertain as well as possible that no one is exposed to an asbestos hazard

C. Continuance of an on-going program to maintain asbestos-containing material in a safe condition and remove and/or encapsulate this material as funds are available.

II. **Asbestos Program Manager**

A. The Asbestos Program Manager (APM) must be licensed by the Texas State Health Department as an Asbestos Inspector, Management Planner, and must satisfactorily complete the appropriate examination administered by the Environmental Protection Agency. The APM will stay abreast of all pertinent regulations regarding asbestos.

B. The APM will establish a training program to be completed by all University employees who might reasonably be expected to come into contact with asbestos material during the performance of their University employment.

C. The APM will establish guidelines for supervisors who will provide periodic reminders to employees (following completion of the initial training program) of the employees' duty to inform their supervisor when any material containing asbestos becomes friable or may become friable due to daily wear-and-tear, roof leaks or maintenance.
D. The APM will inspect all University buildings and facilities have been inspected to identify twice each year to determine the condition of any asbestos-containing materials. If need exists, bulk samples will have been taken. Upon notification of building renovation, modification, or demolition, records will be checked; and if asbestos-containing material is present, abatement will be scheduled.

1. Each inspection conducted will be documented on the standard work order form and filed in its respective building folder.

2. Upon completion of these periodic inspections an updated composite letter recommending any remedial action or relevant information will be forwarded to the Vice President for Business Affairs, Physical Plant Director and any other applicable administrator or director for their information and future planning.

E. The APM will maintain two current files, located remotely from each other, on all University buildings and facilities containing any form of asbestos at 1% or above. It will be the responsibility of each maintenance crafts employee to notify his/her supervisor any time a question arises relating to work which may involve contact with suspected asbestos materials, and when the work requirements listed below are anticipated.

1. a wall, ceiling, floor, or partition is to be penetrated, scored, drilled, refinished, or otherwise altered
2. pipe insulation is removed, damaged, or altered
3. boilers, chillers, hot water tanks, heat exchangers, valves, and piping are repaired, changed, or altered in a way that may affect the insulation.
4. painting or paint removal is done to a surface that could possibly contain asbestos

III. Implementation

If at anytime, an employee is working around suspect material, they are to stop immediately and notify their supervisor. The supervisor will notify the Asbestos Program Manager so that records may be researched and an approval to continue work may be secured. Under no circumstances is an employee to work in an unsafe condition or environment.

Contractors working on University property must comply with the same guidelines listed above. In addition, contractors must secure approval from the APM prior to beginning work and must consult the APM when any question or potential problem arises.

Contractors must also provide an Asbestos free certification for all new facilities on campus.
Source of Authority: Vice President for Business Affairs

Cross Reference: None

Contact for Revision: Safety Director

Forms: None
Authority to Act in the Absence of the President

In the absence of the President the authority to act in his place is delegated in the following order depending upon the presence of the individual on the campus:

- Provost/Vice President for Academic Affairs
- Vice President for Business Affairs, Finance and Administration
- Vice President for University Affairs
- Vice President for University Advancement
- Associate Provost/Vice President for Academic Affairs

The individual administrative officer acting under this delegation of authority is to handle emergency-administrative situations in accordance with the recognized operating procedures of the University, in the absence of the President. He may take such action as he deems necessary dependent upon the circumstances of a particular situation when the President cannot otherwise be reached to make such decisions. As soon as possible and practical, the President shall be informed of any decision, emergency or unusual incident and the action taken. No unusual or major decision embodying significant commitments on behalf of the University will be made without consulting the President. The line of succession for emergency operations only is outlined in Policy D-11.

Source of Authority: Board of Regents, President

Cross Reference: None

Contact for Revision: President

Forms: None
Purpose

To establish conditions for use of, and requirements for appropriate security to cover University computing equipment and networks. Computing equipment is defined to include desktops, laptops, servers, handheld devices, and connected network equipment printers. In order to comply with state requirements including the Information Resources Management Act (TEX.GOV'T CODE § 2054) and Texas Administrative Code, Title 1, Part 10, Chapter 202, the Director of Information Technology Services (ITS) has been assigned the role of Information Resources Manager for the University, and the Department of ITS is tasked to ensure compliance.

Scope

This policy is effective at all University locations or data centers and represents the minimum requirements that must be in place. Individual areas that have computers and networks may have additional controls and security, but they are in addition to this Policy.

Responsibility

The University Computing and Telecommunications Advisory Committee is responsible for the development of University-wide policies, controls and procedures to protect the University network and information systems from intentional or inadvertent modification, disclosure of confidential information, or destruction. The committee is also responsible for education of the campus community in the ethical use of computer information and network facilities.

Policy

I. Each Vice-President, Dean or Director shall designate individuals responsible for the functions listed below. The same person may be responsible for one or more of these functions, but, to ensure continuity, these individuals must be regular University employees, not student employees. Each Vice-President, Dean or Director may specify an individual or the Technical Support Group of ITS to perform these duties, and will inform ITS of their decision.

1. **Computing Equipment Delivery and Setup** – In order to establish a secure configuration, these designees, who are responsible for accepting delivery of any computing equipment, are expected to install the equipment and software according to specifications and recommendations of the vendor and all state regulations.

2. **Maintenance and Technical Support** – These designees are responsible for providing technical support by troubleshooting daily problems, loading software applications, monitoring desktop security, applying patches and updates as prudent after they are available from the vendor, and performing
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general maintenance on all computing equipment within their organizational unit.

3. **Security and Password Management** – These designees are responsible for security and user access for all computing equipment within their organizational unit. These designees will maintain the administrator/root passwords for local desktop units and will be responsible for providing necessary access to facilitate repairs. These designees will also coordinate with the Maintenance and Technical Support designees in monitoring desktop security and applying patches and updates as prudent after they are available from the vendor. These designees will work with ITS to ensure University computing and network security.

II. Each organizational unit, through its designees, shall implement local security procedures, to include:

1. Protection of the privacy of confidential information;
2. Protection of information against unauthorized modification;
3. Protection of systems against unauthorized access and use.

Each organizational unit of Stephen F. Austin State University that maintains a local area network(s) must develop a local security procedures document which must conform to this policy statement subject to review by ITS.

III. In order to maintain network security, the University reserves the right to:

1. Limit, restrict, or terminate an account holder's usage;
2. Inspect, copy, remove, or otherwise alter any data, file, or system resource that threatens the security of that system or the network, with or without prior notice to the user;
3. Periodically check the systems and take any other such actions necessary to protect the University computers, information, and networks.

The University shall not be liable for, and the user assumes the risk of, loss of data or interference with files resulting from the University's efforts to maintain the privacy and security of the University's computer, information and network facilities.

IV. Individuals are expected to exercise responsible, ethical behavior when using the University's information resources. The University reserves the right to limit, restrict or extend privileges and access to its resources.

1. Access to some University information resources is provided through the establishment of an account. Issuance of passwords and designation of some computer accounts must be approved in writing through the respective dean or director (or designated representative) of the administrative unit. The unauthorized use of University computer systems, accounts and resources; the unauthorized use of another person's computer account; and the provision of false or misleading information systems are prohibited and will be subject to the sanctions described in this policy.
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2. Each user is responsible for understanding and complying with the policy on Acceptable Use of Information Resources (F-40).

3. Each user is responsible for understanding and complying with the policy on Computing Software Copyright (D-43).

4. Because the University permits access to copyrighted data through the Public Internet, it is imperative that each user be responsible for understanding and complying with the policy on Digital Millennium Copyright (D-42). This means disciplinary action including termination of service may be taken on any reported copyright infringements that have been investigated and determined valid. (see www.arl.org/info/frn/copy/dmca.html)

5. Computer systems provided by the University are reserved for use only for University-related activities. (See Chapter 39 of the Texas Penal Code for provisions dealing with the misuse of state property) The intentional deletion or alteration of information or data of others, intentional misuse of system resources, and permitting misuse of system resources by others is prohibited unless otherwise allowed in this policy.

Sanctions for policy violations

Violations of any provision of this policy may result in but are not limited to:

(i) a limitation on a user's access to some or all University computer systems, (ii) the initiation of legal action by the University, including, but not limited to, criminal prosecution under appropriate State and Federal laws (See Chapter 33 of the Texas Penal Code), (iii) the requirement of the violator to provide restitution for any improper use of service, and (iv) disciplinary sanctions, which may include dismissal. Applicable University discipline and/or discharge policies will be followed in the imposition of sanctions related to a violation of this policy.

Many academic courses and work-related activities require the use of computers, networks and systems of the University. In the event of an imposed restriction or termination of access to some or all University computers and systems, a user enrolled in such courses or involved in computer related work activities may be required to use alternative facilities, if any, to satisfy the obligation of such courses or work activity. However, users are advised that if such alternative facilities are unavailable or not feasible, the users bear the responsibility for failure to complete requirements for course work or work responsibility.

Source of Authority: Provost/Vice President for Academic Affairs and Vice President for Business Affairs


Contact for Revision: Vice President for Business Affairs Finance and Administration

Forms: None
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Disposition of Abandoned Personal Property

Original Implementation: October 18, 1988
Last Revision: October 23, 2003 January 19, 2006

Lost property means any unclaimed personal property coming into the possession of the University, other than motor vehicles, as defined in the Texas Transportation Code. Lost property shall be deemed abandoned if the rightful owner does not come forth and make a valid claim within ninety (90) days of the University's original possession.

Unless the abandoned property is being held as evidence to be used in a pending criminal case, the University may dispose of the abandoned property by public auction. The profits of the auction shall be used for student service activities as directed by the Office of Student Affairs. However, if the rightful owner makes a valid claim to abandoned property before auction, then the University shall return the property to the rightful owner.

REPORTING OR CLAIMING ABANDONED PERSONAL PROPERTY

Any individual finding lost property on the University campus or seeking to claim lost property should follow the guidelines listed below.

1. A person finding lost or unclaimed property should turn in said property at the University Police Department or the Information Desk in the University Center. Lost or unclaimed property found in Steen Library should be turned in to the Circulation Desk on the first floor. Lost or unclaimed property found in academic buildings should be turned in to the appropriate departmental office. Lost or unclaimed bicycles or other bulky items are stored in the University Police Department.

2. A written "Record of Unclaimed Personal Property" form indicating the date the lost or unclaimed property came into the University's possession shall be completed and retained by the receiving department.

3. After fifteen (15) days, all unclaimed property held in the University Police Department, in Steen Library, or in other campus areas such as departmental offices, shall be transferred to the University Center Information Desk with the record indicating the date of receipt of the unclaimed property.

4. Lost items may be claimed at the Information Desk upon presentation of reasonable identification of the lost property.

5. A public auction is held annually under the direction of Student Activities at a time and place announced during each academic year.
Source of Authority: Texas Education Code, Section 51.213, President, Vice President for University Affairs

Cross Reference: None

Contact for Revision: General Counsel, Vice President for University Affairs

Forms: Record of Unclaimed Personal Property (available in University Printing Services)
Emergency Management Plan

Original Implementation: November 1986
Last Revision: October 20, 2005 January 19, 2006

An Emergency Management Plan has been adopted to guide the response of appropriate individuals to potential emergencies occurring on the campus of Stephen F. Austin State University.

A. AUTHORITY AND REFERENCES

1. Authority for implementation of the Emergency Management Plan rests with the President of Stephen F. Austin State University.

2. References
   - Article 51.210 and Article 51.203 of the Texas Penal Code.


B. PURPOSE

The Emergency Management Plan is intended to establish policies, procedures, and organizational structure for response to emergencies that are of sufficient magnitude to cause a significant disruption of the functioning of all or portions of SFA. This plan describes the roles and responsibilities of departments, schools, and personnel during and after emergency situations. The basic emergency procedures are designed to protect lives and property through effective use of university and community resources. Since an emergency may be sudden and without warning, these procedures are designed to be flexible in order to accommodate contingencies of various types and magnitudes.

This plan addresses each type of emergency on an individual basis, providing guidelines for the containment of the incident and provides emergency instructions to the individual designated to direct University resources in a concise format. It also will provide emergency response information primarily for use by faculty/staff and other on-site personnel who may be initial responders to an emergency incident.

The purpose of this plan is to provide the necessary guidelines, procedures, and instructions for implementing emergency operations at SFA. Emergency operations will utilize the existing University organizations, with aid as necessary from city, state, and federal governments.
C. SCOPE

This plan is a University-level plan that guides the emergency response of University personnel and resources during and after an emergency situation. It is the official Emergency Management Plan of SFA and precludes actions not in concert with the intent of this plan or the organization created by it. However, nothing in this plan shall be construed in a manner that limits the use of good judgment and common sense in matters not foreseen or covered by the elements of the plan.

This plan and organization shall be subordinate to federal, state, or local plans during a disaster declaration by those authorities. This plan is consistent with established practices relating to coordination of emergency response. Accordingly, this plan incorporates the use of the Incident Command System (Emergency Operation Center) to facilitate interagency coordination, promote the use of common emergency response terminology and command structure, and facilitates the flow of information between responding agencies.

The University will cooperate with the Office of Emergency Management, state, county and city police and other responders in the development of emergency response plans and participate in multi-jurisdictional emergency planning exercises.

This plan is intended to stand alone or to complement other plans and provisions of the Texas Emergency Management Council and of local government. Provisions of this plan that are not specific to the activities of the University have been included for purposes of clarity, and their presence here is not intended to supersede or abrogate the provisions of the Texas Emergency Disaster Act of 1975.

D. MISSION

The University will respond to an emergency situation in a safe, effective, and timely manner. University personnel and equipment will be utilized to accomplish the following priorities:

<table>
<thead>
<tr>
<th>Priority</th>
<th>Description</th>
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<tbody>
<tr>
<td>I</td>
<td>Protection of human life</td>
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<tr>
<td>II</td>
<td>Support of health and safety services</td>
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<td>III</td>
<td>Protection of University assets</td>
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<td>IV</td>
<td>Maintenance of University services</td>
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<tr>
<td>V</td>
<td>Assessment of damages</td>
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<tr>
<td>VI</td>
<td>Restoration of general campus operations</td>
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E. SITUATIONS AND ASSUMPTIONS

1. Situations:
   The University is an autonomous community of approximately 13,000 people surrounded by a city of approximately 30,000. The University is responsible for
providing law enforcement and internal distribution of utility services to the University community on a day-to-day basis.

2. **Assumptions:**

   This Emergency Management Plan is predicated on a realistic approach to the problems likely to be encountered during a major emergency or disaster. Hence, the following assumptions are made and should be used as general guidelines in such an event:

   - An emergency or a disaster may occur at any time of the day or night, weekend, or holiday, with little or no warning.
   - The succession of events in an emergency or disaster is not predictable; therefore, published operational plans, such as this plan, should serve only as a guide and a checklist, and may require modifications in order to meet the requirements of the emergency.
   - An emergency or a disaster may be declared if information indicates that such conditions are developing or probable.
   - Disasters may be communitywide. Therefore, it is necessary for the University to plan for and carry out disaster response and short-term recovery operations in conjunction with local resources. The University may, however, be dependent upon its own personnel and resources in the interval prior to the arrival of help from the usual sources.
   - The University is more knowledgeable about its facilities than are other agencies.
   - In the event that the University is not affected by the primary disaster, its personnel, and resources may be available to supplement and support local services.

F. **DIRECTION AND CONTROL**

1. **The organization of the Emergency Operation Center (EOC) will vary from the routine structure as follows:**

   - The location of the primary EOC will be the University Police Department designated by the EOC Director upon activation of this plan, after consideration of the nature of the emergency.
   - The secondary EOC may be designated by the EOC Director, if necessary, upon activation of this plan and after consideration of the nature of the emergency. The EOC Director will be in the University Police Department.
   - The EOC Director will be designated by the President of the University, and he/she, or his/her designee, must be present in the EOC as long as the plan is activated. The EOC Director will serve as the official source of information to the University response personnel and will represent the University in the coordination of activities with other agencies. To aid the EOC Director, representatives of those who are assigned responsibilities in G. (see Emergency Response Team Members and Responsibilities) will be present in the EOC, as needed, to record and document incoming information and to
dispatch information to the appropriate personnel. The Emergency Response Team will coordinate requests for service and assignment of resources.

2. **Warning and Notification**
   
   This plan will be implemented by the President of the University when information is received from a credible source concerning a potential or actual disaster that requires a positive response by the University. In the absence of the President, the provisions of the President's Line of Succession in Section H of this policy will determine the line of authority applicable to the implementation of this plan.

   Information received shall be verified and evaluated to determine the response required and the division having responsibility for such action. The individual who evaluates the information must have a thorough understanding of the capabilities and responsibilities of each department of the University. An up-to-date Call List of persons to be notified during duty hours, after duty hours, weekends, and holidays shall be available to the UPD dispatcher. The prioritized list of individuals to be called will consist of a name and at least two alternate names along with office, home and mobile phone numbers. Changes in the list shall be submitted to the University Chief of Police. The notification procedure is as follows:
   
   - UPD will maintain the Call List and make the initial notification.
   - UPD will initially dispatch personnel as necessary until the EOC is established; then control will shift to the EOC Director who is responsible for emergency management.
   - Major problems will be reported to the EOC.

   All division/department heads and supervisors are directed to report status of emergency situations directly to the President and/or his or her designee. They will not discuss this status with outsiders, including media, on behalf of the University.
   
   - The President will be kept apprised of the status of all emergencies, including what the emergency is, how it began (what caused it), who is involved, if there are injuries, the names of those injured and the extent of injuries, what is happening now, and what help has been summoned. Additionally, what is being done to resolve the emergency?
   - At the earliest opportunity, the President will meet with the University Chief of Police and/or Assistant Chief of Police, and other members of the Emergency Management Team to evaluate action taken and decide on the most appropriate course of future action.
   - All contacts from the media will be referred directly to Public Affairs.

3. **Public Information**
   
   All public information shall be provided by or coordinated with the Director of Public Affairs. The designation of a single University spokesperson provides a
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single point of contact for persons seeking information and provides a single point through which information is released. See Section VI. Public Affairs Crisis Communication Procedures.

G. EMERGENCY RESPONSE TEAM MEMBERS AND RESPONSIBILITIES

1. University President
   President or his/her designee is the EOC Director and shall be responsible for delegating duties to the other staff members as the emergency situation dictates.

2. Vice President for University Affairs
   Responsible for oversight of EOC activities and shall be the President's designee for command responsibilities and delegating duties to the other staff members as the emergency situation dictates. Keeps the President informed of emergency situation as appropriate.

23. University Chief of Police
   Responsible for furnishing and directing manpower necessary to maintain security in affected areas. He/she will maintain traffic control, preserve law and order, direct search and rescue operations, and provide communication between the scene of the emergency and the EOC.

34. Director of the Physical Plant
   Responsible for coordinating requests for supplies and personnel and for making deliveries to the emergency area. He/she will discontinue and restore utility services as conditions dictate, clear debris, and restore buildings to functional use, when it is determined buildings are safe.

45. Director of Environmental Health, Safety and Risk Management
   Responsible for providing EOC Director specific information about facilities and existing conditions related to emergency. He/she will work with the Nacogdoches Fire Department and UPD when evacuation is warranted. He/she will assure facilities and buildings are safe before they are restored to service or occupied.

56. Director of Public Affairs
   Responsible for timely and accurate dissemination of information to employees, students, public, campus and external news media, and other stakeholders. Information may be disseminated by a variety of methods, including University Web site, e-mail, phone and news briefings. He or she may arrange for photographers to document the disaster.

67. Director of the University Health Clinic
   Responsible for determining medical needs, arranging for emergency medical supplies, and establishment of first aid stations in or near affected area, but clear of immediate danger.

78. Executive Director of Auxiliary Services-Student Affairs
Responsible for student services and providing meals for students and other University personnel as conditions dictate and coordinating use of his/her facilities as directed by President or his/her designee.

89. Hazardous Materials Officer
Responsible for providing EOC Director with information about locations of hazardous and toxic materials on campus and for serving as consultant to EOC Director. The Radiation Safety Officer will monitor radiation sources and report to the Hazardous Materials Officer.

910. Director of Housing
Responsible for relocation and housing of students.

H. PRESIDENT'S LINE OF SUCCESSION

To ensure continuity of University activities during threatened or actual emergencies, the President's Line of Succession for EOC command is established as follows:

- Vice President for University Affairs
- Provost/Vice President for Academic Affairs
- Vice President for Business, Finance and Administration Affairs
- Vice President for University Affairs
- Vice President for University Advancement
- Associate Provost/Vice President for Academic Affairs

A list of the President's Line of Succession for other positions on the Emergency Response Team will be provided by the appropriate directors and be appended to the emergency Call List.

I. SUPPORT

Request for assistance, including activation of the Texas National Guard or other military assistance, will be made by calling the state Disaster District Headquarters located at the Department of Public Safety Disaster District Headquarters, Region Sub 2B Office in Lufkin, telephone (936) 634-5553. In the event that the state Disaster District Headquarters cannot be reached, the request for assistance can be made to the local Department of Public Safety Supervisor, telephone (936) 560-6528.

J. OUTDOOR WARNING SIREN

1. Locations
   - Sunset Cemetery on North Street
   - Fire Station 1 on North Street
   - Baseball Park on Old Tyler Road
   - Durst Street at Reedy Street
   - Fire Station 3 on Old Lufkin Road
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- Temple Park on Martin Luther King
- Center Highway at East Oak Lane
- SFA Maintenance Facility
- Fire Station 4 at Nacogdoches High School
- Power Street Pump Station

2. Sirens tested first Wednesday of the month at noon.

3. Sirens sounded if the city is to be impacted by:
   - A severe thunderstorm warning is placed by National Weather Service
   - A tornado warning is issued by National Weather System and the city is in its path
   - A flooding situation and members of the Emergency Response Team believe a warning should be issued.
   - A hazardous materials event has placed a section of the community in danger.

K. EMERGENCY ACTION

Various types of disasters, related terms, and an outline of general actions are defined for each threat. Each stage of a potential disaster is assigned a condition status number as follows:

1. **Condition 4** refers to normal operating conditions when daily work routine is not interrupted by disaster or impending emergency situations. No action is necessary.

2. **Condition 3** refers to a severe weather watch established by the U.S. Weather Service. Such a WATCH may be issued for any of the following conditions:
   - **Tornado watch**: Conditions are favorable for tornado formation. The action is to maintain daily routine, notify the appropriate department heads of conditions, and be ready to respond to a warning.
   - **Severe thunderstorm watch**: Atmospheric conditions exist such that severe thunderstorms may develop. The action is to maintain daily routine, notify the appropriate department heads of conditions, and be ready to respond to a warning.
   - **Flood watch**: Conditions are favorable for rising waters. The action is to maintain daily routine, notify the appropriate department heads of conditions, and notify Physical Plant.

3. **Condition 2** refers to severe weather warnings as issued by the U.S. Weather Service and relayed by local radio and TV stations. Such WARNINGS may be issued for any of the following conditions:
   - **Tornado warning**: A tornado has been sighted or seen on radar. The action is to notify the Emergency Response Team and place team members on alert status. Maintain the daily routine and notify the appropriate departments to take such action as is required.
• **Severe thunderstorm warnings**: Severe thunderstorms have been sighted visually or on radar. The action is to maintain the daily routine and notify the appropriate departments to take such action as is required.

• **Flood Warning**: Conditions are such that waters may exceed a safe control level. The action is to maintain the daily routine and notify the appropriate departments to barricade areas of possible flooding.

4. **Condition 1** indicates any of the following conditions:
   - A tornado strike
   - Flash flooding
   - A major accident or a disaster, man made or natural, occurs without warning
   - A major fire
   - An explosion
   - An electrical blackout

The EOC is activated and all department heads are notified. The Emergency Response Team will report to the center. All other department heads will follow their standard operating procedures. It is imperative that all actions taken or anticipated by any department be coordinated with the EOC.

6. **THE POST-DISASTER ACTIONS WILL CONSIST OF THE FOLLOWING:**

1. Check and/or re-establish communications.
2. Maintain law and order.
3. Perform fire protection and rescue operations.
4. Set up triage stations if necessary and assure acceptable health conditions.
5. Assess extent of damage.
6. Perform emergency clean-up and debris removal.
7. Request outside assistance as required.
8. Establish controls on critical resources and direct their distribution when necessary.
9. Designate restricted areas as necessary.
10. Furnish regular status reports to the state Department of Public Safety Disaster District Headquarters, Region Sub 2B in Lufkin, telephone (936) 634-5553, as appropriate.
11. Keep employees, students, public, campus and external news media, and other stakeholders informed of conditions. Utilize photographers to document extent of disaster.
12. Ensure orderly operations of shelters, provide welfare necessities to the extent possible, and direct all shelter operations.
13. Conduct radiological monitoring and notify "Chemtrec" (1-800-424-9300) if a hazardous material disaster occurs.
14. Examine the disaster area for life safety hazards and assure precautions are taken to protect personnel until normal operations are established.
Source Of Authority: Texas Government Code sec. 418.001 et seq.; Texas Education Code sec. 51.201 et seq.; The Texas Emergency Management Plan, Annex L - Texas Department of Health; President


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

Forms: None
The purpose of this procedure is to insure due process of law to any faculty/staff member charged with a violation of the University's parking regulations.

Any faculty/staff member at Stephen F. Austin State University may appeal a parking citation by submitting an application for appeal to the Faculty/Staff Traffic Appeals Board within seven (7) working days of the issuance of the citation. With the exception of "Flagrant Violations" as described in the Parking and Traffic Regulations (Policy D-24), these appeals may be made by contacting UPD directly. The cited faculty/staff member should phone, mail, or email his/her explanation for receiving the citation. In the event that this initial appeal is denied or that the violation is more serious in nature, a more formal appeal process is set forth below. This process will involve submitting a formal application for appeal, which is obtained at the University Police Department, to the Faculty/Staff Traffic Appeals Board. Applications for appeal are obtained at the University Police Department. On the application the faculty/staff member will select which of the listed hearing dates are compatible with his/her schedule.

Composition and Jurisdiction of Faculty/Staff Traffic Appeals Board

Composition

1. The Faculty/Staff Traffic Appeals Board shall be composed of seven (7) faculty/staff members appointed by the President, in consultation with the Vice President for Academic Affairs, the Vice President for Business Affairs, the Vice President for University Affairs, and the Faculty Senate. The Student Traffic Appeals Board and the Faculty/Staff Traffic Appeals Board shall select one of its members to serve as an ex officio member on the other board with all privileges of membership except the right to vote and to hold office. The Faculty/Staff Traffic Appeals Board shall elect its Chairperson.

2. The members of the Faculty/Staff Traffic Appeals Board shall serve three-year staggered terms.

3. Any member of the Board who receives three (3) or more traffic (including parking) citations within any regular semester shall be disqualified as a member and replaced for the unexpired term. Vacancies will be filled with the appointment of a new member by the President.
Jurisdiction

The Faculty/Staff Traffic Appeals Board shall have original jurisdiction over all parking citations issued by the University Police Department.

Summoning Procedure

Notice

Within ten (10) days of the appeal application date, the Chairperson of the Faculty/Staff Traffic Appeals Board shall inform the applicant in writing of the time and place of his/her hearing. The hearing will be within thirty (30) days of the appeal application date.

Failure to Appear

The failure of the appellant to appear at the time appointed for his/her hearing shall forfeit his/her right to a hearing and shall constitute a waiver of the rights granted by these procedures, unless the Faculty/Staff Traffic Appeals Board excuses the absence for good cause shown.

Conduct of Hearing

Sessions

The Faculty/Staff Traffic Appeals Board shall determine in September of each year the schedule of hearing dates for the fall and spring semesters and publish these dates on the appeals application form. The Chairperson may cancel a hearing if, in his/her judgment, it is not required due to the lack of appeals brought to the Board. Hearings will be scheduled by the Chairperson as required during the summer.

The hearings shall be heard during regular business hours of the University. Where possible, they shall be scheduled by the Chairperson at a time convenient to both the parties and the panel members. The University and its police department shall be parties in all appeals brought before the Board.
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Appellant's Rights

The appeals application form and the hearing notice from the Faculty/Staff Traffic Appeals Board shall, among other things, inform the faculty/staff member of his/her rights:

1. to be accompanied by one (1) representative;
2. to know the identity of the police officer who issued the citation;
3. to summon his/her own witnesses, produce evidence, and to speak in his/her own defense;
4. to cross-examine witnesses testifying against him/her;
5. to inspect and copy the record of the hearing at his/her cost.

Rules of Procedure

1. The Board may hear appeals for parking citations for which an application to appeal has been filed in accordance with these rules.
2. Each citation shall be appealed separately.
3. Each appeal shall be heard and decided on its own merit.
4. The Board may examine, cross-examine, call, recall, and dismiss any witness.
5. The Board may limit the number of witnesses whose testimony will be repetitious and establish time limits for testimony so long as all viewpoints are given a reasonable opportunity to be expressed.
6. The Board shall maintain an adequate record of each hearing. Summary notes shall be deemed an adequate record for this purpose.
7. The Chief of the University Police Department, or his/her delegate, may represent the University in any hearing.
8. The Board may enter into closed session for deliberation at the conclusion of the presentation of evidence.
9. The Board's judgment must be rendered within three (3) working days of the hearing.
10. A member of the Board must excuse himself/herself from any appeal in which he/she is involved, or in which a member of his/her family is involved.

Findings and Sanctions

Findings

The Board shall decide only whether or not the defendant is guilty of the parking offense as charged in the citation.

Sanctions

The service charges for each offense are established by the Board of Regents and may not be reduced or eliminated by the Faculty/Staff Traffic Appeals Board if the individual is found guilty of the parking offense.

Source of Authority: President

Cross Reference: None

Contact For Revision: President

Forms: None
Illicit Drugs and Alcohol Abuse

Original Implementation: September 1, 1986
Last Revision: January 19, 2006

It is the declared policy of the United States Government to create a Drug-Free America by 1995. As a part of that policy, the Drug-Free Workplace Act of 1988, P.L. 100-690, Subtitle D was adopted. On December 12, 1989, President Bush signed the Drug-Free Schools and Communities Act Amendment of 1989, P.L. 101-226, which amends provisions of the Drug-Free Schools and Communities Act of 1986 and the Higher Education Act of 1965. University policies relating to the use of illegal drugs and alcoholic beverages have been established by the Board of Regents of Stephen F. Austin State University in compliance with state and federal law.

Standards of Conduct

It is the University's policy that all members of the University community and guests are required to comply with federal, state, and local laws regarding the possession, consumption, and distribution of alcoholic beverages.

University policy prohibits all employees (full-time and part-time faculty, staff, and students) from engaging in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcoholic beverage in the workplace, or reporting to work under the influence of alcoholic beverages or illegal drugs. None of the funds appropriated to the University by the State Legislature for travel expenses may be expended for alcoholic beverages.

University policy further stipulates that the unauthorized use of intoxicating beverages on University controlled property or at University sponsored activities, including, but not limited to, intercollegiate and intramural athletic events is prohibited. Alcoholic beverages are not permitted in University residence halls. With regard to student apartments, alcohol is permitted in apartments only for individuals 21 years of age or older.

Alcoholic beverages will be permitted for authorized University sponsored or co-sponsored events on University controlled property only as follows:

Lumberjack Alley tailgate events (must cease 30 minutes prior to the game);

Homer Bryce Stadium Pressbox (only if catered or sold through a licensed vendor);

University Center receptions or meals (only if catered or sold through a licensed vendor and approved in advance by the President);
Opera House Downtown Art Gallery (only beer and wine may be served for events approved in advance by the Dean of Fine Arts);

President's House (both interior and exterior).

In all cases, possession or use of alcohol must be in full compliance with applicable state laws including the Texas Alcoholic Beverage Code. Nothing herein shall be taken as an assumption of risk or responsibility on the part of the Board of Regents, the University or its employees for any injuries or damages, whatever kind, resulting from any person's possession or use of alcohol, whether such use is legal or illegal. The only University funds which may be used to purchase alcohol are approved discretionary accounts. Under no circumstances will appropriated funds, funds under the control of the Athletics Department, or funds generated by research grants and contracts be used to purchase alcohol. Texas Government Code, § 2113.012 prohibits use of appropriated funds to compensate an officer or employee who uses alcoholic beverages on active duty, therefore, alcoholic beverages may not be served at official functions between 8 a.m. and 5 p.m., Monday through Friday.

It is the policy of Stephen F. Austin State University that any unlawful manufacture, possession or delivery of any controlled substance or illegal drug is strictly prohibited. Moreover, it is the policy of the State of Texas and of this University that this institution will be as free of illegal drugs as it can possibly be.

Health Risks

Alcohol Abuse.

Alcohol is a primary and continuous depressant of the central nervous system. Impairment of judgment and of recently learned, complex and finely tuned skills begins to occur at blood alcohol concentrations as low as 0.025 percent. These impairments are followed by the loss of more primitive skills and functions, such as gross motor control and orientation at concentrations in excess of 0.05 percent. Alcohol in moderate doses impairs nearly every aspect of information processing, including the ability to abstract and conceptualize, the ability to use large numbers of situational cues presented simultaneously, and the cognitive ability to determine meaning from incoming information. Alcohol consumption can therefore promote action on impulse without full appreciation of, or concern about, the potential negative consequences of such action. Chronic long-term effects of heavy drinking over a period of years can result in brain damage, cancer of the mouth, esophagus or stomach, heart disease, liver damage resulting in cirrhosis, alcoholic hepatitis, and cancer of the liver, peptic ulcer disease and possible damage of the adrenal and pituitary glands. Prolonged, excessive drinking can shorten life-span by 10-12 years.
Illicit Drugs.

Illicit drugs include narcotics, such as heroin or morphine; depressants, such as barbiturates, Quaaludes, or valium; stimulants, such as cocaine or "crack"; hallucinogens, such as PCP, LSD or mescaline; cannabis, such as marijuana or hashish; inhalants, such as nitrous oxide, amyl nitrite (poppers) or various hydrocarbon solvents; and designer drugs, such as China White, methamphetamine (Ecstasy) or meperidine (Demerol).

Narcotics. Narcotics initially produce a feeling of euphoria that is often followed by drowsiness, nausea and vomiting. Tolerance may develop rapidly and dependence is likely. The use of contaminated syringes may result in diseases such as AIDS, endocarditis (inflammation of the lining of the heart) and hepatitis.

Depressants. The effects of depressants are in many ways similar to the effects of alcohol. Small amounts can produce calmness and relaxed muscles, but a somewhat larger dose can cause slurred speech, ataxia or unstable gait and altered perception. Very large doses can cause respiratory depression, coma and death. The combination of depressants and alcohol can multiply the effects of the drugs, thereby multiplying the risks. The use of depressants can cause both physical and psychological dependence.

Stimulants. Cocaine stimulates the central nervous system. Its immediate effects include dilated pupils; elevated blood pressure, heart and respiratory rate; and body temperature. Occasional use can cause a stuffy or runny nose, while chronic use can ulcerate the mucous membrane of the nose with long-term use eroding the nasal septum. The injection of cocaine with unsterile equipment can cause AIDS, hepatitis and other diseases. Preparation of freebase, which involves the use of volatile solvents, can result in death or injury from fire or explosion. Cocaine can produce psychological and physical dependency. In addition, tolerance develops rapidly. Crack or freebase rock is extremely addictive. The physical effects include dilated pupils, increased pulse rate, elevated blood pressure, insomnia, loss of appetite, tactile hallucinations, paranoia and seizures. Overdoses occur easily.

Hallucinogens. Phencyclidine (PCP) users frequently report a sense of distance and estrangement. Time and body movement are slowed down. Muscular coordination worsens and senses are dulled. Speech is blocked and incoherent. Chronic PCP users report persistent memory problems and speech difficulties. Mood disorders, such as depression, anxiety and violent behavior, may also occur. In late stages of chronic use, users often exhibit paranoid and violent behavior and experience hallucinations. Large doses may produce convulsions and coma, heart failure, lung problems and/or ruptured blood vessels in the brain. Lysergic acid (LSD), mescaline and psilocybin cause illusions and hallucinations. The physical effects may include dilated pupils, elevated body temperature, increased heart rate and blood pressure, loss of appetite, sleeplessness and tremors. Sensations and feelings may change rapidly. It is common to have a bad psychological reaction to LSD, mescaline and psilocybin. The user may experience panic, confusion, suspicion, anxiety and loss of control. Delayed effects or flashbacks can occur even after use has ceased.
Inhalants. The chemicals in most inhalants are rapidly absorbed in the lungs and exert their central nervous system effects within seconds, producing an altered mental state for about five to fifteen minutes. Immediate effects of inhalants include nausea, sneezing, coughing, nose bleeds, fatigue, lack of coordination and loss of appetite. Solvents and aerosol sprays can decrease the heart and respiratory rates and impair judgment. Amyl and butyl nitrite can cause rapid pulse, headaches and involuntary passing of urine and feces. Inhalation of toluene as well as other hydrocarbons has been associated with kidney and liver damage, peripheral nerve problems, convulsions, encephalopathy (organic brain damage) and other central nervous system disorders. Sudden death associated with both glue sniffing and especially the inhalation of aerosols containing halogenated hydrocarbons (Freon) has been reported and is thought to be secondary to cardiac arrhythmias (abnormal electrical conduction patterns in the heart).

Marijuana. The short term effects of marijuana include distortion of time perception, increased heart rate, dilation of blood vessels and loss of short-term memory. Also decreased are visual perception and psychomotor skills, which have adverse effects on driving ability. The effects of long-term use include loss of motivation, chronic bronchitis, decreased vital lung capacity and an increased risk of lung cancer. Tolerance and psychological dependence do develop with marijuana.

Designer Drugs. Designer drugs are synthetic chemical modifications of older drugs of abuse that are designed and manufactured in covert laboratories and sold at great profit for recreational use. These drugs can be several hundred to several thousand times stronger than the drugs they are designed to imitate. Designer drugs similar to opiates include fentanyl, demerol, and "china white." The narcotic analogs of designer drugs can cause symptoms such as those seen in Parkinson's disease - uncontrollable tremors, drooling, impaired speech, paralysis, and irreversible brain damage. Analogs of amphetamines and methamphetamines cause nausea, blurred vision, chills or sweating and faintness. Psychological effects include anxiety, depression, and paranoia. Withdrawal problems include sweating, diarrhea, fever, insomnia, irritability, nausea and vomiting and muscle and joint pain.

University Penalties

Students.

Any student who is determined through the regular disciplinary procedures of the University, to have violated the policy on the use of illicit drugs will be suspended from the University for no more than two years and no less than the remainder of the current semester. At the discretion of the Vice President for University Affairs, a student suspended under this policy may, under certain conditions, remain enrolled at the University on disciplinary probation. These conditions can include substance abuse evaluation, treatment, and/or counseling. Any cost for services or treatment not offered as a student service on campus will be the responsibility of the student.
Appendix 4

University sanctions imposed for alcohol possession or consumption can include progressive levels of probation leading to suspension for multiple offenses, attendance at an alcohol education class offered by the University, community service, substance abuse evaluation, treatment, and/or counseling. Any cost for services or treatment not offered as a student service on campus will be the responsibility of the student.

Employees.

Observance of the policy regarding alcoholic beverages and illegal drugs is a condition of employment for all University employees. An employee violating this policy shall be subject to employment discipline up to and including termination, or shall be required to undergo satisfactory participation in a drug abuse assistance or rehabilitation program.

Any employee directly engaged in the performance of work pursuant to the provision of a federal grant or contract who is convicted of violating a criminal drug statute shall notify his/her immediate supervisor of the conviction no later than five days after the conviction. The immediate supervisor shall promptly report the conviction to the appropriate vice president and the Director of Research Services. On behalf of the University, the Director of Research Services shall notify the federal agency grantor or contractor of the conviction within ten days of the University's receipt of notice from the employee or of receipt of other actual notice.

State and Federal Penalties

**Federal Law**

<table>
<thead>
<tr>
<th>Offense</th>
<th>Minimum Punishment</th>
<th>Maximum Punishment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manufacture, distribution or dispensing drugs (includes marijuana)</td>
<td>A term of imprisonment not more than 20 years, and a minimum fine of $1,000,000</td>
<td>A term of life imprisonment without release (no eligibility for parole) and a fine not to exceed $4,000,000 (for an individual) or $20,000,000 (if other than an individual)</td>
</tr>
<tr>
<td>Possession of drugs (including marijuana)</td>
<td>Civil penalty in amount not to exceed $10,000</td>
<td>Imprisonment for not more than 20 years or not less than 5 years, a fine of not less than $5,000 plus costs of investigation and prosecution</td>
</tr>
<tr>
<td>Operation of a common carrier under the influence of alcohol or drugs</td>
<td></td>
<td>Imprisonment for up to 15 years and a fine not to exceed $250,000</td>
</tr>
</tbody>
</table>
# Texas Law

<table>
<thead>
<tr>
<th>Offense</th>
<th>Minimum Punishment</th>
<th>Maximum Punishment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manufacture or delivery of controlled substances (drugs)</td>
<td>Confinement in the Texas Department of Criminal Justice State Jail facility for a term of not more than 2 years or less than 180 days, or confinement in a community correctional facility for not more than 1 year, and a fine not to exceed $10,000</td>
<td>Confinement in TDCJ for life or for a term of not more than 99 years or less than 15 years, and a fine not to exceed $250,000</td>
</tr>
<tr>
<td>Possession of controlled substances (drugs)</td>
<td>Confinement in jail for a term of not more than 180 days, and a fine not to exceed $2,000</td>
<td>Confinement in TDCJ for life or for a term of not more than 99 years or less than 15 years, and a fine not to exceed $250,000</td>
</tr>
<tr>
<td>Delivery of marijuana</td>
<td>Confinement in jail for a term of not more than 180 days, and a fine not to exceed $2,000</td>
<td>Confinement in TDCJ for life or for a term of not more than 99 years or less than 15 years, and a fine not to exceed $50,000</td>
</tr>
<tr>
<td>Possession of marijuana</td>
<td>Confinement in jail for a term of not more than 180 days, and a fine not to exceed $2,000</td>
<td>Confinement in jail for a term of not more than 2 years or less than 30 days, or confinement in TDCJ for a term of not more than 10 years or less than 2 years and a fine of not more than $10,000</td>
</tr>
<tr>
<td>Driving while intoxicated (includes intoxication from alcohol, drugs, or both)</td>
<td>Confinement in jail for a term of not more than two years or less than 72 hours, and a fine of not more than $2,000, possible loss of driver’s license and license surcharge up to $2,000 per year for 3 years.</td>
<td>Confinement in jail for a term of not more than two years or less than 30 days, or confinement in TDCJ for a term of not more than ten years or less than two years and a fine of not more than $10,000</td>
</tr>
<tr>
<td>Public intoxication</td>
<td>A fine not to exceed $500</td>
<td></td>
</tr>
<tr>
<td>Purchase or consumption or possession of alcohol by a minor</td>
<td>Fine of not more than $500</td>
<td>For a subsequent offense a fine of not less than $250 nor more than $2000</td>
</tr>
<tr>
<td>Sale of alcohol or furnishing alcohol to a minor</td>
<td>Fine of up to $4,000 and/or up to 1 year in jail</td>
<td>Both</td>
</tr>
<tr>
<td>Driving under the influence of alcohol by a minor</td>
<td>Fine of not more than $500 and community service related to education about or prevention of misuse of alcohol.</td>
<td>A fine of not less than $500 or more than $2,000, confinement in jail not to exceed 180 days and/or both, community service related to education about or prevention of misuse of alcohol.</td>
</tr>
</tbody>
</table>
Counseling, Treatment and Rehabilitation

Students.

Stephen F. Austin State University, through the Counseling Services office, provides alcohol/drug abuse prevention service which is available to all students. Services include assistance in abstaining from the use of chemical substances, early intervention when chemical abuse is detected, and referral to a campus support system and/or a community referral for inpatient/outpatient services not available on campus. Medical counseling and printed information on chemical dependency are available through University Health Services, the campus student health facility. Students may seek individual counseling or request printed information at either campus location.

Prevention/Education. The objectives of this element of the assistance program are to: increase awareness of the students, faculty, and staff concerning the psychological and health risks associated with chemical use; provide information to students regarding a variety of wellness issues which promote successful college adjustment; and, orient students, faculty and staff to the services available through the assistance program. Presentations are available to student groups on a variety of topics including alcohol and substance abuse, adult children of alcoholics, assertiveness skills, stress and time management, self-esteem and related issues. A group representative should contact the Counseling Services office to schedule a presentation. The assistance program also offers an Alcohol Awareness Workshop. The workshop provides basic information, tools for self-assessment, information on University and state regulations, and an orientation to the assistance program. Students may request to attend the workshop or be referred by the Judicial Officer.

Referral/Assessment. Any SFA student requiring information about, or assistance with, a chemical abuse problem may be referred to the assistance program. A student may initiate a self-referral by contacting the Counseling office; University faculty and staff may initiate a student referral. Participation by a student is voluntary, except when mandated by the Judicial Officer. A counselor conducts an assessment interview on the student's initial visit and provides the student with details regarding confidentiality and record keeping requirements. The counselor informs the student of alternatives and makes recommendations based on the student's needs.

Campus Support System. Counseling Services serves as a link between the individual student and support groups which are available for chemical dependency, adult children of alcoholics and victims of sexual abuse. Support groups function under guidelines established by Counseling Services.

Community Referral. Services for chemical dependency are available in the Nacogdoches community and include: private practitioners offering individual counseling or intellectual/psychological assessment; self-help groups such as Alcoholics Anonymous and Narcotics Anonymous; and, inpatient/outpatient treatment.
Appendix 4

Employees.

University employees with supervisory responsibilities should be cognizant of employee behavior related to unacceptable job performance which may result from drug or alcohol abuse. Any decision to initiate employee counseling or a referral to Personnel Services should be based on the employee's unacceptable job performance. Employee counseling, referral and related record keeping should be conducted with the degree of care and confidentiality appropriate to such personnel matters. Alcohol and drug abuse seminars are among the services provided cost-free to University employees. Other services for employees with a chemical dependency are available in the community, including private practitioners offering individual counseling, self-help groups such as Alcoholics Anonymous and Narcotics Anonymous, and inpatient/outpatient treatment at various health care facilities.

It is the intent of Stephen F. Austin State University to continue to strive for a drug-free campus and to comply with state and federal regulations regarding prevention programs established to eliminate the illegal use of drugs and alcohol abuse. To this end, Stephen F. Austin State University will provide annually to each student and employee a copy of this drug and alcohol abuse prevention program. In addition, the University will conduct a biennial review of this program implemented to provide a learning and working environment free of drug and alcohol use. The purposes of the biennial review will be to: 1) determine the effectiveness of the program and implement needed changes; and 2) ensure that the sanctions included in the program are consistently enforced. The University's General Counsel will be responsible for initiating the biennial review.


Cross Reference: None

Contact for Revision: General Counsel

Forms: None
Appendix 4

Inclement Weather and Other Emergencies

Original Implementation: June 1, 1990

Last Revision: February 4, 2004 January 19, 2006

In the event that inclement weather or other conditions impede the normal operations of the University, the President may declare an emergency, cancel classes, and close University offices for an appropriate period. The President's decision may be provided to the news media by the Director of Public Affairs. In the absence of a specific announcement curtailing activities, the faculty, staff, and students should assume normal operation of the University.

If the President decides to declare an emergency, cancel classes, and close University offices, certain critical areas shall be required to continue operations. These are:

1. University Police - Employees designated by the Chief of University Police.

2. Physical Plant - Employees designated by the Director of the Physical Plant Department.

3. Housing - Employees designated by the Director of Housing.

4. University Center - Employees designated by the Director of Auxiliary Services.

5. Any other area deemed critical by an appropriate vice president.

Employees who are required to report to work during the period the University is closed may receive compensatory time. Employees who voluntarily report to work during the period the University is closed shall not receive compensatory time. Employees who are on vacation or sick leave during the period the University is closed will not be charged for leave.

The provisions of this policy apply to all employees, regardless of the nature of their employment or the time of their work shift.

Source Of Authority: President

Cross Reference: None

Contact For Revision: Vice President for Business Affairs Finance and Administration.

Forms: None
The University shall adhere to state regulations for the management of its records. All university records, regardless of medium, created by or received by an office or employee in connection with the normal course of business are considered state records. Extra copies maintained only for reference are not subject to this Records Management Policy. Certain inactive records are retained to meet legal and fiscal requirements or future administrative needs, or because of historical significance. Department heads are responsible for the management of their department's records, including the records of all staff and faculty within their departments. In managing their records, they should adhere to the following guidelines.

1. Records of the official activities of University officers and offices are the property of the University.

2. Official records should not be destroyed without the approval of the officer in charge of the department where the records accumulate. They should be destroyed in accordance with the approved SFASU Records Retention Schedule. Records that are not listed on the Records Retention Schedule may not be destroyed without the approval of the Records Management Division of the State of Texas Library and Archives Commission. In addition, the approval of the State Auditor is required in the case of the destruction of a state records of a fiscal or financial nature.

3. When records cease to have current value for an office and when they are listed on the Records Retention Schedule as having archival value, the officer in charge shall arrange for their systematic transfer to the East Texas Research Center of the Library. For records determined to have archival value, but not listed as such on the schedule, contact the Director of the East Texas Research Center.

4. Administrative officers shall consult with the General Counsel on any question of compliance with the Public Information Act.

5. Each administrative office shall designate an individual to consult with the East Texas Research Center's Records Management Assistant with questions regarding implementation of the records management program in his/her office. The name and telephone number of this person should be given to the ETRC Records Management Assistant.
Appendix 4

a. Each department is responsible for evaluating files at least once a year to ensure that records are being retained in accordance with the approved SFASU Records Retention Schedule.

b. Records determined to be obsolete by the department should be disposed of according to the SFASU Records Retention Schedule.

c. Before final disposition of records listed on the Records Retention Schedule, a Records Disposition Log must be prepared. Enter the records series title, retention period, inclusive dates of the records, and appropriate disposition method on the log. The person authorizing disposition of the records series, usually the department head, must sign the log.

d. If a department has records not listed on the schedule, special permission from the state must be obtained to dispose of them. Records exempted from the need to be listed on the Records Retention Schedule by rules adopted by the State Library need not receive approval for destruction. The Records Retention Assistant should be contacted for specific instructions.

e. Before final disposition of records, a Records Disposition Log must be prepared. Enter the records series title, retention period, inclusive dates of the records, and appropriate disposition method on the log. The person authorizing disposition of the records series, usually the department head, must sign the log.

f. After the log authorizing disposition is signed by the department head, the records must be disposed of in the appropriate manner. If a records series has archival requirements as indicated by the schedule, contact the Records Retention Assistant for specific instructions. If records are to be destroyed, destruction is to be accomplished by shredding if the records are confidential; by recycling or trash if the records are open; and by erasure if the records are electronic. Enter the volume and actual date of records disposition on the log.

g. The records disposition log is maintained in the department responsible for disposing of the records until the end of the fiscal year and is then forwarded to the Records Retention Assistant at Steen Library, Box 13055.

Records Retention Schedule

1. The approved SFASU Records Retention Schedule establishes the official life span for records series maintained in University Offices. This schedule shall be reviewed and approved by the State Library and State Auditor as periodically required by the State Records Administrator.

2. The Records Retention Schedule is a listing of SFASU's records series; it identifies special considerations regarding a records series, such as legal, audit, or archival requirements, and the length of time a records series must be retained before final disposition. Statutory confidentiality requirements must be
Appendix 4

maintained regardless of the special identifications noted on the Records Retention Schedule.

3. The University's Records Retention Schedule, detailing the length of time records series must be retained (examples of records series include correspondence, time sheets, travel requests, expenditure vouchers, and numerous others) is available in the East Texas Research Center and in University departments upon request from the Records Retention Assistant in ETRC.

4. The Records Retention Assistant in the East Texas Research Center of the Ralph W. Steen Library is the central contact person for information about policy compliance in records retention and disposal procedures.

Source of Authority: Subchapter L of Chapter 441 of the Texas Government Code; SFASU Records Administrator

Cross Reference: None

Contact for Revision: SFASU Records Administrator; General Counsel

Forms: Records Inventory Worksheet (RMD 103); Records Disposition Log; Request to Dispose of Records not listed in Records Retention Schedule (RMD 102); and Records Retention Schedule (SLR 105C)
Computing Software Copyright

Original Implementation: July 27, 1999
Last Revision: January 15, 2002 January 19, 2006

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 connected to the University network.
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 designated assignee 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.
7. The University may audit software on University owned equipment at any time, with or without notice to the designated users. The University may request permission to audit software on non-University equipment that is connected to the University network as a condition of approval to use such equipment on the network.

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 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 Finance and Administration

Cross Reference: Computer and Network Security, D-8.1

Contact for Revision: Computing and Telecommunications Advisory Committee/Director of Information Technology Services

Forms: None
Discipline and Discharge

Original Implementation: December 6, 1983
Last Revision: April 20, 2004 January 19, 2006

This policy shall apply to all regular non-academic employees including both classified and non-classified staff. The non-renewal of non-academic employees with contracts, temporary employees, at-will employees, or dismissal during the probationary period shall not be covered by this policy. The probationary period of an employee shall be one hundred eighty (180) calendar days.

Supervisory efforts should be concentrated on preventing serious personnel problems rather than on disciplining employees for misconduct. However, supervisors shall have the right to discipline or summarily discharge an employee for cause. If disciplinary measures are to be imposed, it is essential that each problem be investigated so that the facts of the situation are known and that any action taken be primarily corrective rather than punitive. An employee being disciplined should be told what they have done wrong and should be clearly instructed on what is expected of them. Except in cases of discharge, the employee should be given a reasonable period of time to improve their performance or correct their actions or attitude. An employee may be discharged when reasonably corrective or rehabilitative methods have failed or when the serious nature of a violation or the accumulation of violations, warrants immediate separation.

Definitions of Minor Rule Violations

Rule violations of a minor nature may have little or no effect on the continuity, efficiency, and safety of University work, but will not be tolerated. The following are a few examples of minor rule violations, which may result in either oral or written warnings for entry into an employee's record. Continuation of an offense may result in stronger disciplinary action. This list is not all-inclusive.

1. Unauthorized, unexplained, or inexcusable absence or tardiness.

2. Failure to notify supervisor of absence at the earliest practical time.

3. Failure to observe assigned work schedules (starting time, quitting time, rest and meal periods).

4. Soliciting or collecting contributions for any purpose, or selling or offering for sale any goods or service, on University premises in violation of University policy.

5. Unsatisfactory work performance.

6. Loafing or other abuse of time during assigned working hours.
7. Interfering with any employee's work performance or duties by talking or by other distractions.

8. Circulating or distributing written or printed matter on University premises in violation of the University policy on petitions and handbills.

9. Leaving regularly assigned work location without notifying immediate supervisor.

10. Performing unauthorized personal work on University time.

11. Defacing bulletin boards or notices posted thereon.


13. Failure to punch time card or record card as instructed.

14. Discourteous treatment of the public or of other employees.

15. Improper political activity of a minor nature.

16. Minor violation of internal department work rules.

17. Engaging in excessive visiting, personal conversations, or use of the telephone for personal use.

18. Failure to follow any reasonable instructions issued by supervisor related to performing job tasks and/or job duties.

19. Abusive or unruly conduct of a minor nature.

Definitions of Major Rule Violations

Major offenses are any act or omissions in violation of University policies or rules to such a degree that further employment of the offending individual may not be desirable for the University. The following are examples of some offenses which subject an employee to a written warning, suspension, or discharge. This list is not all-inclusive.

1. Any act which might endanger the safety or lives of others.

2. Refusal to perform work properly assigned by a supervisor.

3. Violation of University safety rules.

4. Falsifying any University records.
5. Punching the time card for another employee or allowing yours to be punched by another employee.

6. Leaving University premises during working hours without permission from the supervisor.

7. Abusing, destroying, damaging, or defacing University property, tools, equipment, or the property of others on University premises.

8. Gambling on University premises.

9. Delaying or restricting work, or inciting others to delay or restrict work.

10. Fighting on University premises.

11. Carrying firearms or other dangerous weapons on University premises.

12. Failure to return to work on expiration of vacation or leave of absence, or when called back after a layoff.

13. Disclosure of confidential University information to unauthorized persons.

14. Theft, misappropriation, or unauthorized use of University funds or property, or other dishonest actions.

15. Continued unsatisfactory work performance.

16. Unauthorized, unexplained, or inexcusable leave for more than three days.

17. Excessive absences or tardiness.

18. Physical, mental or emotional inability to perform the job satisfactorily.

19. Major violation of internal department work rules.

20. Insubordination.

21. Abusive and unruly conduct.

22. Indecent or obscene conduct.

23. Conviction of a felony or of a misdemeanor involving moral turpitude by a trial court.

24. Flagrant or repeated minor rule violations.
25. Sexual harassment of any person by an employee during working hours or on University premises.


27. Bringing or consuming any liquor, marijuana, or narcotics on University premises (this rule applies to any habit-forming or disabling substance not prescribed by a physician).

28. Reporting for duty under the influence of liquor, marijuana, or narcotics (applies to any habit forming or disabling substance not prescribed by a physician).

29. Accepting any gifts or favors, which influence or tend to influence the performance of duties or the granting of service or favors to other University personnel, applicants, clients, or other persons.

30. Refusal to attend state and university mandated trainings within the appropriate timeframe including but not limited to EEO training and Performance Management Plan training.

**Corrective Disciplinary Actions**

For repeated but relatively minor incidents of substandard performance, misconduct, or rule violations, discipline should be progressive. The normal sequence or action is: (1) Oral Warning; (2) Written Reprimand; (3) Suspension; (4) Demotion; (5) Discharge. Depending on the severity of the case, the action may begin at any of these steps. Any action involving suspension, demotion, or discharge must have prior review from the Director of Human Resources. Any corrective disciplinary action should be recorded on the Employee Counseling Form (available in Human Resources). The corrective action should include a section which documents specific, job related, and measurable actions identified to increase job knowledge, improve skills, or correct performance difficulties. Timetables shall be established for follow-ups and improvement or non-improvement will be documented on all Employee Counseling Forms.

**Oral Warning.** Normally, initial disciplinary action should be in the form of an oral discussion and warning, especially for minor rule violations. If it appears that an employee has failed to perform their work or conduct themselves according to job requirements, the supervisor should first talk to the employee about the matter and informally inquire further into the situation. If facts indicate that the employee may have been at fault, the supervisor should discuss the matter with them. The supervisor may call on another person (preferably another supervisor) to be present as a witness. The employee should clearly be instructed of the gravity of the action and should be told that the warning is disciplinary in nature. Supervisors should maintain a complete and accurate written notation of the warning on an "Employee Disciplinary Report Counseling Record" form.
Appendix 4

Written Reprimand. Reprimand involves both a formal interview with the employee and an official memorandum emphasizing the negative effect of the employee's conduct or work performance on their record and opportunities for advancement. If the immediate supervisor does not have the authority to discharge the employee, then the interview should be conducted by the department official who does have discharge authority. A written reprimand should include: the names of everyone involved, dates, a description of the incident or unsatisfactory performance, witnesses (if any), and the action taken. Use the "Employee Disciplinary Report - Counseling Record" for this purpose. Reference should also include the dates and results of prior oral warning(s), or other written reprimand(s). It should also bear the employee's comments, if any, and the employee's signature. The employee should be informed that their signature indicates they have received a copy of the reprimand letter, but not necessarily that they agree with its contents. If the employee refuses to sign the reprimand, a witness, preferably another supervisor, should verify that the employee has read the reprimand and refused to sign an acknowledgement. A copy of the letter of reprimand should be sent to the Director of Human Resources to be filed in the employee's permanent file.

Suspension. Suspension may be a disciplinary action or the interruption (without pay) of the active employment of an employee pending an investigation and decision by the Director of Human Resources, and in unusual circumstances, the General Counsel. Suspension for a period of longer than three (3) days must be approved by the appropriate vice president. To suspend an employee from the payroll, the supervisor should:

a. present the employee with a completed "Employee Disciplinary Report - Counseling Record" indicating suspension, the period of suspension, and the reasons for the suspension;

b. forward a copy of the "Employee Disciplinary Report - Counseling Record" attached to a completed "Personnel Action Request" form through Human Resources to Payroll Services. The "Personnel Action Request" form should be completed, removing the employee from the payroll if the suspension is for any period of time that the employee is to be without pay.

The supervisory official will conduct a conference with the employee at the beginning of the shift on the day the employee is to return to work. A discussion should occur with the employee recapping the reason for suspension, what is expected of the employee and the next step to be taken if improvement does not occur.

Demotion: The supervisory official with the authority to discharge an employee also has the authority to demote an employee. An employee who cannot or will not carry out efficiently and effectively the duties of the job for which they are hired or promoted, may be demoted to a job more commensurate with their abilities, skills, and experience or job performance. The immediate supervisor recommending demotion will first review the demotion with the Director of Human Resources. The Director of Human Resources will ensure that the employee has received proper counseling and an adequate trial period for improvement of performance prior to the approval of any recommendation for demotion.
Demotion should be considered a last alternative in lieu of termination and may only be considered when a lower job assignment is available in the department in which the employee works.

Discharge: In cases other than serious offenses, discharge from employment should be used as a last resort. The supervisor who has authority to employ a person also has the authority to discharge a person. Prior to the action, the discharging supervisor must review the situation with his immediate superior, the Director of Human Resources, and, in unusual circumstances, the General Counsel. This review will assure that the case for dismissal has been objectively investigated and is both justified and properly documented. The appropriate vice president must approve each discharge. If the discharge is in order, an employee should be presented with a completed "Employee Disciplinary Report" indicating discharge, the reasons for the discharge, and the date of the discharge. Since discharge requires prior consultation and approval, it should not be done "on-the-spot". However, if the supervisor believes it is improper to leave the employee on duty until such approval can be obtained, the supervisor should immediately place the employee on suspension for a period not to exceed three (3) days. This action also allows time for any investigation which may be necessary.

Other Actions: In extremely serious cases involving unruly behavior, violence or imminent threat to personal safety or property, the supervisor and/or University Police Department may determine the need for immediate arrest or removal from University property of an employee. This action should be considered an immediate suspension and may warrant proceeding with the discharge process. Also, an interim suspension with pay may be used as a non-disciplinary action for situations that warrant investigation while the employee does not return to duty. The Director of Human Resources must approve an interim suspension with pay.

Alternative Disciplinary Actions

Other forms of disciplinary action may be appropriate in some cases. These may include making up lost time, docking, withholding salary increases, transfer to more suitable work, or compensating the University for damage. With the exception of making up lost time, these alternative disciplinary actions require the prior review of the Director of Human Resources.

Involuntary Terminations Other Than Discharge

It is not the intent of this policy to prohibit, or in any way restrict, the University and its administrative officials from the right to terminate any employee for any non-disciplinary reason if it is in the best interest of the University to do so. An employee so terminated shall not have recourse through this policy or the Grievance and Appeals Procedure. Examples of termination for non-disciplinary reasons include, but are not limited to, terminations due to lack of work or funds (reduction in force), the redesigning of jobs, the termination of grant funding which eliminates positions, and changes in the
organizational structure in compliance with University policies and rules, i.e., retirement, nepotism, etc. Employees who are terminated for non-disciplinary reasons may appeal through the supervisory chain up to the Vice President for the area involved only on grounds of constitutional violations or other legal rights which may have been abridged.

Source of Authority: U.S. Constitution, Amendments 5 and 14; Texas Constitution, Art. I, Sec. 19; President


Contact for Revision: General Counsel, Director of Human Resources

Forms: Employee Counseling Report (available in Human Resources); Personnel Action Request, (available in University Human Resources)
Employee Conduct

Original Implementation: September 1, 1987

Various standards of conduct have been established by the legislature that apply to employees of Stephen F. Austin State University. These include:

1. No state officer or state employee should accept or solicit any gift, favor, or service that might reasonably tend to influence in the discharge of official duties or when it is known or should be known the offering is made with the intent to influence official conduct.

2. No state officer or state employee should accept employment or engage in any business or professional activity which might reasonably be expected to require or induce a disclosure of confidential information acquired by reason of the official position.

3. No state officer or state employee should accept other employment or compensation that could reasonably be expected to impair independent judgment in the performance of official duties.

4. No state officer or state employee should make personal investments that could reasonably be expected to create a substantial conflict between the officer's or employee's private interest and the public interest.

5. No state officer or state employee should intentionally or knowingly solicit, accept, or agree to accept any benefit for having exercised official powers or performed official duties in favor of another.

Additionally, the University, its officers and employees must comply with the following restrictions regarding political activities:

a. A state agency may not use any money under its control, including appropriated money, to finance or otherwise support the candidacy of a person for an office in the legislative, executive, or judicial branch of state government or of the government of the United States. This prohibition extends to the direct or indirect employment of a person to perform an action described by this subsection.

b. A state officer or employee may not use a state-owned or state-leased motor vehicle for a purpose described by Subsection (a).

c. A state officer or employee may not use official authority or influence or permit the use of a program administered by the state agency of which the person is an officer or
employee to interfere with or affect the result of an election or nomination of a candidate or to achieve any other political purpose:

d) A state employee may not coerce, command, restrict, attempt to restrict, or prevent the payment, loan, or make a contribution of anything of value to a person or political organization for a political purpose.

e) For purposes of subsection (c), a state officer or employee does not interfere with or affect the results of an election or nomination if the individual's conduct is permitted by a law relating to the individual's office or employment and is not otherwise unlawful.

Source of Authority: Section 572.051, Texas Government Code; Section 556.004, Texas Government Code; President; Vice President for Business Affairs

Cross Reference: None

Contact for Revision: General Counsel

Forms: None
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Nepotism

Original Implementation: Unpublished
Last Revision: January 28, 2003/January 19, 2006

Relatives of a person within the second degree of affinity include the spouse of the person and the parents, children, brothers, sisters, grandchildren, nephews, nieces, uncles, aunts, and first cousins of the employee's spouse.

The relatives of a person within the third degree of consanguinity include the parents, children, brothers and sisters, grandparents, uncles and aunts, first cousins, nephews and nieces, grandchildren, great-grandchildren, great-grandfathers, great-uncles, great uncles' children, second cousins, first cousins' children, and grand nephews and nieces of the person.

A University officer or employee may not hire, appoint, or confirm the appointment of a candidate for a University position of employment, if the candidate is related to the University officer or employee within the second degree of affinity or within the third degree of consanguinity. However, an exception to this rule will be made in cases where the candidate for the position has been continuously employed in the position for a period of one year prior to the hiring or appointment of the related University officer or employee who has the power to hire, appoint or confirm the appointment of a candidate for the position of employment.

No person related to a member of the Board of Regents of the University within the second degree of affinity or the third degree of consanguinity may be employed for any position with the University. However, an exception to this rule will be made in cases where the candidate for the position has been continuously employed in the position for a period of one year prior to the appointment of the related Regent. When a person is allowed to continue in an office, position, clerkship, employment, or duty because of the operation of the exceptions contained in the two foregoing provisions, then the judge, legislator, officer, or member of the governing body who is related to such person in the prohibited degree shall not participate in the deliberation or voting upon the appointment, reappointment, employment, confirmation, reemployment, change in status, compensation, or dismissal of such person, if such action applies only to such person and is not taken with respect to a bona fide class or category of employees.

These rules concerning nepotism apply to officers, administrators, faculty and non-faculty employees, and students of the University, whether employed full or part-time.

Source of Authority: Government Code, Chapter 57; President; Vice President For Business Affairs Finance and Administration.
Appendix 4

Cross Reference: Non-Academic Employee Handbook

Contact for Revision: General Counsel

Forms: None
Security Sensitive Positions

Original Implementation: May 1, 1989
Date of Last Revision: October 23, 2003 January 19, 2006

Security sensitive positions are those in which employees handle currency, have access to financial records, legal records, medical records, personnel records and student academic records, have access to a master key, or work in an area of the University which has been designated as a security sensitive area. Positions designated as security sensitive will be identified as such in individual job descriptions, in any advertising for job applicants, and in all personnel transaction forms and correspondence with Human Resources concerning recruitment.

Department heads and/or account managers having the authority to employ, who desire to establish, change, or delete a position as security sensitive must submit, through administrative channels, a recommendation to the appropriate vice president. If approved, the vice president will forward the recommendation to the Director of Human Resources who will identify the position as security sensitive in the personnel records of the University. All advertisements and notices released for security sensitive positions shall include the statement: "Security Sensitive Position."

At employment, Human Resources requests a Criminal Record Check which is forwarded to the Chief of University Police. The candidate may be offered continued employment by the University contingent upon the evaluation of the criminal history record check. If the check reveals a criminal record, the Chief of University Police informs the Director of Human Resources. The Director of Human Resources will evaluate the record in light of the University's policy on employment of persons with criminal history and make a recommendation to the department head that the employee will be "recommended" or "not recommended" for continued employment. A recommendation to continue employment will be made when there is no criminal record, or when there is a record but it is not considered a bar to employment of the candidate by the University for that position. The appropriate Vice President or President will make the final decision on continued employment of the candidate.

After the expiration of the employee's probationary term of employment, all criminal history information relating to the employee shall be destroyed by the Chief of University Police.

Source of Authority: Texas Education Code, Section 51.215; President; Vice President for Business Affairs Finance and Administration

Cross Reference: None
Contact for Revision: General Counsel
Forms: None
Sick Leave

Original Implementation: Unpublished
Last Revision: January 28, 2003 January 19, 2006

Employees of the University, whose positions do not require as a condition of employment that they be enrolled and regularly attending classes, shall, without deduction in salary, be entitled to sick leave subject to the following conditions.

Sick leave entitlement shall be earned, beginning on the first day of employment, at the rate of eight (8) hours for each month or fraction of a month of employment, and shall accumulate with the unused amount of such leave carried forward each month. An employee who is on leave the first day of the month may not use the sick leave that the employee accrues for that month until after a return to duty. Such leave accrual shall terminate on the last day of duty. An employee's accrued sick leave balance will be transferred when an employee moves from employment in one state agency to another, provided the employment is uninterrupted. Part-time employees, working at least 20 hours per week, accrue sick leave proportionately to their FTE.

*Employees of the University who separate from employment under a formal reduction in force are entitled to have their sick leave balances restored if they are re-employed by the State within 12 months. Employees separated from the University for reasons other than a formal reduction in force and re-employed by SFA may have their sick leave balances restored only if:

1. The employee is re-employed by the University within 12 months after the end of the month in which the employee separates from employment, but only if there has been a break in employment from the University of at least 30 calendar days; or
2. The employee is re-employed by a different state agency or institution of higher education within 12 months after the end of the month in which the employee separated from the University.*

*The University has no authority to pay out an employee's accrued but unused sick leave balance upon termination. An employee who is restored to employment at the University following military service is entitled to have his or her sick leave balance restored. Employee Retirement System (ERS) retirees who return to state employment will not have their sick leave balances restored.*

Sick leave with pay may be taken when sickness, injury, or pregnancy and confinement prevent the employee's performance of duty or when a member of the employee's immediate family is actually ill. For purposes relating to regular sick leave, immediate family is defined as those individuals related by kinship, adoption or marriage who are living in the same household or if not in the same household are totally dependent upon the employee for personal care or services on a continuing basis. An employee who is the legal guardian of a child by court appointment may use sick leave to care for the child.
Sick leave may be used for the adoption of a child under the age of three. An employee who must be absent from duty because of illness shall notify their supervisor or cause the supervisor to be notified of that fact at the earliest practical time.

To be eligible for accumulated sick leave with pay during a continuous period of more than three (3) working days, an employee absent due to illness shall send to the administrative department head a doctor's certificate showing the cause or nature of the illness, or some other written statement of the facts concerning the illness which is acceptable to such administrative head. If an illness results in the absence of three (3) working days or less, the administrative head has the discretion to require documentation of the illness.

1. Upon returning to duty after sick leave, an employee shall immediately complete a "Request for Vacation, Compensatory Time, Sick Leave Taken" form.

2. Funds appropriated for salaries and wages may be paid for all of the employee's accumulated vacation leave and for one-half of his/her accumulated sick leave, or for 336 hours of sick leave (whichever is less), to the estate of an employee when said employee dies while employed by the University. The employee must have had continuous employment with the University for at least 6 months at the time of death. The payment shall be calculated at the rate of compensation being paid the employee at the time of death.

3. An employee may use sick leave while he or she is on annual leave.

4. Employees employed by multiple agencies cannot accrue sick leave at a rate that exceeds that of a full-time, 40-hour-per-week employee.

53. Participation by any employee in an organized work stoppage has been declared to be against the public policy of the State of Texas (Art. 5154C, Vernon Civil Statutes). In any case when there is substantial evidence to indicate that an organized work stoppage exists in any division or department of the University, an employee reporting ill shall send to the administrative head of his/her department or division a doctor's certificate showing the cause or nature of the illness to be entitled to sick leave.

54. Extension of Sick Leave: Pursuant to the Texas Government Code section 661.202 (i) and (j), an extension of sick leave may be granted through the University policies of Sick Leave Pool, Family Medical Leave, or Leave of Absence. (See Sick Leave Pool, Family Medical Leave, and Leave of Absence Policies.)

75. An employee may use up to eight (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.

Source of Authority: General Appropriations Act, Board of Regents, President, Vice President for Business Affairs, Finance and Administration.
Cross Reference: Non-Academic Employee Handbook

Contact for Revision: Director of Human Resources

Forms: Request for Vacation, Compensatory Time, Sick Leave Taken (available in University Printing Services)
On October 26, 2001, President Bush signed into law the USA Patriot Act, otherwise known as Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001 (USA PATRIOT ACT). This Act makes it unlawful for certain individuals to work with specific biological agents, toxins and delivery systems.

SFASU has a small number of faculty, staff and graduate assistant positions that are affected by compliance with this Act. For those hired prior to the Act, affected by this compliance, the Hazardous Materials Officer will identify and document compliance. Employees with access to the select agents are to be investigated by the Federal Government. The Hazardous Materials Officer will submit the employee's names to the US Department of Health and Human Services and the Attorney General for investigation. Upon completion of the investigation, the Attorney General will promptly notify the Secretary and the Secretary shall promptly inform SFA whether the employee is granted or denied access.

In order to respond to the requirement with respect to future job vacancies, the Human Resources selection procedure has been modified to include a statement concerning the USA Patriot Act and instructions for compliance. When Human Resources receives a request to advertise a restricted position, additional screening questions will be required of applicants to determine if they meet minimum qualifications before they can be referred for the final hiring decision. The selected candidate will be required to complete a "Statement of Eligibility to Handle Select Biological Agents or Toxins" form. This form should satisfy and address the minimum qualifications and compliance for a final hiring decision or for a person already occupying a position prior to the Act's inception.

For additional details on the USA Patriot Act refer to the Human Resources website for the USA Patriot Act - Frequently Asked Questions.

Source of Authority: Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001; Public Health Security and Bioterrorism Preparedness and Response Act of 2002

Cross Reference: Personnel Selection Procedures Packet for Faculty and Staff

Contact for Revision: Director of Human Resources

Forms: Statement of Eligibility to Handle Select Biological Agents or Toxins; Notice of Vacancy
Employee Training

Original Implementation: January 28, 2003
Last Revision: None January 19, 2006

It is the policy of the University to provide training and development opportunities to faculty and staff within the availability of funds and as authorized under the State Employees Training Act of 1969. Such training and development shall be aimed at the needs of the individual employee and the University. Training and development will be offered to improve personal and professional growth and to prepare the employee for assuming jobs of greater responsibility.

It is the goal of the University to promote professional and personal growth and learning opportunities that support lifelong learning and assist individuals in working effectively together within their departments and throughout the University community. Training and development will assist the University community in adapting to change, increasing productivity, and improving the quality of the work environment and the employees' relations with each other.

Employee Training and Development Programs: The State Employees Training Act of 1969 allows the University to use public funds for training and development programs related to either current or prospective duty assignments. The University has established regulations and guidelines for three areas of training and development. The three areas are:

A. In-Service Training Program: Training which is provided within the University to support the continued professional and personal growth of all employees in their work. Special training emphasis is made in the areas of service excellence, diversity, communication, and effective management. In-service training also includes on-the-job training, preparation for job assignment, and continuing training programs which are basically job oriented to equip an individual to properly perform assigned tasks, to develop additional work capabilities, or to increase the employees' level of competence.

B. Out-of-Agency Staff Development Program: Education or training authorized by the University for selected employees. May consist of workshops, seminars, institutes, training sessions, college courses (with or without academic credit) and other special programs or activities offered internally by departments of the University, or outside the University by another source within or outside the State of Texas.

If the training is paid for by the University, and during the training period the employee does not perform their regular duties for three (3) months or more, the employee must work for the agency following the training for at least one (1) month for each of the training periods or repay the University for the cost of the training and salary (SB 223, 1999).
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The University shall require the employee to agree in writing to comply with the above requirements before the training begins. The University's Board of Regents may waive the requirements prescribed above and release the employee from the obligation if such action is in the best interest of the University or is warranted because of an extreme personal hardship suffered by the employee.

C. Internship Training Program: The type of learning experience which can be obtained only through actual work experience.

The following individuals are authorized to approve participation in the training and development program:

A. In-Service Training Program: Immediate Supervisor and/or Department Head

B. Out-of-Agency Staff Development Program: Immediate Supervisor, Department Head, Dean or Director

C. Internship Training Program: Department Head, Dean or Director, Vice President, and President

Training Responsibilities:

Supervisors and Managers: Training is the responsibility of every supervisor and manager at all levels of management. Supervisors and managers are responsible for:

- providing employees on-the-job training in the proper performance of tasks,
- providing a climate in which training and development of employees is encouraged,
- integrating an employee's growth and development needs with the goals and objectives of the University.

University Human Resources Department: Human Resources will:

- establish, administer and coordinate training policies and programs to meet University training requirements as authorized under the State Employees Training Act of 1969 and the policy established herein,
- develop programs which support the University's mission and goals and the continued growth and education of the faculty and staff,
- review and approve training programs open to the University community,
- monitor training programs and provide consulting training assistance to departments as resources allow, particularly in regard to In-Service Training Programs,
- maintain University training records and files.

Source of Authority: Chapter 656 Texas Government Code; Vice President for Business Affairs—Finance and Administration
Cross Reference: None

Contact for Revision: Director of Human Resources

Forms: None
At-Will Employment

Original Implementation: July 15, 2003
Last Revision: January 19, 2006

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

- All positions reporting to the Board of Regents including but not limited to the President, General Counsel, and Director of Audit Services
- All Vice Presidents/Provost including Associate Vice Presidents/Associate Provost
- All Deans including Associate Deans
- All Directors
- All Department Heads and Chairs
- All Coaches

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

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

Any decision to terminate an at-will employee must be reviewed by the General Counsel and/or Director of Human Resources for legal considerations. Termination of at-will employees below the Vice President level must be approved by the appropriate Vice President and reported to the President and Board of Regents. The Board of Regents must approve termination of at-will employees at the Vice President level or above. All such employees will be given an opportunity to resign in lieu of at-will termination, unless the termination is clearly for cause. The terms of resignation must be approved by the same process outlined for termination above, including legal review by the General Counsel and/or Director of Human Resources.

In regards to this policy, and the employee's completion of the 180-day probationary period, there is no contradiction. The 180-day probationary period is the designated time frame for the new employee to demonstrate their capability to perform their job tasks in a satisfactory manner. The completion of this evaluation period does not convey a permanent status to employees listed in this policy, and it does not negate the at-will status for either employee or employer.

Any agreements that in any way modify this policy must be made in writing and must contain the signature of the President, appropriate Vice President, and the University Board of Regents.
Source of Authority: Board of Regents

Cross Reference: None

Contact For Revision: General Counsel

Forms: None
Emergencies Policy

Original Implementation: Unpublished

Last Revision: April 20, 2004

Any emergency situation or threat of violence should be reported immediately to the University Police Department (UPD) by calling 468-2608, or ext. 911 from any University phone, or by utilizing any of the Emergency Call Boxes located throughout the campus.

Each department within the University is responsible for maintaining current emergency notification information for each employee working in their department. This information should be updated at least annually or whenever an information change occurs.

Certain specified emergencies will be reported and/or investigated as outlined below.

Accidents/Injuries. The UPD dispatcher answering the call will determine needed action. If an ambulance is needed, UPD will contact the ambulance service and provide proper directions for the campus location. UPD also will dispatch an officer to the scene. UPD shall notify the Director of Environmental Health, Safety, and Risk Management immediately when responding to a call involving an injury to a University employee. After investigation, if a report is warranted, the officer will file the report. A copy can be obtained on the next working day at UPD.

Armed Robbery. If confronted with an armed robbery situation, a University employee should follow the instructions of the person committing the robbery and, as soon as it is safe to do so, report the situation to UPD.

Bomb Threats. Any University employee receiving a threat should obtain as much information as possible and report to UPD immediately. Any decision to evacuate the area will be made by the appropriate Vice President and the Chief of University Police.

Death. UPD will conduct an investigation, notify other necessary authorities, and notify the immediate family.

Elevator Rescue. Any person trapped in an elevator should use the elevator's emergency telephone located in the elevator which is a direct line to the University Police Department UPD. UPD will give instructions to the person by telephone, dispatch an officer to the elevator, rescue the trapped individual(s), lock the elevator to prevent further use, and place a service call for repairs.
Fire. When a fire alarm is activated, either by an electronic device or by a telephone call to UPD, a University police officer will be dispatched for inspection. The officer will determine if the alarm is false or indicates an actual fire. If a fire exists, the officer will call the City-Nacogdoches Fire Department and evacuate the area if, in the opinion of the officer, this is necessary. If the alarm was false, the officer will reset the alarm and report the incident to the Criminal Investigative Division of UPD.

Theft. Upon receiving a theft report, a University police officer will begin an investigation of the alleged theft. If the investigation reveals enough evidence for a conviction, the Criminal Investigative Division of UPD will file the appropriate charges at the Nacogdoches County Courthouse.

Source of Authority: Vice President for University Affairs

Cross Reference: None

Contact For Revision: Chief of University Police

Forms: None
Administrative Systems Software Changes

Original Implementation: January 19, 1999

Last Revision: January 19, 2006

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 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 Technology Services (UITS). The changes are then evaluated as a solution for the problem or need they address by the appropriate system manager within UITS 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 UITS 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-a 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, Finance and Administration

Cross Reference: None

Contact for Revision: Director of University Information Technology Services, Technology Services Systems

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/fill_in_forms.shtml)
Computer System Access

Original Implementation: January 19, 1999

Last Revision: January 15, 2002 January 19, 2006

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 should 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: This is generally not allowed. 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 Information Technology Services (ITS) programming staff for the purpose of maintaining 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.


Yes

Privilege: Low

Operator Accounts

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

A. Monitor 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: Allowed. Yes
privilege: high

**Database Administrator Accounts**

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

A. Maintain ITS Database systems
B. Upgrade IASC7-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 Allowed.

Privilege: High

**System Manager Accounts**

System Manager accounts are provided for ITS Information Technology Services, (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: *Allowed. 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 ITS Information Technology Services (ITS). Upon notification of any such event, the Director of Information Technology Services will be notified and the Assistant Director of Technical Support shall initiate a complete investigation utilizing any system and/or ITS resources necessary. The Director of Information Technology Services will notify the Vice President for Business Affairs, Finance and Administration and, in the event a business system is involved, the Internal Auditor.

The primary concern is outlined below. ITS will take some or all of the following steps to investigate, with the exact order of steps determined by the specific situation. 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.

D. 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:

   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.
C. Perform any real-time monitoring of suspected violations in progress.
D. Engage 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. Others who may need to be notified 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 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 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 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

Self-Service

A. Faculty and Staff can activate and reset their passwords by choosing the appropriate link under Faculty/Staff E-Mail on the Getting Started with mySFA help page.

--- 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.

Assisted by ITS personnel

A. The Call the Customer Support Help Desk is available at 468-1212. In the event the Help Desk is closed or otherwise inaccessible, ITS can be contacted 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. Students can activate and reset their password using an online authorization form located at http://apache.sfasu.edu/accountman/ by choosing the appropriate link under Student E-Mail located on the Getting Started with mySFA help page.

B. 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 *Finance and Administration*

**Cross Reference:** None

**Contact for Revision:** Director of Information Technology Services

**Forms:** Account Authorization Form (available in the Boynton Computer Center or via the web at [http://apache.sfasu.edu/sfa_forms/index.shtml](http://apache.sfasu.edu/sfa_forms/index.shtml))
Restart and Recovery

Original Implementation: April 20, 1999

Last Revision: November 29, 2005

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.
   3. Restore to last Backup.
   4. Run ZBA001. To recover what has been processed on-line since the last backup.
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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 Action Line or another vendor based on what caused the abort.

IV. The following procedures are used in the ZSS system:

A. ZSS File Recovery

There is no recovery for ZSS because the ZSS files store data which is either recreatable or updated infrequently and by a limited number of users. The ZSS application updates the DBD, screens, procedures, and online help files. A system administrator can always restore these files. The exceptions to this rule are the ZAFILE, the ZKFILE, and the ZSS Files that support CWID.

The ZAFILE, the ZKFILE, and the ZSS Files that support CWID are unique because they're updated by multiple application systems, and each file is updated in a separate, unique way.

B. ZAFILE

1. All Plus application systems can write to the Element Audit File (ZAFILE). All the records in it are distinct, and date-time stamped, and are intermixed. ZBA001 updates the ZAFILE.
2. If you restore the ZAFILE prior to forward recovery, you will lose the data from the other applications. When recovering the ZAFILE for one application's data, such as for SIS, ZBA001 ignores updates to the other systems' data. Therefore, recovery of other application updates (FRS, HRS, and so forth) to ZAFILE would be lost and consequently your database is inaccurate. You must never restore the ZAFILE from your backups in order to perform a Forward Recovery. Unless the ZAFILE is corrupted, you should simply recover the data into the existing ZAFILE. Other application's records remain as they were and the recovered system's records would be updated.

C. ZKFILE

1. The ZSS Key File (ZKFILE) is updated by multiple systems and records are shared by the systems, so the same record can be updated by all. The record is created by the system when the first PIN is entered for the individual, from any Plus application with PIN create functionality.
2. Unlike an update of the ZAFILE, if you do a forward-recovery for the ZKFILE and apply updates to it, you'll actually lose updates from the
other systems. If SIS updates the ZKFILE for SSN at 11:32, for example, then HRS updates at 12:01, we lose the SIS record.

3. In addition, this data may be sent to the Alliance Partner systems, Campus Pipeline and WebCT. Any recovery procedures will need to involve those systems as well.

4. In the case of a crash or other disaster, you need to do manual recovery procedures for the ZKFILE. Run the program that updates this file, ABKZEK. This makes sure that anyone on any system’s file will be added to the ZKFILE. Recovery is a two-step process—other corrections will need to be made on the ZEK screen. Remember that you may not know all the data that needs correcting at a given time—over time make the required changes manually.

D. CWID Files (SEED and XREF)

1. LZSS files used to provide Campus-Wide ID (CWID) functionality are not forward-recoverable in the ordinary sense of the term. Because of the very nature of the files themselves—they are unique.

2. They’re updated by multiple systems but they’re unique by system. Data doesn’t cross except for synchronization.

3. XREF files are not recoverable but they are rebuildable by the application, a fairly easy process. Simply recreate a new XREF file and reinitialize (ZJUXRF) and then run the application rebuild program. For example, using the initialization programs for the SIS application, run the JCL for ABA835AA or AY—these jobs populate the XREF files.

4. For the application SEED files, you reinitialize the record back to zeros (ZJUSED). When the next CWID is needed, ZSS will just assign the next block. If ZSS SEED file needs to be rebuilt and resynced, there’s a program to find the highest block assigned to the applications (ZJFXSD).

V. The following procedures are used in the Oracle Database.

A. Try to restart the Database from the SQL/Plus Prompt.
B. If the database does not start, then determine the category of failure:
   1. If disk media failure, resolve the disk problem, and restore any needed data files and archive logs. Restart the Database and do Recovery if needed.
   2. For any OS-related failures, resolve OS issues and restart the Database.
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 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 Information Technology Services

Forms: None
Acceptable Use of Information Resources

Original Implementation: July 25, 2002

Last Revision: January 19, 2006

STATEMENT

Stephen F. Austin State University (SFASU) encourages the responsible use of its information resources. The use of information resources is for SFASU academic activities, research, and public service. Access to SFASU’s information resources is, however, a privilege. All users of information resources should act responsibly to maintain the integrity of these resources. Furthermore, all users must abide by all existing SFASU codes of conduct as well as by local, state, and federal statutes. SFASU reserves the rights to limit, restrict, or extend privileges and access to its resources. SFASU’s information resources include, but are not limited to, computers, servers, wireless networks, computer-attached devices, network-attached devices, voice systems, cable systems, and computer applications.

Appropriate use should always be legal and ethical, reflect academic honesty, uphold community standards, and show restraint in the consumption of shared resources. Appropriate use demonstrates respect for intellectual property, ownership of data, system security mechanisms, and every individual’s right to privacy and to freedom from intimidation, harassment, and unwarranted annoyance.

RESPONSIBILITIES

• It is the responsibility of every person using SFASU’s information resources to protect the privacy of his/her account(s). Personal account information should not be released to friends, relatives, roommates, etc. Users are responsible for the security of their passwords. Passwords should be changed on a regular basis.

• Any person using SFASU information resources is prohibited from using a computer account for which he/she is not authorized, or obtaining a password for a computer account not assigned to him/her.

• The owner or designated assignee of a computer that is attached to the SFASU network is responsible for both the security of the computer system and for any intentional or unintentional activities from or to the network connections. The owner or designated assignee is responsible for all network activity originating from his/her equipment, regardless of who generates it.
• Any person operating a network-intensive application or a defective computer that causes network overload will be notified, and steps will be taken to protect other users and the overall SFASU network. This may include disconnecting the offending computer system from the network until the problem is resolved. If the condition is an imminent hazard to the SFASU network or disrupts the activities of others, then the offending computer system or the subnet to which it is attached may be disabled without notice. This latter course of action may affect other users connected to the network. The operator of the offending computer system will be expected to follow instructions from Networking staff for securing his/her machine.

• Any person using e-mail should not send excessive e-mail/attachments or messages locally or over the network such as chain letters, advertisements, or solicitations. The responsible use of e-mail will help prevent network congestion.

• The content of any files or services made available to others over the network is the sole responsibility of the person with ownership of and/or administrative authority over the computer providing the service. It is this person's responsibility to be aware of all applicable federal and state laws, as well as SFASU policies. This person will be liable for any violations of these laws and policies.

• It is the responsibility of every person using SFASU’s information resources to refrain from engaging in any act that may seriously compromise, damage, or disrupt the operation of computers, terminals, peripherals, or networks. This includes, but is not limited to, tampering with components of a local area network (LAN) or the backbone, blocking communication lines, interfering with the operational readiness of a computer, creating/operating unsanctioned servers or personal web (NAT, DHCP or BOOTP servers included) or FTP sites, or delivering unsanctioned streaming audio, video, high bandwidth gaming, or high bandwidth video conferencing. Users should refrain from using an IP address not specifically assigned to them and should not attempt to create unauthorized network connections or unauthorized extensions, or re-transmitting any computer or network services.

• All breaches of system security should be reported immediately to the Networking department.

INFRACTIONS

Examples of infractions include, but are not limited to:

• Gaining or attempting to gain unauthorized access to information or resources that are private or protected.

• Circumventing or attempting to circumvent data protection schemes or exploiting security loopholes.
• Running programs that attempt to identify passwords, weaknesses in the SFASU system, or other security codes.

• Attempting to monitor or tamper with another user's data communications or network traffic, or reading, copying, changing, or deleting another user's files or software without the explicit agreement of the owner.

• Knowingly running or installing on any computer system or network, or giving to another user, a program intended to damage or to place an excessive load on a computer system or network. This includes but is not limited to programs known as computer viruses, Trojan horses, and worms.

• Masking or attempting to mask the identity of the account or computer. For example, pointing a non-sfasu.edu domain name at a host within SFASU address space.

• Knowingly performing an act that will interfere with the normal operation of computers, terminals, peripherals, or networks.

• Sending chain letters, advertisements, or solicitations of any type. Sending mass mailings to individuals who have not expressly agreed to be contacted in this manner.

• Using IP addresses not specially assigned by Networking. Each member of the network is allowed only one IP address and may connect only one computer to the network at a time (with the exception of faculty and family housing).

• Using excessive Internet bandwidth.

• Connecting NAT, DHCP or BOOTP servers to the network.

• Failing to comply with Networking instructions for configuring equipment or repeatedly engaging in activities that generate complaints to Networking.

• Using SFASU computer resources for private business or commercial activities (except where such activities are otherwise permitted or authorized), fundraising or advertising on behalf of non-SFASU organizations, reselling of SFASU computer resources to non-SFASU individuals or organizations, and unauthorized use of SFASU's name.

• Allowing unauthorized access to SFASU computing resources to individuals not affiliated with SFASU.

• Violating terms of applicable software licensing agreements or copyright laws.

• Possessing, using, or distributing any electronic data that is confidential under SFASU policies, by electronic or any other means.
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- Engaging in unlawful communications, including threats of violence, obscenity, child pornography, and harassing communications (as defined by law).

- Attempting to alter any SFASU computing or networking components (including, but not limited to, switches, routers, and data/phone/cable TV wiring hubs) without authorization or beyond one's level of authorization.

- Modifying SFASU wiring including, but not limited to, data, phone, and cable TV.

- Creating or attempting to create unauthorized network connections or unauthorized extensions, or re-transmitting any computer or network services.

- Permitting damage through negligence of SFASU electronic information, computing and/or networking equipment and resources.

- Failing to comply with requests from appropriate SFASU officials to discontinue activities that threaten the operation or integrity of computers, systems, networks, or otherwise violate this policy.

**PENALTIES**

Misuse of computing, networking, or information resources may result in the loss of computing privileges, as well as other disciplinary action.

**PRIORITIES**

When demand for computing resources may exceed available capacity, priorities for their use will be established and enforced. The priorities for use of computing resources are:

*Highest*: Uses that directly support the educational, research, and service missions of SFASU.

*Medium*: Other uses that indirectly benefit the education, research, and service missions of SFASU, as well as reasonable and limited personal communications.

*Lowest*: Recreation, including game playing and general browsing.

*Forbidden*: All activities listed in the Infractions section of this policy, as well as breaches of the Responsibilities section not specifically listed under the Infractions section.

SFASU may enforce these priorities by restricting or limiting usages of lower priority in circumstances where their demand and limitations of capacity impact or threaten to impact usages of higher priority.
IMPLIED CONSENT & LIABILITY RELEASE

Each person with access to SFASU computing resources is responsible for their appropriate use, and by their use agrees to comply with all applicable SFASU policies and regulations, with applicable City, State, and Federal laws and regulations, and with the acceptable use policies of affiliated networks and systems.

Each person requesting service from an SFASU Telecommunications and Networking technician for equipment owned by a person or entity other than SFASU, must acknowledge and accept the following liability release before the technician will be permitted to provide the requested service:

By accepting technical support from the Telecommunications and Networking staff, I expressly waive all claims against SFASU and its agents for any damages to my computer system or data that are incidental to the technical support rendered by Telecommunications and Networking. I understand that the technical support I receive from Telecommunications and Networking may void manufacturer warranties and I understand that Telecommunications and Networking offers no verbal or written warranty, either expressed or implied, regarding the success of this technical support. I understand that I have the right not to accept support from Telecommunications and Networking staff and to seek technical assistance elsewhere.

Source of Authority: Vice President for Business Affairs, Finance and Administration

Cross Reference: None

Contact for Revision: Director of Information Technology Services

Forms: None