

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS



Nacogdoches, Texas

October 11 and 12, 2009 (Volume 255)

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**Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
October 11 and 12, 2009
Austin Building 307
Meeting 255**

Sunday, October 11, 2009

The regular meeting of the Board of Regents was called to order in open session at 1:00 p.m., Sunday, October 11, 2009, by Chair James Thompson.

PRESENT:

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

President: Dr. Baker Pattillo

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

General Counsel: Ms. Yvette Clark

Other SFA administrators, staff, and visitors

*The Building and Grounds Committee convened at 1:00 p.m. and adjourned at 3:50 p.m.
The Finance/Audit Committee convened at 4:00 p.m. and adjourned at 5:00 p.m. The
Academic and Student Affairs Committee convened at 5:10 p.m. and adjourned at 6:00
p.m.*

The chair called for an executive session at 6:00 p.m. to consider the following items:

Deliberations Regarding the Deployment, or Special Occasions for Implementation, of Security Personnel or Devices (Texas Government Code, Section 551.076)

- Texas Administrative Code Section 202 Compliance Review

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to the following:

- Alcohol Liability
- Damage Claim

(Texas Government Code, Section 551.071)

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

- Possible Naming Opportunities

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

The executive session ended at 7:40 p.m. and the board meeting was recessed for the evening with no further action.

Monday, October 12, 2009

The chair reconvened the board meeting in open session at 9:14 a.m. on Monday, October 12, 2009.

PRESENT:

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

President: Dr. Baker Pattillo

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

General Counsel: Ms. Yvette Clark

Other SFA administrators, staff, and visitors

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

RECOGNITIONS

President Pattillo introduced the student who broke the record when he registered as the 12,816th student for the Spring Semester. The Banner Implementation Team was recognized and congratulated on a job well done. Dr. Berry introduced newly appointed academic department chairs. Those who have been involved with the Twenty First Birthday Card project were recognized. Dr. Mark Ludorf, who led a study abroad program in Italy during the Maymester, presented gifts to the board members.

APPROVAL OF MINUTES

BOARD ORDER 10-01

Upon motion by Regent Amaral, seconded by Regent Dickerson, with all members voting aye, the minutes of the July 20 and 21, 2009, meetings were approved.

PERSONNEL

BOARD ORDER 10-02

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

FACULTY APPOINTMENTS FOR 2009 – 2010

BUSINESS

Gail J. Leslie, Lecturer of Computer Science, M.S. (Stephen F. Austin State University), at an academic year salary of \$20,000 for 46 percent time, effective September 1, 2009.

EDUCATION

Ginger L. Kelso, Assistant Professor of Human Services, Ph.D. (Utah State University), at an academic year salary of \$60,000 for 100 percent time, effective September 1, 2009.

J. Lindsey Kennon, Lecturer of Human Services, M.Ed. (Stephen F. Austin State University), at an academic year salary of \$43,500 for 100 percent time, effective September 1, 2009.

Kerry Lee Roberts, Assistant Professor of Secondary Education, Ph.D. (Washington State University), at an academic year salary of \$57,000 for 100 percent time, effective September 1, 2009.

Nagalapura Viswanath, Associate Professor of Human Services, Ph.D. (City University of New York), at an academic year salary of \$71,000 for 100 percent time, effective September 1, 2009.

FINE ARTS

Jackie A. Rosenfeld, Visiting Lecturer of Theatre, M.F.A. (Texas Tech University), at an academic year salary of \$38,000 for 100 percent time, effective September 1, 2009.

LIBERAL ARTS

Kierah Weber, Intern in Enrollment Management/Instructor of Government, B.A. (Stephen F. Austin State University), at an academic year salary of \$32,000 for 100 percent time, effective September 1, 2009.

SCIENCES AND MATHEMATICS

Anne B. Collier, Clinical Instructor of Nursing (MSN, University of Texas), at an academic year salary of \$54,000 for 100 percent time, effective September 1, 2009.

Christopher H. Ryan, Clinical Instructor of Nursing (MSN, Texas Women's University), at an academic year salary of \$54,000 for 100 percent time, effective September 21, 2009.

STAFF APPOINTMENTS FOR 2009 – 2010

ATHLETICS

Lacey' C. Carmon, Assistant Track Coach, at a 10.5 month salary of \$25,462 for 100 percent time, effective September 1, 2009.

Stefanie Lee Gray, Assistant Golf Coach, at a 10.5 month salary of \$30,000 for 100 percent time, effective September 1, 2009.

James Thomas Stellato, Assistant Coach Women's Basketball, at a 10.5 month salary of \$32,622 for 100 percent time, effective September 7, 2009.

Jacob Paul Willingham, Assistant Football Coach, at a 10.5 month salary of \$24,720 for 100 percent time, effective July 20, 2009.

INTERNATIONAL PROGRAMS

Dr. Murali Venugopalan, Director of International Programs, at an annual salary of \$84,000 for 100 percent time effective January 1, 2010.

PUBLIC AFFAIRS

Lee Charles Shortridge, Publication Specialist, at an annual salary of \$39,500 for 100 percent time, effective September 8, 2009.

RESIDENCE LIFE

Thomas E. Browning, Hall Director, at an annual salary of \$28,000 for 100 percent time, effective August 31, 2009.

UNIVERSITY POLICE

Matthew R. McDaniel, Manager of Public Safety Technology, at an annual salary of \$52,000 for 100 percent time, effective September 2, 2009.

CHANGES OF STATUS FOR 2009 – 2010

ATHLETICS

Meredith P. Doyle, from Assistant Coach Women's Basketball at a 10.5 month salary of \$31,672 for 100 percent time, to Assistant Coach Women's Basketball and Instructor at a 10.5 month salary of \$48,243 for 100 percent time, effective September 1, 2009.

BUSINESS

Deborah D. Dufrene, from Professor and Chair of General Business at an annual salary of \$106,617 for 100 percent time, to Professor and Interim Associate Dean of Business at an annual salary of \$119,800 for 100 percent time, effective July 1, 2009.

Shirley A. Wilson, from Associate Professor of General Business at an academic year salary of \$60,350 for 100 percent time, to Associate Professor and Interim Chair of General Business at an annual salary of \$81,250 for 100 percent time, effective July 1, 2009.

CONTROLLER'S OFFICE

Pamela R. Corman, from Accounting Assistant III at an annual salary of \$34,818 for 100 percent time, to Interim Assistant Bursar at an annual salary of \$45,000 for 100 percent time, effective August 10, 2009.

Bobby F. Williams, from Assistant Bursar at an annual salary of \$45,439 for 100 percent time, to Interim Bursar at an annual salary of \$60,000 for 100 percent time, effective July 27, 2009.

EDUCATION

Elizabeth A. Gound, from Instructor of Secondary Education at an academic year salary of \$6,667 for 50 percent time, to Visiting Instructor of Secondary Education at an academic year salary of \$41,000 for 100 percent time, effective September 1, 2009

Paula B. Griffin, from Adjunct Faculty in Elementary Education at a six month salary of \$10,000 for 100 percent time, to Instructor of Elementary Education at an academic year salary of \$44,000 for 100 percent time, effective September 1, 2009.

FINE ARTS

Louis C. Tasciotti, from casual worker in Summer II at a salary of \$3,330, to Keyboard Technician at an annual salary of \$47,000 for 100 percent time, effective September 1, 2009.

FORESTRY AND AGRICULTURE

Joey L. Bray, from Associate Director of Poultry Science at an annual salary of \$50,594 for 100 percent time, to Assistant Professor and Director of Poultry Science at an annual salary of \$65,960 for 100 percent time, effective September 1, 2009.

Michael S. Fountain, from Professor and Interim Dean of Forestry and Agriculture at an annual salary of \$120,000 for 100 percent time, to Professor of Forestry at an annual salary of \$80,542 for 100 percent time, effective September 1, 2009.

INFORMATION TECHNOLOGY SERVICES

Melinda A. Colby, from Communications and Training Specialist at an annual salary of \$48,500 for 100 percent time, to Assistant Director Project Banner at an annual salary of \$51,500 for 100 percent time, effective September 1, 2009.

LIBERAL AND APPLIED ARTS

George R. Franks, from Instructor of Government at an academic year salary of \$45,346 for 100 percent time, to Assistant Professor of Government at an academic year salary of \$49,896 for 100 percent time, effective September 1, 2009.

PHYSICAL PLANT

Robert L. Coker, from Accounting Clerk II at an annual salary of \$30,000 for 100 percent time, to Manager of Transportation Services at an annual salary of \$60,000 for 100 percent time, effective September 1, 2009.

SCIENCES AND MATHEMATICS

Lynsey C. Cortines, from Admissions Counselor at an annual salary of \$31,165 for 100 percent time, to Academic Advisor at an annual salary of \$36,531 for 100 percent time, effective August 17, 2009.

STUDENT AFFAIRS

Lacey A. Claver, from Graduate Assistant in Student Life at an annual salary of \$18,000 for 50 percent time, to Assistant Coordinator of Student Activities at an annual salary of \$32,900 for 100 percent time, effective July 13, 2009.

Whitney K. Denney, from Graduate Assistant in Student Life at a monthly salary of \$1,500 during Summer II for 50 percent time, to Early Intervention Coordinator at an annual salary of \$38,000 for 100 percent time, effective August 17, 2009

RETIREMENTS

The following retirement was accepted:

Victor L. Shepherd, Manager of Transportation Services, effective August 31, 2009.

ACADEMIC AND STUDENT AFFAIRS

BOARD ORDER 10-03

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

SMALL SIZE CLASSES FOR SUMMER II AND FALL 2009

WHEREAS, the board considered the following: Texas Higher Education Coordinating Board rules require that all regular organized undergraduate classes with fewer than ten students enrolled and regular graduate classes with fewer than five students enrolled be approved by the Board of Regents. Under policies established by the board, such classes can only be taught for specific reasons, such as the course being needed for students to meet graduation requirements, etc. Courses for Summer II and Fall 2009 are listed in Appendix 1.

THEREFORE, the Summer II and Fall 2009 small-size class lists were approved, as presented in Appendix 1.

PROPOSAL TO OFFER A CERTIFICATE IN FACILITIES MANAGEMENT

WHEREAS, the board considered the following: The School of Human Sciences seeks approval to offer a Certificate in Facilities Management. The curriculum is designed to prepare students to enter professional practice as facility planners and workplace strategists in consulting and real estate firms and large organizations. According to the International Facilities Management Association, currently there is a need nationally for 10,000 facility managers. There are 150 programs in the United States but none are offered in Texas. The goal is to begin with a certificate program and eventually offer a degree program.

THEREFORE, approval was given to offer the Certificate in Facilities Management beginning in Spring 2010.

BUILDING AND GROUNDS

BOARD ORDER 10-04

Upon motion by Regent Garrett, seconded by Regent McCarty, with all members voting aye, the following building and grounds items were approved:

CONSTRUCTION MANAGER AT RISK FOR THE CHEMISTRY BUILDING RENOVATION

Explanation:

WHEREAS, the board considered the following: At the July 21, 2009 meeting the Stephen F. Austin State University Board of Regents authorized the administration to issue a

request for proposals (RFP) for a construction manager at risk to renovate the Chemistry Building. An RFP was issued and the university received four responses. From that group three finalists were chosen and are presented to the Building and Grounds Committee for selection of a construction manager at risk for the Chemistry Building renovation.

THEREFORE, the J.E. Kingham Construction Company was selected as the most qualified firm to serve as construction manager at risk for the Chemistry Building renovation. The president was authorized to sign all associated contracts and purchase orders.

ENERGY PERFORMANCE CONTRACT PROJECT SCOPE

WHEREAS, the board considered the following: Siemens Building Technologies has completed a detailed energy audit of the university as authorized by the Board of Regents on May 15, 2009. The audit scope included an assessment of the university's energy infrastructure and delivery process. Siemens' audit reveals that replacement of inefficient energy delivery equipment and controls will result in energy savings to support the debt service on equipment. At the July 21, 2009 meeting, the regents authorized the university to obtain an independent third party review of the audit and seek Texas Higher Education Coordinating Board approval when the energy project plan is finalized. The regents further authorized financing through the State Energy Conservation Office (SECO) at a cost not to exceed \$20 million.

THEREFORE, the energy performance contract project scope was approved at a cost not to exceed \$18 million, subject to SECO or other state approved financing. Where it is necessary to match available financing with project components, a project phased approach will be followed.

ELECTRICITY CONTRACT AUTHORIZATION

WHEREAS, the board considered the following: The university is currently using TXU Energy as an electricity provider. Stephen F. Austin State University participates in an electricity contract with Texas A&M University System schools in order to obtain competitive electricity rates. Stephen F. Austin State University is the largest participant in the consortium. Current market conditions are favorable for the consortium to enter into a new electricity contract. The TEES Energy Systems Lab at Texas A&M University will issue an RFP to electricity providers and select a provider based on the best value for members of the consortium.

THEREFORE, the university was authorized to enter into an electricity contract with members of the Texas A&M University System consortium based on the best value for SFA. The president was authorized to sign the associated contracts or documents.

BOARD ORDER 10-05

Upon motion by Regent Garrett, seconded by Regent White, with all members voting aye, the following building and grounds items were approved:

NAMING OPPORTUNITIES

A. Naming of Computer Classroom in the Building Known as the Richard and Lucille DeWitt School of Nursing

WHEREAS, the board considered the following: In accordance with Board Rules and Regulations, buildings and other facilities may be named for persons, both living and deceased, who make a significant donation to the university

THEREFORE, the Board of Regents named the computer classroom in the Richard and Lucille DeWitt School of Nursing building as the Birch Foundation, Inc. Computer Classroom.

B. Naming of Simulation Laboratory in the Building Known as the Richard and Lucille DeWitt School of Nursing

WHEREAS, the board considered the following: In accordance with Board Rules and Regulations, buildings and other facilities may be named for persons, both living and deceased, who make a significant donation to the university

THEREFORE, the Board of Regents named the simulation laboratory in the Richard and Lucille DeWitt School of Nursing building as the Ed and Gwen Cole Simulation Laboratory.

C. Naming of Birdwell Plaza at Corner of North Street and East College Street

WHEREAS, the board considered the following: The story of SFA began when Stephen F. Austin State Normal College came into existence on the birthday of its first president, Dr. Alton W. Birdwell, on September 18, 1923. Dr. Birdwell appointed the faculty, taught history courses, and led the school through its growth in the 1920s and then through the tenuous period of the Great Depression and the beginnings of World War II.

After his retirement in 1942, Dr. Birdwell remained on the faculty, continuing to teach courses in history, and served as president emeritus until his death in 1954. Even before his death, the SFA Board of Regents had voted to name the new liberal arts building being built on the corner of North Street and East College Street the Alton W. Birdwell Building. Dedicated in November 1955, the building served the university for more than 50 years until it was removed in 2007 as a condition from the state for the approval to construct the current Human Services Building.

In the location of the former Birdwell Building, the Board of Regents has authorized the development of a nature-filled plaza that can be enjoyed by the university and the Nacogdoches community and stand as the northern gateway to the campus. It is fitting that this beautiful corner continues to serve as a memorial to the first president of SFA.

THEREFORE, it was ordered by the Board of Regents that the area of campus at the corner of North Street and East College Street be named and hereafter known as Birdwell Plaza

and that a dedication ceremony be planned as part of the festivities during Homecoming '09.

FINANCIAL AFFAIRS

BOARD ORDER 10-06

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

FUEL CARDS FOR RETAIL GASOLINE PURCHASES

WHEREAS the board considered the following: The university utilizes the Council on Competitive Government (CCG) contract for retail fuel purchases at discounted prices. Fuel cards are assigned to specific vehicles or occasionally to a specific person who may utilize different university vehicles. Fiscal year 2008 total expenditures were \$415,203.27, and fiscal year 2009 expenditures through July were \$261,402.48.

THEREFORE, the Board of Regents approved continuation of the CCG contract and issuance of a purchase order for the payment of fiscal year 2010 fuel card expenditures under the contract. The president was authorized to sign the purchase order.

WebFOCUS SOFTWARE LICENSE

WHEREAS, the board considered the following: WebFOCUS is a software subscription license that the university pays for the Banner system report writing tool. The current license subscription cost is \$86,244 per year. The university wishes to convert the license from a periodic to a permanent subscription. To convert the license, there will be a one-time cost of \$138,125 and annual maintenance of \$34,625. The total conversion and maintenance cost for the year will be \$172,750. The conversion to a permanent license will decrease the annual cost of WebFOCUS and will result in a savings beginning in fiscal year 2012. In addition to the WebFOCUS conversion, the administration wishes to negotiate additional software maintenance that can be bundled with the WebFOCUS conversion cost.

THEREFORE, the administration was authorized to purchase a permanent WebFOCUS subscription license, associated software maintenance, and other software maintenance that can be bundled with the purchase at a cost not to exceed \$195,000. Designated funds will be used for the purchase.

GRANT AWARDS

WHEREAS, the board considered the following: Since the fiscal year 2009-10 budget was approved, the university has received grant awards that total \$8,105,735. These include multi-year awards. The grant awards to be budgeted for fiscal year 2010 total \$6,156,284. The grant awards result from extensive faculty research engagement across many academic disciplines. The grants include direct federal, federal pass through, state and private awards. The grant awards are detailed in Appendix 2.

THEREFORE, the board approved and ratified the fiscal year 2010 grant awards that total \$6,156,284, as presented in Appendix 2.

PURCHASE OF A NUCLEAR MAGNETIC RESONATOR SPECTROMETER

WHEREAS, the board considered the following: Faculty members of the Arthur Temple College of Forestry and Agriculture and the College of Sciences and Mathematics have need of a 400 MHz Nuclear Magnetic Resonance (NMR) spectrometer with which to conduct ongoing research. At present, researchers from SFA must travel to research facilities in Houston or other large population centers in order to use borrowed time on an NMR. Purchasing a new instrument, which will be housed in space vacated by the School of Nursing in January, will enable faculty members to have increased and more convenient access and will encourage additional research in areas that require such an instrument.

THEREFORE, the Board of Regents authorized the purchase of a 400 MHz Nuclear Magnetic Resonance (NMR) spectrometer, instrument accessories, training, and extended service contract, other equipment and materials required to install the instrument, and configuration of the room in which it will be installed at a cost not to exceed \$300,000. The source of funds will be state appropriated Research Development Funds.

APPROVAL OF ANNUAL AUDIT PLAN, AUDIT CHARTER AND REPORT

WHEREAS, the board considered the following: According to the *Rules and Regulations of the Board of Regents*, the director of audit services shall annually submit information on the annual audit plan, work schedule and staffing plan to the president for his review and to the Board of Regents for their approval. The director shall submit an annual report as required by Art. 6252-5d, V.T.C.S., recodified at Government Code, Chapter 2101. The annual report shall be submitted to the president and the board for review prior to public dissemination.

In addition, the Internal Standards for the Professional Practice of Internal Auditing require the internal audit charter to be approved on an annual basis. It is included as Appendix 3.

THEREFORE, the annual audit plan, audit charter and report were approved as presented.

MEMORANDUM OF AGREEMENT BETWEEN SFA AND SFA ALUMNI ASSOCIATION/ALUMNI FOUNDATION

WHEREAS, the board considered the following: University policy and state law require the Board of Regents to enter into a written agreement with any private support organization that assists the university in furthering its purposes and duties. The university's exiting agreement with the SFA Alumni Association and Alumni Foundation was last approved in 1999. Meetings and discussions have been held proposing updates in the agreement to reflect the current understandings between the parties.

THEREFORE, the updated Memorandum of Agreement between Stephen F. Austin State University and the Stephen F. Austin State University Alumni Association and Alumni Foundation was approved as presented in Appendix 5 and the president was authorized to sign the final document.

RESOLUTION TO APPROVE AN APPLICATION FOR FUNDING THROUGH THE TEXAS HIGHER EDUCATION COORDINATING BOARD FOR AMERICAN RECOVERY AND REINVESTMENT ACT FUNDS

Explanation:

WHEREAS, the board considered the following: The Texas Higher Education Coordinating Board (THECB) has been designated to manage the American Recovery and Reinvestment Act (ARRA) Government Services Fund (GSF.) These federal funds were appropriated by the Texas Legislature in Art. XII of SB1, the general appropriations act for the 2010-2011 biennium. The Texas Higher Education Coordinating Board requires that institutions of higher education submit an application for authority to expend the ARRA funds. The application requires that an institution's governing board adopt a resolution that approves the application for ARRA funding.

THEREFORE, the Board of Regents adopted the resolution that approves application for ARRA funding through the Texas Higher Education Coordinating Board as follows:

**A RESOLUTION APPROVING AN APPLICATION FOR FUNDING THROUGH
THE TEXAS HIGHER EDUCATION COORDINATING BOARD
FOR AMERICAN RECOVERY AND REINVESTMENT ACT FUNDS**

BE IT RESOLVED by the Board of Regents of Stephen F. Austin State University as follows:

SECTION 1.

The Board of Regents has reviewed and hereby approves an application for:

Working capital for academic employee salary support	\$2,059,053
Formula Component	\$1,499,875
Incentive Component	\$ 559,178

SECTION 2.

The Board of Regents has reviewed and hereby agrees to comply with all Certifications and Assurances executed in connection with the application and, if funded, the award.

SECTION 3.

The president is hereby authorized and directed to act on the Board's behalf in all matters pertaining to this application, and if approved, the contract.

PASSED AND ADOPTED at a regular meeting of the Board of Regents of Stephen F. Austin State University held on October 12, 2009 by the following vote:

AYES: _____ NAYS: _____ ABSENT: _____

Chair of the Board of Regents

ATTEST: _____

John R. Garrett, Secretary

James A. Thompson

Stephen F. Austin State University

UNIVERSITY POLICIES AND PROCEDURES

BOARD ORDER 10-07

Upon motion by Regent Ertz, seconded by Regent Garrett, with all members voting aye, the policy revisions were approved, as presented in Appendix 4.

REPORTS

The president presented a report on the following topics:

- Dedication
- November 3, 2009 – Faculty and Staff Picnic
- November 4, 2009 - Tyler Junior College
- November 4, 2009 – Football Team and Band Picnic
- November 19, 2009 – The Big Switch
- “Battle of the Piney Woods”
- Admissions Standards
- Governor’s Efficiency Resolution
- January 24, 2010 – Ribbon cutting for the Richard and Lucille DeWitt School of Nursing

The director of Audit Services made the following report:

- Follow-up Review
- Texas Administrative Code Section 202 Compliance Review
- Update on Audit Plan

The chair of the Faculty Senate made the following report:

- Student/Faculty Success – Erin Roth, '07 SFA Alum

The president of the Student Government Association made the following report:

- SGA Spirit Buses – update on how they are coming along
- 24 hour study space – SGA is currently searching for a spot where students can study 24 hours a day. It does not have to be an entire building but is something similar to the Nibblers Nook in the old Student Center.
- Results from the UPD safety and lighting ride around
- Results from Constitution Week Activities

The meeting was adjourned at 10:23 a.m. The next regular meeting of the board will be on January 25 and 26, 2010.

Texas Higher Education Coordinating Board Rules Currently in Effect (9-2006)

**Chapter 5. Rules Applying to Public Universities and/or Health-Related Institutions of Higher Education in Texas
Subchapter B. Role and Mission, Tables of Programs, Course Inventory**

§5.23 Definitions

§5.23.5 Organized classes--Classes whose primary mode of instruction is lecture, laboratory, or seminar.

§5.23.8 Small classes--Undergraduate level classes with less than 10 registrations, and graduate level classes with less than five registrations.

§5.26 Offering of Small Classes by Public Universities

In accordance with **Texas Education Code, §51.403(d)**, public universities may offer organized small classes which:

§51.403(d.1) have been approved by the governing board of the university;

§51.403(d.2) is a required course for graduation (the course is not offered each semester or term, and, if canceled, may affect the date of graduation of those enrolled);

§51.403(d.3) is a required course for majors in this field and should be completed this semester (or term) to keep proper sequence in courses;

§51.403(d.4) is a course in a newly established degree program, concentration, or support area;

§51.403(d.5) is part of an interdepartmental (cross-listed) course taught as a single class by the same faculty at the same station, provided that the combined enrollments do not constitute a small class;

§51.403(d.6) is a first-time offering of the course;

§51.403(d.7) is class size-limited by accreditation or state licensing standards;

§51.403(d.8) is class size-limited by availability of laboratory or clinical facilities; or

§51.403(d.9) is voluntarily offered by a faculty member in excess of the institutional teaching load requirement and for which the faculty member receives no additional compensation.

Source Note: The provisions of this §5.26 adopted to be effective May 28, 2003, 28 TexReg 4124

Course Information					
Section	Title	Number Enrolled	Credit Hour Value	Total Credit Hours	Texas Education Code Offering Compliance
HMS 250 001	MERCHANDISING APPLICATIONS	7	3	21	§51.403 (d.2)
HMS 373 301	OCCUPATIONAL FSC II	9	3	27	§51.403 (d.1)
SPE 341 001	COMM SKILLS FOR VIS IMP	1	3	3	§51.403 (d.5)
ENV 546 451	ADMIN HEALTH SERV ORGANIZ	4	3	12	§51.403 (d.1,2)
SPA 250 001	INT SPA STUDY ABROAD MADRID	7	3	21	§51.403 (d.9)
PSY 498 001	CHILD ABUSE	9	3	27	§51.403 (d.2,3)
BTC 503 451	INTRODUCTION TO BIOTECHNOLO	3	1	3	§51.403 (d.2,3,9)
BTC 503L451	INTRO TO BIOTECHNOLOGY LAB	3	2	6	§51.403 (d.9)
BTC 550 051	SCIENTIFIC DISCOVERY	3	3	9	§51.403 (d.9)
CHE 332L020	ORGANIC CHEMISTRY II LAB	5	1	5	§51.403 (d.2,3)
CHE 332 001	ORGANIC CHEMISTRY II	7	3	21	§51.403 (d.2,3)

Total Estimated Credit Hours in Small Classes	155
Total Estimated SFA Credit Hours Summer II 2009	18,100
Estimated Small Class Credit Hours as a Percentage of SFA Total Credit Hours	0.86%

Date: _____

Approval: _____

Course Information					
Section	Title	Number Enrolled	Credit Hour Value	Total Credit Hours	Texas Education Code Offering Compliance
CSC 541 001	COMPILER PRINCIPLES & TECHN	2	3	6	§51.403 (d.2,3)
CSC 563 001	COMP NETWORKS & DISTRIB SYS	4	3	12	§51.403 (d.2,3)
CSC 353 001	SYSTEM ADMINISTRATION	9	3	27	§51.403 (d.4)
FIN 361 022	RISK MANAGEMENT & INSURANCE	9	3	27	§51.403 (d.4)
HMS 333 201	APPAREL II	1	3	3	§51.403 (d.1)
HMS 371 201	TEACHING AND LEARNING PROCE	3	3	9	§51.403 (d.1)
SPH 470 020	LANGUAGE FOR THE DEAF	5	3	15	§51.403 (d.2,3)
SPH 471 601	ADVANCED LANGUAGE FOR THE D	6	3	18	§51.403 (d.2,3)
RHB 422 020	ADV CHEM SUB USE & ABUSE	7	3	21	§51.403 (d.3)
RHB 340 001	ANAT & FUNCT OF VIS SYS	8	3	24	§51.403 (d.2,3)
SPE 463 501	CONSULTING WITH PARENTS & P	8	3	24	§51.403 (d.2,3)
RHB 325 001	PROG & SERVICES FOR VIS IMP	9	3	27	§51.403 (d.2,3)
AED 678 021	ISSUES IN HIGHER ED-LEADERS	4	3	12	§51.403 (d.6)
THR 424 001	DIALECTS	9	2	18	§51.403 (d.2)
AGD 581 001	METHOD OF TEACHING AG SCIEN	1	3	3	§51.403 (d.3)
AGD 481 001	METHODS OF TEACHING AGR SCI	7	3	21	§51.403 (d.3)
ENV 500 851	SURVEY ENVIRON TOXICOLOGY	1	3	3	§51.403 (d.1)
ENV 542 451	GEN PRIN OF EPIDEMIOLOGY	1	3	3	§51.403 (d.1)
ENV 542 851	GEN PRIN OF EPIDEMIOLOGY	1	3	3	§51.403 (d.1)
ENV 500 451	SURVEY ENVIRON TOXICOLOGY	3	3	9	§51.403 (d.1)
FOR 528 001	REGIONAL SILVICULTURE	3	3	9	§51.403 (d.2)
FOR 427 001	REGIONAL SILVICULTURE	6	3	18	§51.403 (d.2)
FOR 304 001	ARBORICULTURE	7	3	21	§51.403 (d.3)
MCM 401 002	DIGITAL PORTFOLIO	5	3	15	§51.403 (d.9)
GRK 231 001	INTERMEDIATE CLASSICAL GREE	4	3	12	§51.403 (d.9)
BIO 538 001	ADVANCED ICHTHYOLOGY	1	3	3	§51.403 (d.2)
BIO 438 001	ICHTHYOLOGY	8	3	24	§51.403 (d.2)
BTC 548 051	BIOINFORMATICS I	3	3	9	§51.403 (d.2)
CHE 443 001	INSTRUMENTAL ANALYSIS	9	4	36	§51.403 (d.2,3)
MTH 300 001	FOUNDATIONS OF MATHEMATICS	7	3	21	§51.403 (d.2)
PHY 431 001	INTRO QUANTUM MECHAN	3	3	9	§51.403 (d.2)
PHY 512 001	ATOMIC STRUCTURE	3	3	9	§51.403 (d.2)
PHY 534 001	SOLID STATE PHYSICS	4	4	16	§51.403 (d.9)

Total Estimated Credit Hours in Small Classes

487

Total Estimated SFA Credit Hours Fall 2009

157766

Estimated Small Class Credit Hours as a Percentage of SFA Total Credit Hours

0.31%

Date: _____

Approval: _____

**Grant Awards for FY10 not previously included in the FY10 Budget
as of September 15, 2009**

Direct Federal Awards

***Texas Leadership Initiative: Mathematics Instruction Transformed (Texas LIMIT)
(ARRA stimulus funds)***

FY 2010 Award: \$260,006 (*included in FY10 budget; excluded from total*)
 Total Award: \$1,494,187 (Grant)
 Sponsor: National Science Foundation
 Term (this action): June 1, 2009 – May 31, 2015
 Description: *Twenty middle and secondary school teachers in five participating school districts in East Texas will be recruited to become Master Teaching Fellows and will be immersed in leadership training programs that provide in-depth study in mathematics and educational leadership. PI/PPD: Dr. Kimberly Childs, Mathematics and Statistics; Co-PIs/PPDs: Dr. Lesa Beverly and Dr. Debbie Pace, Mathematics and Statistics, and Dr. Betty Alford, Secondary Education/Educational Leadership*

Virtual Reach: A Pilot Collaborative for Head Start Employees Seeking the Baccalaureate

FY 2010 Award: \$69,421
 Total Award: \$330,011 (Grant)
 Sponsor: U.S. Department of Agriculture
 Term (this action): September 1, 2009 – August 31, 2012
 Description: *This pilot research study is a collaborative effort among SFA, Angelina College, Tarrant County College-Northeast, and regional Head Start centers to progressively prepare Head Start employees to obtain baccalaureate degrees in a major related to child development using on-line courses and on-site/virtual support. PI/PPD: Dr. Tara Newman, Human Sciences; Co-PI/PPD: Dr. Lynda Martin, Human Sciences*

Proliferation Inhibition and Apoptosis Induction of Tumor Cells by Saponins Aesculiosides

FY 2010 Award: \$132,229
 Total Award: \$262,080 (Grant)
 Sponsor: U.S. Department of Agriculture
 Term (this action): September 1, 2009 – August 31, 2011
 Description: *The long-term goal of this research project is to isolate and identify compounds derived from specific plant species that lead to the development of novel cancer drugs with high efficacy and low toxicity. PI/PPD: Dr. Shiyu Li, Forestry - Center for Medicinal Plant Research*

A Photographic Exhibit of El Camino Real de los Tejas National Historic Trail

FY 2010 Award: \$12,414
 Total Award: \$30,000 (Cooperative Agreement)
 Sponsor: National Park Service, U.S. Department of the Interior
 Term (this action): September 1, 2009 – January 31, 2012
 Description: *This project creates a photographic exhibit that can be used to educate the public about the history of the El Camino Real de los Tejas National Historic*

Trail and the beauty and significance of its resources. PI/PD: Mr. Christopher Talbot,
School of Art

El Camino Real de los Tejas Oral History Research Project (Sabine to the Angelina River, II)

FY 2010 Award: \$13,486
 Total Award: \$18,390 (Cooperative Agreement)
 Sponsor: National Park Service, U.S. Department of the Interior
 Term (this action): October 1, 2009 – January 1, 2011
 Description: *The research project will record data from elderly individuals to assist in the preservation of important stories and information about the El Camino Real de los Tejas National Historic Trail and document cultural information related to various occupations of the region.* PI/PD: Dr. George Avery, Social and Cultural Analysis - Center for Regional Heritage Research

Federal Private Land Agreement 2

FY 2010 Award: \$18,000
 Total Award: \$18,000 (Cooperative Agreement)
 Sponsor: Fish & Wildlife Service, U.S. Department of the Interior
 Term (this action): June 5, 2009 – June 4, 2019
 Description: *SFA will enhance the Pineywoods Native Plant Center (PNPC) Environmental Study Area with outdoor classroom improvements, restoration of a palustrine forested habitat, enhancement of an upland mixed forest on an additional 25 acres of the PNPC, and removal of invasive plant species.* PI/PD: Dr. David Creech, Agriculture. Co-PIs/PDs: Dr. Jeffrey Adkins and Dr. Michael Maurer, Agriculture

Spatial Analysis of the Impact of Land Cover Change on Water Resources in Southern Region

FY 2010 Award: \$10,000
 Total Award: \$10,000 (Cooperative Agreement)
 Sponsor: Forest Service, U.S. Department of Agriculture
 Term (this action): August 5, 2009 – December 31, 2010
 Description: *The project will model water quality and quantity for different land cover scenarios and generate spatial data and maps reflecting the impact of land cover change on water resources for 13 southern states.* PI/PD: Dr. Yanli Zhang, Forestry

National Visitor Use Monitoring (NVUM) – Kisatchie National Forest

FY 2010 Award: \$5,000
 Total Award: \$5,000 (Challenge Cost Share Agreement)
 Sponsor: Forest Service, U.S. Department of Agriculture
 Term (this action): July 18, 2009 – March 31, 2011
 Description: *In partnership with the USFS, SFA will conduct surveys to determine visitor use patterns of the Kisatchie National Forest.* PI/PD: Dr. Pat Stephens-Williams, Forestry

Subtotal Direct Federal Awards (this period) = \$2,167,668
Subtotal FY 2010 Awards (this report) = \$260,550

Federal Pass-through Awards***Columbia Regional Geospatial Service Center***

FY 2010 Award: \$3,800,000
 Total Award: \$3,800,000 (Grant – *additional award*)
 Sponsor: Texas Adjutant General’s Office (U.S. Department of Defense)
 Term (this action): October 1, 2009 – September 30, 2010
 Description: *Funding supports general operations and activities of the Columbia Regional Geospatial Service Center System, a growing network of university-based centers dedicated to supplying regional geospatial services in support of emergency response, economic development, and natural resource management. Centers exist at the University of Texas at El Paso, Texas Tech University, and Lamar University.*
 P/IPD: Mr. P. R. Blackwell, Forestry

ATC Professional Development Accountability System

FY 2010 Award: \$500,000
 Total Award: \$500,000 (Grant - *renewal*)
 Sponsor: Texas Education Agency (U.S. Department of Education)
 Term (this action): September 1, 2009 – August 31, 2010
 Description: *This project supports the statewide Advanced Technical Credit (ATC) Program by determining and recording the eligibility of secondary teachers to teach courses for articulated college credit and, in partnership with the Lone Star College System, facilitates secondary-to-postsecondary course alignment and training of secondary subject-area teachers.* P/IPD: Dr. Mel Finkenberg, College of Education

Visually Impaired Preparation (VIP) Program

FY 2010 Award: \$487,000
 Total Award: \$487,000 (Interagency Agreement - *renewal*)
 Sponsor: Texas School for the Blind and Visually Impaired
 (U.S. Department of Education)
 Term (this action): September 1, 2009 – August 31, 2010
 Description: *SFA will prepare or begin to prepare 34 new professionals taking coursework leading to endorsement in visual impairment or Academy for Certification of Vision Rehabilitation and Education Professionals (ACVREP) certification in Orientation and Mobility.* P/IPD: Dr. Dixie Mercer, Human Services

State Leadership Educational Excellence for CTE in Education & Training, Hospitality & Tourism, and Human Services

FY 2010 Award: \$300,000
 Total Award: \$300,000 (Grant)
 Sponsor: Texas Education Agency (U.S. Department of Education)
 Term (this action): September 1, 2009 – August 31, 2010
 Description: *This project supports the statewide implementation of rigorous TEKS for the Education and Training, Hospitality and Tourism, and Human Services career cluster and develops and coordinates professional development opportunities to*

improve teacher effectiveness. PI/PD: Dr. Lynda Martin, Human Sciences. Co-PIs/PDs: Ms. Mary Olle and Ms. Chay Runnels, Human Sciences

SFA Charter School Start-up Grant

FY 2010 Award: \$203,821
 Total Award: \$203,821 (Grant - *supplemental award*)
 Sponsor: Texas Education Agency (U.S. Department of Education)
 Term (this action): September 1, 2009 – January 31, 2010
 Description: *This award provides additional funds for the start-up of the SFA Charter School, including teacher professional development, computer equipment, classroom supplies, and instructional materials.* PI/PD: Ms. Lysa Hagan, Elementary Education

Child Welfare Professional Development Project FY10

FY 2010 Award: \$175,355
 Total Award: \$175,355 (Interagency Agreement - *renewal*)
 Sponsor: Texas Department of Family and Protective Services (DHHS)
 Term (this action): July 1, 2009 – June 30, 2010
 Description: *The purpose is to develop a pool of trained professional social workers with BSW and/or MSW degrees who are prepared for employment in Title IV-E eligible Child Protective Services positions and to train prospective and current foster parents and prospective adoptive parents.* PI/PD: Ms. Becky Price-Mayo, Social Work

Critical Facilities Infrastructure Mapping (CFIM)

FY 2010 Award: \$150,000
 Total Award: \$150,000 (Interagency Vendor Contract - *supplemental award*)
 Sponsor: Texas Commission on Environmental Quality (EPA)
 Term (this action): September 1, 2009 – August 31, 2010
 Description: *This project, conducted in partnership with UT El Paso and Texas Tech University, identifies and collects geographic locations of public water systems' critical facility infrastructure.* PI/PD: Mr. P. R. Blackwell, Forestry - Columbia Regional Geospatial Service Center

Special Education IDEA-B Stimulus Grant (ARRA – stimulus funds)

FY 2010 Award: \$26,891
 Total Award: \$26,891 (Formula grant)
 Sponsor: Texas Education Agency (U.S. Department of Education)
 Term (this action): July 9, 2009 – September 30, 2011
 Description: *This funding provides for a counselor and the services of a contracted speech pathologist, diagnostician, and ARD/IEP facilitator for special education in the SFA Charter School.* PI/PD: Ms. Lysa Hagan, Elementary Education

Utilities and Districts Mapping Implementation of Districts

FY 2010 Award: \$25,000
 Total Award: \$25,000 (Interagency Vendor Contract - *supplemental award*)
 Sponsor: Texas Commission on Environmental Quality (EPA)

Term (this action): September 1, 2009 – August 31, 2010
 Description: *This project determines the physical location of districts that provide water and/or sewer services in Texas and converts the location information to geographic information systems (GIS).* PI/PD: Mr. P. R. Blackwell, Forestry - Columbia Regional Geospatial Service Center

AmeriCorps AHEC Professional Corps Placement Agreement

FY 2010 Award: \$5,000
 Total Award: \$5,000 (Interagency Contract)
 Sponsor: U.T. Health Science Center – Tyler
 (Corporation for National and Community Service)
 Term (this action): July 6, 2009 – July 5, 2010
 Description: *SFA coordinates placement and operating sites for Family Medicine and Occupational Medicine medical residents participating in the AmeriCorps Program.* PI/PD: Ms. Janis Ritter, AHEC - College of Science and Mathematics

Subtotal Federal Pass-through Awards (this period) = \$5,673,067
Subtotal FY 2010 Awards (this report) = \$5,673,067

State Awards

Disability Services - Interpreter Services

FY 2010 Award: \$35,000
 Total Award: \$70,000 (Interagency Agreement – *renewal*)
 Sponsor: Texas Department of Assistive and Rehabilitative Services
 Term (this action): September 1, 2009 – August 31, 2011
 Description: *This contract provides Certified Interpreter, notetaker/scribe, notetaker/typist, tutorial, mobility/support, and other services to individuals who are also consumers of DARS.* PI/PD: Mr. Chuck Lopez, Disability Services

Deep East Texas P-16 Council

FY 2010 Award: \$47,200
 Total Award: \$47,200 (Grant – *renewal*)
 Sponsor: Texas Higher Education Coordinating Board
 Term (this action): September 1, 2009 – August 31, 2010
 Description: *Funds are provided to support activities of the Deep East Texas P-16 Council, comprised of SFA, Angelina College, 15 regional school districts, Workforce Solutions of Deep East Texas, and regional business and community representatives.*
 PI/PD: Dr. Mary Nelle Brunson, Academic Affairs. Co-PI/PD: Ms. Brenda Hill

Nursing Education Performance Initiative Grant

FY 2010 Award: \$25,000
 Total Award: \$25,000 (Grant)
 Sponsor: Texas Higher Education Coordinating Board
 Term (this action): July 1, 2009 – August 31, 2010

Description: *Funds are to develop a dissemination plan for the best practice documented by SFA in its application for recognition and to increase enrollments and graduates from the nursing program.* PI/PD: Dr. Glenda Walker, Nursing

Current Knowledge of the Angelina-Neches River Basin Area Texas Instream Flow

FY 2010 Award: \$15,000
 Total Award: \$15,000 (Interagency Agreement)
 Sponsor: Texas Water Development Board
 Term (this action): June 19, 2009 – August 31, 2009
 Description: *The purpose of this award is to scan existing reports and referenced literature on the Angelina-Neches River basin and link them to a database.*
 PI/PD: Dr. Matthew McBroom, Forestry. Co-PI/PD: Dr. Kenneth Farrish, Environmental Science - Waters of East Texas (WET) Center

JAMP: Joint Admissions Medical Program FY10

FY 2010 Award: \$15,000
 Total Award: \$15,000 (Interagency Agreement - *renewal*)
 Sponsor: U.T. Medical Branch – Galveston (TX Higher Education Coordinating Board)
 Term (this action): September 1, 2009 – August 31, 2015
 Description: *The purpose is to identify and recruit students who may be eligible to participate in JAMP, which is designed to academically prepare students for admission to medical school.* PI/PD: Dr. Kevin Langford, Biology

Subtotal State Awards (this period) = \$172,200
Subtotal FY2010 Awards (this report) = \$137,200

Private Awards

Portable Photosynthesis System – Li-COR

FY 2010 Award: \$40,000
 Total Award: \$40,000 (non-cash; matching equipment award)
 Sponsor: Li-COR Biosciences Environmental Education Fund (LEEF)
 Term (this action): June 24, 2009 – April 30, 2010
 Description: *This award provided \$40,000 toward the purchase of an Ecophysiology Package. The acquisition of the state-of-the-art portable photosynthesis system will provide the biology department with the equipment necessary to successfully carry out environmental and physiological studies of plants under global climate change scenarios.* PI/PD: Dr. Dennis Gravatt, Biology

Paving, Privet Control, and 'Gator Replacement

FY 2010 Award: \$25,000
 Total Award: \$25,000 (Grant)
 Sponsor: George and Fay Young Foundation, Inc.
 Term (this action): May 1, 2009 – December 31, 2009
 Description: *Funding is provided to resurface the parking area near the Tucker House and Lady Bird Johnson Wildflower Demonstration Gardens, to purchase a John*

Deer Gator, and to control invasive species in the forest at the Pineywoods Native Plant Center. PI/PD: Dr. David Creech, Agriculture - SFA Gardens

Black Bear Population Abundance in the Northern Lower Peninsula, Michigan

FY 2010 Award: \$8,667
 Total Award: \$16,000 (Grant)
 Sponsor: Turtle Lake Wildlife Foundation
 Term (this action): July 9, 2009 – July 8, 2011
 Description: *Funds will be used to conduct a black bear population density study on and around the Turtle Lake Club in Michigan. PI/PD: Dr. Daniel Scognamillo, Forestry*

Longleaf Pine Data Collection - Research Internship

FY 2010 Award: \$5,000
 Total Award: \$5,000 (Contract)
 Sponsor: The Nature Conservancy
 Term (this action): September 1, 2009 – August 31, 2010
 Description: *SFA will select and provide student interns to conduct research in the Big Thicket/Sandylands Conservation Area Program in Silsbee, Texas. PI/PD: Dr. William Forbes, Social and Cultural Analysis - Center for Regional Heritage Research*

Assessment of Population Status and Evaluation of Suitable Habitats for Louisiana Black Bear (*Ursus americanus luteolus*) in East Texas

FY 2010 Award: \$5,000
 Total Award: \$5,000 (Grant)
 Sponsor: Defenders of Wildlife
 Term (this action): July 1, 2009 – August 31, 2012
 Description: *SFA will conduct an inventory and assessment program to provide a baseline assessment of population status for future monitoring of populations of Louisiana Black Bear, a federally listed species, as well as evaluate habitat for future population expansion and management. PI/PD: Dr. Christopher Comer, Forestry*

Tournées Festival Film Program

FY 2010 Award: \$1,800
 Total Award: \$1,800 (Grant)
 Sponsor: French American Cultural Exchange
 Term (this action): July 14, 2009 – June 30, 2010
 Description: *This award supports the screening of contemporary French cinema on the SFA campus. PI/PD: Dr. Joyce Johnston, Modern Languages*

Subtotal Private Awards (this period) = \$92,800
Subtotal FY 2010 Awards (this report) = \$85,467

Total Grant Awards (this period) = \$8,105,735
Total FY 2010 Awards (this report) = \$6,156,284

Note:

- *Excludes from FY 2010 award totals accounts reported in FY 2010 annual budget restricted funds unless another award was received since then.*
- *Amounts are based on award notices as they are received from the funding agency, not balances in funds/accounts.*
- *Does not include financial aid or gift accounts.*

**STEPHEN F. AUSTIN STATE UNIVERSITY
DEPARTMENT OF AUDIT SERVICES
INTERNAL AUDIT CHARTER
October 12, 2009**

Purpose

Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve the university's operations. It helps the university accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

The purpose of the Department of Audit Services is to provide the Board of Regents and the President an independent appraisal of the adequacy and the effectiveness of the University's system of internal administrative and accounting controls and the quality of performance when compared with established standards. The primary objective is to assist the Board of Regents, the President and University management in the effective discharge of their responsibilities.

Authority

The Department of Audit Services is an integral part of Stephen F. Austin State University and functions within established policies. The Director of Audit Services reports functionally to the Board of Regents and administratively to the President.

The Department of Audit Services will have unrestricted access to all University activities; records, both manual and electronic; property; and personnel relevant to any area being reviewed. Members of the Audit Services' staff will handle all documents and other information acquired in the course of their duties prudently.

Standards and Independence

The Department will operate within the guidelines of the Texas Internal Auditing Act (Article 6252 – 5d., V.A.C.S.), the Institute of Internal Auditors (IIA) Professional Practices Framework which includes the Definition of Internal Auditing, the Code of Ethics, and the International Standards for the Professional Practice of Internal Auditing as mandatory guidance. In addition, where applicable the Department will follow Generally Accepted Government Auditing Standards (GAGAS).

The Department's internal auditors will uphold the principles of integrity, objectivity, confidentiality, and competency. Internal auditors will be independent

of the activities or operations they review; they will not engage in any activity which would impair their independence.

Responsibility

The Department of Audit Services will fulfill its responsibility to the Board and the President by:

- developing an audit plan based on a risk analysis which includes consideration of the university's goals and objectives and the concerns of management and the Board.
- providing audit coverage that consistently meets the needs and expectations of management
- following up on identified weaknesses, findings and recommendations from previous audit work
- participating in a program of quality assurance designed to ensure the increasing professionalism of the department and standard of the work performed
- performing consulting services including advisory and related service activities, the nature and scope of which are agreed upon and which are intended to add value and improve the university's governance, risk management, and control processes without assuming management responsibility. Examples include counsel, advice, facilitation, training, and committee service.

Annually the Director of Audit Services will submit information on the annual audit plan, work schedule, and staffing plan to the President for his review and to the Board of Regents for their approval. Quarterly the Director will provide activity reports to the President and the Board detailing progress against the annual audit plan, audit accomplishments, and highlights of any significant audit findings and recommendations. The Director of Audit Services will submit reports as required to the State Auditor's Office, Governor's Office, Legislative Budget Board and Sunset Advisory Commission.

The scope of audit activities will include all controls, reports and operations of the University. The Department of Audit Services will examine and evaluate:

- The reliability and integrity of financial and operating information and the means used to identify, measure, classify and report information.
- The systems established to ensure compliance with policies, plans, procedures, laws and regulations that could have a significant impact on the University.
- The means of safeguarding assets and verifying their existence.
- The economy and the efficiency with which resources are employed.

- The extent to which the operations and programs of the University are consistent with its objectives and goals.
- The ethics objectives and activities of the University.
- The potential for fraud and the management of fraud risk.

**Policies for Board Review
October 12, 2009**

Policy Name	Policy Number	Action/Change	Page Number
Academic Program Review	A-64	Major rewrite.	3
Authority for Official Statements	D-6	Updated captions	11
Authorization for the University President to Suspend Faculty and Staff	D-8	Updated captions.	12
Bookstore Special Orders	F-3	Policy deleted.	13
Bookstore Textbook Orders	F-4	Adjusted due dates. Updated captions.	14
Camp and Conference Reservations	B-4	Updated residence hall contact numbers. Updated names, titles, captions.	15
Campus Facilities for Political Purposes	B-5	Updated captions.	27
Computer and Network Security	D-8.1	Major rewrite.	28
Faculty Compensation Plan	E-71	Policy title changed. Major rewrite.	33
Food Services	C-13.5	Updated titles and captions.	37
Fraud	C-46	Included information on reporting fraud.	38
Guest Speaker	F-15	Clarified definition of advocacy. Updated captions.	44
Illicit Drugs and Alcohol Abuse	D-19	Listed campus sites where alcohol will be permitted. Updated statutory references.	46
Insurance and Other Benefits	E-28	Updated employee contribution amounts.	56
Mail Services	F-18	Updated captions.	63
New Employee Orientation	E-33.1	Updated captions.	65
Notary Public	F-21	Updated captions.	67
Oral English Proficiency Program	A-35.1	Major rewrite.	68
Organized Work Stoppage	E-34	Updated captions.	73
Performance Management Plan	E-57	Copies to be kept by employee and supervisor. Updated captions.	74
Private Support Organizations or Donors	D-25.5	Updated captions.	77
Receipts and Deposits	C-5	Total rewrite.	79
Reduction in Force of Non-Academic Employees	E-41N	Written notification will be given 60 days prior. Affected employees will complete online applications.	90

Policy Name	Policy Number	Action/Change	Page Number
Regents Professors	A-38	Policy title changed. Major rewrite.	93
Retirement Programs	E-43	Employer matching contributions changed 9/1/09.	96
Risk Management	E-43.5	Major rewrite.	99
Selection of President, General Counsel, Director of Audit Services and Assistant to the Board of Regents	D-30	Updated captions.	106
Selection of Vice Presidents, Athletic Director and Head Coaches	D-30.1	Updated captions.	107
Sick Leave	E-47	Expectations of employees added.	108
Sick Leave Pool	E-47.1	Employee must be fully incapacitated for 30 days to be eligible.	111
Student Center Operations	B-29	Service of alcohol permitted for approved events sponsored by university 501(c)(3) organizations	115
Student Records	D-13	Expanded definition of records; narrowed right to obtain copies; updated captions	123
Students Displaying Serious Psychological Problems	D-35	Updated captions.	131
Ticket Office Services	F-30	Updated captions.	136
Vending	F-31	Updated captions.	138

Academic Program Review (A-64)

Original Implementation: April 28, 2005

Last Revision: ~~July 14, 2005~~ October 12, 2009

BACKGROUND

Academic Program Review (APR) is intended to enhance the quality of *all* academic programs and ensure the ongoing support necessary for continuation, modification, and development of programs. All undergraduate and graduate degree programs fall within this policy. *APR serves to encourage self-study and planning within programs and to strengthen connections among the strategic plans of the program, the college, and the university. Academic program reviews provide information for curricular and budgetary planning decisions at each administrative level. In turn, resources needed for growth, continuation, or modification of programs can be included in planning processes.*

The normal cycle for APR is every five (5) years. All academic programs in a department should be reviewed at the same time, making APR a departmental as well as degree self-study. If one program in a department is governed by an external accrediting agency, all programs in the department shall be reviewed concurrently and in the same cycle as the accredited review. Departments with multiple accrediting agencies should follow the cycle of the accrediting agency most appropriate to the department.

Professional or specialized accreditation reports ~~will~~ *shall* substitute for the program review ~~document-report~~ required by this policy. *However, The scheduling of reviews for programs requiring such reports will be modified so the two reports can be produced simultaneously. Any information required by the program review-APR appendices but not included in the professional or accreditation review should* ~~must~~ be added before the report is submitted as a program review.

~~The provost, dean, or department chair may recommend that a program which has very low enrollments be subject to an independent (external) evaluation to help assist in assessing the program and determine if new strategies to increase enrollment are warranted.~~

The following definitions ~~help in~~ distinguishing terms used throughout this document:

- An **academic program** is a structured grouping of coursework designed to meet ~~an~~ educational objectives leading to a baccalaureate *degree*, ~~or~~ post-baccalaureate degree, a ~~minor~~, *certificate*, or a teaching credential.
- A **department/division/school** (*hereafter referred to as department*) - is an administrative unit that ~~may~~ manages one or more academic programs.
- **Unit outcomes** are the key services provided by an academic unit (*e.g., advising, alumni outreach, file maintenance*).

- **Program Learning Outcomes (PLOs)** are the knowledge, skills, and abilities students are expected to demonstrate upon completion of an academic program/major.
- **Student Learning Outcomes (SLOs)** define the knowledge, skills, and abilities students are expected to demonstrate upon completion of a particular course.
- **Exemplary Educational Outcomes (EEOs)** outline content knowledge and discipline-specific skills in five component areas (communication, mathematics, natural science, humanities/arts, and social sciences) within the core curriculum as identified by the Texas Higher Education Coordinating Board (THECB).

PURPOSE

The goal of Academic Program Review is to improve the quality and viability of each academic program. Academic Program Review serves to encourage self-study and planning within programs and to strengthen connections among the strategic plans of the program, the college, and the university as a whole. Academic program reviews provide information for curricular and budgetary planning decisions at each administrative level. In turn, resources needed for growth, continuation, or modification of programs can be included in planning processes.

PROCESS SUMMARY

The academic program review process is intended to close a circle of self-inquiry, review, and improvement. The basic components of APR are the following: *The APR process is designed to maintain compliance with the accreditation standards of the Southern Association for Colleges and Schools (SACS) and the THECB. Within the framework of strategic planning, academic units evaluate their effectiveness in achieving unit outcomes and learning outcomes as they seek to accomplish college and university goals. As such, APR should be considered a self-study that mirrors the process utilized for SACS re-accreditation.*

The university's mission statement and strategic plan drive APR. Academic units must be engaged in the ongoing assessment of their unit outcomes and program learning outcomes. Program Learning Outcomes (PLOs), in turn, are related to student learning outcomes (SLOs). Departments with core curriculum offerings are also required to conduct an assessment of the Exemplary Educational Outcomes (EEOs) of these courses. Since assessment calendars are not uniform, PLOs, unit outcomes, and EEOs are unlikely to be reviewed on the same schedule during an academic year. The annual assessment cycle includes collection and analysis of data, including the use of the results to improve program effectiveness. Strategic planning by academic units is the effort to reflect the university's strategic plan through its unit outcomes and PLOs.

APR shall yield a self-study report that involves a longitudinal examination of assessment results and improvement strategies. The APR schedule, as noted above, is adjusted for academic units with outside accrediting agencies. The provost and vice president for academic affairs (VPAA) shall establish a five year schedule of the programs to be

reviewed along with the deadlines for completing each task. The self-study is developed by a committee composed of faculty within the department appointed by the chair. The report must adhere to the APR template.

Programs with external professional accreditation are normally reviewed by outside program evaluators as part of the accreditation process. Programs and academic units lacking external professional accreditation or review shall also benefit from external review. They shall submit their completed self-study to a panel of outside reviewers. The external reviewers must have no conflict of interest by being alumni, former students, employees, or formal collaborators with faculty in the unit they shall review. A site visit by the external reviewers shall take place every ten years. In the intervening fifth year review, the external reviewers shall evaluate the self-study remotely. The department shall select three individuals to serve as the panel of outside reviewers from a larger panel of no fewer than five senior faculty in disciplines selected by the dean of the college from comparable institutions of higher education. Preference shall be given to out of state colleges and universities accredited by SACS unless there is a compelling reason, such as educator certification, to select from within Texas. The outside reviewers shall evaluate the materials (self-study, required appendices, and site visit when scheduled) and write a thorough evaluation of the program to be attached to the self-study. Upon completion of the external review, the report is forwarded first to the chair and then to the dean for comments. After comments by the chair and dean, the departmental committee may include a response. All areas of the self-study, external review, and internal review must be addressed to the satisfaction of the provost.

Once available but no later than the deadline established by the provost, all materials (self-study, comments, and outside review) shall be considered by the University Program Review Committee (UPRC). The faculty from each college shall annually elect a tenured faculty member to serve on the committee and the provost shall appoint an additional three members. The provost, or designee, shall chair the committee, with the director of institutional research serving in an ex officio capacity. The UPRC shall develop a set of guidelines for improvement that the departmental self-study committee translates into an action plan with deadlines. This plan is reviewed in a meeting attended by the chair, dean, and provost and either accepted or modified at this time.

- ~~•A self-study, recommendations, and implementation plan completed by the faculty associated with the program and in some cases, an external evaluation.~~
- ~~•Review and recommendations by the college~~
- ~~•Review and recommendations by the University Program Review Committee.~~
- ~~•Final approval by the Provost.~~

~~The process can be summarized as follows:~~

1. The Office of the Provost announces the programs to be reviewed one year prior to the completion date of the self-study along with its recommendations and implementation plan.
2. The program representative(s), program administrator, dean and Institutional Research establish a schedule for completion of the review within the university's timeline for review.
3. For accredited programs, the provost, in consultation with the college dean and the program administrator, will determine whether the accreditation review process covers the essential elements of APR.
4. The program representative conducts the self-study and then prepares recommendations and a suggested implementation plan along with the budgetary/resource issues identified in the self-study.
5. The college reviews the self-study, requesting additional materials as needed, and makes recommendations. A copy of the self-study and implementation plan is forwarded to the Office of the Provost for distribution to the University Program Review Committee.
6. The Program Review Committee reviews the self-study, recommendations, and implementation plan of the program and makes recommendations.
7. The program representative(s), the program administrator, the college dean, the representative of the Program Review Committee, and the provost meet to discuss recommendations.
8. The program administrator, in collaboration with the dean, submits to the provost a final implementation plan that identifies resource needs consistent with the recommendations of reviewing committees, and consistent with the college mission strategic plan. Programs responsible for core curriculum courses and those programs that teach courses in the Honors Program may also factor needs resulting from such participation into their resource needs.
9. A copy of the self-study, recommendations, and action plan is submitted to Institutional Research.
10. Institutional Research submits a year-end report to the Board of Regents on the program reviews completed that year.
11. Academic Affairs and the individual college builds the program review recommendations into planning for the coming year(s).

ROLES AND RESPONSIBILITIES

Academic program review is a comprehensive and periodic review of academic programs and General Education. APR is a function of the Provost, in conjunction with the deans and academic governance, and is supported by Institutional Research. Since APR is the major assessment of all academic programs, appropriate support should be given to programs to ensure a thoughtful, critical appraisal of the program.

Academic programs should be reviewed periodically at intervals of five years. This schedule may be accelerated in individual cases either at the discretion of the Provost or college dean or in compliance with recommendations from prior program reviews. Wherever possible, APR's will be coordinated with specialized accreditation reviews.

ELEMENTS OF THE SELF-STUDY

An APR template guides the development of the self-study report. Any deviation from the template must be approved in advance by the provost. The self-study report is limited to a maximum of 25 pages, excluding the mandatory appendices. The report's format must adhere to the following guidelines: one-inch margins, single-spaced, and 12-point Times New Roman font. The self-study should be available in electronic version. The report should not be descriptive but rather an analysis of program effectiveness supported by assessment results.

The report is divided into three sections: (1) program overview and unit effectiveness (unit outcomes), (2) teaching/learning effectiveness (PLOs and EEOs), and (3) faculty research/scholarly/creative effectiveness. All appendices must be completed even if an accrediting report is submitted in lieu of the APR report. The self-study is composed of a narrative (25 page limit) supported by the appendices.

I. Program Overview and Unit Effectiveness

This section is designed to evaluate a program's effectiveness in performing its operational activities. As such, the report should (1) review the program's administration and resources and (2) analyze the annual assessment results of unit outcomes.

A. Program Administration

An academic program cannot be effective unless it is supported with sufficient and quality resources to fulfill its mission. In determining the effectiveness of a program's administration, the following template should be completed and included as Appendix A: (1) alignment of the unit's mission statement with the university's mission statement, (2) degrees and/or certificates offered by the program, (3) faculty profile, (4) student profile, (5) staff, and (6) sources of income. Except where indicated, data are for a department rather than specific degrees.

Once the appendices are constructed, the accompanying narrative should address the effectiveness of the program in fulfilling the university's mission in light of the faculty, student, and resource characteristics. The narrative should describe areas for improvement and plans for addressing them.

B. Unit Outcomes Assessment

Unit outcomes define the key services a department provides. Under SACS accreditation standards, these outcomes must be assessed annually and actions taken as warranted by the assessment. The template on unit outcomes (Appendix B) should collate the annual unit assessment reports from the university's assessment software (e.g., TracDat) for the previous five years. A narrative should summarize the trends discerned in the

assessment information, demonstrate that appropriate actions have been taken to enhance program effectiveness, and outline a five-year strategic plan.

II. Program Learning Outcomes

PLOs constitute benchmarks against which the effectiveness of student learning is measured. Under SACS accreditation standards, PLOs must be assessed annually and appropriate actions taken as a result of the feedback. Relevant assessment data on EEOs should be incorporated. Appendix C shall contain the cumulative assessment data as reported in the university's assessment software (e.g., TracDat). The narrative should summarize the trends identified through the assessment process and demonstrate that appropriate actions have been taken to enhance learning effectiveness within the program.

III. Faculty Research/Scholarly/Creative Productivity

This section assesses the performance of a program's faculty in conducting scholarly activities. Appendix D should contain faculty productivity data over a five-year period. The template should (1) collate faculty data from the previous five years on intellectual contributions, creative works, and contracts/grants/sponsored research from the university's faculty reporting system (e.g., Digital Measures) and (2) the results of tenure and promotion decisions (Template D-1). The narrative should include an analysis of the data as well as emphasize distinctive faculty accomplishments and honors. Where improvements are indicated, an explanation should indicate that appropriate actions have been or shall be taken to enhance faculty effectiveness within the program.

•Introduction and update since last review

How has this discipline/field changed over the past five years? How has your curriculum changed to address these developments? What actions have been taken in response to recommendations made in any previous reviews?

•Commitment to student learning

What are the learning goals of your program? How do you measure that students are achieving these goals? How do you gather and use data collected in your assessment program? For undergraduate programs, identify the general education goals/skills that are most critical for majors entering your program. What is your assessment of student achievement in these goals/skills as they enter your major courses? On what evidence do you base this assessment?

•Describe enrollment trends in the program for the past five years

Provide an analysis of how successful the program is in recruiting, retaining and graduating students. Include information about service courses (for other majors, general education, remediation) if appropriate.

•Does faculty expertise cover the breadth of the program?

Please report how faculty members are engaged and supported in development of expertise and skills required to strengthen the program and how they are engaged in scholarship, research, and/or creative activity.

•Recommendations and implementation plan.

What are the recommendations of the program in response to this review? Provide the plan that shows implementation of these recommendations and projections for the program for the next five years. In the course of your plan, please address the following:

- Are there any changes you can reasonably anticipated in the profile of the students in your program, including number and types of students?
- What curricular changes are planned? What scheduling changes are planned? How will the program contribute to non-traditional modes of delivery (i.e. short courses, web, TV)
- What types of human, fiscal and physical resources are needed to implement your enrollment projections and recommendation

A preliminary draft should be included with the self-study; however, the final draft should reflect not only the views of the program faculty but also recommendations by university committees. The final implementation plan will result from discussion and consultation among the self-study coordinator, the department chair, the dean of the college, and the provost. The implementation plan will link the program plans and goals to those of the college and university and will guide the activities of the program for the subsequent five years.

DATA APPENDICES:

Information provided by the Office of Institutional Research

STUDENT DATA (5-year history)

Student enrollment (major, minor)

Student/ethnicity/gender

Student grade distribution; GPA

Student retention rates, degrees awarded

FACULTY & faculty workloads (5-year history)

Student/faculty ratio

Course History

CURRICULUM DATA (5-year history)

~~Course enrollment history~~

~~Student credit hour generation~~

~~OTHER~~

~~Senior exit survey responses~~

TIMELINE

~~The timeline will be disseminated by the Provost's office in September.~~

~~**Source of Authority:** Provost/Vice President for Academic Affairs~~

~~**Cross Reference:** None *Policy C-45, Professional and Consultant Services*~~

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

~~**Contact for Revision:** Provost/ and Vice President for Academic Affairs~~

~~**Forms:** None *Appendix A Template, Appendix D-1 Template*~~

Authority for Official Statements (D-6)

Original Implementation: January 22, 1977

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

The Board of Regents hereby reserves the authority and responsibility for determining matters of policy and official statements concerning any political or other subjects of an obviously controversial nature which represents an official policy, statement, or position of the Board of Regents or of the university. Statements, policies, and positions by the Board of Regents on such matters shall be made by the board through the chair of the board or the president of the university. No regent, officer, faculty or staff member shall have the authority to speak for or issue any public statements on policy for and on behalf of the Board of Regents, or of the university, on such matters without prior approval of the board.

~~**Source of Authority:** Board of Regents Rules and Regulations~~

~~**Cross Reference:** None~~ *Board of Regents Rules and Regulations*

Responsible for Implementation: *President*

Contact for Revision: President

Forms: None

Authorization for the University President to Suspend Faculty and Staff (D-8)

Original Implementation: April 27, 1970

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

Without prior notice or hearing, the president of the university may suspend without pay and immediately remove from the university or assign to other duties with pay, any employee who:

1. poses a continuing danger to persons or property;
2. disrupts the orderly operation of the university;
3. endangers the education of students;
4. has been convicted by a trial court of any felony or a crime of moral turpitude.

The president shall immediately notify the general counsel of such action. In such cases the president will set a hearing before the appropriate administrator or committee on the employee's case as soon thereafter as is practical unless otherwise waived by the employee.

Source of Authority: ~~Board of Regents Rules and Regulations~~

Cross Reference: ~~None~~ *Board of Regents Rules and Regulations*

Responsible for Implementation: *President*

Contact for Revision: President

Forms: None

~~Bookstore Special Orders (F-3) POLICY DELETED~~**Original Implementation:** Unpublished**Last Revision:** ~~October 19, 2006~~

~~The university bookstore will place special orders for students, faculty and staff for merchandise not in stock. Individuals desiring special order items, such as books, office supplies, etc., should contact the textbook manager for special orders involving textbooks or the merchandise manager for special orders involving school supplies, spirit clothing, spirit merchandise or assistance. Upon receipt of special order merchandise by the bookstore, the individual will be notified and payment can be made by cash, check or credit card (for personal merchandise) or by university credit card (for university merchandise).~~

~~-~~

Source of Authority: ~~Vice President for University Affairs~~**Cross Reference:** ~~None~~**Contact for Revision:** ~~Director of the Student Center~~**Forms:** ~~None~~

Bookstore Textbook Orders (F-4)

Original Implementation: Unpublished

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

Every semester the textbook manager in the Barnes and Noble University Bookstore sends each academic department chair Textbook Information Forms, instructions for completion, and a list of adopted books with new editions in print. Required textbooks are selected and optional books are recommended by each department chair for the following semester. Approximate due dates for departmental selections to be returned to the university bookstore are listed below.

1. Fall semester - March 21
2. Spring semester - October 10~~25~~
3. Summer semesters - March 10

Following internal checks of textbook inventories, buy back quantities, and quantities sold in previous semesters, the bookstore places purchase orders with publishers. If problems arise during the purchasing process, the bookstore notifies the appropriate department chair and if necessary, new textbook selections are made.

Source of Authority: ~~Vice President for University Affairs~~

Cross Reference: None

Responsible for Implementation: *Vice President for University Affairs*

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

Forms: None

Camp and Conference Reservations (B-4)

Original Implementation: 1987

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

Each year Stephen F. Austin State University is host to a variety of camps, clinics, workshops, and conferences. To facilitate the many and varied requests of these groups, the coordinator for university reservations and conferences, referred to in this booklet as the coordinator, located in the student center, is available to assist camp directors in arranging housing, meal tickets, meeting space, insurance, parking permits, and banquets. A camp, as referred to in this document, refers to all special programs, camps and conferences.

Eligibility

Any camp or conference requesting use of university facilities must have a university sponsor. If profit-making agencies are involved with the program, the sponsoring organization must receive prior approval from the vice president for finance and administration to conduct the camp. It is the responsibility of the university sponsor to ensure that programs and activities conducted in the student center or at other locations on the university campus are in compliance with the Americans with Disabilities Act.

Age of Participants

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

Request for Camp/Conference Facilities

Camp directors must submit a completed Camp/Conference Reservation Contract to the coordinator to request the use of university facilities. An estimated number of attendees (including counselors and directors) for the camp must be included on this form. Housing, meal cards, meeting space and other requests will be reserved according to the stated needs on this form. Completion and return of these forms as early as possible will help assure that each specific need will be met. Some areas are limited and will be supplied on a first-come, first-serve basis. A packet containing passes, tickets, insurance forms and instructions will be assembled and should be picked up at the coordinator's office two (2) weeks before the scheduled camp date.

Insurance Requirements

It is the responsibility of the university sponsor to ensure that each group has appropriate liability coverage. All non-credit participants spending the night in university residence halls must be insured. A per camper/night fee will be assessed at the completion of the camp and included on the invoice for camp expenses. A list of names of all participants to be insured must be submitted to the office of the coordinator on the first working day of the camp session. Completion of insurance forms is the responsibility of the camp director. Forms returned because of insufficient information are also the camp director's responsibility.

Health Clinic

A university Medical Release and Consent Form must be completed and signed by the parent/guardian of each camper under age 18. Neither the clinic nor local hospitals will treat a minor student without this release form in hand. The camp director is responsible for having these forms signed and readily accessible at all times in case of an emergency.

Claim forms are available from the coordinator as needed. The attending SFA health clinic physician/professional will forward the claim form to the insurance carrier following a medical visit. In the event that a camper requires treatment at a local hospital, the insurance claim form must be returned to the coordinator to ensure correct processing of the claim. No claim will be processed without the signature of a camp official.

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

Emergency Phone Numbers

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

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

Billing Procedures

Billing for summer camps will be handled through the coordinator's office. Costs for meals, housing and insurance will be negotiated each year and the projected costs made available upon request. An account number or billing address should be supplied at the time of the original camp reservation. Upon completion of the camp, invoice for all lodging, damages, lost keys, meals, special banquets, SFA food service deliveries and pick-ups, insurance, and other applicable costs will be issued to the camp director. Any

damages, etc. discovered after the close of the camp will remain the camp director's responsibility. Payment must be made in full within 30 days of the date of the invoice.

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

Housing

The camp director should estimate as closely as possible the number of students and counselors needing university housing for the camp session. Space will be reserved as per the reservation completed by the camp director. Concurrent camps may result in two or more groups occupying the same residence hall.

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

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

Final Arrangements

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

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

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

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

Special Accommodations

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

The Camp/Conference Director Responsibilities

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

The camp/conference director:

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

The Hall Director's Responsibilities

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

After camp completion, the hall director will be responsible for submitting to the *Residence Life/Housing* Department the final count of rooms/beds used.

The hall director:

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

Hall Director Phone List

Wisely 2663 Hall 14 5408
 Todd 4907 Griffith 5401
 North 2644 Hall 16 5100
 Hall 10 4708 Steen 4607
 Mays 4707 Kerr 5306
 South 2793 Hall 20 2671

Residence Hall Contact Numbers

<i>Hall</i>	<i>Phone</i>	<i>Cell Phone</i>
<i>Wisely</i>	<i>(936)468-2600</i>	<i>(936)652-8205</i>
<i>Todd</i>	<i>(936)468-2800</i>	<i>(936)652-8207</i>
<i>North</i>	<i>(936)468-3000</i>	<i>(936)652-8209</i>

<i>Hall 10</i>	<i>(936)468-3200</i>	<i>(936)652-8210</i>
<i>Mays</i>	<i>(936)468-3700</i>	<i>(936)652-8211</i>
<i>South</i>	<i>(936)468-3900</i>	<i>(936)652-8212</i>
<i>Lodge</i>	<i>(936)468-2400</i>	<i>(936)652-8203</i>
<i>Hall 14</i>	<i>(936)468-4609</i>	<i>(936)652-8214</i>
<i>Griffith</i>	<i>(936)468-4909</i>	<i>(936)652-8215</i>
<i>Hall 16</i>	<i>(936)468-5109</i>	<i>(936)652-8216</i>
<i>Steen</i>	<i>(936)468-5201</i>	<i>(936)652-8171</i>
<i>Kerr</i>	<i>(936)468-5301</i>	<i>(936)652-8218</i>
<i>Hall 20</i>	<i>(936)468-2595</i>	<i>(936)652-8220</i>
<i>Village</i>	<i>(936)468-4300</i>	<i>(936)652-8133</i>

The hall director reports to the coordinator of residence life.

The Residence Hall Staff's Responsibilities

The residence hall staff, under the supervision of the coordinator of residence life and the day-to-day responsibility of the hall director, will assist in summer camp programs.

The hall staff:

1. Cooperates with the hall director in the operation of the residence hall;
2. Assists with check-in and preparation of facilities for each camp;
3. Assists with checkout and inspection of rooms at the close of each camp;
4. Performs desk responsibilities during assigned desk hours, gives information, checks guests in and out, issues keys, takes messages, and/or any other duties deemed necessary;
5. Serves as a referral/resource person to camp participants;
6. Assists in acquainting camp director with university policy, emergency procedures and facilities lay-out;
7. Maintains necessary reports and an accurate accounting of money, keys, maintenance requests, damages, etc.;
8. Is accessible in emergency situations;

9. Maintains duty hours as assigned by the hall director;
10. Attends staff meetings as assigned by the hall director; and,
11. Performs other duties as assigned by the hall director.

Residence Hall Rules and Regulations

- **Agenda/Schedule**

A copy of the agenda or schedule for each conference group must be left with the hall director to assist the residence hall staff in directing students during their stay.

- **Alcohol**

Alcohol is not allowed in residence halls at any time.

- **Cleaning Fee.**

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

- **Controlled Substance.**

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

- **Damages**

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

- **Desk**

The desk will be open from 10 a.m. until the camp curfew (no later than midnight). Messages for camp participants received by desk attendants will be posted in a central location and not delivered to individual rooms. The hall director will unlock the front doors at the time requested by the camp director. The front door will be locked at midnight, or earlier if requested. Anyone who is locked out of the building may use the emergency phone located next to the door to contact the University Police Department for admittance to the building.

- **Desk Deliveries**

Deliveries of prepaid merchandise may be made to the residence hall desk while it is open. Desk assistants will notify participants of a delivery, but shall in no way be

made accountable for such items. Occupants will be contacted for deliveries when payment is needed.

- **Discipline and Supervision**

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

- **Emergency**

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

- **Entry-Authorized Entry Into Rooms**

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

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

- **Evacuation Procedures**

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

- **Facility Sharing**

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

- **Firearms**

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

- **Fire Safety**

No incense or candles may be burned in residence halls. If an extinguisher is

maliciously discharged, a fee for refilling the extinguisher and for clean-up will be assessed. Transmission of a false alarm is a violation of state law and violators will be prosecuted.

- **Gambling**
Gambling in any form is prohibited.
- **Games**
Because of potential physical harm or residence hall damage, active games such as running and the use of frisbees, footballs, ice or water fights etc., are not allowed within residence halls. It is the responsibility of the camp to store the equipment for the camp such as basketballs, etc.
- **Guests With Disabilities**
Camp guests that need any special accommodations should contact SFA's camp coordinator prior to arrival.
- **Housekeeping**
Housekeeping staff are on duty Monday through Friday. Common areas of the residence halls and community bathrooms are cleaned daily. Cleaning of individual rooms and trash in individual rooms is the responsibility of the camper. Any housekeeping concerns should be reported to the front desk.
- **Keys**
Keys are issued according to the camp director's request and university policy at the time of check-in. Keys must be turned in to residence hall staff at checkout. A replacement fee will be assessed for each key that is not returned at the end of the camp session. This charge covers the cost to change the lock and make a new set of keys. Camp officials will not be issued master or front door keys to any building. In the event a camper is locked out of a room, Camp staff will be asked to confirm the identity and room assignment of the camper before a new key is issued. Each camp director will develop the camp procedure for lockouts.
- **Laundry Facilities**
Coinless washing machines and dryers are located in each residence hall.
- **Lost and Found**
Lost and found items should be turned in to the front desk. At the end of each camp, the camp director may pick up any lost and found items. Anything left over from the camp will be turned in to the Student Center Information Desk on campus. SFA will not be responsible for lost or stolen items.
- **Maintenance**
Any maintenance problems should be reported to the hall director or desk personnel. Abuse of elevators, televisions, laundry machines or ice equipment or other excessive maintenance charges may be billed to the camp.
- **Medication**
The residence hall staff will not dispense any type of medication to a camper.

Contact the SFA health clinic at (936) 468-4008 if a camper will need assistance with medication during the camp session.

- **Movies**

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

- **Pets**

No pets are allowed within the residence halls.

- **Public Areas**

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

- **Roommates**

The camp director will handle all roommate problems. If a room change is necessary, consult the hall director.

- **Smoking**

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

- **Storage**

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

- **Telephones**

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

- **Trash Policy**

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

- **Vending**

Vending machines are provided for the convenience and enjoyment of the camp participants. Empty or malfunctioning machines should be reported to the front desk as soon as possible. Camp participants who lose money in the machines should report to the Student Center Information Desk, for a refund.

- **Windows**

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

Dining Service

Meal and hall access tickets to be used by camps will be enclosed in the camp packet according to the estimated number stated on the reservation form at a price per card. As a general rule, 10% extra meal tickets will be included to handle lost and damaged cards at no charge. Meal cards are numbered for use in assignment. If a card is lost, the coordinator's office may be notified immediately and SFA Dining Services will be alerted to watch for the lost card. To facilitate quick access to the cafeteria when several large groups are on campus simultaneously, meal times should be staggered. Special banquets in the student center can be arranged through the coordinator's office according to student center policies. SFA Dining Services will charge the camp for all meals scheduled according to the Camp/Conference Reservation Contract based on the actual number of attendees at the camp.

Campus Recreational Facilities and Programs

Requests for the use of campus recreational facilities and programs will be made in writing by the camp director on the Camp/Conference Reservation Contract. All facilities and programs for camps will be scheduled around academic classes, maintenance, campus recreation programs and field conditions.

The Baker Pattillo Student Center Meeting Rooms

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

Academic Buildings for Meeting Rooms

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

William R. Johnson Coliseum

Reservations for use of the William R. Johnson Coliseum will be arranged by the coordinator following the university regulations for coliseum usage. A per-event fee may be charged.

University Police/Parking

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

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

Cross Reference: None

Responsible for Implementation: *Vice President for University Affairs*

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

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

Campus Facilities for Political Purposes (B-5)

Original Implementation: April 27, 1970

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

While the use of the facilities of the university for partisan political assemblies and meetings is not normally encouraged, the faculty and administration, as members of a learned and honorable profession, may properly exercise their acknowledged individual rights and obligations of citizenship free of university discipline or censorship.

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

No member of the Board of Regents shall undertake to influence the political opinions of personnel subject to the board's jurisdiction, but such personnel are requested to exercise their individual rights or citizenship or academic freedom in a responsible manner reasonably calculated not to identify or associate with the university.

A university employee may not use his/her official authority or influence to coerce the political action of a person or body.

Source of Authority: ~~Board of Regents Rules and Regulations, Texas Government Code § 556.004~~

Cross Reference: ~~None~~ *Board of Regents Rules and Regulations; Tex. Gov't Code § 556.004*

Responsible for Implementation: *President*

Contact for Revision: President

Forms: None

Computer & Network Security (D-8.1)

Original Implementation: January 24, 1995

Last Revision: ~~January 19, 2006~~ October 12, 2009

Purpose

~~This policy To establishes the conditions and security requirements for the use of computing equipment and networks , and requirements for appropriate security to cover at Stephen F. Austin State University -computing equipment and networks(SFA). Computing equipment is defined to includes desktops, laptops, servers, handheld devices, and 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 serves as information resources manager for the university, and the Department of ITS is tasked to ensures compliance.~~

Scope

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

Policy

- ~~• 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.~~
- ~~• 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.~~
- ~~• 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 general maintenance on all computing equipment within their organizational unit.~~

~~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.

1. *Each vice president, dean or director shall designate department staff (not student employees) or the technical services group of ITS as responsible for the support, maintenance and security of the computing equipment within their purview. For organizational units that designate local staff as their support provider, ITS shall provide computing support guidelines specifying the level of support that ITS shall provide as the secondary support provider.*
2. Each organizational unit, ~~through its designees,~~ shall implement local security procedures, to include:
 - a. Protection of the privacy of confidential information;
 - b. Protection of information against unauthorized modification;
 - c. Protection of systems against unauthorized access and use;
 - d. ~~Display of the standard security banner that is listed on~~ *Display of the standard security banner that is listed on from the ITS Ssecurity web page on organization computers;*
 - e. ~~Use of Where feasible, the usage of the university's central authentication source for user authentication on servers and desktop computers, where feasible;~~
 - f. ~~Use of Where feasible, the usage of the standard university antivirus software in a managed configuration, where feasible that reports infections to the central server.~~
3. *Each organizational unit of SFA that maintains a local area network(s) must develop a local security procedures document that is subject to approval by ITS. In order to mitigate and manage risk, each organizational unit maintaining servers shall participate in the annual information systems security risk assessment. The Texas Department of Information Resource Information Security Awareness, Assessment, and Compliance application (ISAAC A) shall be utilized to perform the risk assessment. The results of the ISAAC A risk assessment shall be sent to the University's Information Security Officer for inclusion in a report presented to the President or his or her designee.*

The president or designee shall make the final security risk management decisions either to accept exposures or to protect the data according to their value or sensitivity.

~~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.~~

4. *SFA shall not be liable for the 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. In order to maintain network security, the University reserves the right to:*

- a. Limit, restrict, or terminate an account holder's usage;
- b. Inspect, copy, remove, or otherwise alter any data, file, or system resource that threatens the security of ~~that a~~ system or ~~the~~ network, with or without prior notice to the user;
- c. ~~Periodically check the systems periodically~~ and take ~~any other such the~~ *actions necessary actions* 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.~~

5. ~~Individuals are expected shall 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.
- a. *Access to certain university information resources is provided through the establishment of an account. Computer accounts must be approved in writing through the respective dean or director (or designated representative) of the administrative unit.*
 - b. *Since the university permits access to copyrighted data through the Internet, each user is responsible for complying with university policy D-42, Digital Millennium Copyright. Disciplinary action, including termination of service, may be taken on any reported copyright infringements that have been investigated and determined valid.*

- c. *Computer systems provided by SFA are reserved 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 misuse of system resources by others are prohibited.*

6.

~~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.~~

~~Each user is responsible for understanding and complying with the university policies on Acceptable Use of Information Resources F-40, Acceptable Use of Information Resources and D-43, Computing Software Copyright.~~

- ~~e. Each user is responsible for understanding and complying with the policy on Computing Software Copyright.~~
- ~~d. 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. This means disciplinary action including termination of service may be taken on any reported copyright infringements that have been investigated and determined valid. (see <http://www.arl.org/pp/ppcopyright/copystatutes/dmca.shtml>) www.arl.org/info/fm/copy/dmca.html)~~
- ~~e. 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:

- a. a limitation on a user's access to some or all university computer systems;
- b. 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);~~
- c. ~~the requirement of the restitution by the violator to provide restitution for any improper use of service; and~~
- d. 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~~ *are responsible for the failure to complete requirements for course work or work responsibilityies.*

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

~~**Cross Reference:** University Policies, Acceptable Use of Information Resources F-40, Computing Software Copyright D-43, and Digital Millennium Copyright Policy D-42, Texas Information Resources Management Act, *Tex. Gov't Code §§ 2054.001-.465*, ~~Texas Administrative Code~~ *Tex. Admin. Code §§ 202.1-.2, .70-.78*, ~~Texas Penal Code~~ *Tex. Penal Code §§ 39.01-.02.*~~

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

~~**Contact for Revision:** Provost and Vice President for Academic Affairs Finance and Administration~~

Forms: None

Faculty Compensation Plan (E-71)

Original Implementation: February 3, 2005

Last Revision: ~~None~~ October 12, 2009

~~The mission of Stephen F. Austin State University (SFA) is to provide students a foundation for success, a passion for learning and a commitment to responsible global citizenship in a community dedicated to teaching, research, creativity and service. The quality of teaching, research and service provided by the university ultimately depends on the quality of faculty and staff employed by the university. The university is responsible for securing a qualified and competent faculty and for utilizing public funds for faculty salaries and wages in an effective manner.~~

1. Faculty Employee

~~Faculty personnel are any university employee-employees with academic rank or duties which that include teaching, research, academic administration, or other scholarly activity and who is-are paid in full or in part from the line item "Faculty Salaries" or from another academic funding source. is-considered a faculty employee. The provost and vice president for academic affairs (VPAA), assistant associate provost, and Academic Deans are considered staff for purposes of this plan-policy.~~

2. Authority to Set Compensation

~~The Board of Regents has the Authority to set the compensation levels paid to faculty members resides with the Board of Regents. This authority is through review and adoption of the annual operating budget. The itemized budget, approved by the Board of Regents, specifies the salary authorized for each position. The provost must give initial approval of All changes to budgeted faculty positions outside of the annual operating budget require the initial approval of the Provost. These changes are formally requested on a Personnel Action Request Form and approved by other administrators at SFASU.~~

3. General Compensation

~~It is the plan-policy of the university to distribute fairly and equitably funds available for salaries and wages. Initial faculty salaries are determined based on a combination of factors, including the funding available for the position, the academic discipline, faculty rank at the time of appointment (see Academic Appoint and Titles Policy E-1A), highest degree earned, the job description, and requirements, professional experience, market value, and the needs of the department and college. Upon the recommendation of the chair and dean, the provost approves all faculty salaries prior to hiring.~~

~~3.4. Non-Discrimination~~

~~All position and salary range assignments shall be made on the bases of the work to be performed without regard to race, color, religion, sex, age, disability, national origin, veteran status, or marital status and in keeping accordance with the laws, policies, and regulations of the United States government, the state of Texas, -and the Board of Regents of Stephen F. Austin State University FA.~~

4.5. Administration of Faculty Compensation

The provost, in conjunction with the academic deans, has a responsibility for the administration ~~and maintenance of the Faculty Compensation Plan~~ *this policy*. Department chairs and directors are responsible for administering pay ~~shall recommend compensation~~ for their employees in accordance with university policies, procedures, and guidelines.

5.6. Faculty Compensation

- a. General Information: –Faculty salaries are normally budgeted for a 9-month period. Faculty *members* are compensated ~~an amount for on the basis of~~ a fair and reasonable workload (see Faculty Workload Policy A-18). Under the Federal Wage and Labor Law, faculty employees are exempt from overtime regulations.
- b. Market Data: –~~The University~~ *University administrators shall* use the College and University Professional Association for Human Resources (CUPAHR) as its primary determinate ~~for of the market value of for~~ faculty salaries. ~~In certain situations, the University~~ *Other may use* relevant market data *shall be considered when appropriate*. ~~provided by professional organizations, surveys, or other sources to determine the market value of a faculty position. Where CUPAHR data are available, the compensation for a faculty member should fall within a range of 50% to 150% of the CUPAHR national average salary for that rank and discipline. The actual faculty compensation will vary within these ranges based on the funding available for the position, discipline, rank at appointment, degree, job description and requirements, professional experience, market value, and need of the department and college. The CUPAHR data are available through the SFASU Office of Institutional Research.~~
- c. Compensation for Summer Teaching: –Summer teaching is not guaranteed. Where needed or required, faculty *members* may be assigned summer teaching (see Summer Teaching Policy A-18A). Faculty *members* are compensated for summer teaching at a rate of 1/6 of their 9 month teaching salary for a 100% teaching assignment for each summer session. Compensation *is prorated* for assignments less than ~~100%~~ *two teaching units are prorated accordingly*. Compensation for summer teaching is provided through the SFASU summer budget.
- d. Compensation for Adjunct Faculty:– When considered necessary to hire adjunct faculty to teach courses, the compensation should be based on the following *ranges*:

Years of Experience Salary Range (per course)

Zero to Six	\$2,500 - \$3,000
Seven to Ten	\$2,650 - \$3,200
Over Ten	\$2,800 - \$3,800

- e. Stipends for Adjuncts ~~will~~ *may* vary by college, discipline, need, and *the*

educational *level* of the proposed adjunct faculty member. Any variations must be recommended by the chair and dean and approved by the provost prior to appointment.

- f. Additional Compensation:- In instances where faculty *members* provide services outside of their normal *teaching* duties, they may be eligible for additional compensation (see Compensation in Excess of Base Pay Policy E-9).
- g. Overload Compensation: –In instances where faculty *members* are needed to teach an overload, they may be eligible for overload compensation. At a minimum, the overload compensation ~~will~~*shall* be comparable to that of an adjunct faculty member. Upon the recommendation of the chair and dean and approval of the provost, ~~the~~ overload compensation may vary based on the funding available, needs of the department, and qualifications of the faculty member.
- h. Associate Dean, *Assistant Dean*, Chair or Director Compensation:– When appointed as an associate dean, department chair or director, a faculty member may receive a combination of a stipend and ~~release~~*reassignment* time for performing administrative duties ~~for the department or area~~ (see Chair Appointments Policy #E-6A and Chair Teaching Load Policy E-7A).
- i. Grants, Endowments, and Other Arrangements: –Grants, endowments, awards and other arrangements may provide for an additional stipend or salary support for a faculty member within applicable regulatory parameters.

6.7. Increases in Compensation

- a. General Increases: –All salary increases for faculty ~~employees~~ *members*, unless otherwise mandated by the *state*'s legislature, ~~will~~*shall* be based on merit and/or equity. Quality teaching, research, scholarly/*creative* activity, administrative responsibilities, and ~~other faculty activities~~*service* may be considered in the merit process. Equity and adjustments may be awarded based on the recommendations of the department chair and dean, *subject to* ~~with~~ the approval of the provost.

~~a.~~*b. Recommendations:*

~~it is the responsibility of the d~~Department chairs ~~and or area program directors (where applicable) to~~*shall* recommend salary rates, equity adjustments, and merit increases in the annual department budget request based on the budget guidelines issued by the president. The recommendations ~~are~~ *shall*, in turn, ~~to be submitted~~ ~~approved by~~ ~~to the~~ appropriate academic dean and the provost *for approval*. ~~Approved increases are effective for the next fiscal year.~~ Each faculty member is to provide an annual Faculty Activity Report to the department chair or director for use in consideration of a merit increase.

- ~~b.~~*c. Salary Increases for Promotion:* –Faculty ~~employees~~ *members*, through the promotion process (see Academic Promotion Policy, #E-3A), are

awarded increases ~~ranging from \$750 to \$5000~~ in the subsequent budget year based on budgeted resources and *the* promotion rank.

Source of Authority: ~~Provost/VP for Academic Affairs~~

Cross Reference: None

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

Contact for Revision: ~~Provost~~ *and Vice President for Academic Affairs*

Forms: None

Food Services (C-13.5)

Original Implementation: January 20, 1998

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

The university is committed to providing students the opportunity to participate in the selection and evaluation of the food service provider. Students are encouraged to participate by attending regularly scheduled meetings of the Food Service Advisory Committee. The advisory committee provides the director of ~~the student servicesCenter~~ and food service provider with immediate feedback on issues and concerns of the students.

Source of Authority: ~~Section 51.940, Texas Education Code; Board of Regents; President; Vice President for University Affairs~~

Cross Reference: None

Responsible for Implementation: *Vice President for University Affairs*

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

Forms: None

Fraud (C-46)

Original Implementation: Replaces Reporting Fiscal Misconduct Policy C-46 implemented January 28, 1997

Last Revision: ~~October 30, 2007~~ *October 12, 2009*

INTRODUCTION

This policy establishes procedures and responsibilities for detecting, reporting and resolving instances of known or suspected fraudulent activity. The intent of the policy is to protect the assets and interests of the university, prescribe a coordinated approach toward investigation and resolution of fraudulent activity and outline specific responsibilities for individuals responding to the investigation of a fraudulent activity. Retaliation for filing a good faith report regarding suspected fraudulent activity is prohibited by this policy, and is cause for disciplinary action, up to and including termination.

A) University - Stephen F. Austin State University and all of its components, regardless of the source of funding.

B) Employee - All persons receiving compensation from the university, including faculty, staff, and students. The term also includes any volunteer who provides services to the university through an official arrangement with the university or a university organization.

C) Management - Any administrator, manager, account holder, director, supervisor or other individual who manages or supervises funds, assets or other resources, including human resources.

D) Fraud - Fraud is defined as a representation usually of fact about a material point which is intentionally, knowingly or recklessly false which is believed and acted upon by a victim to the victim's damage.

E) Fraudulent Activities/Fiscal Misconduct - Defalcation, misappropriation, and other fiscal irregularities or improprieties meeting the definition of fraud in D) above including but not limited to:

- 1) dishonest, illegal, or fraudulent acts involving university property
- 2) forgery or alteration of documents including checks, drafts, promissory notes, securities, purchase orders, budgets, etc.

3) forgery or unauthorized alteration by employees of employee benefit or salary-related items such as time sheets, payroll documents, billings, claims, surrenders, assignments, or changes in beneficiary

4) forgery or unauthorized alteration by employees of student related items such as grades, transcripts, loans, fees, financial aid applications, financial aid records

5) misappropriation of funds, securities, supplies, or any other asset of the university

6) illegal or fraudulent handling or reporting of money transactions

7) employee acceptance or solicitation of any gift, favor, or service that might reasonably tend to influence the employee in the discharge of his or her official duties

8) theft, destruction or disappearance of records, furniture, fixtures, equipment or other records or assets

9) misrepresentation of information on documents

10) authorizing or receiving payment for goods not received or services not performed

11) knowing, reckless, or intentional inaccuracies in the maintenance of books and records or irregularities in financial reporting

12) any apparent violation of federal, state or local laws related to dishonest activities or fraud

13) any similar or related activity.

F) Suspected Fraudulent Activity - A reasonable belief or actual knowledge that fraudulent activity has or is occurring. Failure to show an actual diversion of assets or loss shall not be considered unreasonable belief.

MANAGEMENT RESPONSIBILITY

Management is responsible for detecting fraudulent or related dishonest activity in their areas of responsibility. Management is responsible for establishing and maintaining a system of internal control that provides reasonable assurance that improprieties are prevented and detected. Each manager should be familiar with the types of improprieties that might occur in his or her area and be alert for any indication that such a defalcation,

misappropriation, or other fiscal irregularity has occurred. When an impropriety is suspected, management should determine if an error or mistake has occurred or if there may be dishonest or fraudulent activity.

Management will support the university's fiduciary responsibilities and will cooperate with auditors and law enforcement agencies in the detection, investigation, and reporting of criminal acts, including prosecution of offenders. Every effort should be made to recover university losses.

REPORTING SUSPECTED IMPROPRIETY OR FRAUDULENT ACTIVITY

Any employee of the university who knows of or suspects fraudulent activity or improprieties must promptly notify his or her immediate supervisor and/or one of the following investigative units: the Department of Audit Services, the Office of General Counsel, the University Police Department or the Department of Human Resources. The unit contacted shall contact the remaining three units as appropriate to establish the necessary investigative team and procedures.

Great care must be taken in the reporting and investigation of suspected improprieties or irregularities to avoid incorrect accusations or alerting suspected individuals that an investigation or audit is underway and also to avoid making statements which could provide a basis for a lawsuit for false accusation or other offense. The reporting individual should not:

- 1) contact the suspected individual to determine facts or demand restitution; or
- 2) discuss the facts, suspicions, or allegations associated with the case with anyone, unless specifically directed to do so by the Department of Audit Services, University Police, or Office of the General Counsel.

To the extent permitted by the applicable provisions of the Texas Open Records Act, confidentiality of those reporting dishonest or fraudulent activities will be maintained. However, the confidentiality cannot be maintained if that individual is required to serve as a witness in legal proceedings.

The university ~~will~~ maintains an anonymous reporting system ~~through the~~ coordinated by the Department of Audit Services for reporting dishonest or fraudulent activity. *The university's reporting system which is hosted by a third party can be accessed 24 hours a day by calling 1-866-294-9539 or visiting the website at https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=12866. In*

addition, activities can be reported to the State Auditor's Office by calling 1-800-TX-AUDIT or visiting the website at www.sao.state.tx.us/SIU.

INVESTIGATION

Prior to conducting an investigation, the following personnel will communicate as appropriate to establish the necessary investigative team: general counsel, director of audit services, university chief of police, and director of human resources.

The Department of Audit Services will supervise all audits of allegations of defalcation, misappropriation, and other fiscal irregularities. The Department of Audit services will have full and unrestricted access to all necessary records and personnel. All university furniture and contents, including desks and computers, are open to inspection when there is reasonable suspicion of a dishonest or fraudulent activity which makes such inspection appropriate; there is no assumption of privacy. General counsel shall be contacted before inspection of desks and computers beyond inadvertent or official access. Every effort should be made to effect recovery of university losses.

All affected departments and/or individuals shall cooperate fully with the investigative team to identify whether or not actual fraudulent activity has occurred.

The investigative team shall update university administration of the progress of all investigations. The scope of and individuals subject to investigations are to be considered in determining the extent and nature of notification.

The results of all investigations will be reported to the president of the university or to the chair of the regents' Finance and Audit Committee when considered necessary.

When an audit reveals suspected criminal activity, or an audit is initiated due to an allegation of criminal activity, the university police chief will be notified immediately and the audit will proceed under his direction. In order to avoid the use of investigative techniques that might prevent evidence from being used in a criminal prosecution, university chief of police will coordinate the criminal investigation once probable criminal activity has been detected. The Department of Audit Services shall assist the university police in investigations of suspected defalcation, misappropriation, and other fiscal irregularities that require accounting and auditing knowledge of university records.

When an audit involves allegations or reveals suspected criminal activity which may constitute a felony offense, the chief of police shall, when appropriate, immediately

notify the president or his designee. The director of audit services shall keep the university chief of police informed regarding the progress of the audit.

The university police, Department of Audit Services, and Office of the General Counsel will coordinate assistance provided to state, federal, and local law enforcement agencies in connection with felony fraud investigations. All requests for information and/or assistance from such agencies, received by any other component of the university, shall be immediately forwarded to the university police for determination and handling. All reasonable assistance will be given to law enforcement agencies when requested.

All requests for information and assistance related to investigations conducted by auditors of federal and state agencies, which are concerned with potential dishonest or fraudulent activities within the university, shall be forwarded immediately to the director of audit services for consultation with the Office of General Counsel.

In order to protect the reputations of innocent persons initially suspected of wrongful conduct and to protect the university from potential civil liability, the results of investigations and attendant audits will not be disclosed or discussed with anyone other than authorized representatives of law enforcement and/or regulatory agencies and only those persons associated with the university who have a legitimate need to know such results in order to perform their duties and responsibilities, subject to provisions of the Texas Open Records Act.

Pursuant to Section 321.022 of the Texas Government Code, the president shall file an appropriate report with the Office of the State Auditor. All records of a communication by or to the state auditor in this regard are legally considered audit working papers of the state auditor.

Audits revealing violations of the Penal Code for which an audit report will be issued shall be reduced to final report form only after consultation by university police with the local prosecutor or the Office of General Counsel to ensure that appropriate documentation of the facts has been achieved in order to permit appropriate personnel action, protect innocent persons, support appropriate civil or criminal actions, document claims made pursuant to applicable fidelity bonds, preserve the integrity of criminal investigation and prosecution and avoid unnecessary litigation.

All inquiries from the suspected individual, their representative or their attorney shall be directed to the Office of General Counsel without further comment.

All reproduction of documents, evidence, and reports shall be performed within the secured work area of the university police or Office of Audit Services. Any requests to

release or review such documents will be coordinated through the Office of the General Counsel.

When an audit initiated due to an allegation of criminal activity has failed to detect criminal activity or when advised by the Office of General Counsel, the director of audit services has the discretion to stop the audit. The Office of University Police retains authority to review the progress of criminal investigations and to determine whether to pursue a criminal prosecution.

AUDIT FINDINGS

Each investigation of possible dishonest or fraudulent activities has the potential to provide valuable insight into university activities. Investigations may disclose control weaknesses or other deficiencies that require additional auditing or attention by management. The Office of Audit Services shall consider the nature and extent of the investigation and complete any additional audit work necessary to provide management with information for appropriate action.

Cross Reference: Employee Conduct (E-15), Ethics Policy (E-56), Discipline and Discharge (E-11), Section 321.022 of the Texas Government Code

Responsible for Implementation: President

Contact for Revision: Vice President for Finance and Administration

Forms: None

Guest Speaker (F-15)

Original Implementation: July, 1980

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

These rules shall govern the invitation and presentation of guest speakers on university property or at university-sponsored events.

1) These rules do not apply to:

- a. regularly scheduled classes offered for academic credit;
- b. professional conferences sponsored directly by a university department; or
- c. activities sponsored by non-university entities in rented university facilities.

2) For the purpose of these rules, "guest speaker" means a person invited to speak on university property or at a university-sponsored event who is presently not enrolled as a student or employed by the university.

3) Only registered student, faculty, or staff organizations or non-university entities renting university facilities may invite and present guest speakers on university property or at university-sponsored events.

4) The organization sponsoring a guest speaker is responsible for making clear the fact that the organization, not the university, is extending the invitation to speak and that any views or opinions the speaker expresses are his own and not necessarily those of the university.

5) Registered student, faculty, or staff organizations and non-university entities may be permitted the use of university facilities to present guest speakers on university property or at university-sponsored events pursuant to the Use of University Facilities policy (B-1). An application for the use of the university facility to be used for the speaker's presentation must be made to the appropriate university official at least forty-eight (48) hours before the time the event is scheduled to take place.

6) If a guest speaker is to be paid from university funds as consideration for his/her speech:

- a. the speech must be on the university campus
- b. the university facility in which the speech is to be delivered must be open to the public and the news media, and
- c. the sponsoring organization must follow the Professional and Consulting Services policy (C-45) when contracting the speaker.

7) The presentation of guest speakers must not:

- a. result in a breach of peace or violation of law;

- b. interfere with the free and unimpeded flow of pedestrian and vehicular traffic; or
- c. materially disrupt or interfere with the normal activities of the university.

8) Guest speakers may not:

- a. present material that is obscene or libelous; or
- b. advocate the deliberate violation of law. For the purposes of this section, "advocacy" means *speech directed to inciting or producing the audience for imminent action with the likelihood of producing such action, as opposed to the abstract espousal of the moral propriety of a course of action* ~~preparing the group addressed for imminent action and steering it to such action, as opposed to the abstract espousal of the moral propriety of a course of action.~~

~~**Source of Authority:** United States Constitution, Amendments I and XIV;~~

~~President; Vice President for University Affairs~~

Cross Reference: Use of University Facilities (B-1); Professional and Consultant Services (C-45)

Responsible for Implementation: *Vice President for University Affairs*

Contact for Revision: Dean of Student Affairs

Forms: None

Illicit Drugs and Alcohol Abuse (D-19)

Original Implementation: September 1, 1986

Last Revision: ~~January 29, 2008~~ October 12, 2009

It is the declared policy of the United States government to create a drug-free America. As a part of that policy, the Drug-Free Workplace Act of 1988, ~~P.L. 100-690~~ 41 U.S.C. §§ 701-707, ~~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~~ 20 U.S.C. § 1011i, 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.

Definitions

1. Controlled substance means a controlled substance in schedules I through V of ~~section 812 of the Controlled Substances Act~~ *Schedules of controlled substances*, 21 U.S.C. § 812. Examples include, but are not limited to: heroin, marijuana, mescaline, peyote, and cocaine. This definition does not include medication prescribed by a physician.
2. Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes.
3. Criminal drug statute means a criminal statute involving manufacture, distribution, dispensation, use, or possession of any controlled substance.
4. Federal agency means an agency as that term is defined in ~~section 551(1) of Title 5, United States Code~~ 5 U.S.C. § 551(1).

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);

Baker Pattillo Student Center (only if catered or sold through a licensed vendor and subject to the criteria in the Student Center Operations policy B-29);

The Ed and Gwen Cole Art Center at the Old Opera House (only beer and wine may be served for events approved in advance by the dean of fine arts);

Juanita Curry Boynton House (both interior and exterior).

~~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 *α-methylfentanyl* (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.

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

The university 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. ~~Observance of this policy is a condition of employment for all employees of the university.~~

~~An employee violating this policy shall:~~

- ~~1. be subject to employment discipline up to and including termination; or~~
- ~~2. be required to undergo satisfactory participation in a drug abuse assistance or rehabilitation program, such as the Employee Assistance Program of the university.~~

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, *such as the Employee Assistance Program of the university.*

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 ~~u~~University's receipt of notice from the employee or of receipt of other actual notice.

Good Faith Effort

Stephen F. Austin State University shall make a good faith effort to maintain a drug-free workplace by implementing and enforcing this policy. The university shall also comply with United States Department of Transportation regulations regarding drug testing of drivers with a commercial driver's license.

State and Federal Penalties**Federal Law**

Offense	Minimum Punishment	Maximum Punishment
Manufacture, distribution or dispensing drugs (includes marijuana)	A term of imprisonment not more than 20 years, and a minimum fine of \$1,000,000	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)
Possession of drugs (including marijuana)	Civil penalty in amount not to exceed \$10,000	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
Operation of a common carrier under the influence of alcohol or drugs		Imprisonment for up to 15 years and a fine not to exceed \$250,000

Texas Law

Offense	Minimum Punishment	Maximum Punishment
Manufacture or delivery of controlled substances (drugs)	Confinement in the Texas Department of Criminal Justice State Jail facility for a term of not more than 2 years or less 180 days, or confinement in a community correctional facility for not more than 1 year, and a fine not to exceed \$10,000	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
Possession of controlled substances (drugs)	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000	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
Delivery of marijuana	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000

Possession of marijuana	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000	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
Driving while intoxicated (includes intoxication from alcohol, drugs, or both)	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.	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
Public intoxication		A fine not to exceed \$500
Purchase or consumption or possession of alcohol by a minor	Fine of not more than \$500	For a subsequent offense a fine of not less than \$250 nor more than \$2000
Sale of alcohol or furnishing alcohol to a minor	Fine of up to \$4,000 and/or up to 1 year in jail	Both
Driving under the influence of alcohol by a minor	Fine of not more than \$500 and community service related to education about or prevention of misuse of alcohol.	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.

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.

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: *Drug-Free Workplace Act of 1988, 41 U.S.C. §§ 701-707; P.L. 100-690, sec. 5151 et seq., partially codified at 21 USC § 1501-1502, Anti Drug Abuse Act of 1988; Drug-Free Schools and Communities Act Amendments of 1989, 20 U.S.C. § 1011i, 34 C.F.R. §§ 86.1-411; P.L. 101-226, which amends provisions of the Drug-Free Schools and Communities Act of 1986 and the Higher Education Act of 1965, 20 USC 1145(g), 3182, 3191-3197; 21 U.S.C. §§ 812, 841-865; 5 U.S.C. § 551(1); General Appropriations Act; Texas Gov't Code § 2113.012; OMB Circular A-21; V.T.C.A., Transportation Code, 708.102 Tex. Transp. Code § 708.102; V.T.C.A., Alcohol Beverage Code secs. 106.01 to 106.15 Tex. Alco. Bev. Code §§ 106.01-.15; V.T.C.A., Penal Code secs. 12.01 to 12.49 Tex. Penal Code §§ 12.01-.49, 49.01-.12; 41 USC Sec. 701 et seq.; Faculty Handbook, Non-Academic Employee Handbook, State of Texas Travel Allowance Guide, Drug and Alcohol Testing Policy E-61*

Responsible for Implementation: President

Contact for Revision: General Counsel

Forms: None

Insurance and Other Benefits (E-28)

Original Implementation: Unpublished

Last Revision: ~~April 22, 2008~~ October 12, 2009

Employee insurance and benefits include the following: Benefits eligible employees are offered a basic insurance plan, which is fully funded by the state for full time employees and is funded at one-half of the premium for part-time employees. The basic plan includes hospitalization insurance, \$5,000 term life insurance and \$5,000 accidental death and dismemberment insurance. Enrollment in health insurance coverage may be subject to a 90-day waiting period for employees hired on or after September 1, 2003. The 90-day health coverage waiting period does not apply to:

1. Employees enrolled in COBRA health coverage under the Texas Employee's Group Benefit Program at the time they are hired, if there is no break in coverage.
2. Enrollment in the optional coverage during the first 30 days of employment, including Tex Flex accounts.
3. Direct transfers from one agency to another (employees rehired without a break in coverage), including direct transfers from UT or Texas A&M, if there is no break in coverage.
4. An employee, who has health insurance as a dependent of another Group Benefit Plan member when hired.

Each employee must elect to enroll or waive this plan within the first 31 days of employment. If a Multipurpose Form is not completed, the full-time employee will be enrolled in the basic plan, and may be subject to the 90-day waiting period. Part-time employees and graduate assistants are not eligible for automatic enrollment. These employees must complete the Multipurpose Form within thirty-one (31) days of the first active duty date.

An employee does not have to participate in the basic plan to apply for optional coverage(s). There is no waiting period for optional coverage.

Group Hospitalization Insurance

1. A major medical health/hospitalization plan is provided, based on residency or work zip code, and/or a choice of HMO, (when available).

Employees may select from hospitalization categories shown below:

Coverage Category

Employee

Employee & Child/Children
Employee & Spouse
Employee & Family

Details on coverage and rates are available from the Benefits Office in Human Resources (HR) or at the web site: www.ers.state.tx.us.

2. Application for coverage for employees and their dependents must be made in the first 31 days of employment. Employees may change their health coverage selection at any time during the 90-day waiting period.
3. Continuation of coverage upon termination of employment is allowed by federal law with specific limitations. All separating employees will be informed of their right to continue coverage during their exit interview in Human Resources. C.O.B.R.A. forms will be mailed by the Employee Retirement System of Texas to the home address of the terminating employee and/or covered dependents for completion. Covered dependents are also eligible for continued coverage following certain qualifying events such as divorce, death of the employee, attainment of maximum age of coverage for children, etc. An employee or the covered dependent must notify the Benefits Office within thirty (30) days of the qualifying event date. Questions concerning procedure and benefits should be directed to the Benefits Office in Human Resources.

Group Term Life Insurance

1. Optional Term Life Insurance. Coverage of up to twice the annual salary may be selected within thirty-one (31) days of employment. Evidence of insurability must be provided for Election III or Election IV.

Coverage Amount:

Election I - 1 times annual salary
Election II - 2 times annual salary
Election III - 3 times annual salary
Election IV - 4 times annual salary

Coverage is reduced at age 70 for active employees based on the carrier's standard reduction schedule.

Monthly Premium Cost. The monthly premium cost is based on age and salary on September 1 of the current fiscal year.

2. Dependent Life Insurance. Coverage is available to all employees insured under the Texas Employee's Group Benefit Program. Coverage includes the spouse of the employee and each unmarried child from the age of 14 days to 25 years in the

amount of \$5,000 life and \$5,000 AD&D. Application for coverage must be made within thirty-one (31) days from the date of employment, or dependent's eligibility date; otherwise evidence of insurability is required.

Long-Term Disability

Long-Term Disability insurance is available to benefits eligible employees. This benefit will pay 60% of the employee's monthly salary (maximum salary \$10,000) after a 90-day waiting period in the event the employee is disabled because of injury or illness. The monthly benefit will be integrated with Workers Compensation, Social Security Disability, Teacher Retirement Disability, and/or any disability benefit. Maximum benefit, if integration is used, is 70% of insured monthly salary. Minimum benefit, if integration is used, is 10% of monthly salary for one year. The following age and time limits apply:

Age When Disability Starts	Maximum Duration of Benefits
Under age 60	Age 65
Age 60, but less than age 64	60 months
Age 65 - 69	Age 70 or 12 mos. (the greater)

Short-Term Disability

Short-Term Disability is available to benefits eligible employees. This benefit will pay 66% of the employee's monthly salary (maximum salary \$10,000) after a thirty (30) day waiting period, for up to five months in the event the employee is disabled because of injury or illness. The monthly premium cost is based on the current rate per \$100 of monthly salary. Application for this coverage must be made within thirty-one (31) days of employment otherwise evidence of insurability is required during summer enrollment.

Accidental Death and Dismemberment Benefits

Benefits eligible employees have the option of participating in the AD&D program. This coverage is available starting at \$10,000 in increments of \$5,000 up to \$200,000. After age 70, minimums and maximums are reduced. Double coverage of dependent children will be allowed, if both parents are Group Benefit Plan employees. The monthly premium is based on current rate per \$1,000 of coverage. Application for this coverage must be made within thirty-one (31) days of employment or could be added during the summer enrollment period.

Dental Insurance

Benefits eligible employees may elect to participate in either of the two group dental insurance programs. If application for coverage is not made within thirty-one (31) days of employment, dental plan benefits cannot be acquired until the beginning of the next plan year and enrollment forms must be completed during the summer enrollment period.

Cancer Care

Benefits eligible employees may elect to participate in cancer care coverage. Employees should contact the insurance company representative to make an application.

Long Term Care

A Long Term Care Plan is offered by Employees Retirement System of Texas to active employees and their families through CNA Insurance. The active employee may enroll at the time of employment or (within 31 days), without evidence of insurability. However, any family members must go through evidence of insurability to enroll in the plan. For information, or to sign up, go to www.ers.state.tx.us or call CNA at (877) 895-6762.

Retiree Insurance Coverage

University employees may continue their health insurance coverage providing they have ten or more years of creditable service, have been covered under the Texas Employee's Group Benefit Program, for at least three years prior to September 1, 2001, or ten years, after September 1, 2001, and meet the criteria for retirement benefits. Beginning September 1, 2003, the qualification for retiree insurance is age 65 or age plus years of service equals 80. Those who become totally disabled are entitled to participate in retiree insurance coverage, if they meet the criteria (age 65 or age plus years of service equals 80). The state will continue to fund the amount funded prior to retirement toward retiree and dependent coverage. A thirty-one- (31) day enrollment period is provided for persons retiring or qualifying for retiree insurance coverage. If employed at the time of retirement, and eligible for insurance benefits, there will be no waiting period for enrollment in the health plan. However, if the retiring member is not in an active status at the time of reaching eligibility for retiree insurance, (age 65 or age plus years of service equal to 80), there will be a ninety-day (90) waiting period for participation in the health plan.

Complete information will be made available to all qualified retirees by Human Resources prior to their date of retirement.

Social Security

All employees of the university are covered by the Federal Insurance Contribution Act (FICA). Currently, the employee contributions are broken down as follows:

6.20% of base salary of ~~\$97,500~~ *106,800 for 2009* for Old Age and Survivor's and Disability Insurance (OASDI);

1.45% of base salary for Medicare (MQFE).

This information is based on the Year ~~2007-2009~~ rates and limits.

Flexible Benefit Plan

Benefits eligible employees may participate in the Flexible Benefit Plan established in accordance with Section 125 of the Internal Revenue Code. The plan permits employees to pay for certain eligible expenses with pre-tax money.

Through this plan, participants are automatically enrolled in Redirection of Insurance Premiums. Allowable insurance premiums will be paid with pre-tax money, with the exception of Short-Term Disability, Long-Term Disability and Dependent Life.

Through this plan, the employee may choose to participate in one or both of Reimbursement Accounts:

1. Medical Reimbursement Account - The participant may specify an amount of pre-tax money to be deposited in a medical reimbursement account. The participant can then apply for reimbursement when certain allowable out-of-pocket health care expenses are incurred.
2. Dependent Care Reimbursement Account - The participant may specify an amount of pre-tax money to be deposited in a dependent care reimbursement account. The participant can then apply for reimbursement when dependent care expenses are incurred.

Substantial tax savings may be realized through the Flexible Benefit Plan. However, several restrictions are important to keep in mind when enrolling in one or both of the reimbursement accounts.

1. Amounts designated to be tax sheltered cannot be changed during a plan year unless there is a change in family status. Forms must be completed within thirty (30) days of the qualifying life event; otherwise no changes may be made until the next summer enrollment period.

2. Reimbursement accounts are on a use-it-or-lose-it basis. During a plan year, expenses should be incurred for all tax sheltered money because any amount not reimbursed to the participant reverts to the insurer.

Eligible employees may enroll at the time of employment or during the summer enrollment period prior to the next plan year. To continue to participate, employees may make changes or stop participating each year during the summer enrollment period.

State Deferred Compensation Plan/TEXAS\$AVER

This plan is available to all employees. This plan allows employees to allocate a specified amount of their earnings to a tax-sheltered plan purchased by the state of Texas. Employees interested in learning more about this plan should contact the Benefits Office in Human Resources or the web site at www.ers.state.tx.us.

Tax Sheltered Annuities

All faculty and staff members are eligible to purchase a supplemental tax sheltered annuity.

Individuals electing to participate in the Tax Sheltered Annuity Plan should contact an authorized company for information and request to complete the proper forms. The employee must complete a written agreement authorizing the deduction from their monthly salary.

The authorization initiating a tax sheltered annuity should be executed before the 25th of the month to be effective the next pay period. This agreement will remain in effect until the employee initiates a change of authorization or the maximum amount has been contributed.

Changes to the salary reduction authorization are permitted. Employees may change carriers at any time. An employee may terminate an authorized reduction in salary by completing the proper forms in Human Resources.

Once an annuity contract has been purchased for an employee, any questions concerning the contract's relation to the income tax laws are strictly between the faculty or staff member and the Internal Revenue Service.

Information on Tax Sheltered Annuities may be obtained from the Benefits Office in Human Resources.

U.S. Savings Bonds

Employees may purchase savings bonds starting in increments of \$100/month (cost of \$50 for a \$100 bond.)

Cross Reference: Non-Academic Employee Handbook; ~~Texas Constitution, art. 16, sec. 67~~ *Tex. Const. art. 16, § 67*; ~~Texas Government Code Chapters 821 through 830~~ *Tex. Gov't Code §§ 821-825*; ~~Texas Government Code Chapter 606~~ *Tex. Gov't Code §§ 606.001-.101*; ~~Texas Insurance Code, Chapter 1601, Chapter 1131, Texas Insurance Code (not codified) 3.51-5~~ *Tex. Ins. Code §§ 1131.001-.860; Tex. Ins. Code art 3.51-5 (not codified)*; ~~Internal Revenue Code, secs. 102 and 106~~ *I.R.C. §§ 102, 106*; ~~29 U.S.C., sec. 1001 et seq.~~ *29 U.S.C. §§ 1101-1191(c)*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Mail Services (F-18)

Original Implementation: September 1, 1965

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

University policy and postal regulations govern the handling of mail.

1. The Stephen F. Austin State University (SFA) Post Office is considered the official receiving point for all mail for university offices, departments, residence halls, and apartments.
2. University departments and administrative offices will use the SFA Post Office for all postal transactions. Departments will not be permitted to purchase or retain stamps without written permission from the university president. A copy of the written permission will be filed in the SFA Post Office.
3. All SFA mail is considered delivered when the Nacogdoches Post Office delivers it to the SFA Post Office.
4. SFA Post Office staff will attempt to deliver incorrectly addressed mail according to USPS requirements. Business mail addressed only to the university will be sent to the Business Office for proper routing.
5. Post Office box numbers must be used on all correspondence.
6. All outgoing mail requiring metered postage or mailed under SFA permit must be university business and have a complete return address with "Stephen F. Austin State University" and the department of origin. A completed postage IDT card must be attached to the mail to ensure proper accounting of postal charges. Mail (other than bulk rate) must be received in the post office by 4:00 p.m. for dispatch the same day.
7. Campus Mail is defined as mail related to university business and is delivered to campus boxes without postage. Mail addressed to USPS boxes 4600-4659, and all personal mail requires postage.

8. All campus mail should be enclosed in a campus mail envelope. If other envelopes are used, they must be marked "Campus Mail" and have a complete return address including the department of origin and the box number. Campus mail in plain envelopes without a return address will be delivered postage due.

9. All residents of university owned housing are required to have a SFA Post Office box and notify correspondents of the box number.

10. Retired faculty or staff members are permitted to retain a box at their own expense on a space available basis.

11. It is the responsibility of each department to distribute, forward or return mail addressed to personnel within the department.

12. SFA Post Office observes the same holidays as the U.S. Post Office. Morning mail will be boxed on holidays not observed by the university but sales windows will be closed.

Source of Authority: Vice President for University Affairs

Cross Reference: None

Responsible for Implementation: *Vice President for University Affairs*

Contact for Revision: Manager of University Post Office

Forms: Postage IDT Card (available in the SFA Post Office)

New Employee Orientation (E-33.1)

Original Implementation: September, 1990

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

The purpose of this policy is to ensure that new employees receive sufficient orientation to enable them to perform their assigned duties. It is the responsibility of each department to require new employees to participate in the new employee orientation that consists of four (4) parts. The hiring department is responsible for scheduling the new employee for orientation with Human Resources prior to the new employee's first day of employment. New employee orientation consists of certain federally regulated forms that must be completed by the new employee within the first three (3) days of employment. The new employee must bring documents to the orientation session that verifies their identity and authorization to work. They should also plan to bring relevant information with them to enroll any dependants in health insurance (such as birth dates, social security numbers, and addresses). New employee orientation is normally held on Monday mornings in the Human Resources department.

1. The first orientation session is conducted by Human Resources on or before the first day of employment. In this session, the new employee receives detailed information about SFASU, completes a new employee orientation packet which includes their benefit selections, payroll information, Federal Immigration & Naturalization forms (I-9), and receives information about training and other benefits.
2. The second orientation session is the departmental employee orientation, conducted within the first six weeks of employment by the employee's immediate supervisor. This session is provided to acquaint the new employee with university policies and procedures, departmental details, and information regarding the expectations for performance of the job duties. The supervisor should use the "New Employee Orientation Checklist" provided by Human Resources to insure that they have covered all the essential information needs of the new employee. The completed checklist should be returned to Human Resources and will become a permanent part of the employee's personnel file. Each department should maintain a copy for their files.
3. The third session is conducted by Human Resources and Safety in a separate, mandatory training normally held within 30 days of employment regarding EEO laws and safety hazards. The employee should receive notice to attend through their immediate supervisor as requested by Human Resources.
4. The fourth session is also mandatory training conducted by Human Resources. The training explains the university's Performance Management and Review Plan and applies to all non-faculty employees. Human Resources will schedule all new hires affected by this policy to attend the training.

While orientation is required for all new employees, the supervisor should maintain flexibility as to the extent of the orientation sessions, i.e., individuals having previous university employment may not require the in-depth training that would be needed by a first-time employee. At the supervisor's discretion, an employee transferring from one university department to another may be required to participate only in the departmental employee orientation (see No. 2 above).

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

Cross Reference: Performance Management and Review Plan – Policy E-57

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

Contact for Revision: Director of Human Resources

Forms: New Employee Orientation Checklist (available in Human Resources)

Notary Public (F-21)

Original Implementation: Unpublished

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

It is the responsibility of each vice president to insure that a sufficient number of public notaries are present, as needed to conduct university business, in each major university division. University funds may be used to purchase the necessary supplies.

Application process:

1. Obtain written approval from the appropriate vice president to apply for a notary commission without bond. This should be done no earlier than 90 days before the expiration of your notary commission, if it is a renewal.
2. Complete and sign the special application on the SORM website for state employees who will not be providing a notary bond.
3. Read and complete the "State Employee Notary Acknowledgment form" on the SORM website.
4. Send completed application and acknowledgement forms, along with proof of employment in the form of payment of the fee, directly to the State Office of Risk Management at the address shown on the application.
5. Upon receipt of the notary certificate, Notary Public Commission, issued by the Secretary of State, obtain all required supplies (notary seal or stamp, notary public record book, etc.) through ~~purchasing~~ *Procurement and Property Services*.

Source of Authority: ~~Texas Government Code, sec. 406.001 et seq.;~~ *President*

Cross Reference: ~~None~~ *Tex. Gov't Code §§ 406.001-.055*

Responsible for Implementation: *President*

Contact for Revision: *President*

Forms: Special Application, State Employee Notary Acknowledgement Form

Oral English Proficiency Program (A-35.1)

Original Implementation: September, 1990

Last Revision: ~~October 23, 2001~~ October 12, 2009

Background

Legislation enacted by the Texas Legislature requires that instruction at public colleges and universities to be delivered in understandable English. ~~It further requires that e~~Each University public institution is required ~~adopt to adopt~~ a policy establishing a procedure ~~for to~~ insuring that faculty members whose native language is not English are that proficient English in the use of the English language is spoken by all faculty members. Therefore, the University has established this Oral English Proficiency Program.

General Assmptions

"Faculty member" means a person who teaches a course offered for academic credit by an institution of higher education, including teaching assistants, instructors, lab assistants, research assistants, lecturers, assistant professors, associate professors, and full professors. It is understood that a

A faculty member may use a foreign language to conduct foreign language courses designed to be taught in a foreign language.

~~2. It is also understood that a~~ *A faculty member may also provide individual assistance during course instruction to a non-English-speaking student in the native language of the student.*

Enforcement

New faculty members, as defined in this policy, who do not identify English as their primary language shall be offered two options to demonstrate their oral proficiency in English:

- *Take and pass the locally administered Speaking Proficiency English Assessment Kit (SPEAK) test with a score of 45.*
- *Allow observation of a regularly scheduled class by a two person team from the university's American English Language Institute (AELI). The observation shall occur during the first two weeks of employment. Both members of the team must agree that the faculty member's English oral proficiency is equivalent to a score of 45 on the SPEAK exam.*

The chair shall place in the faculty member's employment file the results of the oral proficiency performance. A copy of the English proficiency outcome shall be forwarded to the appropriate dean.

Faculty members who do not demonstrate proficiency in oral English shall be required to complete successfully a program conducted by the AELI. Texas law requires the faculty member to bear the costs of the program.

Identification of Faculty members Lacking Proficiency in English

1. ~~Departmental chairpersons shall cause all faculty members, as defined in Texas Education Code, sec. 51.917, to specify in writing their native and primary language.~~
 - a. ~~Those who identify English as their native or primary language and who offer proof of that identification shall be exempt from any testing or oral language improvement program.~~
 - b. ~~Those who do not identify English as their native or primary language shall be required to take and pass with an appropriate score either:~~
 - i. ~~the Test of Spoken English (TSE-A or TSE-P) or~~
 - ii. ~~the locally administered SPEAK test.~~
 - c. ~~The fact that a person has successfully completed the TSE-A and TSE-P or the SPEAK test with an appropriate score would be duly recognized, and a document attesting his success would be entered into the faculty member's personnel file, with copies sent to his/her chairperson and dean, and to the Dean of Applied Arts and Sciences and to the Vice President for Academic Affairs by the Division of Continuing Education.~~
 - d. ~~Those who fail to achieve an appropriate score on the TSE-A or TSE-P or the SPEAK test will be required to enroll in the Oral English Proficiency Program offered at Stephen F. Austin State University and described in this policy.~~
2. ~~For each member of his/her department whose primary language is not English, the departmental chairperson will complete and sign an oral English proficiency form which rates each faculty member's English proficiency as being:~~
 - a. ~~Acceptable~~
 - b. ~~Unsatisfactory~~

~~The chairperson's rating shall be based on the faculty member's passing with an appropriate score the TSE-A, TSE-P, or the locally administered SPEAK test.~~

3. ~~The chairperson shall provide the faculty member with a copy of this form.~~
4. ~~The chairperson shall send a copy of this English proficiency form to his/her dean.~~
5. ~~The dean shall send a copy of this English proficiency form to the Academic Vice President.~~

Oral English Proficiency Program

This Program is meant to assist faculty members whose primary language is not English to become more proficient in the use of English. This Program does not carry academic credit.

1. The Program will be of a tutorial nature.
2. The Dean of Applied Arts and Sciences will be the dean of record.
3. The Program will appear in the General Bulletin with a course number, a title, and a description and be listed among the offerings of the Department of Communication, with a cross-reference to the Division of Continuing Education.
4. The bulletin description of the Program is as follows:
Oral English Proficiency Program (Communication 098) is a program designed to assist faculty members whose primary language is not English to become more proficient in the use of English. This program does not carry academic credit.
5. The Program will be situated in the Academic Assistance Resource Center (AARC), where there is adequate space, tutor-guided and self-help materials, and equipment for the proper conduct of the Program.
6. The Dean of Applied Arts and Sciences will appoint a Director of the Program, among whose responsibilities are the testing of individuals, the establishing of minimum scores, and the format for individual tutorial assistance and its frequency.

The Director of the Program will be additionally responsible for identifying the appropriate instructional materials and communicating program needs to the Director of the AARC.

The Director of the Program, acting upon the advice of the instructor(s) of the Program, will also verify when or whether an individual has successfully completed the Program and will report the results to the Director of Continuing Education, who will make a recommendation to the faculty member's chairperson.

7. The Director of Continuing Education will report these and subsequent decisions to the Dean of Applied Arts and Sciences.

The Dean of Applied Arts and Sciences, in conjunction with the Director of Continuing Education, will select the teacher(s) of the Program.

The teacher(s) of the Program may include:

- a. the Director of the Program
- b. an experienced or credentialed person from an English as a Second Language educational program
- c. an experienced or credentialed person from the Department of Communication
- d. an experienced or credentialed person from AARC, with specialization in ESL matters.

8. The law requires the faculty member to bear the costs of the program. Because of the widely varying needs of the individual recipients of the Program, and consequently because of the widely varying amounts of time involved in

satisfactory completion of the Program, the Director of Continuing Education will attempt to negotiate individual contracts involving costs of the Program which will be satisfactory to both the recipients of the Program and the instructor(s) of the Program.

9. Successful completion of the Program will be signaled by:
- a. the passing of a locally administered version of the SPEAK test with an appropriate score or
 - b. the passing of the TSE A or TSE P test with an appropriate score or
 - c. the decision of the Director of the Program, acting upon the advice of the teacher(s) of the Program who, along with the person's chairperson, will certify a person's successful completion of the Program.

Upon a faculty member's successful completion of the Program, a document asserting that fact will be issued by the Division of Continuing Education, with approval by the Dean of Applied Arts and Sciences, and entered into the faculty member's personnel file.

Further notification of a faculty member's successful completion of the Program will be made to the relevant chairpersons, deans, and ultimately to the Vice President for Academic Affairs by the Division of Continuing Education.

10. Should a person fail the Program, he/she will be required to re-enroll in the Program until he/she is able successfully to complete it by passing a locally administered version of the SPEAK test with an appropriate score or by passing the TSE A or TSE P test with an appropriate score or by receiving the certification of successful completion by the Director of the Program.

Summary

The normal procedure, then, for one whose primary language is not English, would be as follows:

1. Any faculty member identified by a departmental chairperson whose native language is not English is subject to the procedures contained in this policy.
2. The faculty member would take a locally administered SPEAK test as a means of determining his/her fluency in oral English.
3. If the faculty member successfully completed this SPEAK test with an appropriate score, this fact would be duly recognized, and a document attesting his/her success would be entered into the faculty member's personnel file, with copies sent to his/her relevant chairperson, dean, and to the Vice President for Academic Affairs by the Division of Continuing Education, with approval by the Dean of Applied Arts and Sciences.
4. If the faculty member failed the locally administered SPEAK test, he/she would be required to enroll in the Program.
5. If a faculty member objected to the results of the locally administered SPEAK test, he/she could request to take the Test of Spoken English (TSE), which is offered

twelve times a year and administered by Educational Testing Service at established test centers. (Teaching and research assistants apply for a test entitled TSE-A. Faculty members not designated as teaching or research assistants request the test entitled TSE-P.)

6. A faculty member's passing the TSE-A or TSE-P test with an appropriate score would obviate his/her enrolling in the Program.
7. The fact that a faculty member has successfully completed either the TSE-A or TSE-P test with an appropriate score would be duly recognized, and a document attesting his/her success would be entered into his/her personnel file, with copies sent to the appropriate chairperson and dean, and to Dean of Applied Arts and Sciences and to the Vice President for Academic Affairs by the Division of Continuing Education.
8. Should the faculty member fail the TSE-A or TSE-P test, he/she would be required to enroll in the Program.

Source of Authority: ~~Texas Education Code, sec. 51.917, Board of Regents, President, Vice President for Academic Affairs~~

Cross Reference: ~~None~~ *Tex. Educ. Code § 51.917*

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

Contact For Revision: *Provost and Vice President for Academic Affairs*

Forms: None

Organized Work Stoppage (E-34)

Original Implementation: October 21, 1978

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

Participation by any employee in an organized work stoppage has been declared to be against the public policy of the state of Texas. 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 of nature of the illness to be entitled to sick leave pay.

Source of Authority: ~~Texas Government Code, sec. 617.001, et seq.; Board of Regents;~~
President

Cross Reference: ~~None~~ *Tex. Gov't Code §§ 617.001-.005*

Responsible for implementation: *President*

Contact for Revision: President

Forms: None

Performance Management Plan (E-57)

Original Implementation: July 14, 1998

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

The purpose of the Performance Management Plan is to maximize employee work efforts to achieve university, organizational, and individual objectives through the active participation in the goal-setting process; to ensure that all employees receive a timely and objective review of their job performance each year; to identify employees whose job-related performance and conduct does not meet established objectives or contribute effectively to the university; and to ensure that job performance is measured effectively for compensation purposes.

This policy applies to all non-faculty employees, excluding academic department chairs, deans, and the library director, charter school teachers, and all coaches at Stephen F. Austin State University. However, all categories listed in exemption above shall have some form of evaluation system, but are not governed by this policy.

Procedure

The process of job performance evaluation should include the following steps:

1. Set and communicate job expectations at the start of the review period. Use the employee's job description to review the expectations of the job. If the job description needs revision, contact Human Resources for assistance.
2. Provide ongoing coaching and counseling during the review period and document significant discussions regarding positive achievements and needed improvement in regard to job performance or conduct.
3. Conduct the annual performance review at the end of the review period.

Annual Performance Review

Evaluate the employee's performance for the entire review period. Determine whether or not the employee has met expectations established at the beginning of the review period and which were based on the employee's job duties.

Evaluate how the employee's performance was consistent with the appropriate performance values.

~~Document trainings that the employee attended (both voluntary and mandatory) during the review period. This information may be obtained from the Human Resources department.~~

Describe any areas in which the employee needs to improve. Specific results should be addressed and documented.

Summarize and evaluate the employee's overall performance. ~~Any employee, who has received a mark in the grey shaded area, must receive a "needs improvement" or "unsatisfactory" rating in the overall rating. After completion of the evaluation and the appropriate approvals, the original form should be sent to Human Resources and copies given to the employee and supervisor.~~

~~Comments and signatures are to be done and the original form sent to Human Resources.~~

Documentation

The review plan for each employee should be free from discrimination including race, color, religion, sex, age, national origin, disability, or disabled veteran status according with Equal Employment Opportunity (EEO) law. Each supervisor will be held responsible for ensuring the review is fair, objective, accurate, and honest and discussed with the employee. Supervisors are also responsible for ensuring consistency of application within their departments.

Compensation Actions

Merit pay increases, general pay increases, and all other compensation actions are to be consistent with the level of employee's actual job performance. Merit increases are to be withheld in whole or part for employees who are rated "needs improvement" or "unsatisfactory" and therefore are not fully effective in their job performance. The immediate and reviewing supervisor should discuss related actions with Human Resources before taking such steps to ensure appropriate documentation.

Interpretation

Questions regarding the interpretation of this policy should be referred to the director of human resources. The forms and format used in this process may be modified for unique circumstances upon the review and approval by the director of human resources.

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

Cross Reference: Equal Employment Opportunity Guide for Employees and Supervisors, Non-Academic Employee Handbook

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Performance Management Plan and Review (Available on the Internet.)

Private Support Organizations or Donors (D-25.5)

Original Implementation: July 9, 1991

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

Pursuant to Chapter 2255 of the Texas Government Code, the university will recognize only those private support organizations that meet the requirements of this policy as being formed and designated to further the purposes and duties of the university.

Any organization or donor (whether existing as a corporation or as an unincorporated association) which is formed to further the purposes and duties of the university must enter into a written agreement with the university, approved by the Board of Regents. If the board declines to enter into such an agreement, the private support organization or donor is deemed not to further the purposes and duties of the university, and the board expressly forbids the use of the name, property, or employees of the university in any actions or activities on the part of the private support organization or donor. The agreement will address and govern all aspects of conduct of the university and its employees in the relationship between the private support organization or donor and the university and its employees including, but not limited to, the following:

- A. Administration and investment of funds received by the organization for the benefit of the university;
- B. Use of an employee or property of the university by the donor or organization;
- C. Service by an officer or employee of the university as an officer or director of the donor or organization; and
- D. Monetary enrichment of an officer or employee of the university by the donor or organization;

Nothing in this policy requires that the university include only the above provisions as subject matter in the agreement between the university and the private support organization or donor. The board has the responsibility to enter into that form of agreement which the board, in the exercise of its statutory authority, determines is in the best interest of the university.

Neither this policy nor any agreement entered into by the university may conflict or supersede a requirement of a state or federal statute regulating the conduct of a university employee or regulating the policies and procedures of the university.

Source of Authority: ~~Board of Regents~~

Cross Reference: ~~Texas Government Code, Chapter 2255~~ *Tex. Gov't Code § 2255.001*

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Receipts and Deposits (C-5)

Original Implementation: Unpublished

Last Revision: April 22, 2008 *October 12, 2009*

Receipts

~~The university must account for all sales and receipts. Employees accepting payment of any kind, for any reason, must issue each payer an official university receipt in a form approved in advance by the controller.~~

~~Cash registers or other electronic devices used for recording sales must be equipped to issue numbered sales receipts showing the amount and description of the sale.~~

~~Departments authorized by the vice president for finance and administration to collect funds, but which do not have cash registers, will use an official receipt book issued by the University Business Office. These receipts are to be handwritten in ink by an authorized employee. The employee issuing the receipt must:~~

- ~~• complete the receipt by entering detailed information in every blank,~~
- ~~• sign the receipt, and~~
- ~~• give the payee the original receipt.~~

~~The appropriate copy of the receipt should be sent to the University Business Office with the deposit (see Deposits, below). The non-perforated copy of the receipt will remain in the receipt book.~~

~~Receipts should never be altered. If a correction is necessary, the original receipt must be voided (with explanation noted) and a new receipt issued. The original of the voided receipt should be sent to the University Business Office along with the copy of the new receipt.~~

~~All receipt books must be available in the department for audit.~~

Sales Tax

~~Departments are responsible for collecting applicable sales tax and reporting it to the University Business Office on the Deposit Summary form.~~

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Deposits

~~Some university departments are authorized to make deposits directly to the bank via courier service provided by the University Police Department (UPD). These departments are: University Business Office, Ticket Office, and Athletics. All other departments will hand-deliver their deposits to the University Business Office, which will then incorporate the funds into the university's main daily deposit.~~

~~Each department that makes deposits directly to the bank via UPD courier shall hand-deliver the Deposit Summary form to the University Business Office on the deposit date. Immediately after the deposit is made, the UPD courier will hand-deliver the university's copy of the deposit slip to the University Business Office. There, the deposit slip will be compared to the Deposit Summary form to verify they balance. A University Business Office teller will then enter the deposit data into the university's online Financial Records System (FRS).~~

~~Each department that makes deposits to the University Business Office will be provided with two lockable deposit bags and keys. The department shall prepare the Deposit Summary form and place it in the deposit bag with the cash, checks, original credit card receipts, and the appropriate copy of the handwritten receipts. The locked bag will then be hand-delivered to the University Business Office by a departmental representative. The representative will leave the deposit with the teller, and sign for and take the empty deposit bag from the previous deposit. Subsequently, the University Business Office teller will verify that the receipts and the funds balance, and will enter the deposit data into FRS. The teller will lock the empty bag and store it until the departmental representative returns with another deposit.~~

~~Departments may view the applicable account(s) in FRS to confirm the deposit data entered by the University Business Office.~~

~~All funds (including overages) must be deposited promptly. Receipts of \$25 or more must be deposited no later than the next working day. Receipts less than \$25 must be deposited within four working days. Checks must be restrictively endorsed with the department's university stamp immediately upon receipt. No department may use any funds for any purpose prior to depositing them.~~

~~**Cross Reference:** None~~

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

~~**Contact for Revision:** Controller~~

~~**Forms:** None~~

Purpose

*This policy provides procedures and guidelines to all Stephen F. Austin State University (the university) departments handling receipts and deposits. Procedures have been established to encourage an effective administration and internal control of receipt handling operations throughout the university. **Note: The term, "receipts," as referenced in this policy, is deemed to include currency, coins, personal checks, bank drafts, money orders, traveler's checks, cashier's checks and credit card transactions.***

Authority and Responsibility

The university has delegated the authority and responsibility for establishing policies and procedures for all receipt handling activities to the Controller's Office. In carrying out this duty, the Controller's Office is responsible for:

- 1. Establishing and enforcing policies and procedures governing the receipt, handling, custody, and disbursement of funds.*
- 2. Requiring the establishment and maintenance of records accounting for funds received and paid by the university.*
- 3. Establishing and authorizing banking depositories to be used for university funds.*
- 4. Establishing and authorizing procedures for granting, maintaining, and terminating the departmental collection of university funds.*

Applicability

This policy is applicable to every university department, administrative office, and affiliated organization that handles receipts for any university related function. Employees that handle receipts on behalf of the university are required to be familiar with the requirements of this policy. Additionally, the Controller's Office or Audit Services may perform periodic audits of any department with receipt handling operations.

Summary

Any individual handling university receipts is responsible to the university for proper security and accountability. Due to the personal liability involved in performing receipt handling functions, it is important that only authorized employees accept funds for university business. Employees are required to appropriately safeguard, account for and document all receipts received on behalf of the university. Applicable university discipline and/or discharge policies will be followed in the imposition of sanctions related to a violation of this policy.

Guidelines

Segregation of Duties

Receipt handling operations must be subject to daily supervisory review and management. To minimize the potential for mistakes or misappropriation of receipts, the segregation of receipt handling duties is recommended. The duties of collecting receipts, maintaining documentation, preparing deposits, and reconciling records should be separated among different individuals. In departments where the separation of duties is not feasible, strict individual accountability and thorough management supervision and review is required.

Written Departmental Procedures

In addition to the receipt handling procedures established in this document, each department which handles receipts is required to have its own internal policies and procedures for receipts. Written procedures should minimally include authorization of person(s) to collect receipts; maintenance of receipt books; security and reconciliation of receipts; preparation, approval, and depositing receipts within the Business Office; over/short procedures; and a procedure to notify the appropriate campus authority in the event of a loss.

In addition, it is the responsibility of the department to ensure that all employees with receipt handling responsibilities have receipt handling duties included in their job description.

Safekeeping

Departments handling receipts are responsible for the safekeeping of these university assets. Physical security should be emphasized to every employee involved in receipt handling. The following general guidelines should be followed to help maintain the integrity of those areas handling receipts:

- Unauthorized persons are not allowed in areas where receipts are handled.*
- If possible, doors should be locked at all times in areas where receipts are handled. Safe doors should be kept closed during working hours and locked at times when it is not necessary to be in and out of the safe.*
- Large sums of cash should be counted and handled out of sight of the general public.*
- Individuals should keep working funds to a minimum at all times. Excess funds should be in a locked device or deposited in the Business Office.*
- Cash and receipts should **NEVER** be unattended. This applies to cash registers, desktops, and cash drawers. If an employee leaves his or her workstation for any reason, regardless of how briefly, cash and receipts must be appropriately secured in a locked place.*
- For overnight storage and during other periods when cash is not being used, it should be kept in a secure place, either a safe or locked container.*
- If a safe location is not available within the department, the cash and receipts*

- should be brought to the Business Office on campus for safekeeping.*
- *The revenue and receipts should be sealed in an envelope*
 - *The preparing staff member should sign their name across the seal of the envelope*
 - *The department name and responsible party should be noted on the outside of the envelope*
 - *If a safe location is not available within the department, and the Business Office is not open, the deposits should be brought to the University Police Department (UPD).*
 - *Under no circumstances should an individual keep university cash with their own personal funds, deposit university funds in a personal bank account or take university funds to one's home for safekeeping.*
 - *Checks should always be properly restrictively endorsed upon receipt.*

Custodian Responsibilities

The custodian or designated individual responsible for a department's receipt handling operations is responsible for:

The adequate and appropriate safekeeping of the university monies – *While using cash funds for daily operational activities, procedures should be established to maintain a safe and secure working environment to ensure the safeguarding of funds and safety of personnel. Employees should be well informed of their responsibilities for handling cash and receipt transactions and being accountable for those funds. The custodian must see that appropriate internal control measures are enforced.*

When not being used for operational activities, all cash and receipts should be kept in a safekeeping device, either a safe or locked container. Lock combinations and the custody of keys should be maintained by one person. These items should not be stored in an unlocked desk drawer or unsupervised area. For strictly emergency situations, the department head or other designated employee should have the safe combination or an extra set of keys.

Maintaining current and accurate records of the funds - *The records should provide clear documentation of receipts from the time of collection to the time of deposit. Specific information on appropriate documentation can be found under the heading, "Receipts Procedures." This information should always be readily available for audits by the Controller's Office, Department of Audit Services, or the department head.*

Performing, at a minimum, a monthly reconciliation- Depending upon the volume of transactions, weekly or daily reconcilements may be more appropriate. The Controller's Office will assist in determining the frequency. Use the Cash Receipts Reconciliation Form for reconciling the cash.

Overages and Shortages

Both overages and shortages should be noted and tracked by the custodian and then reviewed and certified by a supervisor or department head. Significant amounts should be immediately reported to the department head and the Controller's Office. If there appears to be a growing pattern or anything unusual or strange about the overages and shortages, that information must be disclosed immediately.

Refunds

*A refund is the return of funds for a transaction that occurred on a prior business day. Refunds cannot be made directly through the use of petty cash funds, change funds, nor funds received from cash receipts, unless specifically authorized. All refunds should be processed by the completion of a purchase voucher in adherence to the procedures as established by the Controller's Office, depending upon the type of transaction involved. Petty cash funds, change funds, or funds received from cash receipts **must** not be used to reimburse employees for out-of-pocket expenditures. These reimbursements will be made in accordance with procedures developed by the Controller's Office. No department may use any receipted funds for any other purpose. All funds must be deposited.*

Receipts Procedures

Training Requirements

Mandatory Receipts Training is required of all employees whose job duties include the acceptance, record keeping and deposit of university receipts. Training should be arranged with the Business Office. Employees are required to do follow-up training annually.

New hires will be given information stating the need for receipts training at the new employee orientation.

Receipting Revenues

University departments that collect receipts must have an established departmental procedure for documenting all receipts. Computer generated receipts, cash register receipts, or pre-numbered receipt books or tickets are acceptable forms of documentation. All receipts issued must be approved by the Controller's Office as to form.

As a minimum, receipt documentation should include:

- 1. Payer's name*
- 2. Amount of payment*
- 3. Mode of payment (cash, check, credit card, money order, etc.)*
- 4. Purpose of payment*
- 5. Date of payment*

6. *Initials of employee collecting funds*

This applies to receipts collected directly from individuals, as well as receipts received through the mail, over the internet, or by phone.

With prior approval by the Business Office, departments who receive large volumes of checks by mail (such as application fees) may document their receipt by creating a spreadsheet which contains the information above. The check number, date of receipt, initials of the employee and the amount must be noted on the face of the application or documentation received with the payment. The spreadsheet must be reconciled to the group of checks.

Cancelled/Voided Transactions

The same day cancellation of a transaction must be approved by a supervisor. Upon approval, the original receipt should be voided and the payment returned to the customer. The customer should sign the voided receipt acknowledging the transaction.

Manual Cash Receipt Books

Manual cash receipt books must be obtained from the Business Office. Receipt books will not be placed in campus mail. If receipts other than those distributed by the Business Office are used, they must be approved by the Business Office. The Business Office will document the distribution of each receipt book. Documentation will include:

- 1. Department name*
- 2. Department account number*
- 3. Numbers of each book distributed*
- 4. Signature by the person receiving the book(s)*
- 5. Description of what the receipts book(s) will be used for*

Each person issuing receipts and/or making deposits MUST have receipt handling training in order to facilitate the proper procedures are followed. The Business Office will provide this training. (See Training Requirements above.)

The receipts MUST be used in consecutive order. If more than one person in a department is issuing receipts, each person should be assigned their own book, and be responsible for the maintenance, and deposit of revenue recorded in that book. All receipts, including voided receipts, MUST be accounted for. The pink copy of each receipt should remain in the receipt book for reference purposes.

Each time a deposit is made, the receipts being sent with the cash receipt transmittal form to the Business Office should be noted inside the receipt book.

When the cash receipt transmittal form is returned to the department from the Business Office, the document number should be noted beside the corresponding information in the

receipt book.

Used receipt books will be retained in the departments for the past three consecutive years plus the current year.

Note: All documentation, including copies of receipts, pertaining to deposit will be returned to the department for retention. Record retention schedules (see policy D-28, Records Management) must be adhered to for all receipts and deposit summaries. They should be destroyed in accordance with the approved SFASU Records Retention Schedule.

Check Acceptance

There are several different categories of checks.

Acceptable with Proper Identification

Cashier's Check *A check purchased at a bank for any amount; the bank completes all information on the face of the check with a bank officer signing as the maker.*

Certified Check *A personal check guaranteed by the bank; the check is stamped "certified" and signed by a bank officer.*

Money Order *An item purchased at a bank, post office, or other business establishment for any amount.*

Traveler's Check *A special check supplied by banks or other companies for the use of travelers; these checks already bear the purchaser's signature and must be countersigned in the cashier's presence.*

Personal Check *A written order payable on demand, drawn on a bank by a depositor; a personal check is written against an individual's funds as opposed to a cashier's check, certified check, money order, or traveler's check, all of which are written against bank funds.*

Starter Check *A non-personalized encoded check that a person receives from a bank when they establish a checking account. These are for the person's use prior to receiving encoded checks from the bank. Starter checks **should only be accepted if the bank has encoded the routing number and account number on the bottom of the check.***

Unacceptable without permission from the Business Office:

Counter Check *A non-personalized, non-encoded check that is available at most banks.*

Third Party Check *A check made payable to a person or organization other than the one*

accepting or cashing the check (for example, a paycheck).

Foreign Check A check written on a foreign bank (e.g., a Canadian bank) not specifically prepared as U.S. currency. The maker's address might be outside the United States; however, it is the bank's address that must be examined.

Every check or money order must be reviewed for completeness as follows:

Item	Verification
Account holder's name, address, phone number	Verify that information is included on the check. A daytime phone number is preferred.
Bank coding and holder's account number	Observe that the check has the customer's bank account and routing number encoded on the bottom along with the bank and check number.
Payee	Must be payable to Stephen F. Austin State University . The abbreviation, SFA or SFASU, is acceptable.
Information	Departments accepting checks in person should record legibly the following items on the face of the check: the issuing person's driver's license number, date of birth (DOB), the accepting department, and the accepting employee's initials .

NOTE: All departments receiving mail remittances should review the check for completeness given the applicable items stated above.

Signage

At the location where funds are collected, each department must have signage in place with the following detailed information.

- MAKE CHECKS PAYABLE TO SFASU
- PLEASE ASK FOR A RECEIPT
- RETURNED CHECK FEE WILL BE CHARGED
- NO FUNDS LEFT OVERNIGHT

Endorsement Stamps

Each department must restrictively endorse all checks **immediately** upon receipt. This prohibits the negotiation of the check if it is stolen. Endorsement stamps can be obtained from Printing Services and read: "Stephen F. Austin State University, For Deposit Only". The department should include the department's name under the endorsement, so lost or stolen checks can be traced back to the department if found.

Accepting Credit Cards

Stephen F. Austin State University accepts the following credit cards:

- *VISA*
- *American Express*
- *MasterCard*
- *Discover*

When accepting credit cards, the following guidelines should be observed:

- *Charge cards shall be accepted for no more than the amount of purchase.*
- *The expiration date and security code are required.*
- *If information is received by phone, a contact phone number must be included.*
- *All credit card information should be considered confidential, and must be protected. See Policy C-61, Payment Card Acceptance and Security.*

Specific instructions for handling credit card transactions will be conducted during receipt handling training.

Reconciling Cash and Receipts

*Cash receipts **must** be reconciled. On days when cash is collected, a reconciliation must be performed at the close of the business day when possible, and no later than the beginning of the next business day. Cash, checks and credit cards must reconcile with the daily receipts. All receipt numbers (including voids) utilized for the day's business must be accounted for.*

Deposits of Cash and Checks

Some university departments are authorized to make deposits directly to the bank via courier service provided by the UPD. These departments include: University Center Business Office, Fine Arts Ticket Office, and Athletics. Other departments may get authorization to make deposits directly to the bank via courier service by the UPD from the Controller's Office. Each department that makes deposits directly to the bank via the UPD courier shall submit the deposit summary form to the Business Office on the deposit date. All other departments will hand deliver their deposits to the Business Office or one of the above named departments (upon approval by the Business Office).

*Deposits must be brought to the Business Office (or above named departments) **within 5 calendar days or when \$100 or more in receipts has accumulated**, whichever comes first.*

All checks must be restrictively endorsed immediately upon receipt.

Preparing and Making the Deposit

It is the responsibility of the department to accurately count all currency and checks collected. It is recommended that a second individual recount the currency and checks before completing the deposit.

A deposit summary form must be completed and submitted to the Business Office with each deposit. This deposit summary form must include the department name and account number(s).

Currency

All currency must be separated by denomination and presented face up and facing the same direction. An adding machine tape should be included with the breakdown of the amounts for each denomination. Coins must be counted and submitted in coin wrappers. Amounts in excess of wrapper amounts should be secured in an envelope with the enclosed amount noted.

Checks

- *All checks must face the same direction for expediting the bank processing.*
- *An adding machine tape must be run to determine the total amount of checks being deposited.*
- *The adding machine tapes must have a clear 0.00 at the top.*
- *A second adding machine tape must be run to verify the total previously calculated.*

Sales Tax

Departments are responsible for collecting any applicable sales tax and reporting it to the Business Office on the deposit summary form.

Cross Reference: *Policy C-61: Payment Card Acceptance and Security, Policy D-28, Records Management*

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

Contact for Revision: *Controller*

Forms: *Cash Receipts Reconciliation Form, Deposit Summary Form*

Reduction in Force of Non-Academic Employees (E-41N)

Original Implementation: July 28, 1986

Last Revision: ~~July 10, 2007~~ *October 12, 2009*

The purpose of this policy and procedure is to establish a process for effecting a reduction in force. A reduction in force is defined as a layoff of a segment of the work force due to a lack of work, reduction in funding, or reorganization. It is an involuntary termination of employment not involving delinquency or misconduct.

The president of the university may implement a reduction in force in order to meet operating expenses and maintain sound reserves without diminishing capital or generating unwise or impermissible indebtedness. Prior to the implementation, the president shall consult with the vice presidents and other administrators of the president's choice. The consultation shall include a discussion of:

1. anticipated income and expenditures;
2. retrenchment measures which have been taken;
3. reasonable alternatives to reduction in force; and,
4. any other matter the president deems appropriate.

Policy

1. Regular, full-time employees will be given preference for retention over probationary, part-time, or temporary employees.
2. Length of service with the university, ability to perform the work remaining in the affected department, and critical skills required for the remaining work shall be weighed equally in selecting employees for layoff.
3. The university will make every effort to place potentially affected employees in vacant positions for which they qualify.
4. Employees who are laid off as a result of a reduction in force will be given priority consideration for vacant positions for which they qualify.
5. If there are no suitable job openings at the university, Human resources will provide reasonable assistance to affected employees in finding positions outside the university.

Procedure

1. A director or other administrator instructed by the president to accomplish a reduction in force will prepare a Work Force Profile on all employees in the affected department or program. The Work Force Profile shall indicate the number of positions to be abolished, discontinued, or vacated, and the names, job titles, length

- of service, and classification (temporary, probationary, or full-time, regular) of the affected employees.
2. The director or other administrator shall list the employees recommended for separation on a Reduction-in-Force Roster and forward the roster and the Work Force Profile through the appropriate vice president to the director of human resources.
 3. The director of human resources shall review and certify that the Reduction-in-Force Roster complies with the provisions of this policy.
 4. After certification, every affected department's roster shall be sent to the president for final approval.
 5. Upon approval by the president, the director or other administrator of the department will meet with each affected employee, review the reason for the reduction in force, provide the employee with written notification of separation, and refer the employee to human resources. Whenever possible, a written notification should be given at least ~~thirty (30)~~ *sixty (60)* days prior to the effective date of the reduction in force.
 6. ~~In human resources,~~ Each affected employee will complete a new *on-line* application. ~~human~~ *Human* resources will review the application and interview the employee.
 7. If there are suitable openings with the university, the employee will be referred to those job vacancies for which the employee is qualified.
 8. If there are no suitable openings, the university may replace an employee in one department with an employee who has more seniority in the same or other department, *within the university's discretion*. The university may exercise this option in cases where both employees are in the same or similar job classification according to the university's validated job descriptions. *The displaced employee,* ~~or the employee~~ will be provided with placement assistance for positions outside the university. The affected employee who is transferred under this option shall receive the compensation budgeted for the position to which the employee has been transferred.
 9. Human resources will provide each affected employee with information regarding unemployment benefits from the Texas Workforce Commission and other available assistance.
 10. Employees who are laid off as a result of a reduction in force will be recalled to the next available position for which they qualify. The right to recall shall be granted on a priority basis. Length of service with the university, ability to perform the work in the affected department, and critical skills required for the work shall be weighed equally in selecting employees for recall.
 11. A notice of recall shall be sent to affected employees at the last known address according to university records.

12. A reasonable period of time not to exceed seven (7) days will be allowed for the affected employee to reply. The university may grant written extension when there are extenuating circumstances.
13. The right to recall shall cease six (6) months after layoff.
14. An employee on layoff from the university who rejects a recall or job offer for a position for which he/she qualifies shall forfeit further rights to recall.
15. Each employee who is laid off as a result of a reduction in force may appeal the decision in accordance with the procedure for category I grievances under the Grievance and Appeals Procedure for Non-Academic Employees. The appeal shall begin at step three. The burden of proof is on the employee, and the scope of the review is limited to the opportunity for the employee to establish that the layoff was made on a constitutionally impermissible or unlawful basis or an arbitrary or capricious basis, or that this policy and procedure was substantially violated.

Cross Reference: ~~None~~ *Worker Adjustment and Retraining Notification Act (29 U.S.C. 2101, et seq.)*

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Regents Professors (A-38)

Original Implementation: October, 1979

Last Revision: ~~April 28, 2005~~ October 12, 2009

~~Recognition~~ *The title of by the Board of Regents as a Regents Professor is the highest honor that the university has in its authority to may bestow upon a member of the faculty. This honor is reserved for faculty members who are well rounded and exemplary in teaching, research, and service and who serve as exemplary role models to the university community. The title of Regents Professor is not an academic rank and is held for one academic year.*

1. Only tenured full professors *are eligible for nomination. They must have served who have served for a minimum of ten years at Stephen F. Austin State University (SFA), and who have been in rank for a minimum of five years, and shall remain on active service during the academic year of the award are eligible for nomination. Previous recipients of the award are ineligible.*
2. Faculty members ~~may be~~ *are* nominated on the basis of extraordinary merit in ~~Teaching, or Research/scholarly/creative accomplishment, and service.~~ *In either case, however, the nominated professor should be a well rounded and exemplary member of the faculty. Evidence of exceptional performance must exist in each category.*
3. ~~A faculty letter of nomination may be submitted member may be nominated by any tenured member of the faculty to the provost and vice president for academic affairs. department chair, a dean, or a Regents Professor.~~
4. *Upon acceptance of a nomination, the nominee* ~~The department chair is normally responsible for convening a panel of at least three full professors. (In the event that the nominee is a department chair, the dean will appoint a senior professor to convene the appropriate panel.) All dossiers must prepare a dossier that should include: a current curriculum vitae, a statement of teaching philosophy, copies of all student evaluations for the past 3-5 years, and grade distribution evidence of exceptional teaching, evidence of exceptional research/scholarly/creative accomplishment, and evidence of exceptional service.~~ *In addition, service to professional organizations, to the campus, and to the community should be documented. Nominations in the research category should include a detailed history of grant activity and publication as well as a narrative that traces and projects the nominee's research career. Further, research nominations should normally include at least three external letters of support from researchers in the field who are asked to review the nomination. Nominations in the teaching category should include peer reviews of teaching as well as student evaluations.*
5. ~~The panel will write a narrative in which the worthiness of the case for Regents Professor is assessed. This narrative is added to the dossier. The dossier then proceeds to the department chair, who makes an independent recommendation with regard to the nomination. The chair's recommendation becomes part of the dossier.~~

~~6. The dean will convene a panel of at least three full professors to review the dossier and make a recommendation on behalf of the College faculty; the panel recommendation becomes part of the dossier. Subsequently, the dean reviews the dossier and all accompanying materials and makes an independent recommendation. The dean's recommendation becomes part of the dossier.~~

~~7.5. The individual colleges submit nominations to the Provost. The provost appoints has the responsibility of constituting a review committee panel of six from the ranks of former former Regents Professors and deans, with attention to disciplinary balance. In order to ensure active participation, the Provost will poll Regents Professors about their interest and willingness to serve on such a review panel. A ballot will be constructed from the names of willing persons, and the Regents professors will vote to elect a pool of potential reviewers.~~

~~The Provost will annually name a review committee that includes five Regents professors. The he committee should be constructed with some attention to disciplinary balance and to balance of research/teaching strengths. The committee may not include any person who is from the home department of a current nominee.~~

~~The review committee will examine the dossiers; then, the committee meets and selects one nominee in the research category and one in the teaching category. However, on account of the distinction and achievement required of Regents Professors, the committee may forward only one name or no name in any given year. review panel shall examine the dossiers independently and vote by anonymous ballot.~~

~~6. All of the dossiers will be reviewed by the college deans. The deans' review takes place independent of the review by Regents Professors, i.e., neither group is apprised of the other's recommendations. The deans will vote by ballot.~~

~~7.6. The provost shall receives the nominations ballots from the committee-panel of Regents Professors and the ballots from the deans. The Provost and, on the basis of the input, decide whether to recommend a single nominee or none at all then makes a recommendation to the Board of Regents, through the president, for up to two awards annually—one in teaching and one in research. However, on account of the distinction and achievement required of Regents Professors, the Provost may forward only one name or no name in any given year.~~

~~8.7. The designation as Regents Professor may be made only by the Board of Regents.~~

~~9.8. Faculty members who are honored as A Regents Professors receives a medal at commencement along with a , a one -time stipend, and are invited to address the campus community during their year as Regents Professor.~~

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

Cross Reference : None

Responsible for Implementation : Provost and Vice President for Academic Affairs

Contact for Revision- Provost/ *and* Vice President for Academic Affairs

Forms: **None**

Retirement Programs (E-43)

Original Implementation: September 1, 1983

Last Revision: ~~January 27, 2009~~ October 12, 2009

Employees of the university working 20 hours per week (50% time) or more for a period of at least four and one-half months must participate in either the Teacher Retirement System of Texas (TRS) or an Optional Retirement Program (ORP). This excludes students employed in positions requiring student status as a condition of employment.

Contribution amounts for the employee, and the employer matching monies, are determined by the Texas State Legislature. These amounts are subject to change with any legislative session. The amounts listed are those in effect at the time of publication of this policy and in no way reflect a contract between Stephen F. Austin State University and any employee.

1. Teacher Retirement System. Employees who participate in the Teacher Retirement System of Texas are required to contribute 6.4% of their gross annual salary to the Retirement System. The employer matching contribution is ~~6.584%~~ 6.584% of the gross annual salary beginning 9-1-~~2007~~2009. Contributions are obtained through monthly payroll deductions.
2. Optional Retirement Program
 - a. **ELIGIBILITY**--An Optional Retirement Program is available to the following employees of the university: full-time members of the faculty whose duties include teaching or research; administrator responsible for teaching and research faculty; professional librarians, the president, vice presidents, or other professional staff members whose national mobility requirements are similar to those of faculty members and who fills a position that is the subject of nationwide searches in the academic community. Eligibility to participate is also subject to rules adopted by the Higher Education Coordinating Board. Positions listed as classified are ineligible to participate. Eligibility in ORP is in lieu of present or future active membership in the Teacher Retirement System of Texas.

The university Board of Regents utilizes the following definitions, promulgated by the Texas Higher Education Coordinating Board, for determining eligibility for participation in the Optional Retirement Program:

1. "a member of the faculty whose duties include teaching or research" shall mean: all persons whose specific assignments are made for the purpose of conducting instruction or research as a principal activity (or activities), and who hold titles of

professor, associate professor, assistant professor, instructor, lecturer, or equivalent faculty title;

2. "an administrator responsible for teaching and research faculty" shall mean: deans, directors, associate deans, assistant deans, chairpersons or heads of academic departments if their principal activity is planning, organizing and directing the activities of faculty as defined in subsection (1) of this section;
3. "professional librarian" shall mean: a librarian with a degree in library science;
4. "other professional staff person" shall mean: administrative and professional positions customarily recruited by advertising in national publications such as The Chronicle of Higher Education or in newsletters of national professional associations or at meetings of such associations. In addition, each administrative or professional position must be at a salary rate equivalent to the rate for faculty for the institution.
 - a. administrative positions shall normally report to the office of the president, vice president or dean. Incumbents in such positions serve as director or other administrative head of a major department or budget entity. Incumbents of such positions must be:
 - i. appointed by the governing board or the chief administrative officer of the institution, or his/her delegate; and
 - ii. responsible for the preparation and administration of the budget, policies, and programs of the department or entity.
 - b. professional positions shall include positions in nationally recognized fields, which require advanced degrees and/or specialized professional and artistic training, experience, and achievement. These would include titles such as physicians, athletic coaches, engineers, and lawyers.
 - c. TIME LIMIT FOR ELECTION OF ORP--Eligible new employees have 90 days after employment by the university in an ORP eligible position to elect to participate in ORP. An employee who elects to participate in ORP must complete the Form TRS 28 and the proper payroll forms. The employee will complete Form TRS 29 to withdraw all contributions they made to TRS prior to election ORP.
 - d. CONTRIBUTIONS TO ORP--Contributions of participants in ORP shall be 6.65% of gross annual salary. The employer matching contribution is 8.5% of the gross annual salary for grandfathered employees (ORP participants prior to 9-1-95.) New employees hired on or after 9-1-95 and before 8-31-2007, received a 6.0% employer matching contribution. Beginning 9-1-2007/2009, the state has changed the amount for employees hired on or after 9-1-1995 from ~~6.0%~~ to 6.58% to 6.4% and all new employees receive 6.584% employer matching contributions.
5. Federal, Private, and other Non-Education and General Contributions to Retirement Programs. As a result of House Bill 2083 passed by the Texas 66th Legislature, and Senate Bill 745 passed by the Texas 69th Legislature, matching contributions into

both ORP and TRS based on salaries and wages paid from these sources will be direct fringe benefit charges against these sources.

A listing of authorized vendors and agents is available in Human Resources.

Cross Reference: ~~V.T.C.S., Title 110B, Chapter 31-36~~ *Tex. Gov't Code §§ 821-830*

Responsible for Implementation: President

Contact for Revision: Director of Human Resources

Forms: Form TRS 28 and the ORP-1, (both forms are available in Human Resources)

Risk Management (E-43.5)

Original Implementation: August 2, 1994

Last Revision: ~~October 19, 2006~~ October 12, 2009

POLICY STATEMENT

The administration of Stephen F. Austin State University recognizes the significance of providing a safe working and teaching environment for both employees and students. Fulfilling educational philosophies and protecting facility assets are important priorities.

Institutional planning, with an emphasis placed on practical approaches to problem solving and risk control, are standards commonly adhered to in a university environment. Policies and procedures address controlling the total cost of risk while meeting the goals of conserving the physical and financial resources of the institution. The ultimate benefit is a reduction in the total cost of risk. Additionally, the university is a safer place for employees, students and the public to work, study, and congregate.

It is the responsibility of the university administration to communicate the Risk Management Policy to university personnel. In so doing university personnel are educated on the concepts of safety and risk management. By demonstrating the ability to analyze exposure to loss and by implementing measures to control these losses, the image of the university is improved in the market place and in the community.

The function of risk management is to minimize the adverse effects of events, be they physical or financial, through the implementation of three basic tools:

Avoidance. Risk is avoided by refusing to assume it. This is not always wise or possible as it may mean an end to an operation in a specific area.

Loss Prevention and Reduction. When a risk cannot be avoided, it can often be reduced and the severity of losses lessened through the proper training of staff, maintenance of equipment, updating of policies and procedures, and the proper implementation of adequate emergency procedures.

Transfer. If a risk cannot be avoided, it can be transferred to others. In negotiating contracts, the risk manager may recommend an insurance clause be included requiring evidence of the other party's insurance coverage. This type of document is a "certificate of insurance" and where appropriate, the institution may need to be named as an additional insured under the contractor's policy.

RISK MANAGEMENT PLAN

Loss or claim reporting procedures

I. Personnel

Faculty, staff, or student assistant injuries that occur during the scope of employment may be covered by Worker's Compensation. The employee must inform his/her supervisor and contact the university claims coordinator (~~Assistant~~ safety officer) *as soon as possible*. Refer to University Policy and Procedure Manual, Workers' Compensation Coverage, Index E-55.

The university does not maintain liability insurance for student or visitor injuries.

II. Property

Whenever a property loss occurs from fire, theft, explosion, flood, earthquake, vandalism, or any other such cause, a loss report is submitted to the University Police Department (UPD) and the Environmental Health, Safety, and Risk Management Department (EHS&RM) by the ~~area~~-department supervisor. *EHS&RM will file the necessary paperwork for insurance claims.*

III. Students and Visitors

- A. Occurrence: Whenever there is an accident or injury on university premises, a loss or injury to a student, visitor or company, or any other unplanned event, the UPD and EHS&RM is notified. UPD will submit incident or accident reports to the Environmental Health, Safety, and Risk Management Department.
- B. Procedure: The appropriate vice president is notified of all incidents that involve a contractor, vendor, student, or visitor.
 1. Once all of the facts have been documented, the general counsel is notified.
 2. Employees are advised to discuss the case with no one until consulting with the general counsel.
 3. No statements are made admitting liability or authorizing medical treatment unless cleared through the general counsel.
 4. If any machine, product, or object is involved in the accident, it is preserved, as is, in a safe place until it can be examined.

SAFETY AND LOSS PREVENTION

I. Safety Communication Network

- A. The University ~~Safety Committee and the~~ Environmental Health, Safety and Risk Management Department (*EHS&RM*) is charged with the general oversight of the ~~University--university~~ safety program. Communication channels that connect each ~~operating unit/area~~ of the ~~University--university~~ with the ~~EHS&RM Safety Committee Department~~ are necessary for an effective safety program. Each ~~unit/Division~~ of the university system (~~Item I--F~~), shall designate a ~~Safety--safety Representative or representatives~~ who will act as the ~~intermediary--liaison(s)~~ between the ~~unit/Division~~ and a ~~designated member of the Safety Committee~~ *the EHS&RM Department*. ~~The Chair and members of the Safety Committee will be appointed by the Vice President of Finance and Administration (See Health and Safety Policy D-17).~~

(NOTE: The purpose of *this safety communication network* is not to relieve the ~~unit/Division~~ members of the general responsibility to recognize hazards in their areas of activity and take positive action to reduce or eliminate those hazards, nor is it to relieve the faculty and staff members of their responsibility to educate their students and employees about proper job procedures and recognized hazards before making task assignments.)

- B. Communication Pathway: The procedure for channeling safety information to the ~~Safety Committee EHS&RM Department~~ is as follows:
1. Any individual who discovers a safety problem shall notify ~~the Safety Representative and/or their~~ *his/her* supervisor. *The supervisor shall notify the appropriate Division Safety Representative.*
 2. The ~~Division Safety Representative~~ shall ~~advise--coordinate with~~ the appropriate ~~supervisor/individuals~~, and the safety problem will be resolved at that level if possible.
 3. If further action is necessary or if help is needed to clarify the problem and recommend a solution, the ~~Division Safety Representative~~ will refer the problem to the ~~Safety Committee EHS&RM Department member assigned to that unit. The Safety Committee member will advise the Safety Committee of the problem.~~
The EHS&RM Department will assess the safety issue and assist with the resolution. The Safety Committee Chair will take the issue under consideration.
 4. ~~Before action by the Safety Committee, the Department Chair and the Dean of the School or the Administrator of the unit shall be consulted, and every effort will be made to resolve the problem without committee action.~~
- Should the scope of the problem be such that it is one of university-wide concern, or that resolution of the problem cannot be achieved at the department or ~~unit~~ *Division* level, the ~~Safety Committee EHS&RM Department~~ will ~~consider the problem and~~ recommend a course of action *through appropriate administrative channels* to the president. ~~of the University.~~

C. Alternate Communication Pathway: The plan as outlined does not preclude a person from *directly* contacting the ~~University Environmental Health, Safety and Risk Management Department, Department; Safety Committee Members, and/or the Safety Committee Chair directly;~~ however, it will be policy to refer the problem *should be presented* to the ~~department or unit Safety Representative appropriate Division Safety Representative~~ for resolution at that level if possible.

D. Other functions of the ~~Safety Communication Network~~:

1. The network will serve as a means of communicating safety matters and concerns from the ~~EHS&RM Department Safety Committee to through the unit Division Safety Representative and thence to the faculty, supervisors, and employees.~~
2. ~~A list of all Safety Committee members and their assigned areas of network responsibility will be provided to all unit and department Safety Representatives. Any Division's unit or or department that operates in an environment that presents high risk- shall establish a safety committee. chaired by with the the The Division Safety Representative; and the unit department administrator (or a designated representative) shall be as an ex-officio shall serve as committee members.~~ Each ~~unit department~~ shall review its working conditions and the hazards associated with them to determine the need for a ~~unit~~ safety committee.
3. In order to maintain continuity of the ~~Safety Communications Network~~, the term of the ~~Division Safety Representative~~ will be ~~indeterminate indefinite~~, but subject to review. Each ~~department or unit administrator Division Vice President~~ shall send the name of the ~~Safety Representative or Representatives~~ and names of the ~~unit or departmental Safety Committee members, if appropriate,~~ to the ~~Chair director of the Safety Committee by September 15-EHS&RM by September 1st~~ each year.
4. Each ~~unit or department~~ shall set aside at least four square feet of bulletin board space to be designated "SAFETY NOTICES," and it shall be maintained exclusively for safety information. The bulletin board will be the responsibility of the ~~Division Safety Representative~~. A description of the SAFETY COMMUNICATION NETWORK, the ~~Division Safety Representative's~~ name, office number, and phone number shall be posted on the bulletin board.

E. Safety Suggestion Program

1. The Safety Communication Network will serve as the pathway for the Safety Suggestion Program to allow employees to voice their safety concerns and have a direct input into the safety program. Safety suggestions are to be directed to the ~~Chair of the Safety Committee~~ *director of EHS&RM*. Suggestions may be anonymous; however, satisfactory resolution of the safety problem may depend upon discussions with the person.

F. Unit Designations

1. ~~For purposes of the Safety Communications Network, each academic department and the Library is considered to be a unit. The offices of the academic deans are a part of a department designated by the dean. Other unit designations are Austin Building, to~~

~~include all persons who work therein; Computer Center (Boynton Bldg); University Center; Health Clinic; Purchasing, to include Central Stores and the Warehouse; Physical Plant Administration and Shops; Motor Pool; Buildings and Grounds; HOP; University Police Department; Printing Services (Rusk Bldg.).~~

II. Safety Management

- A. —There are varying risks associated with activities and occupations at a university. The Environmental Health, Safety and Risk Management Department serves the university community by identifying the areas of greatest risk and by making recommendations regarding elimination, substitution or reduction of those risks. Recommendations are based on the numerous federal, state, and local regulations, codes, and standards that have been developed to assure public health and safety. Employees are encouraged to play an active role in the university safety program by identifying and reporting hazardous conditions. Refer to the university Health and Safety Manual ~~and the Fire and Safety Manual for Residence Halls and Apartments.~~

III. Instructional Program

- A. Structured safety training such as new employee, defensive driving, specialized, high interest areas, or specific subject matter, and information concerning the Hazardous Communication Act will be offered to employees ~~as deemed when~~ appropriate *or required by law*.

IV. Monitoring

- A. ~~The Safety Committee~~ *EHS&RM Department* will ~~meet quarterly~~ to update or modify this document as needed. ~~This committee~~ *EHS&RM* will be charged with the responsibility of reviewing problem areas such as recurring injuries, accidents, or safety violations.

V. Travel and Vehicle Use Policy

- A. Refer to the University Vehicle (Rental) Policy, Index B-30.

VI. Insurance

- A. The purchase and renewal of insurance are the responsibility of the vice president for finance and administration.
- B. The vice president of finance and administration and the campus risk manager will evaluate campus risks of loss and insurance needs.
- C. Insurance shall be purchased if:

1. Required by law,
2. The cost of insurance is judged to be preferable to leaving the risk uninsured,
3. Required by contractual agreement,
4. Insurance will not be purchased if state or federal law prohibits the purchase of insurance. Insurance coverage is limited to what is allowed by state law.
5. *The State Office of Risk Management must approve all insurance prior to purchasing. The appropriate approval forms must be initiated through the EHS&RM Department.*

D. Insurance Claims:

1. Any incident that may be covered by insurance must be reported to the Environmental Health, Safety and Risk Management Department so that the incident may be evaluated and reported to the appropriate insurance carrier; and
2. The Office of General Counsel will be notified of all claims and consulted for guidance.

VII. Employee Indemnification

Employees are indemnified within the course and scope of employment to the extent provided by state law. Refer to Chapter 104, Civil Practice and Remedies, Vernon's Texas Codes Annotated.

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

Cross Reference: Workers Compensation Coverage, Policy E-55; University Vehicle (Rental), Policy B-30; Health and Safety, Policy D-17; *Tex. Civ. Prac. & Rem. Code §§ 104.001-.009*

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

Contact for Revision: Director, Environmental Health, Safety, and Risk Management.

Forms: None

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

Original Implementation: April 26, 1975

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

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

Source of Authority: ~~Board of Regents~~

Cross Reference: Board of Regents Rules and Regulations

Responsible for Implementation: *President*

Contact for Revision: President

Forms: None

Selection of Vice Presidents, Athletic Director and Head Coaches (D-30.1)

Original Implementation: April 21, 1998

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

The Board of Regents shall participate in the selection of the vice presidents, athletic director, and head coaches prior to the obligation of those positions.

Source of Authority: ~~Board of Regents~~

Cross Reference: None

Responsible for Implementation: *President*

Contact for Revision: President

Forms: None

Sick Leave (E-47)

Original Implementation: Unpublished

Last Revision: ~~April 22, 2008~~ October 12, 2009

Regular, consistent attendance and punctuality is expected of all university faculty and staff, as well as the proper use of leave time when an absence is necessary.

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. Employees of the SFA Charter School will earn sick leave according to Charter School policy.

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.
5. 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.
6. Extension of Sick Leave: Pursuant to *sections 661.202(i) and (j) of 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.)

7. 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.

Cross Reference: ~~Texas Government Code Chapter 661~~ *Tex. Gov't Code §§ 661.001-.919; Tex. Gov't Code §§ 617.001-.005; Non-Academic Employee Handbook; Organized Work Stoppage, Policy E-34*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Request for Vacation, Compensatory Time, Sick Leave Taken (available in University Printing Services)

Sick Leave Pool (E-47.1)

Original Implementation: September 17, 1982

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

Purpose:

Pursuant to Texas Government Code secs. 661.001-661.008, the university shall maintain a sick leave pool to benefit certain regular employees who suffer a catastrophic injury or illness. A sick leave pool shall be established and maintained to provide for the alleviation of the hardship caused to an employee and the employee's family if a catastrophic illness or injury forces the employee to exhaust all accrued leave (including compensatory time, if applicable) and lose compensation with the state.

Definitions:

1. A catastrophic injury or catastrophic illness is defined as a severe condition or combination of conditions affecting the mental or physical health of the employee, or the employee's immediate family, that requires the services of a licensed practitioner for a prolonged period of time and that forces the employee to exhaust all accrued leave and lose compensation from the state.
2. A severe condition or combination of conditions is one that:
 - a. will result in death or is a severely debilitating condition that will result in the individual not meeting the essential functions of their job if not treated promptly or at regularly scheduled intervals (e.g. chemotherapy treatments, radiation treatments, etc.);
 - b. has been designated as terminal; or
 - c. ~~prevents~~ *fully incapacitates* the employee from working for a continuous period of ~~forty-five (45)~~ *thirty (30)* calendar days or more.
3. Licensed practitioner means a practitioner, as defined in the Texas Insurance Code, who is practicing within the scope of his/her license.
4. Immediate family is defined as those individuals related by kinship, adoption, marriage or foster children who are so certified by the Texas Department of Human Services who are living in the same household. If not in the same household, an immediate family member is strictly limited to the employee's spouse, child or parent who needs care and assistance as a direct result of a documented catastrophic medical condition.

Eligibility and Other General Provisions:

1. All regular faculty and non-probationary staff members' eligible to accrue and use sick leave in accordance with university sick leave policy E-47 may apply to use sick leave from the sick leave pool.
2. Employees may use sick leave pool for their own catastrophic illness or injury or for one in their immediate family, as defined above.
3. Employees must be meeting job performance requirements and observing work rules to be eligible for pool leave beyond that period which is covered by Family Medical Leave.
4. An employee may submit only one request for sick leave from the Sick Leave Pool per fiscal year for each catastrophic illness or injury.
5. An employee must exhaust all accrued leave before being eligible to receive sick leave from the Sick Leave Pool.
6. An employee utilizing sick leave from the Sick Leave Pool continues to accrue vacation and sick leave entitlement as if on regular sick leave, provided he or she returns to work following the leave.
7. Employees who are not covered by FMLA (policy E-58) and who are offered a bona fide job offer under the university's Return to Work (policy E-62) must accept the offer or sick leave pool benefits will end.
8. Employees who file for Worker's Compensation Benefits are not eligible to use sick leave from the sick leave pool. In no case may sick leave pool time be used in conjunction with a worker's compensation claim.
9. A routine pregnancy is not considered a catastrophic illness or injury.
10. A regular part-time employee is granted pool leave on a pro-rated basis.
11. One sick leave pool will be administered for all regular faculty and staff employees of the university.

Requesting Sick Leave from the Pool

1. A regular employee may apply for sick leave from the sick leave pool by completing a "Request for Sick Leave from the Sick Leave Pool" form and routing the form to the pool administrator in Human Resources.
2. Medical certification is required before the sick leave pool request can be reviewed by the administrator. Weekly documentation of appointments and/or treatment must be submitted to the pool administrator. Failure to return the required certification and documentation may result in loss of pool benefits.
3. The pool administrator will approve all or part of the request, or deny the request. All practitioner's statements and medical updates are subject to be referred to and reviewed by a university medical review board.
4. The amount of the pool leave granted for each catastrophic illness or injury will be determined by the pool administrator. The amount granted cannot exceed one-third of the balance of hours in the pool. However, in no case may an employee use more

than 90 work days from the pool. Initiation and/or renewal of approval for use of such leave shall be subject to review of a current medical report for each approval period, and subject to availability of appropriate balance in the fund.

5. Medical updates are required every 30 days, unless otherwise indicated. Failure to return required medical documentations may result in delay or loss of pool benefits.
6. Any unused balance of leave granted to an employee from the sick leave pool returns to the pool if the employee returns to work prior to using all days granted. The estate of a deceased employee is not entitled to payment for unused leave requested from the sick leave pool.
7. Employees on sick leave pool who return to work on a part-time basis are not eligible to continue on pool leave to make up the difference between their part-time employment and regular full-time employment.
8. An employee's sick leave pool award will immediately stop once the catastrophic medical condition for which it was granted ceases.

Contributing Sick Leave to the Pool

1. An employee with accrued sick leave may contribute to the sick leave pool in increments of eight hours, with the exception of a retiring employee who may contribute accrued sick leave in increments of less than eight hours.
2. Sick leave contributed to the pool reduces the accrued sick leave balance of the employee making the contribution.
3. Contributions to the pool are strictly voluntary.
4. An employee contributing sick leave to the sick leave pool may not stipulate who is to receive the contribution.
5. An employee who contributes sick leave to the sick leave pool cannot reclaim the contribution unless entitled to use leave from the sick leave pool. An employee who contributes sick leave to the sick leave pool and then exhausts his or her sick leave balance in the same fiscal year may receive the number of hours he or she contributed to the pool in that fiscal year without suffering a catastrophic illness or injury.
6. An employee desiring to contribute sick leave to the sick leave pool should complete an "Application to Contribute Sick Leave" form, provide a copy to his or her department head, and route the form to the pool administrator in Human Resources.
7. Terminating employees who are not transferring to another state agency and who have a sick leave accrual are encouraged to donate the balance of their sick leave.

Administration of the Pool

1. The pool administrator (in the Human Resources department) is responsible for the administration of the sick leave pool. Decisions of the pool administrator may be appealed to the appropriate vice president.
2. Requests for sick leave from the sick leave pool will be forwarded to the pool administrator. Requests will be considered by the pool administrator on a first-come, first-serve basis. Employees may ~~not~~ submit a request for sick leave pool hours *when they are running out of accrued leave. The request will be considered when they have exhausted all accrued time. until they have been out of work for forty five (45) days. If a request is awarded, sick leave pay will be made retroactive to the date and time the employee exhausted accrued leave.*
3. The pool administrator will have five working days from the date a request is received in which to approve all or part of the request or deny the request.
4. The amount of sick leave granted for each catastrophic illness or injury will be determined by the pool administrator. The amount cannot exceed one-third of the balance of hours in the pool, or 90 working days, whichever is less. The pool administrator shall approve the use of not more than ~~forty five (45)~~*thirty (30)* days of such leave by one individual at one time. Initiation and/or renewal of approval for use of such leave will be subject to review of a current medical report for each ~~forty five (45)~~*thirty (30)* day approval, and subject to availability of appropriate balance in the fund.
5. The pool administrator shall design and implement a system of records management and reporting of sick leave pool activity. The total leave time available in the sick leave pool shall be reported quarterly to the director of human resources and be available upon request to faculty and staff.

Source of Authority: ~~Texas Government Code secs 661.001-661.008; Board of Regents; President; Director of Human Resources~~

Cross Reference: ~~None~~*Texas Gov't Code §§ 661.001-661.008*

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

Contact for Revision: Director of Human Resources

Forms: Application to Contribute Sick Leave, Family Medical Leave Request (both available in Human Resources)

Student Center Operations (B-29)

Original Implementation: 1966

Last Revision: ~~October 30, 2007~~ *October 12, 2009*

GENERAL OPERATIONS

1. Reservations in the student center (SC) are made through the coordinator of university reservations and conferences, referred to hereinafter as the coordinator.
2. It is the responsibility of the sponsoring agency to ensure that the programs, related activities, and printed material are accessible to persons with disabilities. The university does not accept responsibility for insuring that the programs or activities of the group are in compliance with the provisions for the Americans with Disabilities Act. Questions regarding accessibility of facilities for a specific program being held in the student center should be directed to the coordinator.
3. Lounges are primarily intended for general use by the public. Limited use of the areas for active programming will be allowed upon approval of the director of the student center. Approval will depend upon several variables that will include time, size, and type of program.
4. Animals or pets of any kind, excluding, service animals shall not be permitted in the building at any time.
5. Individuals or groups reserving space in the student center shall be responsible for the behavior of their members and guests and also shall be responsible for any damage caused by their guest or members.
6. Failure to comply with the operations policy or with requests of the persons enforcing this policy may result in suspension of privileges to use the student center and/or lead to action under the university disciplinary code.
7. Disorderly conduct and disturbing the peace shall not be permitted in the student center and may lead to disciplinary action.
8. Card playing or table games may be played only in rooms reserved for such purposes. No such games will be played in any food service areas or lounge areas. Gambling in the building is prohibited.
9. No classes, lectures, laboratories, tests or any type of class for credit shall be scheduled in the student center, except under extenuating circumstances.
10. The student center will not be responsible for any articles lost in the building.
11. Food and drinks shall not be permitted on the second floor of the building except when provided by student center personnel for approved reservations. Food and beverages are not allowed in the carpeted lounge areas without prior arrangements with the coordinator.
12. Electrical circuits shall not be altered nor connected to, except through outlets provided and with the approval of the coordinator.

13. Equipment and furnishings assigned to the student center shall not be removed from the immediate vicinity of the student center for any reason, except upon permission from the director of the student center.
14. The public address system shall be used for music and official announcements only.
15. Skates, skateboards, bicycles or bikes of any kind are not allowed inside the student center.

DISTRIBUTION OF PROMOTIONAL MATERIALS

1. Only university organizations, including academic departments, registered student organizations, faculty and staff organizations, other organizations and entities officially associated with the university and the alumni association may display or distribute promotional materials in the student center after following established procedures. Promotional materials include literature, publications, and posters.
 - a. The promotion of commercial enterprises is prohibited.
 - b. Posters and banners must be registered by the coordinator.
 - c. Posters shall not exceed 14 inches by 22 inches.
 - d. Banners shall not exceed 18 feet long by 3 feet tall.
 - e. Posters may be put up within five (5) days prior to the event or earlier if the space is available and shall be limited to three (2) posters per event in the student center at any one time. Any exceptions must be reviewed and approved by the director of the student center. Posters will not be displayed for longer than two weeks.
 - f. No posters or decorations will be placed on the building proper, including posts, porches, terraces, doors, walks, walls, fountains, planters, floors, or draperies.
 - g. Banners may be hung in designated areas of the student center.
2. After registration, any materials to be displayed on the tables in food service areas must be taken to supervisory personnel of the respective dining areas for distribution instructions. Material may not be distributed in cafeterias during dining hours.

POLITICAL CAMPAIGN POLICY

1. No political campaign posters of students or non-students will be posted in the student center.
2. Campaign literature of student candidates with permission of the cafeteria manager may be placed on the tables in the cafeterias if the literature does not include fund or membership solicitation.

3. Posters or flyers announcing political events, registered for campus, may be posted in the student center or distributed on cafeteria tabletops in conformance with student center policy. Only the name of the candidate, the date, time, place and sponsoring organization may be on posters or flyers announcing a political event.
4. Candidates for political office, both student and non-student, may casually visit with students, personnel, or other patrons in the student center to solicit votes. Distributing campaign literature or cards will be prohibited in the student center.
5. Political candidates may reserve rooms for meetings following all student center policies and subject to all applicable charges.

SOLICITATION

1. Selling, canvassing, petitioning, fund raising, surveying and membership drives by approved student organizations, will be permitted in the student center after registration with the director of the student center. University departments, faculty and staff organizations, the alumni association and other organizations and entities officially associated with the university must seek approval from the director of the student center. Reservations for tables and space in the student center must then be made with the coordinator.
2. No group, except for university departments and the alumni association with approval, shall act as an agent for a commercial company.
3. Fund raising or charitable solicitation and the sale of products or services by community organizations or businesses are prohibited in the student center. This regulation shall not apply to university functions as defined in the university solicitation policy.
4. Solicitation for newspaper delivery may be conducted in the student center on days designated by the director of the student center in areas assigned by the coordinator. All newspaper solicitors will have equal space.
5. Commercial cable service providers under contract with Stephen F. Austin State University may conduct solicitation in the student center on days designated by the director of the student center in areas assigned by the student center coordinator.

BUILDING HOURS

1. The main portion of the student center will be open daily, 24 hours a day, when classes are in session for fall and spring semesters as supported by student traffic. There will be a late charge, for those who reserve rooms, for each additional hour after 10:00 p.m. The student center may stay open late without charge for a

university-sponsored event. The post office area will be open 24 hours daily. Food service areas will be open according to posted schedules.

2. All events in the student center will conclude by 12 midnight, Sunday through Thursday and by 1 a.m. Friday and Saturday. All patrons of the facilities are to vacate the center immediately after that time. No student, faculty or staff member, except by permission of the director of the student center shall remain in the student center after it is officially closed.
3. Hours of operations of the various areas and closing of the building between semesters, on holidays, and during summer semesters shall be at the discretion of the director of the student center.

DECORATIONS

1. Organizations or individuals conducting activities in the student center may request assistance with decorating needs from the special services manager. Arrangements for decorations will be made with the coordinator.
2. There is no charge for using the table decorations from the existing inventory, for catered meals and receptions. Groups and individuals reserving rooms are responsible for safekeeping of arrangements and will be charged for loss or damage. If SC linen tablecloths are used, no crepe paper may be used due to fading. There will be charges for the use of SC linen on non-food tables.
3. Delivery of decorator items from the student center to other buildings is prohibited except as approved by the director of the student center and with appropriate charges.
4. The student center will not store items overnight for patrons. All items, including balloons, brought into the center for decorating purposes must be removed immediately following the event. Trash bags may be supplied by the SC custodial service for balloon and trash removal.
5. The student center shall not be responsible for any articles left in the building.
6. Decorations will be attached only to self-supporting scaffolding and/or attachments provided for decorating purposes. Standards, easels, room dividers, or tack boards are available and may be requested through the coordinator.
7. Excessive decorating requests such as: hanging and removing items from the ceiling or sides of the room above the existing wires, activities requiring the use of scaffolding, ladders and electrical hookups will be charged a maintenance fee. (See charges)
8. The use of adhesive tape, glues including spray glue and hot glue, tacky tape, thumb tacks, masking tape or nails on doors, posts, ceilings, walls, floors or fixtures is prohibited.

9. The use of hay or other flammable materials will not be permitted in the SC without prior approval.
10. Decorations must be constructed by the organization outside the facility. Sawing, painting or hammering, other than joining complete sections, must be done outside the building.
11. In case of special decorating needs, check with the coordinator. A time may be established for entry into the facility for the purposes of decorating with appropriate charges.
12. Services and equipment provided at no charge are subject to availability, and working conditions.

RESERVATIONS

1. Reservation books are opened the first working day of the new calendar year for the following calendar year. The general policy is to honor reservations on a first-come, first-served basis. Regular summer camps and special university functions will automatically be scheduled for the corresponding dates each year.
2. Reservation contracts must be confirmed and the reservations document signed or confirmed by email by the reserving person two weeks prior to each event. Unconfirmed reservations after this time will automatically be canceled.
3. Reservations will not be accepted the day of the event.
4. The scheduling of activities, facilities, or equipment for recognized university clubs and organizations must be made by a group officer or the sponsor of the organization.
5. Failure to use or release a student center facility forty-eight hours prior to the event may result in the group paying the regular room rates.
6. Groups scheduling activities with an expected attendance of 400 or more are required to secure the services of a university police officer.
7. Commercial enterprises are normally not permitted to reserve or use space in the student center for purposes of promotion or selling. The director of the student center may approve a commercial enterprise entering into an agreement with the student center for solicitation within the center, provided the activity has cultural or educational value.
8. Changes in physical set-up of reserved space must be arranged with the coordinator or after office hours with the student center night manager. Requested changes will only be accommodated as time permits and will be subject to charges.
9. Off campus groups or individuals may be required to make a prepayment of three fourths of the expected total bill two weeks before the event.

10. Groups and individuals with outstanding bills or debts owed to the student center will have their reservation privileges in the SC suspended.
11. Only food and beverage prepared by the student center food service will be served in the meeting and dining rooms of the student center. A catering booklet with menus and student center charges is available in the coordinator's office and on the catering website at <http://www.sfasu.edu/auxsvcs/pricelist/>
12. Only registered university organizations may reserve tables adjacent to the lounge areas in the student center.
13. Events that will continue after 9 p.m. must be scheduled at least two (2) weeks prior to the event.
14. Use of university facilities or services is subject to be changed or cancelled based upon priority needs of the university as determined by the director of the student center.

TECHNICAL SERVICES

1. The student center will provide technical equipment if available. See the coordinator for a list of available equipment and prices, visit <http://www.sfasu.edu/auxvcs/pricelist/> Reservations for the event and technical equipment are made with the coordinator two weeks before the event. Late additions of technical equipment to the order must be made at least two days prior to the event and a late charge will be assessed (See charges).
2. Only student center personnel will be permitted in the technical service booth above the Grand Ballroom.
3. Student center technical equipment will not be taken from the student center except by approval of the director of the student center and with the appropriate charges.

FACILITY USAGE BY APPROVED STUDENT ORGANIZATIONS AND UNIVERSITY DEPARTMENTS

1. Approved student organizations and university departments will be permitted to use student center facilities for non-catered events at no charge.
2. Any dance sponsored by an approved student organization must have prior approval from the dean of students or designee before room reservations will be made. Dances will be limited to one (1) per month per organization.
3. Student organizations will be allowed two (2) hours per week for series meeting purposes. Exceptions must be approved by the coordinator. Series meetings are scheduled by email on a first come first served basis. Once the series is confirmed

and the reservation is processed, changes will not be made without a fee. If two weekly series meetings are missed the series will be canceled.

4. An activity scheduled to continue past 12 midnight must be supervised by a university police officer(s). A fee will be assessed for UPD service in addition to the SC late charge.

FACILITY USAGE BY OFF-CAMPUS GROUPS

1. Off-campus groups which are sponsored by a university department may use the student center facilities without room charges.
2. Off-campus groups without a university department sponsor shall be permitted to use the facilities of the student center and will be subject to guidelines and charges.

CATERING

See catering booklet or access the catering website at http://www2.sfasu.edu/auxsvcs/catering/all_menus.htm on the internet.

The service of alcohol at catered functions is limited to events sponsored or co-sponsored by those university affiliated 501(c)(3) organizations approved by the Board of Regents who have secured alcohol service from a holder of a temporary service permit from the Texas Alcoholic Beverage Commission. All permitted service must be performed by a university approved licensed vendor.

CAMPUS LOST AND FOUND

The student center shall maintain a campus Lost and Found Department at the Information Desk. (See Disposition of Abandoned Personal Property policy in the SFA Policy Manual).

CHARGES

See student center price list at our web site <http://www2.sfasu.edu/auxsvcs/Pricelist/index.htm> on the internet.

Cross References: ~~None~~ *Policy D-19*

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Director of Student Services/Director of Student Center

Forms: None

Student Records (D-13)

Original Implementation: 1974

Last Revision: ~~October 30, 2007~~ October 12, 2009

The purpose of this policy is to comply with federal law which: (1) grants to students the right of access to their education records, (2) protects students from illegal use of their education records, (3) restricts the disclosure of the social security account number of students.

I. Definitions

For the purposes of this policy, the university adopts the following definitions:

- A. Student means any person who attends or who has attended the university.
- B. Education records means any record (in handwriting, print, tapes, film, or other medium) maintained by the university or an agent of the university which is directly related to a student, except:
 - 1. a personal record kept by a staff member, if it is kept in the personal possession of the individual who made the record, and information contained in the record has never been revealed or made available to any other person except the maker's temporary substitute;
 - 2. an employment record of an individual whose employment is not contingent on the fact that he/she is a student, provided the record is used only in relation to the individual's employment;
 - 3. records maintained by the University Police Department if the records are maintained solely for law enforcement purposes, are revealed only to law enforcement agencies of the same jurisdiction, and the department does not have access to education records maintained by the university;
 - 4. records maintained by University Health Services if the records are used only for treatment of a student and made available only to those persons providing the treatment;
 - 4.5. *records maintained by University Counseling Services if the records are used only for treatment of a student and made available only to those persons providing the treatment;* and,
 - 5-6. alumni records which contain information about a student after he/she is no longer in attendance at the university and the records do not relate to the person as a student.
- C. A school official is a person employed by the university in an administrative, supervisory, academic or research, or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the university has contracted as its agent to provide a service instead of using university employees or officials (such as an attorney, auditor, or collection agent); a person serving on the board of regents; a scholarship committee, for the sole purpose of evaluating scholarship recipients; an outside individual/entity involved in the financial aid process reviewing information regarding financial aid

eligibility; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks.

A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibilities for the university.

II. Annual Notification

Annual notification is published on the SFA website and in the schedule of classes. Specific information may be obtained by consulting with administrative officials listed in this policy.

III. Student Rights

Each student has the right:

- A. to be provided with a list of the types of education records maintained by the university;
- B. to inspect and review the contents of his/her records, excluding the exceptions included in this policy;
- C. to obtain copies of his/her records at personal expense *if failure to provide such copy would effectively prevent the student from inspecting or reviewing the record*;
- D. to explanations and interpretations of his/her records; and,
- E. to a hearing to challenge the contents of his/her records.

IV. Procedure to Inspect Education Records

Students may inspect and review their education records upon request to the appropriate record custodian.

Students should submit to the record custodian or an appropriate university staff person a written request which identifies as precisely as possible the record or records he/she wishes to inspect.

The record custodian or an appropriate university staff person will make the needed arrangements for access as promptly as possible and notify the student of the time and

place where the records may be inspected. Access must be given in 45 days or less from the receipt of the request.

When a record contains information about more than one student, the student may inspect and review only the records which relate to him/her.

V. Types and Custodians of ~~Education~~ Student Records

Type of Record	Content	Custodian
Academic	Grades, classification, academic standing, application for admission, and admissions scores.	Registrar, Director of Admissions <i>Executive Director of Enrollment Management</i>
Financial	Amount of financial assistance given by University and type of assistance.	Director of Financial Aid, Controller
Disciplinary	Nature of offense and type of University action.	Judicial Officer
Placement	Academic record and documents of recommendations.	Director of Counseling and Career Services
Health	Medical history to include all treatment by University physicians.	Director of Health Services
Counseling	Test scores and counseling sessions.	Director of Counseling and Career Services

VI. Fees for Copies of Records

The fee for copies of education records will be ten (10) cents per page.

VII. Right of University to Refuse Access

The university reserves the right to refuse to permit a student to inspect the following records:

- A. the financial statement of the student's parents;
- B. letters and statements of recommendation for which the student has waived his/her right of access, or which were placed in file before January 1, 1975;
- C. records connected with an application to attend the university if that application was denied; and,
- D. those records which are excluded from the definition of education records.

VIII. Refusal to Provide Copies

The university reserves the right to deny transcripts or copies of records not required to be made available by law in any of the following situations.

- A. The student has an unpaid financial obligation to the university.
- B. There is an unresolved disciplinary action against the student.

IX. Disclosure of Education Records

The university will disclose information from a student's education records only with the written consent of the student, except:

- A. to school officials who have a legitimate educational interest in the records;
 - 1. A school official is a person:
 - a. employed by the university in an administrative, supervisory, academic or research, or support staff position;
 - b. appointed to the board of regents;
 - c. employed by or under contract to the university to perform a special task.
 - 2. A school official has a legitimate educational interest if the official is:
 - a. performing a task that is specified in his/her job description or by a contract agreement;
 - b. performing a task related to a student's education;
 - c. performing a task related to student discipline;
 - d. providing a service or benefit relating to the student or student's family, such as health care, counseling, job placement or financial aid.
- B. to officials of another school, upon request, in which a student seeks or intends to enroll;
- C. to certain officials of the U.S. Department of Education, the Comptroller General, and state and local educational authorities, in connection with certain state or federally supported education programs;

- D. in connection with a student's request for or receipt of financial aid, as necessary to determine the eligibility, amount or conditions of the financial aid, or to enforce the terms and conditions of the aid;
- E. in compliance with a state law requiring disclosure that was adopted before November 19, 1974;
- F. to organizations conducting certain studies for or on behalf of the university;
- G. to accrediting organizations to carry out their functions;
- H. to parents of an eligible student who claim the student as a dependent for income tax purposes;
- I. to comply with a judicial order or a lawfully issued subpoena;
- J. to appropriate parties in a health or safety emergency.

Proof of status from the requesting individual or organization will be required to gain access to education records.

X. Record of Requests for Disclosure

The university will maintain a record of all requests for and/or disclosure of information from a student's education records. The record will indicate the name of the party making the request, any additional party to whom it may be disclosed, and the legitimate interest the party had in requesting or obtaining the information. The record of requests may be reviewed by the student.

XI. Directory Information

The university designates the following items as directory information:

- A. name,
- B. all addresses, including university issued email address
- C. all telephone numbers,
- D. major field of study,
- E. academic classification,
- F. participation in officially recognized activities and sports,
- G. weight and height of members of athletic teams,
- H. dates of attendance and enrollment status
- I. degrees and awards received,
- J. previous schools attended,
- K. photograph, and
- L. class roster.

The university may disclose any of these items without prior written consent, unless the student notifies the registrar in writing to the contrary by ~~September 1 of each fiscal year~~ *the twelfth class day of a regular semester or the fourth class day of a condensed semester*.

XII. Review and Destruction of Education Records

The university may destroy obsolete records provided the right to access has been followed as outlined in Section 3 of the Family Educational Rights and Privacy Act.

XIII. Correction of Education Records

A student has the right to request a correction on his/her education records that they believe are inaccurate, misleading, or in violation of their privacy rights. The university shall attempt to settle the disputed contents of an education record by informal proceedings. If informal proceedings fail to achieve a satisfactory settlement, the student may request a formal hearing using the following procedures.

- A. To receive a hearing, a student must file a written request with the president of the university. In so doing, the student should identify the part of the education record he/she wants amended and specify why he/she believes it is inaccurate, misleading, or in violation of his/her privacy rights.
- B. Within 10 working days of receiving the request, the president will arrange for a hearing, and notify the student at least 5 working days in advance of the date, place, and time of the hearing.
- C. The hearing will be conducted and the decision rendered by a hearing officer, appointed by the president, who does not have a direct interest in the outcome of the case. The president shall name the hearing officer in the written notice sent to the student.
- D. The student shall be afforded a full and fair opportunity to present evidence relevant to the issues listed in the original request to amend his/her education records.
- E. The hearing officer will prepare a written decision based solely on the evidence presented at the hearing.
- F. If the hearing officer decides that the disputed contents of the education record are inaccurate, misleading, or in violation of the student's right to privacy, he/she will amend the record, and notify the student in writing that the record has been amended.
- G. If the hearing officer decides that the disputed contents of the education record are not inaccurate, misleading, or in violation of the student's right to privacy, he/she will notify the student of his/her right to place a statement in the education record

commenting on the disputed contents and/or a statement setting forth the student's reasons for disagreeing with the decision.

- H. The student's statement will be maintained as part of the student's education record as long as the disputed contents are maintained by the university. If the university discloses the disputed contents of the education record to any person, it must also disclose the student's statement to the person.

XIV. Disclosure of Social Security Account Number

Federal law requires that when any federal, state or local government agency requests an individual to disclose his/her social security account number (SSAN), that individual must also be advised whether that disclosure is mandatory or voluntary, by what statutory or other authority the number is solicited, and what uses will be made of it. Accordingly, students, or applicants for admission as students, are advised that disclosure of a student's SSAN is mandatory as a condition for participation in certain activities at the university.

Under the mandatory category, the SSAN is used to verify the identity of the student, and as an identifier to record necessary data accurately for such activities as admissions; housing and food services; determining and recording eligibility for student financial assistance to include loans, scholarships, and grants; student employment; recording entitlement to and disbursement and repayment of loans; recording entitlement to and payment of scholarships, grant allowances, and official student travel and per diem; determining and recording eligibility for and participation in athletic and similar events; and such other related requirements which may arise.

Disclosure of a student's SSAN is voluntary for certain other activities. Under the voluntary category, the SSAN is used to verify the identity of the student and to record data accurately for such activities as testing, reporting and evaluation of the ACT and the SAT; recording and reporting student grades and related academic data; registering for placement services to include preparation of resumes and furnishing information to prospective employers and such other related uses which may arise.

Authority for requiring the disclosure of a student's SSAN is grounded on Section 7(a)(2) of the federal statute which provides that an agency may continue to require disclosure of an individual's SSAN as a condition for the granting of a right, benefit, or privilege provided by law where the agency required this disclosure under statute or regulation prior to January 1, 1975, in order to verify the identity of an individual.

The university has for several years requested the disclosure of the SSAN on student application forms and other necessary student forms and documents used pursuant to statutes passed by the state of Texas and the federal government and to regulations adopted by agencies of the state of Texas and the federal government, and by the Board of Regents of the university.

Cross Reference: Family Educational Rights and Privacy Act of 1974, 20 U.S.C. §~~see~~ 1232g-~~et seq~~; 34 C.F.R. Part 99; 5 U.S.C. § 552a; SFA Web Pages

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

Contact for Revision: General Counsel

Forms: None

Students Displaying Serious Psychological Problems (D-35)

Original Implementation: October 12, 1982

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

Definitions

Serious psychological problems result in behaviors, occurring on campus, in which a student is a danger to himself or others or causes significant disruptive activity.

An Emergency Situation occurs when a student is an imminent danger to self or others or there is reasonable certainty of this danger occurring in the immediate future. Examples of emergency situations are, but are not limited to, a suicide attempt, threat of a suicide attempt, actual physical harm to another person or threat of imminent harm to another person.

A Non-emergency Situation occurs when the student's behavior is such that it is reasonable to believe that a further deterioration of the behavior could lead the student to be a danger to self or others or to continue to display significant disruptive behavior. Examples of non-emergency situations are, but not limited to, repeated aberrant behavior such as inappropriate outbursts in classrooms or university offices or obvious non-lethal threats to self or others.

Qualified Mental Health Provider is a professional licensed by a state-recognized board to offer mental health services in Texas or in another state if the student returns to another state for evaluation and/or treatment.

Psychological Problems Review Board is composed of the judicial officer, a staff counselor from Counseling Services, and a staff physician from the Student Health Center acting as chair. Their respective department directors appoint the counselor and the physician. The Student Health Center director acts as the contact person to initiate hearing proceedings.

Emergency Procedures

Anyone with knowledge of a student displaying behavior that places the student or others in imminent danger shall immediately contact the University Police Department. The university police shall coordinate the response to the incident that may include taking the student into custody, obtaining medical/mental health assistance for the student and/or beginning legal proceedings to seek confinement of the student in a mental health facility.

UPD shall contact the judicial officer as soon as is reasonably possible. The judicial officer, under the direction of the vice president for university affairs, may send a letter to the student indicating the student is barred from campus and class attendance until certain conditions are met. These conditions may include, but are not limited to, meeting with the judicial officer to review the case, an evaluation and release from a qualified mental

health provider stating the student is ready to return to campus and class and/or that the student agrees to refrain from the behavior displayed in the incident. Also in the letter, the student shall be informed of the right to have a hearing with the Psychological Problems Review Board within five (5) working days for reconsideration of the incident and the required conditions.

The student may:

- a. accept the required conditions stated in the letter and return to campus and class without a hearing or
- b. request a hearing and remain off campus and not attend class until the matter is resolved or
- c. do neither and, after the fifth day, be suspended from the university for at least the remainder of the semester and until the required conditions are met.

The request for a hearing must be made in writing and delivered to the judicial officer within two (2) working days of receipt of the letter to preserve the right of a hearing within five (5) days. A request filed after two (2) days but before the end of the fifth day shall preserve the right of a hearing but not the right of a hearing within the five (5) day timeframe; however, the university shall make every attempt to hold the hearing as quickly as is reasonably possible. Upon receipt of the written request, the judicial officer shall then contact the Student Health Center director as soon as is reasonably possible to begin hearing proceedings.

The judicial officer may, under the direction of the vice president for university affairs, refer the case immediately to the Psychological Problems Review Board for a hearing within five (5) working days in cases where suspension from the university and/or removal from a class, program or service may be a possibility. The judicial officer shall send a letter to the student with initial notice of the hearing and state that the student is barred from campus and attending class until the hearing is held and the matter is resolved.

The formal notice of the hearing date, time and place and the hearing process shall follow the procedures outlined in the Hearing Procedures section of this policy.

If no imminent danger is found, UPD shall contact the judicial officer who shall then continue under non-emergency procedures.

Non-Emergency Procedures

The judicial officer can receive a report of an incident from the University Police Department or anyone with knowledge of a student displaying behaviors described in the non-emergency situation definition of this policy. The judicial officer shall begin an initial investigation into the incident that may include interviewing involved parties and seeking input from appropriate professional resources. The student in question shall be directed to report to the judicial officer as soon as is reasonably possible for an initial

meeting. At this meeting, the judicial officer shall interview the student and make one of the following findings:

- a. The student's condition is currently such that the student is an imminent danger to self or others. The judicial officer shall immediately contact UPD to begin emergency procedures.
- b. The student's condition is currently such that further deterioration could reasonably result in the student's danger to self or others or in significant disruptive behavior continuing. The judicial officer shall immediately issue an initial notice to the student that a hearing with the Psychological Problems Review Board shall be held within the next five (5) working days and shall contact the Student Health Center director as soon as is reasonably possible to begin hearing proceedings. The formal notice of the hearing date, time and place and the hearing process shall follow the procedures outlined in the Hearing Procedures section of this policy.
- c. The student's condition is currently such that counseling or other services would benefit the student. The judicial officer shall assist the student in making the necessary referrals. If the student's condition is drug or alcohol related, the judicial officer shall follow the procedures outlined in the Illicit Drugs and Alcohol Abuse D-19 policy.
- d. The student's behavior was not related to a serious psychological problem. The case may, at the discretion of the judicial officer, be handled through the regular disciplinary procedures outlined in the Student Conduct Code D-34.1 and Student Discipline D-34 policies.
- e. The student's condition and behavior is found to be in need of no action.

Psychological Problems Hearing Board Procedures

Pre-hearing Process

The chair of the Psychological Problems Hearing Board shall give written notice of the hearing to the student at least three university business days from the date of the hearing. The notice shall contain the date, time and place of the hearing and the date(s), time(s), place(s) and a brief description of the behavior in question and the rights accorded to the student in the hearing. The hearing may be held sooner than three (3) days at the request of the student. The hearing shall be closed unless the student requests otherwise. The judicial officer shall be responsible for coordinating the gathering of witnesses and other evidence and delivering a witness list and evidence to the chair.

Hearing Process

At the hearing, the chair shall rule on all procedural matters and the admissibility of evidence. The informal nature of this proceeding does not require strict adherence to formal courtroom procedures or rules of evidence. All parties shall be afforded the opportunity for reasonable oral argument, to question any participant present in the hearing, and be permitted to file written briefs.

The student shall have the right to:

- a. be present during the presentation of all evidence,
- b. to be accompanied by an advisor,
- c. to present such witnesses and documentary evidence as may be pertinent,
- d. and to cross-examine witnesses offered by other parties.

The record of the hearing shall consist of the summary notes of the chair or a secretary appointed by the board, a tape recording or transcription of testimony, along with any exhibits admitted as evidence.

Immediately after the hearing, the board shall decide upon a recommendation to make to the vice president for university affairs. The recommendation may include withdrawal of the student from the university or any class, program or service. The recommendation, along with the record, shall be forwarded to the vice president for university affairs by the chair as soon as possible, but no more than two (2) university working days from the adjournment of the hearing.

Within three (3) university working days from the receipt of the recommendation of the board, the vice president for university affairs shall either concur, in whole or in part, with the recommendation of the board and direct appropriate action to implement the recommendation, or shall overrule the recommendation. The vice president shall inform the student of the action to be taken and is the final authority in these proceedings.

Suspension Procedures

In cases where a student is suspended from the university under this policy, occurring through failure to accept to the required conditions, failure to request a hearing or through recommendation of the board, the vice president for university affairs shall direct the judicial officer to send to the student a letter stating that the student is barred from re-enrollment to the university until the required conditions are met. The judicial officer shall place a bar on the student's university account preventing the student from re-enrollment until approval is obtained from the judicial officer. Other university offices shall be contacted as necessary for completion of the suspension.

Retention of the Record and Confidentiality

Any records dealing with an incident of a student displaying serious psychological problems shall be held indefinitely by the judicial officer as a confidential file, apart from disciplinary records, to be released or accessed only by those having legitimate need as defined by state and federal laws.

Source of Authority: ~~Board of Regents, President~~

Cross Reference: Illicit Drugs and Alcohol Abuse D-19; Student Conduct Code D-34.1; Student Discipline D-34

Responsible for Implementation: *Vice President for University Affairs*

Contact For Revision: *Dean of Student Affairs*~~Vice President for University Affairs~~

Forms: None

Ticket Office Services (F-30)

Original Implementation: May 6, 1985

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

The services of the SFA Ticket Office are primarily for the use of campus organizations and campus departments. Services may be offered to non-university groups if there is a benefit to the university. There may be a fee charged for services provided to non-university groups.

To request use of Ticket Office services, an official representative of the organization, department or group making the request must complete a Consignment Ticket Agreement. The Ticket Office manager will notify this representative if the request is approved and when tickets can be delivered for sale. The request for service must be made at least 24 hours prior to the time sales are requested to begin. Tickets should go on sale no earlier than three (3) weeks prior to an event.

Once tickets are delivered for sale, the number of tickets consigned must be verified and agreed upon by the group representative and the Ticket Office.

For general admission events, tickets must be consecutively numbered. For reserved seat events, tickets must be accompanied by a seating plan (chart). Prices must be printed on the face of the ticket.

The Ticket Office is responsible only for the number and type of tickets it accepts. Deposits will be made into a university account. Payments for tickets sold for groups without university accounts will be made by university check following final accounting. Final accounting will take place within two (2) working days following the event. A final Ticket Office statement will be provided to the official representative of the group upon request.

Source of Authority: ~~Vice President for University Affairs~~

Cross Reference: None

Responsible for Implementation: *President*

Contact for Revision: *Director of Intercollegiate Athletics* ~~Dean of Student Affairs~~

Forms: Consignment Ticket Agreement

Vending (F-31)

Original Implementation: Unpublished

Last Revision: ~~October 19, 2006~~ *October 12, 2009*

The ~~f~~Food and ~~b~~Beverage ~~v~~Vending ~~m~~Machines located on campus are the responsibility of the respective contract vendors. This responsibility shall include furnishing, servicing and maintaining machines, purchasing goods for resale, and collecting funds. These vendors shall routinely place vending machines in locations it deems desirable and economical, including academic buildings. Specific exceptions to this policy are:

1. Coin-operated copy machines, which are the responsibility of the individual department; *and*
 - ~~Postage stamp machines, which are the responsibility of the SFASU Post Office;~~
and,
2. Coin-operated game machines, which are the responsibility of the director of *student services*~~the Student Center~~.

Other exceptions or requests shall be considered on an individual basis, and should be addressed in writing to the vice president for university affairs.

Source of Authority: ~~President, Vice President for University Affairs~~

Cross Reference: None

Responsible for Implementation: *Vice President for University Affairs*

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

Forms: None

**Memorandum of Agreement
Between
Stephen F. Austin State University
AND
Stephen F. Austin State University
Alumni Association, INC. & Alumni Foundation, INC.**

AGREEMENT made this __ day of October, 2009, between Stephen F. Austin State University ("University"), and both the Alumni Association and Alumni Foundation of Stephen F. Austin State University ("Association"), an independent nonprofit 501(c)(3) corporations of the State of Texas.

WHEREAS, the Association and the University have enjoyed a mutually cooperative and beneficial relationship for over 70 years, and

WHEREAS, the Association was established by alumni in 1928 for the purpose of fostering a spirit of loyalty, friendship, commitment, and communication among graduates, former students, current students, faculty, staff and all other interested friends of the University; and

WHEREAS, the Foundation was established by alumni in 1978 for the purpose of developing scholarship and student aid programs through stewardship of endowment gifts; and

WHEREAS, the Association has been charged, by its Board of Directors, with promoting the general welfare and educational interests of the University's graduates, acting as the keeper of University traditions, serving as a custodian of alumni records, and encouraging and raising financial support among alumni for their alma mater, and

WHEREAS, the University, its graduates and former students have traditionally endorsed and implicitly recognized the Association as the organization charged with the cultivation, maintenance and promotion of alumni relations, and

WHEREAS, the University has an interest in maintaining contact with its graduates, former students, and friends of the University, and in enhancing such contact to promote, foster, and financially assist the University and its mission:

THEREFORE, in order to assure the continuance of this long-standing relationship, the University hereby officially recognizes the Association as the principal organization charged with responsibility for alumni relations, and the University and the Association enter into the following Agreement:

1. The Association should promote excellence at the University by fostering productive relationships among, providing service and support to, and

serving as an advocate for the University, its alumni, and future alumni and friends.

2. The Association should achieve its purpose and mission by performing a range of tasks, including but not limited to: fostering alumni commitment to the University, developing relationships with future alumni, participating in the management of alumni records, building and maintaining an alumni membership base, promoting the Alumni membership program, communicating information about the University and its graduates through alumni publications, and planning for local, regional and national alumni programs, events, and activities that allow current students to net work with alumni. Specific terms are outlined in Exhibits "A" and "B".
3. The Association's Board of Directors *and employees will* ~~should~~ comply with University policies *including* ~~regarding~~ staffing, management and University property, *unless the action, activity or property is wholly independent and unrelated to the University.*
- 4.
5. — The *University's* Executive Director of *A*alumni *A*affairs *reports to the University President and also serves as the Executive Director of the Association. In the capacity as the Executive Director of the Alumni Association, this position has an additional reporting relationship to the Alumni Association Executive Committee and Board.* The Executive Director will direct, supervise and evaluate the day-to-day work of the Alumni Association staff. *Final decisions regarding the employment of the Executive Director rest with the University President, with input from the Alumni Association Executive Committee who represents the Alumni Board. Final decisions regarding Alumni Association staff rest with the University as their primary employer, subject to advice and input from the Alumni Association Executive Committee/Board.*

In accordance with the dual reporting relationship of University employees who conduct work for the Alumni Association, ~~In accordance with the mission of the Alumni Association, the~~ Executive Director for the Alumni Association shall keep the Alumni Association President confidentially advised of University related personnel issues (employment problems, claims of a legal nature, disciplinary matters) regarding ~~Alumni Association staff~~ these employees. In the absence of an Executive Director, the University President will advise the Association President of such personnel issues. The Association President will advise the Association Executive Committee of said personnel issues and the Board at the discretion of the Executive Committee. For the protection of all parties, such personnel or legal information conveyed by the University will be

confidentially maintained by the Alumni Association leadership and will not be discussed in writing through letters, memos, e-mail or other written form.

The Executive Director will advise the Alumni Association President of the Executive Director's evaluations and recommendations before the Director submits them to the University President. The Association President will advise the Association Executive Committee of said evaluations and the Board at the discretion of the Executive Committee.

An annual performance evaluation of the Alumni Association Executive Director will *be* provided to the University President by the Alumni Association President and the Executive Committee *for consideration in the President's annual performance review of the Executive Director of Alumni Affairs.*

~~Upon request,~~ The Association will provide the University President, and Board of Regents if required, with a list of University employees that serve on any boards, detailing any monetary enrichment that the University employee received in conjunction with such service. *All forms of monetary enrichment of an officer or employee of the University by the Association must be reported to the University President.*

- 6.5. No amendments or variation of the terms of this Agreement should be valid unless made in writing and signed by both parties.
- 7.6. In the event either party believes that the other is not honoring the terms and conditions of this Agreement, then it should immediately notify the other that all conflicts, disputes and misunderstandings can be promptly resolved by informal means.
- 8.7. It is mutually understood and agreed that the Alumni Association and Foundation shall retain their status as separate and independent organizations. The Association and Foundation should at all times conduct themselves in such manner as to preserve their independent non-profit 501(c)(3) status under the applicable laws and regulations.
- 9.8. The Association and University should conduct their fundraising and other activities in a manner that is consistent with and supportive of the total fundraising efforts of both parties. The Association and University agree to work in a closely coordinated and cooperative manner to adopt and pursue strategies designed to promote efficiency and to maximize effective contacts with potential benefactors and to eliminate duplications of effort and expense in fund-raising activities.

9. In its fund-raising activities on behalf of the University, the Association should be guided by the policy and practice set forth in the Policy and Procedures Manual of the University. *To the extent applicable, the University may request information from the Association regarding the administration and investment of funds received by the Association that are for the benefit of the University.*

10. This writing is intended to be the complete expression of the agreement between the parties, and the parties hereby agree that there are no understandings or agreements between the parties other than those contained in this writing. *Nothing in this agreement is intended to conflict or supersede a requirement in state or federal law regulating the conduct of a university employee or regulating the policies and procedures of the University.*

The University and the Association execute this Agreement the day and year first above written.

STEPHEN F. AUSTIN STATE UNIVERSITY

By _____

Title _____

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.

By _____

Title _____

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI FOUNDATION, INC.

By _____

Title _____

EXHIBIT "A"
TO
MEMORANDUM OF AGREEMENT BETWEEN
STEPHEN F. AUSTIN STATE UNIVERSITY AND
STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.

ALUMNI RECORDS

In consideration of the strong affinity that exists between the Association and the University, each organization's commitment to productive alumni relations efforts, and the mutually beneficial services that each provides to the other in that regard, and with a clear understanding that the Association did so maintain and develop such records for over 60 years prior to such agreement as attached, it is hereby recognized that during the term of this Agreement:

- a. The Association and the University should jointly own all non-financial alumni records, paper and electronic. The University should make student records available to the Association, as needed, and within compliance with the Family Education Rights and Privacy Act (FERPA).
- b. The University should provide its computer equipment, programs and other support necessary for maintaining and using the database. The Association should provide any necessary equipment to enable its employees to have access to the information contained in the database.
- c. Each party should process and record the gifts it receives. Since the Association does not receive, manage, or administer gifts that are directly for the University, financial records of the Association are independently owned by the Association. *If records may be subject to the Texas Public Information Act, the University's General Counsel shall inform the Association of the records request and seek an Attorney General opinion allowing input from the Alumni Association to the Attorney General before a determination is made.*
- d. The Association should set policy for access to any or all of these *Alumni* records by other University organizations or outside groups, *except for confidential university records including non-directory student information and donor records*. The Association should provide the data processing services which make these records available through reports, labels and other appropriate means.

EXHIBIT "B"
TO
MEMORANDUM OF AGREEMENT BETWEEN
STEPHEN F. AUSTIN STATE UNIVERSITY
AND
STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.

SERVICES AND FACILITIES

In consideration of the strong affinity that exists between the Association and the University, each organization's commitment to productive alumni relations efforts, and the mutually beneficial services that each provides to the other in that regard, it is recognized that during the term of this Agreement:

- a. The University should provide the Alumni Association and pay the cost of staff for the Alumni Association for the positions at the percentage rate currently supported, as such may be changed by mutual agreement. University employees serving as Alumni Association staff will enjoy the University's benefit plans. The Alumni Association will reimburse the University for the percentage rates of employee cost it currently supports, as such may be changed by mutual agreement.
- b. The Association should provide the building on campus, housing the Alumni Center. The University should provide utilities, security, cleaning services, and routine building maintenance without charge.
- c. The Association may have additional staff, fully independent of the University, and understands that University benefits cannot be extended to such employees. The Association may also choose to offer University employees outside employment opportunities, separate from their assigned University duties as described in their University job descriptions. The Association will notify the University within 60 days anytime wages for outside employment or bonuses are paid directly to a University employee. The Association may reimburse its personnel for expenses incurred in the performance of Association business so long as reimbursement for such business is not otherwise made by the University. The Association recognizes that payments for outside employment, bonuses, reimbursement or other remuneration shall be the sole responsibility of the Association and, or the individual employee with regard to all applicable legal matters including tax reporting, intermediation sanctions, ethics provisions and any other related laws.
- d. The University should grant access to University parking and access to the faculty and staff directory privileges to all Association employees.
- e. The Association should have full access to support services from University departments

and use of University facilities. The Association should reimburse the University for use of these services and facilities at the established rates for University departments and offices.

- f. The Association should have the right to use the University name and associated trademarks/logos as applicable under federal and University guidelines for trademarks and licensing and should be exempted from royalty fees associated with officially using such trademarks/logos, except for items involved in resale.
- g. The University should provide Information Technology (IT) and computer related support such as remote and local desktop, network, system and user support, helpdesk support, server and management services similar to standard IT services provided to University departments and offices.
- h. The University should grant privileges to the Association to operate a set of University accounts similar to a University Sponsored Program, allowing the Association expenses to be accumulated and invoiced in a single bill once per Thirty (30) days for any University charges. The Association should pay such invoice within five (5) working days.