

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS



**Nacogdoches, Texas
October 21 and 22, 2012
Volume 278**

TABLE OF CONTENTS
BOARD MINUTES FOR OCTOBER 21 AND 22, 2012
MEETING 278

Page

APPROVAL OF MINUTES

Board Order 13-01

Approval of July 17-18, 2012 and August 11, 2012, Minutes.....	3
----------------------------------------------------------------	---

PERSONNEL

Board Order 13-02

Faculty Appointments for 2012-2013	3
Staff Appointments for 2012-2013	5
Changes of Status for 2012-2013.....	7
Promotions	12
Retirements	12

ACADEMIC AND STUDENT AFFAIRS

Board Order 13-03

Curriculum Changes in Kinesiology.....	12
Approval of Academic and Student Affairs Policy Revisions.....	13

BUILDING AND GROUNDS

Board Order 13-04

Selection of an Engineering Firm for a Campus Hydrology Study	13
Music Recital Hall Renovation.....	14
Approval of Building and Grounds Policy Revisions.....	14

FINANCIAL AFFAIRS

Board Order 13-05

Acknowledge Receipt of Audit Services Report	15
Approval of Annual Audit Plan, Audit Charter and Report	15
Educational Leadership Scholarship Program	15
Grant Awards	16
Approval of Financial Affairs Policy Revisions.....	16

REPORTS

President
Chair of the Faculty Senate
President of the Student Government Association

Appointment of Nominating Committee for 2013-24 Board Officers

APPENDICES

Appendix 1 – Internal Audit Charter

Appendix 2 – Grant Awards

Appendix 3 – Policy Revisions

**Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
October 21 and 22, 2012
Austin Building 307
Meeting 278**

Sunday, October 21, 2012

The regular meeting of the Board of Regents was called to order in open session at 1:35 p.m. Sunday, October 21, 2012, in the Austin Building Board Room by Chair Bob Garrett.

PRESENT:

Board Members: Mr. Bob Garrett, Chair
 Mr. Carlos Amaral
 Dr. Scott Coleman
 Mr. James Dickerson
 Ms. Jourdan Dukes
 Ms. Brigettee Henderson
 Mr. Steve McCarty
 Mr. Ken Schaefer
 Mr. Ralph Todd
 Ms. Connie Ware

President: Dr. Baker Pattillo

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

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

*The Building and Grounds Committee convened at 1:35 p.m. and adjourned at 4:00 p.m.
The Finance and Audit Committee convened at 4:00 p.m. and adjourned at 4:45 p.m. The
Academic and Student Affairs Committee convened at 4:45 p.m. and adjourned at 5:28
p.m.*

The chair called for an executive session at 5:37 p.m. to consider the following items:

Deliberations Regarding the Purchase, Exchange, Lease, Sale or Value of Real Property
(551.072)

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 director of marketing and public affairs, the president and the vice presidents (551.074)

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to EEOC filings, In Re: Dr. and Mrs. J.E. Watkins Scholarship Trust, Jacob Duffee v. Baker Pattillo, et al., Christian Cutler v. Baker Pattillo, et al., and Progressive County Mutual Insurance Company v. SFASU (551.071)

The executive session ended at 7:52 p.m. and the board meeting was recessed for the evening with no further action.

Monday, October 22, 2012

The chair reconvened the board meeting in open session at 9:00 a.m. on Monday, October 22, 2012.

PRESENT:

Board Members: Mr. Bob Garrett, Chair
 Mr. Carlos Amaral
 Dr. Scott Coleman
 Mr. James Dickerson
 Ms. Jourdan Dukes
 Ms. Brigettee Henderson
 Mr. Steve McCarty
 Mr. Ken Schaefer
 Mr. Ralph Todd
 Ms. Connie Ware

President: Dr. Baker Pattillo

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

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

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

RECOGNITIONS

Danny Gallant introduced Jake Squires from the Burke Center, who presented to Bridgettee Henderson a plaque thanking the university for assistance in transitioning the Burke Center's facilities. Dr. Berry introduced representatives from the SFA Press, who made a presentation of a recently published book. Rose Bruford exchange students were introduced. Piero Fenci, Professor of Art, was recognized for being designated as a Texas Master by the Houston Center for Contemporary Craft. The SFA Bass Club was introduced by Dr. Westbrook. Special guests Travis Clardy, state representative-elect, and Robin Land, new publisher and editor of the Daily Sentinel, were welcomed.

APPROVAL OF MINUTES

BOARD ORDER 13-01

Upon motion by Regent McCarty, seconded by Regent Amaral, with all members voting aye, it was ordered that the minutes of the July 17 and 18, 2012, regular meeting of the Board of Regents and the August 11, 2012, special meeting of the Board of Regents be approved as presented.

PERSONNEL

BOARD ORDER 13-02

Upon motion by Regent Amaral, seconded by Regent Todd, with all members voting aye, it was ordered that the following personnel items be approved.

FACULTY APPOINTMENTS FOR 2012 – 2013

BUSINESS

Justin Blount, Assistant Professor of Business Communications and Legal Studies, J.D. (Baylor Law School), at an academic year salary of \$78,000 for 100 percent time, effective January 1, 2013.

H. Banker Phares, Senior Lecturer of Economics and Finance, J.D. (Southern Methodist University), at an academic year salary of \$60,000 for 100 percent time, effective September 1, 2012.

Kyle Post, Assistant Professor of Business Communications and Legal Studies, J.D. (Arizona State University), at an academic year salary of \$78,000 for 100 percent time, effective January 1, 2013.

Nikki Shoemaker, Instructor of Accounting, M.P.A. (Stephen F. Austin State University), at an academic year salary of \$100,000 for 100 percent time, effective September 1, 2012, contingent upon completion of doctorate by August 31, 2015.

EDUCATION

Bryan Scott Bailey, Assistant Professor of Secondary Education and Educational Leadership, Ed.D. (Stephen F. Austin State University), at an academic year salary of \$53,000 for 100 percent time, effective September 1, 2012.

Kelli Drenner, Assistant Professor of Kinesiology and Health Science, Ph.D. (University of Texas), at an academic year salary of \$52,000 for 100 percent time, effective September 1, 2012.

William Dwyer, Visiting Assistant Professor of Secondary Education and Educational Leadership, Ed.D. (University of Florida), at an academic year salary of \$51,000 for 100 percent time, effective September 1, 2012.

Sheila Lumar, Visiting Assistant Professor of Human Sciences, Ph.D. (Texas Woman's University), at an academic year salary of \$47,500 for 100 percent time, effective September 1, 2012.

FINE ARTS

Jeffery Brewer, Visiting Assistant Professor of Art, M.F.A. (Stephen F. Austin State University), at an academic year salary of \$41,000 for 100 percent time, effective September 1, 2012.

Deitra Davis, Visiting Assistant Professor of Art, Ph.D. (Mississippi State University), at an academic year salary of \$42,000 for 100 percent time, effective September 1, 2012.

FORESTRY AND AGRICULTURE

Stacie Appleton, Assistant Professor of Agriculture, Ph.D. (Texas A&M University), at an 11-month salary of \$67,500 for 100 percent time, effective September 1, 2012.

John Mehaffey, Assistant Professor of Agriculture, Ph.D. (Texas Tech University), at an academic year salary of \$56,500 for 100 percent time, effective September 1, 2012.

LIBERAL AND APPLIED ARTS

Patricia Foster, Visiting Instructor of Psychology, M.A. (Stephen F. Austin State University), at an academic year salary of \$43,000 for 100 percent time, effective September 1, 2012.

Matthew Gailliot, Visiting Assistant Professor of Psychology, Ph.D. (Florida State University), at an academic year salary of \$45,000 for 100 percent time, effective September 1, 2012.

Candice Kowalski, Lecturer of Psychology, B.S. (Stephen F. Austin State University), at an academic year salary of \$34,000 for 100 percent time, effective September 1, 2012.

SCIENCES AND MATHEMATICS

Angel Brewer, Clinical Instructor of Nursing, M.S. (Grand Canyon University), at an academic year salary of \$54,000 for 100 percent time, effective September 1, 2012.

Debra McCarthy, Clinical Instructor of Nursing, M.S. (University of Texas), at an academic year salary of \$54,000 for 100 percent time, effective September 1, 2012.

Volha Minich, Lecturer of Biology, M.S. (Stephen F. Austin State University), at an academic year salary of \$39,500 for 100 percent time, effective September 1, 2012.

Marcia Nelson, Clinical Instructor of Nursing, M.S. (Stony Brook University), at an academic year salary of \$54,000 for 100 percent time, effective September 1, 2012.

David Smith, Clinical Instructor of Nursing, M.S.N. (Western Governors University), at an academic year salary of \$54,000 for 100 percent time, effective September 1, 2012.

Katy Trotty, Clinical Instructor of Nursing, B.S.N. (Stephen F. Austin State University), at an academic year salary of \$42,000 for 100 percent time, effective September 1, 2012.

STAFF APPOINTMENTS FOR 2012 – 2013

ALUMNI AFFAIRS

Judith Barroeta, Coordinator of Alumni Marketing and Communications, at an annual salary of \$38,500 for 100 percent time, effective August 13, 2012.

ATHLETICS

Steven Condon, Athletic Trainer, at an annual salary of \$39,609 for 100 percent time, effective August 6, 2012.

Jeremy Moses, Assistant Football Coach, at 10.5-month salary of \$35,000 for 100 percent time, effective July 30, 2012.

Stephanie Wooten, Head Tennis Coach, at a 10.5-month salary of \$40,000 for 100 percent time, effective July 2, 2012.

CAMPUS RECREATION

Scott Wagner, Assistant Director – Facility and Member Services, at an annual salary of \$42,000 for 100 percent time, effective October 1, 2012.

CONTROLLER’S OFFICE

Jacqueline Cornelius-Tomsic, Accountant II, at an annual salary of \$44,000 for 100 percent time, effective September 4, 2012.

EDUCATION

Monique Nunn, Project Director for Deep East Texas P-16 Regional Council, at an annual salary of \$29,250 for 75 percent time, effective September 10, 2012

Ragan Philliber, Charter School Teacher, at a 10.5-month salary of \$38,100 for 100 percent time, effective September 1, 2012.

Juliana Rodriguez-Akerson, Charter School Teacher, at a 10.5-month salary of \$45,900 for 100 percent time, with an additional stipend of \$108.33 per month for 10.5 months, effective September 1, 2012.

Nola Schmidt, Project Director of CONFIANZA, at an annual salary of \$65,000 for 100 percent time, effective August 24, 2012.

FINE ARTS

Robbie Goodrich, Director of Arts Information, at an annual salary of \$45,000 for 100 percent time, effective September 1, 2012.

HEALTH SERVICES

Ann Drayman, Nurse Practitioner, at a 10.5-month salary of \$80,000 for 100 percent time, effective August 1, 2012.

RESEARCH AND SPONSORED PROGRAMS

Beverly Morehouse, Grants and Contract Specialist, at an annual salary of \$55,400 for 100 percent time, effective September 17, 2012.

RESIDENCE LIFE

Stephanie Ballard, Hall Director, at an annual salary of \$28,250 for 100 percent time, effective July 2, 2012.

Ryan Brinkman, Hall Director, at an annual salary of \$28,167 for 100 percent time, effective July 30, 2012.

Erin Ellis, Hall Director, at an annual salary of \$28,167 for 100 percent time, effective August 6, 2012.

Yvonne Hinshaw, Hall Director, at an annual salary of \$28,250 for 100 percent time, effective August 6, 2012.

Kiet Le, Area Coordinator, at an annual salary of \$32,000 for 100 percent time, effective July 23, 2012.

Nechele McClinton, Hall Director, at an annual salary of \$28,250 for 100 percent time, effective July 23, 2012.

Jeremie Middleton, Hall Director, at an annual salary of \$28,250 for 100 percent time, effective July 16, 2012.

STUDENT PUBLICATIONS

Julie Akers, Coordinator of Student Publications, at an annual salary of \$33,800 for 100 percent time, effective August 20, 2012.

CHANGES OF STATUS FOR 2012 – 2013

BUSINESS

Stephen Bradley, from Instructor and Assistant Director of Computer Science Lab at an academic year salary of \$51,288 for 100 percent time, to Business Technology Coordinator at an annual salary of \$60,000 for 100 percent time, effective September 1, 2012.

Deborah D. Dufrene, from Professor and Associate Dean of Rusche College of Business at an annual salary of \$126,000 for 100 percent time, to Professor and Associate Dean of Rusche College of Business at an annual salary of \$126,000 for 100 percent time, with an additional stipend of \$1167 per month for two months for additional duties, effective July 16, 2012.

Jack Ethridge, from Professor of Accounting at an academic year salary of \$108,150 for 100 percent time, to Professor of Accounting and Interim MPA Director, at an academic year salary of \$108,150 for 100 percent time, with an additional stipend for interim duties of \$250 per month for five months, effective August 1, 2012.

Geralyn Franklin, from Professor and Associate Dean of Rusche College of Business at an annual salary of \$126,000 for 100 percent time, to Professor and Interim Dean of Rusche College of Business, at an annual salary of \$126,000 for 100 percent time, with

an additional stipend for interim duties of \$3,250 per month for two months, effective July 16, 2012.

Mikhail Kouliavtsev, from Associate Professor of Economics and Finance at an academic year salary of \$80,340 for 100 percent time, to Associate Professor of Economics and Finance and Interim MBA Director, at an academic year salary of \$80,340 for 100 percent time, with an additional stipend for interim duties of \$800 per month for five months, effective August 1, 2012.

Michael Stroup, from Professor of Economics and Finance at an academic year salary of \$98,515 for 100 percent time, to Professor of Economics and Finance and Interim Director of School of Accountancy, at an academic year salary of \$98,515 for 100 percent time, with an additional stipend for interim duties of \$750 per month for five months, effective August 1, 2012.

Laura Turner, from Academic Advisor at an annual salary of \$36,000 for 100 percent time, to Academic Advisor with an annual salary of \$36,000 for 100 percent time, with an additional stipend of \$500 per month for interim assignment for two months, effective July 16, 2012.

CAMPUS RECREATION

Travis Lankford, from casual employee in Campus Recreation at an annual salary of \$28,598 for 100 percent time to Coordinator of Campus Recreation-Sports Clubs and Camps at an annual salary of \$32,000 for 100 percent time, effective September 24, 2012.

CAREER SERVICES

Binta Brown, from Counselor in Counseling and Career Services at an annual salary of \$42,242 for 100 percent time, to Director of Career Services at an annual salary of \$52,000 for 100 percent time, effective August 1, 2012.

Brandi Hampton, from Administrative Assistant in Counseling and Career Services at an annual salary of \$30,255 for 100 percent time, to Coordinator of Career Services at an annual salary of \$35,000 for 100 percent time, effective August 16, 2012.

COUNSELING SERVICES

Jennifer Klingenberg, from Counselor in Counseling and Career Services at an annual salary of \$41,200 for 100 percent time, to Counselor with a change in job assignment at an annual salary of \$42,363 for 100 percent time, effective September 1, 2012.

John Mlinar, from Counselor of Career Services and Research Coordinator at an annual salary of \$41,200 for 100 percent time, to Counselor Intern and Research Coordinator at an annual salary of \$41,200 for 100 percent time, effective September 1, 2012.

DISABILITY SERVICES

Margaret Hilton, from Staff Interpreter and Coordinator of Deaf and Hard-of Hearing Services at an annual salary of \$39,433 for 100 percent time, to Senior Interpreter and Coordinator of Deaf and Hard-of-Hearing Services at an annual salary of \$44,000 for 100 percent time, effective September 1, 2012.

Tiffany Rivers, from Assistant Director of Disability Services at an annual salary of \$52,290 for 100 percent time, to Director of Disability Services at an annual salary of \$63,000 for 100 percent time, effective July 17, 2012.

EDUCATION

Barbara Davis, from Director of Project Gear Up at an annual salary of \$79,463 for 100 percent time, to Director of Project Gear Up with changes in job assignment at an annual salary of \$81,847 for 100 percent time, effective September 1, 2012.

Sandra Delgado, from Associate Director of Project CTE at an annual salary of \$75,000 for 100 percent time, to Associate Director of Project CTE with changes in job assignment at an annual salary of \$76,500 for 100 percent time, effective September 1, 2012.

Brenda Hill, from Associate Director of Project Gear Up at an annual salary of \$73,360 for 100 percent time, to Associate Director of Project Gear Up with change in job assignment at an annual salary of \$73,490 for 100 percent time, effective September 1, 2012.

Cyndra Krogen-Morton, from Adjunct Faculty in Kinesiology and Health Science at a five-month salary of \$7,500 for 75 percent time, to Visiting Lecturer of Kinesiology and Health Science, at an academic year salary of \$45,000 for 100 percent time, effective September 1, 2012.

Raquel Skidmore, from Administrative Assistant at an annual salary of \$32,400 for 100 percent time, to Academic Advisor at an annual salary of \$36,500 for 100 percent time, effective July 16, 2012.

FINE ARTS

Scott Harris, from Associate Professor of Music at an academic year salary of \$56,830 for 100 percent time, to Associate Professor of Music and Interim Director of the School of Music, at an annual salary of \$56,830 for 100 percent time with an additional stipend for interim duties of \$2,579 per month, effective September 1, 2012.

John Roberts, from Professor of Music and Director of the School of Music, at an annual salary of \$97,000 for 100 percent time, to Professor of Music at an academic year salary of \$75,000 for 100 percent time, effective September 1, 2012.

FORESTRY AND AGRICULTURE

Jason Grogan, from Research Specialist for Temple Project, at an annual salary of \$46,000 for 100 percent time, to Research Specialist for Temple Project with changes in current job assignment at an annual salary of \$47,380 for 100 percent time, effective September 1, 2012.

Paul Weatherford, from Laboratory Associate-Waters of East Texas, at an annual salary of \$42,436 for 100 percent time, to Laboratory Associate-Soils Lab, at an annual salary of \$43,709 for 100 percent time, effective September 1, 2012.

LIBERAL AND APPLIED ARTS

Paul Bellinger, from Assistant Professor of Government at an academic year salary of \$46,000 for 100 percent time, to Instructor of Government at an academic year salary of \$43,000 for 100 percent time, effective September 1, 2012.

Julie Brotzen, from Adjunct Faculty in Psychology at an academic year salary of \$28,840 for 100 percent time, to Lecturer of Psychology at an academic year salary of \$31,000 for 100 percent time, effective September 1, 2012.

Michael Martin, from Associate Professor of English at an academic year salary of \$54,024 for 100 percent time, to Associate Professor and Director of the Division of Multidisciplinary Programs at an annual salary of \$85,500 for 100 percent time, effective September 1, 2012.

Brook Poston, from Assistant Professor of History at an academic year salary of \$46,000 for 100 percent time, to Instructor of History at an academic year salary of \$43,000 for 100 percent time, effective September 1, 2012.

MULTICULTURAL CENTER

Amanda Flores, from Assistant Director of Multicultural Center at an annual salary of \$39,140 for 100 percent time, to Interim Director of Multicultural Center at an annual salary of \$39,140 for 100 percent time with an additional stipend for interim duties of \$500 per month for five months, effective August 15, 2012.

PUBLIC AFFAIRS AND MARKETING

Shirley Luna, from Interim Executive Director of Public Affairs and Marketing at an annual salary of \$63,502 for 100 percent time with an additional monthly stipend of \$2,000, to Executive Director of Public Affairs and Marketing at an annual salary of \$107,000 for 100 percent time, effective October 23, 2012.

RESIDENCE LIFE

Amy Tedesco, from Hall Director at an annual salary of \$28,000 for 100 percent time, to Area Coordinator at an annual salary of \$32,000 for 100 percent time, effective July 1, 2012.

SCIENCES AND MATHEMATICS

Lurah Bryant, from Assistant Director of Piney Woods Area Health Education Center at an annual salary of \$38,000 for 100 percent time, to Assistant Director of Piney Woods Area Health Education Center with a change in job assignment at an annual salary of \$39,170 for 100 percent time, effective September 1, 2012.

Kimberly Childs, from Dean of College of Sciences and Mathematics at an annual salary of \$143,500 for 100 percent time, to Dean of the College of Sciences and Mathematics with additional STEM Center responsibilities at an annual salary of \$169,404 for 100 percent time, effective September 1, 2012.

Mike Janusa, from Professor and Chair of Chemistry at an annual salary of \$108,291 for 100 percent time, to Professor and Chair of Chemistry and Interim Director of Science Research Center at an annual salary of \$108,291 for 100 percent time, with an additional stipend for interim duties of \$1,000 per month, effective September 1, 2012.

Deborah Pace, from Professor and Chair of Mathematics and Statistics at an annual salary of \$106,198 for 100 percent time, to Professor and Chair of Mathematics and Statistics and Interim Associate Dean of the College of Sciences and Mathematics at an annual salary of \$106,198 for 100 percent time, with an additional stipend for interim duties of \$1,000 per month, effective September 1, 2012.

Randall Scott, from Director of Piney Woods Area Health Education Center at an annual salary of \$52,000 for 100 percent time, to Director of Piney Woods Area Health Education Center with a change in job assignment at an annual salary of \$53,560 for 100 percent time, effective September 1, 2012.

Mavis Yarbrough, from Coordinator-Piney Woods Area Health Education Center at an annual salary of \$32,000 for 100 percent time, to Coordinator-Piney Woods Area Health Education Center with change in job assignment at an annual salary of \$32,960 for 100 percent time, effective September 1, 2012.

STUDENT AFFAIRS

Lacey Claver, from Assistant Coordinator of Student Activities Programs at an annual salary of \$34,051 for 100 percent time, to Coordinator of Student Activities at an annual salary of \$38,000 for 100 percent time, effective September 1, 2012.

James Maple, from Head Coach Pom Squad at an annual salary of \$24,585 for 100 percent time, to Head Spirit Coach at an annual salary of \$28,000 for 100 percent time with an additional stipend of \$400 per month, effective September 1, 2012.

Jason Williams, from Assistant Coordinator of Spirit Programs at an annual salary of \$12,999 for 50 percent time, to Head Spirit Coach at an annual salary of \$28,000 for 100 percent time, effective July 9, 2012.

PROMOTIONS

Gene Moon was granted promotion to Assistant Professor Music, effective fall semester, 2012.

RETIREMENTS

The following retirements were accepted:

Joe Gotti, Professor of Agriculture, effective August 31, 2012

Gary Frields, Professor of Art, effective August 31, 2012

Sylvia Bierschenk, Director of Arts Information, August 31, 2012

Judith Lauter, Professor of Human Services, August 31, 2012

Michael Rustad, Supervisor of Building Trades, August 31, 2012

ACADEMIC AND STUDENT AFFAIRS

BOARD ORDER 13-03

Upon motion by Regent Henderson, seconded by Regent Todd, with all members voting aye, it was ordered that the following academic and student affairs items be approved.

CURRICULUM CHANGES IN KINESIOLOGY

WHEREAS, the board considered the following: Changes in curriculum originate in the department and are reviewed by the college and university curriculum committees, the graduate council, the appropriate dean and the provost and vice president for academic affairs. After approval by the Board of Regents, curriculum changes are submitted to the Texas Higher Education Coordinating Board.

THEREFORE, the Board of Regents approved the following undergraduate curriculum changes:

BS in Kinesiology, Fitness and Human Performance Studies, Modify Program
BS in Kinesiology, Fitness and Human Performance Studies, New Minor

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 3:

Authority for Official Statements (D-6)
Authorization for University President to Suspend Faculty and Staff (D-8)
Bookstore Textbook Orders (F-4)
Continuing Education (A-32)
Faculty/Staff Athletic Ticket Purchases (F-12)
Food Services (C-13.5)
Guest Speaker (F-15)
Mail Services (F-18)
Notary Public (F-21)
Organized Work Stoppage (E-34)
Reduction in Force of Non-Academic Employees (E-41N)
Selection of Vice Presidents, Athletic Director and Head Coaches (D-30.1)
Sick Leave (E-47)
Sick Leave Pool (E-47.1)
Student Center Operations (B-29)
Students Displaying Serious Psychological Problems (D-35)
Student Records (D-13)
Ticket Office Services (F-30)

BUILDING AND GROUNDS

BOARD ORDER 13-04

Upon motion by Regent McCarty, seconded by Regent Amaral, with all members voting aye, it was ordered that the following building and grounds items be approved.

SELECTION OF AN ENGINEERING FIRM FOR A CAMPUS HYDROLOGY STUDY

WHEREAS, the board considered the following: The SFA Campus Master Plan contains a campus well distribution initiative and university's 2012-13 Capital Plan includes a campus hydrology study project. In order to conduct the study, a request for engineering qualifications was issued. The university reviewed the submissions and developed a set of finalists for presentation to the Board of Regents. The three finalist firms of Alan Plummer Associates, Inc., Freese and Nichols, and KSA Engineers were interviewed by the Building and Grounds Committee at its meeting on October 21, 2012; the Building and Grounds Committee recommended Freese and Nichols as the most qualified firm

with which to begin negotiations for a campus hydrology study to assess the water needs of the university.

THEREFORE, the Board of Regents authorized the university to begin negotiations with Freese and Nichols for a campus hydrology study at a cost not to exceed \$150,000 and that the president be authorized to sign all contracts. Designated funds will be used for the study.

MUSIC RECITAL HALL RENOVATION

WHEREAS, the board considered the following: The Music Recital Hall serves as a performance venue for SFA music students and guest artists as well as a teaching facility for courses in the music major and in the core curriculum. The recital hall was treated only superficially in the music building renovation of 1998 and it still uses the basic lighting system it has had since original construction in 1969. The room needs substantial renovation to make it consistent in appearance and quality with the rest of the Tom and Peggy Wright Music Building. The Development Office has solicited and received approximately \$90,000 in gifts to support the needed renovation and lighting system upgrade and will continue to solicit donations for this project. The total project cost will not exceed \$170,000.

THEREFORE, the board of Regents authorized the Music Recital Hall Renovation Project as presented at a cost not to exceed \$170,000. The higher education fund (HEF) and designated funds will be used to supplement the total donations that have been committed to the project.

BUILDINGS AND GROUNDS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 3:

- Assembly and Demonstrations (D-23)
- Camp and Conference Reservations (B-4)
- Campus Facilities for Political Purposes (B-5)
- Vending (F-31)

FINANCIAL AFFAIRS

BOARD ORDER 13-05

Upon motion by Regent Coleman, seconded by Regent Schaefer, with all members voting aye, it was ordered that the following financial items be approved.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

WHEREAS, the board considered the following: The Board Rules and Regulations state that the director of audit services shall assist the board in carrying out its oversight responsibilities as they relate to the university's a) financial and other reporting practices, b) internal control, and c) compliance with laws, regulations and ethics. The director of audit services reports to the Board of Regents on the status of the annual audit plan, internal external reports, risk assessment and audit/compliance issues. The audit services report as presented includes an audit of university bank reconciliations, departmental audit of the development office, annual follow up review and update on annual audit plan.

THEREFORE, the Board of Regents acknowledged receipt of the audit services report, as presented.

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 International 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 1.

THEREFORE, the Board of Regents approved the annual audit plan and the audit charter for 2012-13 and acknowledged the 2011-12 audit report, as presented.

EDUCATIONAL LEADERSHIP SCHOLARSHIP PROGRAM

WHEREAS, the board considered the following: In order to increase enrollment of working professionals and compete with sister institutions in Texas, SFA piloted a scholarship program for master's students in the online educational leadership degree program. The response to the pilot scholarship program has been very successful. Graduate enrollment in the degree program has increased 79%. Since Fall 2011 the program has added 279 new students.

THEREFORE, it was ordered that the educational leadership scholarship program continue. The program will continue to be monitored. Designated funds will be used to fund the scholarship program.

GRANT AWARDS

WHEREAS, the board considered the following:

Fiscal year 2012 - The university received multi-year grant awards totaling \$50,272,318 that included funds allocable to fiscal year 2012. This includes \$174,821 in new awards since the last report. Of the multi-year total, grant awards allocable to fiscal year 2012 were \$12,652,558, an increase of \$75,789 since the last report.

Fiscal year 2013 - To date, the university has received multi-year grant awards totaling \$22,046,715 that include funds allocable to fiscal year 2013. This includes \$1,644,330 in new awards since the last report. Of the multi-year total, grant awards allocable to fiscal year 2013 are \$6,789,746.

The grant awards result from extensive faculty research and service engagement across many academic disciplines. The grants include direct federal, federal pass through, state and private awards.

THEREFORE, the Board of Regents approved and ratified the additional grant awards allocable to fiscal year 2012 that total \$75,789 and additional grant awards allocable to fiscal year 2013 that total \$6,789,746. This includes approval of a \$100,000 subaward to Texas State University to review the pilot program activities of the STEPS project, funded through the Texas Higher Education Coordinating Board. The grant awards are detailed in Appendix 2.

FINANCIAL POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 3:

- Fraud (C-46)
- Private Support Organizations or Donors (D-25.5)
- Receipts and Deposits (C-5)
- Risk Management (E-43.5)
- Student Fiscal Appeals (C-57)

REPORTS

President Baker Pattillo presented a report on the following:

- Upcoming Dates
- Strategic Planning Committee
- Congressional Art Competition
- Admission Standards
- Legislative Session
- SFA's 90th Anniversary

Dr. Linda Bob, chair of the Faculty Senate, presented a report on the following:

- Faculty Participation at Battle of the Piney Woods
- Faculty Senate Retreat
- Internal Committee Assignments
- Policy Review Process
- Summer Teaching Compensation

Dennis Hagans, president of the Student Government Association, gave the following report:

- Efforts to Encourage Voter Registration
- Athletic Fee
- Jacks' Charge and Give 'em the Axe Programs
- Golden Rule Program

Chair Bob Garrett appointed the following regents to the nominating committee for 2013-2014 board officers: Chair Brigitte Henderson, Ken Schaefer and Connie Ware.

The meeting was adjourned at 10:20 a.m.

**STEPHEN F. AUSTIN STATE UNIVERSITY
DEPARTMENT OF AUDIT SERVICES
INTERNAL AUDIT CHARTER
October 22, 2012**

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.

Report to the Board of Regents – October 2012
 Grants¹ awarded between June 19, 2012 and September 25, 2012

Summary Report – Fiscal Year 2012

Total New Current Year Awards (this period) – as of August 31, 2012

Subtotal direct federal	\$	6,778
Subtotal federal pass-through	\$	53,966
Subtotal state and state pass-through	\$	5,845
Subtotal private entity and local government	\$	9,200

Total new awards (this period)	\$	174,821
Total current year awards for awards active in 2012	\$	12,652,558
Total awards (all years) for awards active in 2012	\$	50,272,318

New, Additional, or Previously Unreported Awards for FY 2012

Direct Federal Awards

Previously Described Awards

Habitat Use, Movements, and Survival of White-tailed Deer at Barksdale AFB

FY 2012 Award: \$6,778 (additional award) Total Award: \$187,226

Subtotal Current Year Awards (this report) = \$6,778
Subtotal New Direct Federal Awards (total award) = \$ 0

Federal Pass-through Awards

****Child Welfare Professional Development Project***

FY 2012 Award: \$23,529
 Total Award: \$143,171 (Interagency Agreement - renewal)
 Sponsor: TX Dept. of Family and Protective Services
 (U.S. Dept. of Health and Human Services)
 Term (this action): July 1, 2012 – June 30, 2013

Description: *The purpose of this federally funded program is to provide a staff development and training program that supports the goals in the Child and Family Services state plan for Title IV-E training, which include enhancing the skills of CPS workers through education in social work and providing opportunities for ongoing foster parent and staff training. PI/PD: Becky Price-Mayo, School of Social Work*

**New awards*

¹*For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.
 Prepared by the Office of Research & Sponsored Programs*

Report to the Board of Regents – October 2012
 Grants¹ awarded between June 19, 2012 and September 25, 2012

****Probing Los Adaes: Geophysical and Archaeological Investigations of the Priests and People of Los Adaes***

FY 2012 Award: \$ 9,680
 Total Award: \$25,150
 Sponsor: Cane River National Heritage Area (U.S. Dept. of the Interior)
 Term (this action): June 18, 2012 – June 19, 2017
 Description: *This project will involve a geophysical survey of the Mission Hill areas of Los Adaes and a residence located near the mission. A comparison of the two areas will allow insights into the life of the priests and civilians/soldiers at Los Adaes.* PI/PD: Dr. George Avery, Center for Regional Heritage Research, Department of Social and Cultural Analysis

Previously Described Awards

Visually Impaired Preparation (VIP) Program

FY 2012 Award: \$15,000 (additional award) Total Award: \$502,000

Special Education Consolidated Grant (IDEA-B)

FY 2012 Award: \$5,757 (additional award) Total Award: \$60,531

Subtotal Current Year Awards (this report) = \$ 53,966
Subtotal New Federal Pass-through Awards (total award) = \$168,321

State and State Pass-through Awards

****College and Career Readiness Initiative - Faculty Collaborative in Social Studies***

FY 2012 Award: \$1,000
 Total Award: \$1,000 (Fixed-price Contract)
 Sponsor: The University of Texas at Arlington (TX Higher Ed. Coord. Bd.)
 Term (this action): May 15, 2012 – May 17, 2012
 Description: *SFA will fully participate in the CCRI Faculty Collaborative in Social Studies, which includes implementation of CCRS and PASS materials into a course for social studies teachers throughout the Fall Semester 2012, and a summary and presentation of implementation strategies and results.* PI/PD: Dr. Elizabeth Witherspoon, Department of Elementary Education

Previously Described Awards

NEC4 Statistical Analysis for SUCCESS Project

FY 2012 Award: \$4,845 (additional award) Total Award: \$11,870

Subtotal Current Year Awards (this report) = \$5,845
Subtotal New State/State Pass-through Awards (total award) = \$1,000

**New awards*

¹*For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.*
Prepared by the Office of Research & Sponsored Programs

Report to the Board of Regents – October 2012
Grants¹ awarded between June 19, 2012 and September 25, 2012

Private and Local Government Awards

****Poultry Science Education Student Recruitment***

FY 2012 Award: \$3,000
Total Award: \$3,000 (Grant – *renewal*)
Sponsor: U.S. Poultry and Egg Association
Term (this action): October 4, 2011 - August 1, 2012
Description: *Funds are provided to aid in recruiting efforts directed at high school and community college students to attract majors in Poultry Science.* PI/PD: Dr. Joey Bray, Department of Agriculture

****Woden Water Supply Corporation Project: Phase II***

FY 2012 Award: \$2,500
Total Award: \$2,500 (Fixed Price Contract)
Sponsor: Woden Water Supply Corporation
Term (this action): July 16, 2012 – August 25, 2012
Description: *This contract incorporates four functional elements: acquisition of field locations for approximately 650 water locations; development of a working geospatial database for all water meter locations; development of geographic information systems (GIS) geodatabase suitable to be linked to a billing database; and a report detailing the methodology and use of the water meter geodatabase and suggestions for implementation.* PI/PD: Dr. Darrel McDonald, Department of Government

Previously Described Awards

NMC Apartment Agreement (AHEC Apartment Utilities Fund)

FY 2012 Award: \$3,700 (*additional award*) Total Award: \$8,500

Subtotal Current Year Awards (this report) = \$9,200
Subtotal New Private/Local Government Awards (total award) = \$5,500

**New awards*

¹*For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.*
Prepared by the Office of Research & Sponsored Programs

Report to the Board of Regents – October 2012
 Grants¹ awarded between June 19, 2012 and September 25, 2012

Fiscal Year 2013

Total New Current Year Awards (this period) – as of September 25, 2012	
Subtotal direct federal	\$ 2,803,848
Subtotal federal pass-through	\$ 1,270,780
Subtotal state and state pass-through	\$ 2,360,192
Subtotal private entity and local government	\$ 354,926
Total new awards (this period)	\$ 1,644,330
Total current year awards for grants active in 2013	\$ 6,789,746
Total awards (all years, to date) for grants active in 2013	\$22,046,715

Direct Federal Awards

****McIntire Stennis Cooperative Forestry Research Program***

FY 2013 Award: \$440,788
 Total Award: \$440,788 (Formula Grant - *renewal*)
 Sponsor: U.S. Dept. of Agriculture
 Term (this action): October 1, 2011 – September 30, 2013
 Description: *Funds are allocated for the conduct of forestry research and the necessary expenses of planning and directing of research conducted by the school of forestry.*
 PI/PD: Dr. Steve Bullard, College of Forestry and Agriculture

****Bat Occurrence Relative to Silvicultural Treatments Intended to Yield Desired Forest Conditions for Priority Wildlife***

FY 2013 Award: \$78,662
 Total Award: \$78,662 (Grant)
 Sponsor: U.S. Dept. of the Interior (Fish & Wildlife Service)
 Term (this action): June 26, 2012 - September 30, 2013
 Description: *The purpose of this project is to collect baseline inventory data for bat species occurrence on several National Wildlife Refuges in the Lower Mississippi Alluvial Valley with emphasis on identifying occurrence of priority species such as Rafinesque's big-eared bat and southeastern myotis.* PI/PD: Dr. Christopher Comer, School of Forestry

****More Kids in the Pineywoods***

FY 2013 Award: \$41,677
 Total Award: \$41,677 (Challenge Cost-share Agreement)
 Sponsor: U. S. Dept. of Agriculture (U.S. Forest Service)
 Term (this action): June 21, 2012 – July 31, 2017

**New awards*

¹*For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.
 Prepared by the Office of Research & Sponsored Programs*

Report to the Board of Regents – October 2012Grants¹ awarded between June 19, 2012 and September 25, 2012

Description: *This is a conservation education program that will provide weekly outdoor experiences for 60 at-risk youth (ages 6-12); field-based science field trips for 3,200 K-5 public school children; monthly field trips and outdoor activities for 75 underserved families; and 4 week-long day camps for 60 youth, including interactions with resource professionals, hands-on activities, experiential learning, outdoor skills, and critical thinking to help children make connection with nature. PI/PD: Elyce Rodewald, SFA Gardens, Department of Agriculture*

****From Mission San Juan Bautista to Fort St. Jean Baptiste: The Cultural Landscape of El Camino Real de los Tejas***

FY 2013 Award: \$24,999
Total Award: \$24,999 (Cooperative Agreement)
Sponsor: U.S. Dept. of the Interior (National Park Service)
Term (this action): July 30, 2012 – January 30, 2015
Description: *Through this cooperative project, SFA and National Park Service staff will prepare an illustrated and professionally designed manuscript that will expand the historic and photographic resource database of the El Camino Real de los Tejas National Historic Trail. PI/PD: Christopher Talbot, School of Art*

****Wilderness Recreation Site Inventories – Phase II***

FY 2013 Award: \$15,000
Total Award: \$15,000 (Challenge Cost-share Agreement)
Sponsor: U. S. Dept. of Agriculture (U.S. Forest Service)
Term (this action): August 02, 2012 – September 30, 2014
Description: *This project will enable SFA to educate students in all aspects of wilderness management including wilderness recreation site inventory and monitoring to prepare qualified monitoring personnel for the U.S. Forest Service within all wilderness areas. PI/PD: Dr. Pat Stephens-Williams, School of Forestry*

****National Visitor Use Monitoring Preparation Survey Research***

FY 2013 Award: \$5,000
Total Award: \$5,000 (Cooperative Agreement)
Sponsor: U. S. Dept. of Agriculture (U.S. Forest Service)
Term (this action): June 25, 2012 – September 30, 2014
Description: *This project will provide the U.S. Forest Service with recreational trends data of the National Forests and National Grass Lands for multiple uses and for sustained yields of products and services in the best combination for the use, enjoyment and education of the American people. PI/PD: Dr. Pat Stephens-Williams, School of Forestry*

Previously Described Awards***Gaining Early Awareness and Readiness for Undergraduate Programs for Success***

FY 2013 Award: \$1,184,212 **Total Award:** \$7,445,050

*New awards

¹For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.
 Prepared by the Office of Research & Sponsored Programs

Report to the Board of Regents – October 2012
 Grants¹ awarded between June 19, 2012 and September 25, 2012

CONFIANZA - Research Study to Assess the Impact of Professional Development on English Language Learners

FY 2013 Award:	\$397,933	Total Award:	\$1,988,947
----------------	-----------	--------------	-------------

Talented Teachers in Training for Texas (T4)

FY 2013 Award:	\$225,187	Total Award:	\$1,449,996
----------------	-----------	--------------	-------------

Vocational Rehabilitation Counselor Training

FY 2013 Award:	\$147,380	Total Award:	\$747,380
----------------	-----------	--------------	-----------

Orientation and Mobility for the Blind Training Program

FY 2013 Award:	\$ 98,253	Total Award:	\$496,000
----------------	-----------	--------------	-----------

Environmental Availability of Lead and Use Moist-Soil Management to Attract Waterfowl on the Texas NWRs

FY 2013 Award:	\$79,627 (additional award)	Total Award:	\$142,170
----------------	-----------------------------	--------------	-----------

Northeast Region Public Engagement at Three National Park Sites: Evaluation and Future Strategies

FY 2013 Award:	\$43,419	Total Award:	\$75,000
----------------	----------	--------------	----------

Protecting Cultural Resources at Glen Canyon NRA

FY 2013 Award:	\$7,500	Total Award:	\$30,000
----------------	---------	--------------	----------

Collaborative Research: UTMOST - Undergraduate Teaching in Mathematics with Open Software and Textbooks

FY 2013 Award:	\$6,498	Total Award:	\$45,986
----------------	---------	--------------	----------

Habitat Occupancy and Origins of American Woodcock Wintering in East Texas

FY 2013 Award:	\$5,400	Total Award:	\$69,984
----------------	---------	--------------	----------

An Investigation of Chytridiomycosis and Amphibian Declines in East Texas

FY 2013 Award:	\$1,509	Total Award:	\$20,000
----------------	---------	--------------	----------

El Camino Real de los Tejas Oral History Research Project from the Sabine River to the Angelina River, Texas - Phase III

FY 2013 Award:	\$804	Total Award:	\$19,296
----------------	-------	--------------	----------

Subtotal Current Year Awards (this report) = \$2,803,848
Subtotal New Direct Federal Awards (total award) = \$ 606,126

Federal Pass-through Awards

****Visually Impaired Preparation (VIP) Program***

FY 2013 Award:	\$502,000
----------------	-----------

**New awards*

¹For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.

Prepared by the Office of Research & Sponsored Programs

Report to the Board of Regents – October 2012Grants¹ awarded between June 19, 2012 and September 25, 2012

Total Award: \$502,000 (Interagency Agreement - *renewal*)
 Sponsor: TX School for the Blind and Visually Impaired
 (U.S. Dept. of Education)
 Term (this action): September 1, 2012 – August 31, 2013
 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 certification in Orientation and Mobility.* PI/PD: Dr. Dixie Mercer, Department of Human Services

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

FY 2013 Award: \$325,000
 Total Award: \$325,000 (Grant - *renewal*)
 Sponsor: Texas Education Agency (U.S. Dept. of Education)
 Term (this action): September 1, 2012 – August 31, 2013
 Description: *The purpose of this continuing, federally funded project is to help independent school districts implement rigorous TEKS curriculum standards and provide professional development opportunities to improve teacher effectiveness.* PI/PD: Dr. Lynda Martin, School of Human Sciences

****Community-based Cemetery Interpretation – Part 2***

FY 2013 Award: \$58,922
 Total Award: \$58,922 (Interlocal Agreement)
 Sponsor: City of Nacogdoches (U. S. Dept. of the Interior - NPS)
 Term (this action): August 20, 2012 – June 30, 2013
 Description: *This additional agreement will allow for the completion of interpretive, educational and digital projects for Oak Grove and Zion Hill cemeteries and assist participating communities with their cemetery interpretation efforts through workshops, technical assistance, web-based services and mini-grants.* PI/PD: Dr. Mark Barringer, Center for Regional Heritage Research, Department of History

****Special Education Consolidated Grant (IDEA-B)***

FY 2013 Award: \$27,777
 Total Award: \$27,777 (Formula Grant)
 Sponsor: Texas Education Agency (U.S. Dept. of Education)
 Term (this action): August 07, 2012 – September 30, 2013
 Description: *Funds are provided for instructional support at the SFA Charter School, including early identification, intervention and counseling services for students with impairments and disabilities.* PI/PD: Ms. Lysa Hagan, Charter School, Department of Elementary Education

****Geriatric Education Center (GEC)***

FY 2013 Award: \$21,600
 Total Award: \$21,600

**New awards*

¹For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.
 Prepared by the Office of Research & Sponsored Programs

Sponsor: U.T. Medical Branch – Galveston
(U. S. Dept. of Health and Human Services)

Term (this action): July 1, 2012 – June 30, 2013

Description: *The purpose of this federally sponsored program is to help provide high-quality, continuing education in geriatrics and to improve health care for older adults including those in rural communities.* PI/PD: Mark Scott, Texas Area Health Education Center East – Piney Woods Region, College of Sciences and Mathematics

****Texas Undergraduate Mathematics Conference***

FY 2013 Award:	\$2,960
Total Award:	\$2,960 (Memorandum of Understanding)
Sponsor:	Mathematical Association of America (National Science Foundation)
Term (this action):	August 1, 2012 – December 31, 2012
Description:	<i>The goal is to provide opportunities for undergraduate students in the mathematical sciences to make presentations in a supportive and non-threatening atmosphere.</i> PI/PD: Dr. Nicholas Long, STEM Center, Department of Mathematics and Statistics

****MLK Day of Service***

FY 2013 Award:	\$1,000
Total Award:	\$1,000 (Subaward)
Sponsor:	Service for Peace (AmeriCorps)
Terms (this action):	September 21, 2012 – March 8, 2013
Description:	<i>This award is to help SFA combine meaningful service, thoughtful reflection, and inclusion of a diverse cross section of the community as volunteers to celebrate the life and work of Dr. King.</i> PI/PD: Dr. Jamie Bouldin, University Affairs

Previously Described Awards

Child Welfare Professional Development Project

FY 2013 Award: \$119,642 Total Award: \$143,171

Avian Community Dynamics in Bottomland Hardwood Forests of East Texas

FY 2013 Award: \$117,590 Total Award: \$452,320

Women of Color (WOC) Grant Evaluation

FY 2013 Award: \$50,000 Total Award: \$250,000

State View Program Development and Operations for the State of Texas

FY 2013 Award: \$23,500 (*additional award*) Total Award: \$119,441

Development of a Watershed Protection Plan for Attoyac Bayou

FY 2013 Award: \$10,797 Total Award: \$194,348

**New awards*

*For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.
Prepared by the Office of Research & Sponsored Programs*

Report to the Board of Regents – October 2012
 Grants¹ awarded between June 19, 2012 and September 25, 2012

Probing Los Adaes: Geophysical and Archaeological Investigations of the Priests and People of Los Adaes

FY 2013 Award: \$9,992

Total Award: \$25,150

Subtotal Current Year Awards (this report) = \$1,270,780

Subtotal New Federal Pass-through Awards (total award) = \$ 939,259

State and State Pass-through Awards

****Math, Science, and Technology Teacher Prep Academies Conference Management***

FY 2013: \$25,000

Total Award: \$25,000

Sponsor: TX Higher Education Coordinating Board

Term (this action) August 1, 2012 – August 31, 2013

Description: *Funds are provided to administer the Fifth Annual Math, Science, and Technology Teacher Preparation Academies Leader's annual conference and technical workshop for the state's operating MST TPA programs. PI/PD: Dr. Kimberly Childs, STEM Center, College of Sciences and Mathematics*

Previously Described Awards

SFA Charter School (ADA)

FY 2013 Award: \$1,815,754

Total Award: \$1,815,754

Systemic Texas Educator Preparation Sites (STEPS) for College and Career Readiness Demonstration Project

FY 2013 Award: \$132,500 (additional award) Total Award: \$965,000

NOTE: The additional award includes \$100,000 designated by the Texas Higher Education Coordinating Board for a subaward to Texas State University.

At-Risk Nursing Student Tracking and Intervention Project

FY 2013 Award: \$112,500

Total Award: \$300,000

SFA Mathematics, Science, and Technology (MST) Academy

FY 2013 Award: \$85,000 (additional award)

Total Award: \$983,441

Career Planning Laboratory – Employment Related Services for DBS

FY 2013 Award: \$50,000

Total Award: \$200,000

Rehabilitation Counseling Internship Stipends

FY 2013 Award: \$41,640

Total Award: \$83,280

**New awards*

¹*For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.
 Prepared by the Office of Research & Sponsored Programs*

Report to the Board of Regents – October 2012
 Grants¹ awarded between June 19, 2012 and September 25, 2012

Disability Services - Interpreter Services

FY 2013 Award: \$35,000 (*additional award*) Total Award: \$140,000

Southeast Texas P-16 Council Special Advisors Initiative – Math and Science Support

FY 2013 Award: \$33,333 Total Award: \$75,000

Disability Services – Reader Services

FY 2013 Award: \$16,000 Total Award: \$32,000

Joint Admission Medical Program (JAMP)

FY 2013 Award: \$13,465 (*additional award*) Total Award: \$42,922

Subtotal Current Year Awards (this report) = \$2,360,192

Subtotal New State and State Pass-through Awards (total award) = \$ 25,000

Private Entity and Local Government Awards

****Beaumont Foundation of America Scholarships***

FY 2013 Award: \$60,000

Total Award: \$60,000 (*Grant - renewal*)

Sponsor: Beaumont Foundation

Term (this action): August 1, 2012 – June 30, 2013

Description: *The purpose of this grant is to fund the Gilbert I. “Buddy” Low Scholarship Program for five students continuing from 2011-12 and three additional students to be enrolled in the fall 2012. PI/PD: Mr. Michael O’Rear, Financial Aid*

****Rehobeth Cemetery Project: Phase I***

FY 2013 Award: \$7,300

Total Award: \$7,300 (*Fixed Price Contract*)

Sponsor: Rehobeth Cemetery Association

Term (this action) September 1, 2012 – December 31, 2012

Description: *The purpose of this contract is to generate an updated cemetery plot map using GPS and GIS technologies. PI/PD: Dr. Darrel McDonald, Center for Regional Heritage Research, Department of Government*

****East Texas Child Care Administrative Fee***

FY 2013 Award: \$4,845

Total Award: \$4,845 (*Interlocal Agreement*)

Sponsor: Workforce Solutions East Texas (*Texas Workforce Commission*)

Term (this action): October 1, 2011 – September 30, 2012

Description: *This award supports the administrative costs of Early Childhood Lab (ECL) staff in the reporting of matching funds. PI/PD: Lori Harkness, ECL, Department of Elementary Education*

****Tournées Festival Film Program***

**New awards*

¹*For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.*

Prepared by the Office of Research & Sponsored Programs

**Policies for Board Review
October 22, 2012**

Policy Name	Policy Number	BOR Cte	Major Action/Change	Page Number
Assembly and Demonstrations	D-23	B&G	No single reservation can exceed 5 days; added consequences for violations.	P-3
Authority for Official Statements	D-6	ASA	Reviewed with no changes.	P-6
Authorization for University President to Suspend Faculty and Staff	D-8	ASA	Reviewed with no changes.	P-7
Bookstore Textbook Orders	F-4	ASA	Added board committee assignment.	P-8
Camp and Conference Reservations	B-4	B&G	Deadlines set or updated; cancellation fee increased.	P-9
Campus Facilities for Political Purposes	B-5	B&G	Reviewed with no changes.	P-22
Continuing Education	A-32	ASA	Added definitions; fees may be charged; oversight detailed; CEU responsibilities added.	P-23
Faculty/Staff Athletic Ticket Purchases	F-12	ASA	Information will be distributed by email and online.	P-26
Food Services	C-13.5	ASA	Added board committee assignment.	P-27
Fraud	C-46	FA	Major rewrite.	P-28
Guest Speaker	F-15	ASA	Minor clarifications.	P-35
Mail Services	F-18	ASA	Minor changes; added board committee assignment.	P-37
Notary Public	F-21	ASA	Detailed procedures removed.	P-39
Organized Work Stoppage	E-34	ASA	Cross references updated.	P-41
Private Support Organizations or Donors	D-25.5	FA	Reviewed with no changes.	P-42

Policy Name	Policy Number	BOR Cte	Major Action/Change	Page Number
Receipts and Deposits	C-5	FA	Managing bank accounts and transferring funds among accounts is responsibility of controller.	P-44
Reduction in Force of Non-Academic Employees	E-41N	ASA	Added board committee assignment.	P-54
Risk Management	E-43.5	FA	Reorganization of information and minor updates.	P-57
Selection of Vice Presidents, Athletic Director and Head Coaches	D-30.1	ASA	BOR may elect to participate.	P-63
Sick Leave	E-47	ASA	Reorganization of information and minor updates.	P-64
Sick Leave Pool	E-47.1	ASA	Minor updates.	P-68
Student Center Operations	B-29	ASA	Minor updates.	P-72
Student Fiscal Appeals	C-57	FA	Detailed procedures removed.	P-80
Students Displaying Serious Psychological Problems	D-35	ASA	Behavior Intervention Team added.	P-82
Student Records	D-13	ASA	Minor clarifications.	P-88
Ticket Office Services	F-30	ASA	Minor clarifications.	P-96
Vending	F-31	B&G	Title updates and board committee assigned.	P-98

Assembly and Demonstrations (D-23)

Original Implementation: July 1980

Last Revision: ~~July 21, 2009~~ *October 22, 2012*

I. Introduction

1. Stephen F. Austin State University reaffirms its commitment to the freedoms of speech, expression and assembly by establishing this policy. Individuals have the right to assemble, to speak, and to attempt to attract the attention of others, and corresponding rights to hear the speech of others when they choose to listen, and to ignore the speech of others when they choose not to listen.
2. The rules articulated in this policy apply to all students, faculty, staff, and their official organizations, as well as all other persons and groups. Due to practical administrative realities, this policy does not apply to university agents and employees when they are acting in the course and scope of their agency or employment. This exception also includes the official activities of the SFA Alumni Association and the SFASU Foundation.
3. Students, faculty and staff are free to express their views, individually or in organized groups, orally, by sign or exhibit, on any topic, in all parts of the campus. Persons not affiliated with the university are free to express their views orally, by sign or exhibit, on any topic in areas designated for that purpose. These expressions are subject only to rules necessary to preserve equal rights of others and the functions of the university. Teaching, research and other official functions of the university shall have priority in allocating the use of space on campus.

II. Definitions

1. "Student" shall mean any person registered for academic credit at the university.
2. "Faculty" and "Staff" shall mean any person employed by the university.
3. "Official organization" shall mean any organization recognized by the university.

III. Rules

These rules shall govern the conduct of all assemblies and demonstrations on university property or at university-sponsored events.

1. Assemblies and demonstrations must be conducted in compliance with these rules, all other applicable university policies, and must not:
 - a. result in a breach of peace or violation of law;

- b. negatively impact the security, health and safety of persons and/or property on campus;
 - c. interfere with the free and unimpeded flow of pedestrian and vehicular traffic on campus or the entry or exit into university buildings;
 - d. materially disrupt or interfere with the normal activities of the university;
 - e. negatively impact the beauty of the university's grounds, buildings, and facilities; or
 - f. create unnecessary costs and waste university resources.
2. No person conducting or participating in an assembly or demonstration on university property or at university-sponsored events may advocate the deliberate violation of the law. For the purposes of this section, "advocate" 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.
 3. Students, faculty, staff and their official organizations may assemble and/or demonstrate anywhere on university grounds between the hours of 8 a.m. and 7 p.m., Monday through Saturday, as long as the assembly and/or demonstration adheres to the provisions of Items 1 and 2 of this subsection *and all applicable university policies and procedures*, and a properly submitted *SFA Group Grounds Reservation Form* has been approved.
 4. All other persons and groups may assemble and demonstrate in designated areas between the hours of 8 a.m. and 7 p.m., Monday through Saturday, as long as the assembly and/or demonstration adheres to the provisions of Items 1 and 2 of this subsection *and all applicable university policies and procedures*, and a properly submitted *Outside Group Grounds Reservation form* ~~Grounds Reservation Form~~ has been approved.
 5. Requests to reserve campus grounds for an assembly and/or demonstration must be made in writing using ~~a Grounds Reservation Form~~ *the appropriate form*. ~~This~~ *These forms* ~~is~~ *are* available in the Student Activities office and on the Student Activities Web site. The completed form must be submitted to the ~~Student Activities office~~ *Assistant Dean of Student Affairs for Programs* for approval and must be received at least forty-eight (48) hours in advance of the activity. This advance notice allows the university the opportunity to avoid the problem of simultaneous and/or competing assemblies or demonstrations and to arrange for adequate security. ~~Each The Grounds Reservation Form form~~ requires the applicant to provide his/her name, address and phone number, *in addition to signing and dating the form*. ~~The form must be signed and dated by the applicant~~
 — *Although a reservation may be requested as many times per year as desired, no single reservation request can exceed 5 working days.*

6. *Persons or groups reserving space and not using the space and which results in a violation of subsection 1 above may receive a verbal warning for their first offense, a written warning for their second offense and after a third occasion may be restricted from reserving campus grounds for a period not to exceed one year from the date of the last infraction.*
- 5-7. *Persons or groups who violate this policy may, based on the severity of the offense, be restricted from using university facilities or grounds. Such restriction will be made by the Assistant Dean of Student Affairs for Programs and may be appealed to the Dean of Student Affairs.*

Cross reference: ~~SFA Web pages~~; Signs and Exhibits; (D-31); Use of Amplified Sound on Campus Grounds; (D-21); U.S. Const. amend. I; U.S. Const. amend. XIV, § 1.

Responsible for Implementation: President

Contact for revision: Dean of Student Affairs

Forms: *SFA Group Grounds Reservation Form; Outside Group Grounds Reservation Form*

Board Committee Assignment: *Building and Grounds*

Authority for Official Statements (D-6)

Original Implementation: January 22, 1977

Last Revision: ~~October 12, 2009~~ *October 22, 2012*

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 represent 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.

Cross Reference: Board of Regents Rules and Regulations

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee

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

Original Implementation: April 27, 1970

Last Revision: ~~October 12, 2009~~ *October 22, 2012*

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.

Cross Reference: Board of Regents Rules and Regulations

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs

Bookstore Textbook Orders (F-4)

Original Implementation: Unpublished

Last Revision: ~~October 12, 2009~~ October 22, 2012

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 1
2. Spring semester - October 10
3. Summer semesters - March 1

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.

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

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

Forms: None

Board Committee Assignment: *Academic and Student Affairs*

Camp and Conference Reservations (B-4)

Original Implementation: 1987

Last Revision: ~~October 12, 2009~~ October 22, 2012

Each year Stephen F. Austin State University is host to a variety of camps, clinics, workshops and conferences *on the main campus*. To facilitate the many and varied requests of these groups, the coordinator for university reservations and conferences (*coordinator*), ~~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 ~~policy,~~ 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 *and the SFA Campus Programs for Minors guidelines*.

Age of Participants

Camp participants under ten (10) years of age are not permitted to stay overnight 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 *at least sixty (60) days prior to the start of the camp* 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 *provide documentation to the coordinator* 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 *university sponsor/camp director*. Forms returned because of insufficient information are also the *university sponsor/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 *university health 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.

*Insurance c*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 cancellation fee. There will be a ~~\$200~~^{\$50}-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 ~~and 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 needing special accommodations due to a disability should contact the coordinator *ten (10) days* prior to arrival on campus.

The Camp/Conference Director Responsibilities

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

The camp/conference director:

1. Provides counselors and staff *in adequate numbers to provide camper safety* 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~~ *twelve (12) (24)* hours after camp check-in begins; and

12. Ensures 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 *and the Campus Programs for Minors guidelines*.

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 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~~; and
6. Assesses all housing charges at the conclusion of the conference.

~~Residence Hall Contact Numbers~~

Hall	Phone	Cell Phone
Wisely	(936)468-2600	(936)652-8205
Todd	(936)468-2800	(936)652-8207
North	(936)468-3000	(936)652-8209
Hall 10	(936)468-3200	(936)652-8210
Mays	(936)468-3700	(936)652-8211
South	(936)468-3900	(936)652-8212
Lodge	(936)468-2400	(936)652-8203
Hall 14	(936)468-4609	(936)652-8214
Griffith	(936)468-4909	(936)652-8215
Hall 16	(936)468-5109	(936)652-8216
Steen	(936)468-5201	(936)652-8171
Kerr	(936)468-5301	(936)652-8218
Hall 20	(936)468-2595	(936)652-8220

Village (936)468-4300 (936)652-8133

~~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 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 university-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 *ten (10) days* 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 *and assessing the cost to campers*.

- **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 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 ~~cards~~ 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.

Only food prepared and delivered by the university's contract vendor is acceptable on campus.

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 *are required and should be coordinated through the Office of Parking and Traffic* ~~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.~~

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Director of Student Services/~~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)

Board Committee Assignment: *Building & Grounds*

Campus Facilities for Political Purposes (B-5)

Original Implementation: April 27, 1970

Last Revision: ~~October 12, 2009~~ *October 22, 2012*

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.

Cross Reference: Board of Regents Rules and Regulations; Tex. Gov't Code § 556.004

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Building and Grounds

Continuing Education (A-32)

Original Implementation: March 9, 1978

Last Revision: ~~April 19, 2011~~ October 22, 2012

The purpose of continuing education *and community/public service activities* is to support the public service and outreach responsibilities of ~~the~~ Stephen F. Austin State University.

Definitions

Continuing education (CE) activities are defined as ~~consists of~~ organized public activities offered/sponsored by the university, or a constituent unit of the university, ~~a unit~~ that provide participants some type of non-academic credit, continuing education credit or certification for participants such as enrichment experiences, workshops, short courses, certificate courses, training, life-long learning, leisure learning, camps, or travel. Continuing education activities may include short courses, seminars, workshops, training sessions, conferences or institutes. ~~A reasonable fee may be charged for these activities.~~

Community/public (CP) service activities are organized public educational activities sponsored by the university, or a constituent unit of the university, that do not offer any type of credit or certification. Community/public service activities may include camps, speaker series, travel experiences or leisure learning.

Class projects/assignments, internships/practicums, class guest lectures, individual faculty presentations for community organizations, student activity programs or student organization service projects are not covered by this policy.

Responsibility for Continuing Education at the University

Units offering ~~continuing education~~ CE/CP activities shall have administrative, assessment and programming responsibilities. All activities must be submitted by the administrator to his or her supervisor for approval.

A reasonable fee may be charged for CE/CP activities.

To bear the name of the university or any of its units, fees ~~for all continuing education activities~~ must be received and accounted for by university accounting procedures.

Facilities for ~~continuing education~~ CE/CP activities must be reserved in accordance with university policies; covering Use of University Facilities (B-1) and Academic Space for

Non-Academic Activities (B-2). Academic programs will always be given priority for the use of university facilities.

~~Awarding Continuing Education Units~~

~~When activities result in the awarding of non-academic credit, such as Continuing Education Units, it is the responsibility of the unit offering the continuing education activity to meet the guidelines established by the Texas Higher Education Coordinating Board and the Southern Association of Colleges and Schools. It is the responsibility of the unit awarding the non-academic credit to establish a transcript and keep the records on file.~~

~~Oversight of Continuing Education Activities and Programs~~

~~While dDirect oversight of continuing education CE/CP activities and programs is the responsibility of the units offering the programs, activity. dDeans and non-academic directors must approve CE/CP activities before these activities are conducted. The Continuing Education and Community/Public Service Activities Approval form is posted at the Academic Affairs website; this form should be submitted to the appropriate dean or director's office at least two weeks before the activity occurs. Deans and non-academic directors are responsible for collecting copies of the records of such CE/CP activities and programs offered within their areas of responsibility and for submitting these records annually to the office of the vice president to whom they report. The appropriate vice president will ensure that all ongoing continuing education programs and CE/CP activities are assessed on a regular basis and that assessment results are used to improve the programs.~~

Awarding Continuing Education Units

When activities result in the awarding of non-academic credit, such as Continuing Education Units, it is the responsibility of the unit offering the continuing education activity to meet the guidelines established by the Texas Higher Education Coordinating Board and the Southern Association of Colleges and Schools. It is the responsibility of the unit awarding the non-academic credit to establish a transcript and keep the records on file.

Cross Reference: Use of University Facilities (B-1); Academic Space for Non-Academic Activities (B-2); Tex. Educ. Code § 54.545

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

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

Forms: ~~None~~ *Continuing Education and Community/Public Service Activities Approval*

Board Committee Assignment: Academic and Student Affairs

Faculty/Staff Athletic Ticket Purchases (F-12)

Original Implementation: Unpublished

Last Revision: ~~October 12, 2009~~ October 22, 2012

University faculty, staff, retirees, their spouses and dependent children are entitled to purchase discounted season tickets for home athletic events.

Season ticket applications are mailed annually to each faculty/staff member who purchased tickets the previous year. *Information on season tickets is distributed annually to each employee via a campus-wide email and in SFA Today.* ~~Packets of applications are also mailed to each departmental office for distribution to department members~~ in order to contact as many new faculty/staff members as possible and to offer faculty/staff who did not purchase tickets the previous year a chance to do so. Faculty/staff season tickets are not honored during post-season play.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: Director of Intercollegiate Athletics

Forms: None

Board Committee Assignment: Academic and Student Affairs

Food Services (C-13.5)

Original Implementation: January 20, 1998

Last Revision: ~~October 12, 2009~~ *October 22, 2012*

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 student services and food service provider with immediate feedback on issues and concerns of the students.

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

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

Forms: None

Board Committee Assignment: *Academic and Student Affairs*

Fraud (C-46)

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

Last Revision: ~~October 12, 2009~~ October 22, 2012

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.

DEFINITIONS

- A. University - Stephen F. Austin State University (*SFA*) 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 to induce a victim another to act to the victim's damage/his or her detriment.~~
- 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, or 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 other 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~~ *has the option to report suspected activity as follows:*

- -notify his or her immediate supervisor
- ~~and/or notify~~ one of the following *university employees/investigative units*: the ~~Department director of Audit~~ *audit Services*, the ~~Office of General Counsel~~ *counsel*, the ~~University Police Department~~ *chief of police*, or the ~~Department director of Human Resources~~ *resources*; ~~or: The unit~~

~~contacted shall contact the remaining three units as appropriate to establish the necessary investigative team and procedures.~~

- *file a report using the university's anonymous reporting system 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 clicking the "Report Fraud" link on the SFA homepage.*
- *file a report with the Texas State Auditor's Office by calling 1-800-TX-AUDIT (892-8348) or visiting their website at <http://sao.fraud.state.tx.us/Default.aspx>.*

All of these reporting options are listed on the university's website homepage www.sfasu.edu under the report fraud tab.

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 director of audit services, university police chief, general counsel, or director of human resources. Department of Audit Services, University Police Department, or Office of the General Counsel or Department of Human Resources.~~
- 3.2. To the extent permitted by the applicable provisions of the Texas ~~Open~~ *Records* *Public Information 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 maintains an anonymous reporting system 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 clicking the "Report Fraud" link on the SFA homepage. In addition, activities can be reported to the State Auditor's Office by calling 1-800-TX-AUDIT (892-8348) or visiting their website at www.sao.state.tx.us/SIU<http://sao.fraud.state.tx.us/Default.aspx>.~~

INVESTIGATION

Prior to conducting an investigation, the ~~following appropriate~~ *following appropriate* personnel will communicate as ~~appropriate necessary~~ *appropriate necessary* 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-unit shall update university administration of-on 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.~~

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 general counsel.

All inquiries from the suspected individual, their representative, or their attorney shall be directed to the general counsel without further comment.

All reproduction of documents, evidence, and reports shall be performed within the secured work area of the University Police Department or Department of Audit Services. Any requests to release or review such documents will be coordinated through the 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 audits will not be disclosed or discussed with anyone other than authorized representatives of law enforcement and/or regulatory agencies and 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 Public Information Act.

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.

Allegations of Defalcation, Misappropriation, and other Fiscal Irregularities

The director 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, including e-mail, and personnel. All university equipment, 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. The 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.

Pursuant to Section 321.022 of the Texas Government Code, the president shall file a report with the Office of the State Auditor if he has reasonable cause to believe that money received from the state by the university may have been lost, misappropriated, or misused, or that other fraudulent or unlawful conduct has occurred in relation to the operation of the department or entity. All records of a communication by or to the state auditor in this regard are legally considered audit working papers of the state auditor.

Allegations of Criminal Activity

When an audit reveals suspected criminal activity, or an audit is initiated due to an allegation of criminal activity, the university police chief of police 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, the 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 university 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 chief of police, ~~director~~ 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 ~~or related entity~~ 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 the 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 the 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.

Allegations Involving Employment Conditions

The director of human resources will supervise or assist with all investigations involving allegations that arise by nature of one's employment that do not otherwise fall into one of the above categories.

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

~~All reproduction of documents, evidence, and reports shall be performed within the secured work area of the University Police Department 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 the General Counsel, the director of audit services has the discretion to stop the audit. The University Police Department 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~~*Tex. Gov't Code § 321.022*

Responsible for Implementation: President

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: *Finance and Audit*

Guest Speaker (F-15)

Original Implementation: July 1980

Last Revision: ~~October 12, 2009~~ October 22, 2012

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. a. the university—~~The facility in which the speech is to be delivered must be open to the public and the news media, ~~and~~
 - ~~c. b. ‡~~The sponsoring organization must follow ~~the Professional and Consulting Services policy (C-45) when contracting the speaker~~ *all applicable university procurement procedures.*
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.

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

Board Committee Assignment: *Academic and Student Affairs*

Mail Services (F-18)

Original Implementation: September 1, 1965

Last Revision: ~~October 12, 2009~~ October 22, 2012

U.S. Postal regulations and the following University policy and postal regulations govern the handling of mail:

1. The Stephen F. Austin State University 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 *for official* university business and have a complete return address with "Stephen F. Austin State University" and the department of origin *used within the address*. 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 *official* 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.

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)

Board Committee Assignment: *Academic and Student Affairs*

Notary Public (F-21)

Original Implementation: Unpublished

Last Revision: ~~October 12, 2009~~ October 22, 2012

It is the responsibility of each vice president to ensure 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.~~

Each vice president shall establish procedures for approving, in writing, an employee's application for notary commission, and be responsible for communicating the state's notary application process. Application process:

1. ~~University funds may be used to purchase the necessary supplies. Employees shall obtain all required supplies (notary seal or stamp, notary public record book, etc.) through procurement and property services. 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 a notary commission, if it is a renewal.~~
2. ~~Complete and sign the special application on the SORM Web site for state employees who will not be providing a notary bond.~~
3. ~~Read and complete the "State Employee Notary Acknowledgment form" on the SORM Web site.~~
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 Procurement and Property Services.~~

Cross Reference: Tex. Gov't Code §§ ~~406.001-.055~~ Ch. 406

Responsible for Implementation: President

Contact for Revision: President

Forms: Special Application, State Employee Notary Acknowledgement Form

Board Committee Assignment: Academic and Student Affairs

Organized Work Stoppage (E-34)

Original Implementation: October 21, 1978

Last Revision: ~~October 12, 2009~~ *October 22, 2012*

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 or nature of the illness to be entitled to sick leave pay.

Cross Reference: Tex. Gov't Code §§ ~~617.001-.005~~ *Ch. 617*

Responsible for implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs

Private Support Organizations or Donors (D-25.5)

Original Implementation: July 9, 1991

Last Revision: ~~October 12, 2009~~ *October 22, 2012*

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) that 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.

Cross Reference: Tex. Gov't Code § 2255.001

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Finance and Audit

Receipts and Deposits (C-5)

Original Implementation: Unpublished

Last Revision: ~~July 19, 2011~~ October 22, 2012

Purpose

This policy provides procedures and guidelines to all Stephen F. Austin State University (SFA) 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, credit card transactions, debit card transactions, wire transfers, and any other method of receiving funds.***

Authority and Responsibility

The university has delegated the authority and responsibility for establishing policies and procedures for all receipt-handling activities to the Office of the Controller. 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~~ *Opening and closing bank accounts and transferring funds among such accounts as necessary and prudent, considering current interest rates and collateral levels.*
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 provisions of this policy. Additionally, the Office of the Controller or Department of 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 that 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; preparing, approving, and depositing receipts at 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 head or supervisor 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 with the business office.
- Cash and receipts should **NEVER** be unattended. This applies to cash registers, desktops, cash drawers, and any other place in which cash is located. 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 cash and receipts should be kept in a locked bank bag provided by the business office.
 - The department name and responsible party should be noted on the outside of the locked bag.
- If a safe location is not available within the department, and the business office is not open, the cash and receipts should be brought to the University Police Department (UPD) in a locked bag.
- 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

For purposes of this policy, the custodian is anyone who handles cash and receipts. The custodian 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. This documentation should always be readily available for audit by the Office of the Controller, Department of Audit Services, or the department head. Specific information on appropriate documentation can be found under the heading “Receipts Procedures.”

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 abnormal 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 or funds received from cash receipts, *unless specifically authorized by the business office*. 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. All funds must be deposited. No department may use any receipted funds for any purpose.

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 pre-numbered receipt books are issued by the business office. All other receipts issued must be approved by the business 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. Check or money order number, if applicable
5. Purpose of payment
6. Date of payment
7. Initials of employee collecting funds

The above 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 that receive large volumes of checks by mail (such as application fees) may document their receipts 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.

Canceled/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 pre-numbered cash receipt books may be obtained from the business office only. Receipt books will not be placed in campus mail. 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 training in order to ensure 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 original (white) receipt is given to the customer. The green copy of each receipt is to be sent to the business office along with a Deposit Summary Form (approved by the business office as to form). The yellow copy of each receipt should remain in the receipt book for reference purposes.

Note: It is the department's responsibility to retain all documentation pertaining to deposits. Record retention schedules (see Records Management (D-28)) must be adhered to for all receipts, receipt books, Deposit Summary Forms, and any other backup. Documentation should be destroyed in accordance with the approved SFA Records Retention Schedule.

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.

At a minimum, the supervisor must perform a monthly reconciliation of receipts to deposits, verifying that the amounts receipted were actually deposited and credited to the appropriate accounts in the Banner System. Depending upon the volume of transactions, weekly or daily reconciliations may be more appropriate. The business office can assist in determining the frequency. Under no circumstance should this reconciliation be performed by the same individual who receipted the funds. The supervisor must keep written documentation of the reconciliations and report any discrepancies to the controller's office immediately.

Payment Acceptance

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 instrument purchased at a bank, post office, or other business establishment for any amount that orders a sum of money to be paid to someone else.

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 or guaranteed by 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 of 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	Verify the information is included on the check. A daytime phone

name, address, phone number	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, SFA, or SFASU.
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.

Credit Cards:

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

- Visa (for non-student payments only)
- American Express
- MasterCard
- Discover

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

- Credit 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 [Payment Card Acceptance and Security \(C-61\)](#)).

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

Signage

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

Deposits of Cash and Checks

Some university departments are authorized to make deposits directly to the bank in a locked bag via courier service provided by the UPD. These departments include: student center business office, Fine Arts ticket office, and Athletics. Other departments may request such authorization from the business office. All other departments will hand deliver their deposits in a locked bag to the business office or to one of the above named departments (upon approval by the business office). Each department that makes deposits shall submit the following to the business office on the deposit date:

- Deposit Summary Form
- the green copies of the receipts or the cash register tapes

Deposits must be brought to the business office (or above named departments) within 5 calendar days or when \$100 or more in receipts have accumulated, whichever comes first. Deposits must not be mailed to the business office.

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. The green copies of the receipts or the cash register tapes must also be included.

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.
- The adding machine tape must have a clear 0.00 at the top.
- Coins must be counted and submitted in coin wrappers.
- Coins 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 included showing the total amount of checks being deposited.
- A second adding machine tape must be included verifying the total previously calculated.
- The adding machine tapes must have a clear 0.00 at the top.

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: Payment Card Acceptance and Security (C-61); Records Management (D-28)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: Deposit Summary Form

Board Committee Assignment: Finance and Audit

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

Original Implementation: July 28, 1986

Last Revision: ~~October 12, 2009~~ *October 22, 2012*

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. ~~4-~~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 sixty (60) days prior to the effective date of the reduction in force.
6. Each affected employee will complete a new online application. 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. 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, 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: Worker Adjustment and Retraining Notification Act (29 U.S.C. 2101, et seq.)

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs

Risk Management (E-43.5)

Original Implementation: August 2, 1994

Last Revision: ~~October 12, 2009~~ *October 22, 2012*

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 (safety officer) as soon as possible. Refer to ~~University-university Policy~~ *policy and Procedure Manual*, Workers' Compensation Coverage, ~~Index E-55-~~ (E-55).

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

III/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 department supervisor. EHS&RM will file the necessary paperwork for insurance claims.

IV/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

The University Environmental Health, Safety and Risk Management Department (EHS&RM) is charged with the general oversight of the university safety program. Communication channels that connect each area of the university with the EHS&RM Department are necessary for an effective safety program. Each division of the university shall designate a safety representative or representatives who will act as the liaison(s) between the division and the EHS&RM Department. *The purpose of the safety communication network is not to relieve the division members of the general responsibility but 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. The safety communication network serves to create:*

~~The purpose of the safety communication network is not to relieve the division members of the general responsibility~~

~~A. —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.A.~~ A Communication Pathway: The procedure for channeling safety information to the EHS&RM Department is as follows:
1. Any individual who discovers a safety problem shall notify his/her supervisor. The supervisor shall notify the appropriate division safety representative.
 2. The division safety representative shall coordinate with the appropriate 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 EHS&RM Department. The EHS&RM Department will assess the safety issue and assist with the resolution.
 4. 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 division level, the EHS&RM Department will recommend a course of action through appropriate administrative channels to the president.
- ~~C.B.~~ Alternate Communication Pathway: The plan as outlined does not preclude a person from directly contacting the Environmental Health, Safety and Risk

Management Department; however, the problem should be presented to the appropriate division safety representative for resolution at that level if possible.

~~D.C.~~ Other functions of the safety communication network:

1. The network will serve as a means of communicating safety concerns from the EHS&RM Department through the division safety representative to faculty, supervisors and employees.
2. A division or department that operates in an environment that presents high risk shall ~~establish a safety committee. The division safety representative and the department administrator or designated representative shall serve as committee members. Each department shall review its working conditions and the hazards associated with them to determine the need for a safety committee.~~ *review its working conditions and the hazards associated with them to establish a safety liaison between the department and EHS&RM*
3. In order to maintain continuity of the safety communications network, the term of the division safety representative will be indefinite, but subject to review *by the respective department or division head.* ~~Chair. Each division vice president shall send the name of the safety representative or representatives to the director of EHS&RM by September 1 each year.~~
4. *Departments that engage in high risk activities* ~~Each department~~ shall set aside 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, t~~The division safety representative's name, office number and phone number shall be posted on the bulletin board.

~~E.D.~~ Safety Suggestion Program

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

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.

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 when appropriate or required by law.

IV. Monitoring

- A. The EHS&RM Department will update or modify ~~this document~~ *the Health and Safety Manual* as needed. 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 Rental of University Vehicles (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, or
 3. Required by contractual agreement.

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.

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 the 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.

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

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: *Finance and Audit*

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

Original Implementation: April 21, 1998

Last Revision: ~~October 12, 2009~~ October 22, 2012

The chair of the Board of Regents shall be notified in the event of a vacancy in the positions of vice president, athletic director, and head coaches. The Board of Regents shall may participate at its discretion in the selection of the vice presidents, athletic director and head coaches prior to the obligation of those positions.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee

Sick Leave (E-47)

Original Implementation: Unpublished

Last Revision: ~~October 12, 2009~~ October 22, 2012

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.

Accrual of Sick Leave

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

Separation from Employment

Employees of the university who separated 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.

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.

Sick Leave Utilization

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.

4. 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. 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, an extension of sick leave may be granted through the university policies of Sick Leave Pool (E-47.1), Family and Medical Leave (E-58), or Leave of Absence (E-30N or E-29A). (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: Tex. Gov't Code §§ 661.001-.919038, .201-206; Tex. Gov't Code §§ 617.001-.005Ch. 617; Non-Academic Employee Handbook; Organized Work Stoppage; Policy (E-34); Sick Leave Pool (E-47.1); Family and Medical Leave (E-58); Leave of Absence (Non-Academic) (E-30N); Leave of Absence (Faculty) (E-29A).

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~~ *from Human Resources*)

Board Committee Assignment: Academic and Student Affairs

Sick Leave Pool (E-47.1)

Original Implementation: September 17, 1982

Last Revision: ~~October 12, 2009~~ October 22, 2012

Purpose:

Pursuant to Texas Government Code ~~secs.~~ Sections 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. fully incapacitates the employee from working for a continuous period of 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, or marriage, or foster children who are so certified by the Texas ~~Department of Health and Human Services~~ *Commission* 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.~~
- ~~4.3.~~ An employee may submit only one request for sick leave from the ~~Sick-sick Leave~~ ~~leave Pool-pool~~ per fiscal year for each catastrophic illness or injury.
- ~~5.4.~~ An employee must exhaust all accrued leave before being eligible to receive sick leave from the ~~Sick-sick Leave-leave Pool-pool~~.
- ~~6.5.~~ An employee utilizing sick leave from the ~~Sick Leave Poolsick 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.
- ~~7.6.~~ 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.
- ~~8.7.~~ 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.
- ~~9.8.~~ A routine pregnancy is not considered a catastrophic illness or injury.
- ~~10.9.~~ A regular part-time employee is granted pool leave on a pro-rated basis.
- ~~11.10.~~ 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 documentation 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 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.
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 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 thirty (30) day approval, and is 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~~ *annually* to the director of human resources and be available upon request to faculty and staff.

Cross Reference: ~~Texas~~ *Tex.* Gov't Code §§ 661.001-~~664~~.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)

Board Committee Assignment: *Academic and Student Affairs*

Student Center Operations (B-29)

Original Implementation: 1966

Last Revision: ~~October 12, 2009~~ October 22, 2012

GENERAL OPERATIONS

1. Reservations in the student center (SC) are made through the coordinator of university reservations and conferences (*coordinator*), ~~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 ensuring 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. ~~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.~~

11. Electrical circuits shall not be altered nor connected to, except through outlets provided and with the approval of the coordinator.
12. 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.
- ~~13.12. The public address system shall be used for music and official announcements only.~~
- 14.13. 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 *nine (9)*~~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 ~~two~~~~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 ~~reservation~~~~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. *Only campaign posters for student elections may be posted in the* ~~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 is 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 *as supported by student traffic*, ~~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 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 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 and 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 e-mail 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 48 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 be accommodated only 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 Web site 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 canceled 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. *The coordinator can provide a* ~~See the coordinator for a~~ list of available equipment and prices. *The equipment and price list is also available on-line on the student center website. ~~or visit~~ <http://www2.sfasu.edu/auxsvcs/Pricelist/index.htm>* Reservations for the event ~~and any needed~~ technical equipment *should be* ~~are~~ made with the coordinator- at least two weeks before the event. Late additions of technical equipment to the order must be made at least 72 ~~hours~~ *two days* prior to the event and a late charge ~~will~~ *may* be assessed (See charges).
2. Only student center personnel will be permitted in the technical service booth above the Grand Ballroom *and the movie theatre*.
3. Student center technical equipment *may be* ~~will not be~~ taken from the student center *only by* ~~except by~~ student center personnel unless approved *except with the* approval of by the director of the student center. ~~and with the~~ *appropriate* charges will apply.

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 *or show* sponsored by an ~~registered~~ *approved* student organization must have prior approval from the dean of students or designee before room reservations will be made. ~~Dances-These events will are be~~ limited to one (1) per month per organization.
3. ~~Registered s~~Student organizations will be allowed *to reserve up to* two (2) hours per week for series meetings ~~purposes~~ *No series meetings may be scheduled during university holiday periods unless*. ~~Exceptions must be approved by the coordinator.~~ Series meetings are scheduled by e-mail 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. *In order to make space available to as many groups as possible, series reservations will be canceled* ~~If two weekly series meetings are missed, the series will be canceled.~~
4. An activity scheduled to continue past 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 that 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

Detailed information about catering is available in the catering booklet available from the coordinator and online at ~~See catering booklet or access the catering Web site at~~ www.campusdish.com/en-us/cssw/stephenfaustin/catering.

~~[http://www.campusdish.com/en-](http://www.campusdish.com/en-us/CSSW/StephenFAustin/Catering2)~~

~~[US/CSSW/StephenFAustin/Catering2.sfasu.edu/auxsvcs/catering/all_menus.htm](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. *Alcohol service must be requested at*

the time of the room reservation. 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 (D-9) for more information) ~~in the SFA Policy Manual.~~

CHARGES

The price list for student center services is available from the coordinator and online at
~~See student center price list at our web site~~
[www.sfasu.edu/studentservices/135.aspx](http://2.sfasu.edu/auxsvcs/Pricelist/index.htm)~~http://2.sfasu.edu/auxsvcs/Pricelist/index.htm~~ ~~on the internet.~~

Cross References: *Illegal Drugs and Alcohol Abuse (Policy D-19)*

Responsible for Implementation: Vice President for University Affairs

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

Forms: None

Board Committee Assignment: *Building and Grounds*

Student Fiscal Appeals (C-57)

Original Implementation: January 30, 2007

Last Revision: ~~April 17, 2012~~ October 22, 2012

The Fiscal Appeals Panel will consider appeals ~~involving issues related to university~~ *Stephen F. Austin State University (SFA)* fiscal policy as it applies to student charges. ~~incurred on the student bill.~~ Appeals will be considered when ~~the~~ a student believes that extenuating circumstances ~~in his or her life~~ justify *removal or modification of charges*. ~~an exemption from the prevailing policy.~~ Appeals must be submitted in written form and must be based on extenuating circumstances, such as (but not limited to) catastrophic illness, injury, death in the family, or call up for military service. Appeals on the penalty for excessive time to graduation and repetition of a course may be based on economic hardship for the student, and will be considered on a case by case basis. Appeals must be filed within 60 days from the date of the charge on the student's accounts for which the student is requesting an appeal. Appeals will be considered only for the specific charge and specific term for which the appeal is requested, and will not be considered for previous or subsequent semesters.

The following may be appealed to the panel: penalty for excessive time to graduation (the 30 and 45 hour rule), extenuating circumstances culminating in withdrawal, late add fee, reinstatement fee, \$1,000 tuition rebate, and penalty for repetition of a course more than twice (3-peat).

~~Appeals for traffic tickets and parking fines will not be considered by the Fiscal Appeals Panel.~~

~~In order to expedite the appeals process, each college shall have its own Fiscal Appeals Panel.~~

The Fiscal Appeals Panel will *be appointed by the vice president for administration and finance, chaired by the bursar and will include: academic and administrative representation.*

Specific procedures for making an appeal are located on SFA's business office website and at the business office.

~~the dean of the student's college, or his/her designee;~~

~~the academic department chair of the student's major, or the student's academic advisor;~~

~~a faculty member of the student's college, designated by the dean;~~

~~a representative from the Business Office;~~

~~a representative from the Registrar's Office;~~

~~a representative from the Admission's Office.~~

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

~~A student wishing to appeal must first discuss the relevant fiscal policy in question with a representative from the registrar's office or the bursar's office. If the matter is not resolved, the student may file a written appeal to the registrar or the bursar for consideration by the Fiscal Appeals Panel. All pertinent information to be considered by the panel must be submitted with the appeal. In some circumstances, additional information will be requested from the student by the appeals committee. The student will have 15 days to submit the additional documentation or the appeal will be denied. All decisions by the Fiscal Appeals Panel will be made within 30 days from the date of receipt of the appeal or additional information, when feasible, but no later than 60 days from the date of receipt of the appeal or additional information. In the event the decision on the appeal is not made within the prescribed time period, the appeal shall be considered successful.~~

Cross Reference: Tex. Educ. Code § 54.014; 19 Tex. Admin. Code § 13.108; Tuition Rebate Policy (C-50)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

Students Displaying Serious Psychological Problems (D-35)

Original Implementation: October 12, 1982

Last Revision: ~~October 12, 2009~~ October 22, 2012

Definitions

Serious psychological problems result in behaviors, occurring on campus, in which a student is a danger to ~~himself~~ *themselves* 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~~ *physical harm or danger to any member of self or others the university community* or ~~to~~ continues to display significant disruptive behavior. Examples of non-emergency situations are, but are not limited to, repeated aberrant behavior such as inappropriate outbursts in classrooms or university offices or obvious non-lethal threats ~~to self or others~~ *of aggression or increased levels of risk from behavioral distress, disturbances or deregulation.*

Behavior Intervention Team (BIT): composed of Student Affairs and Academic Affairs professionals including qualified medical and mental health providers who review each situation on a case-by-case basis to evaluate the student's observed conduct and actions. In addition to the qualified mental health providers, the team may evaluate the student's risk level utilizing standardized threat assessment measures. Membership of the BIT may vary depending on the nature of the situation. The dean of students chairs the team. The assistant dean of students for support services or the director of student right and responsibilities may also convene meetings of the team.

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, the assistant dean of student affairs for support services/ADA coordinator, a staff counselor

from Counseling Services, and a staff physician from the Student Health Center acting as chair. *The counselor and physician are appointed by their respective department directors.* ~~The Student Health Center director~~ *director of health services* acts as the contact person to initiate hearing proceedings and may appoint alternate members when necessary.

Emergency Procedures

Anyone with knowledge of a student displaying behavior that places the student or others in imminent danger ~~shall~~ *will* immediately contact the University Police Department. The university police ~~shall~~ *will* coordinate the response to the incident, ~~that~~ *which* 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~~ *will* contact the judicial officer as soon as is reasonably possible. The judicial officer, under the direction of the vice president for university affairs/*designee*, 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~~ *will* 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~~ *will* preserve the right of a hearing but not the right of a hearing within the five (5) day timeframe; however, the university ~~shall~~ *will* make every attempt to hold the hearing as quickly as is reasonably possible. Upon receipt of the written request, the judicial

officer ~~shall will then~~ contact the ~~Student Health Center director~~ *director of health services* as soon as is reasonably possible to begin hearing proceedings.

The judicial officer may, under the direction of the vice president for university affairs/designee, 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 will~~ 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 will~~ follow the procedures outlined in the Hearing Procedures section of this policy.

If no imminent danger is found, UPD ~~shall will~~ contact the judicial officer who ~~shall may 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 will~~ 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 will~~ 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 will~~ 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. *In this case*, the judicial officer ~~shall will~~ 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.~~ *further deterioration could reasonably result in harm or danger to a member of the university community or the condition continues to display significant disruptive behavior. In this case, t*The judicial officer ~~shall will~~ immediately issue an initial notice to the student that a hearing with the Psychological ~~Problems~~ Review Board ~~shall will~~ be held within the next five (5) working days and ~~shall will~~ contact the ~~Student Health Center director~~ *director of health services* 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 will~~ 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~~*will* assist the student in making the necessary referrals. If the student's condition is drug or alcohol related, the judicial officer ~~shall~~*will* 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~~*require* no action.

Behavior Intervention Team

When the Behavior Intervention Team convenes, the meeting will incorporate an individual assessment of the student that includes observations of actions that could indicate safety or code of conduct issues. This assessment includes input from qualified health and mental health professionals to help determine the risk of substantial harm and whether a student is "otherwise qualified" to take classes or remain in the residence halls. The members will also determine if there are reasonable ways to accommodate the student to decrease risk and/or to ensure compliance with policies and the Student Code of Conduct. If no reasonable accommodations can be determined, the student will have a right to a hearing before the Psychological Review Board before a final decision is made to dismiss or withdraw the student. In exigent circumstances, the vice president for university affairs/designee may take immediate measures to suspend the student until a final decision is made.

~~Psychological Problems Hearing Review Board Procedures~~

Pre-hearing Process

The chair of the Psychological ~~Problems Hearing Review Board~~ ~~shall~~*will* give written notice of the hearing to the student at least three university business days ~~from before~~ the date of the hearing. ~~The~~*This* notice ~~shall~~*will* 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~~*will* be closed unless the student requests otherwise. The judicial officer ~~shall~~*will* 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~~*will* 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~~*will* 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~~*will* have the right to:

- a. be present during the presentation of all evidence,
- b. be accompanied by an advisor,
- c. present such witnesses and documentary evidence as may be pertinent, *and*
- d. ~~and~~ cross-examine witnesses offered by other parties.

The record of the hearing ~~shall~~*will* 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~~*will* 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~~*will* be forwarded to the vice president for university affairs by the chair as soon as possible, but no ~~more~~*later* than two (2) university working days from the adjournment of the hearing.

Within three (3) university working days ~~from~~*following* the receipt of the recommendation of the board, the vice president for university affairs ~~shall~~*will* either concur, in whole or in part, with the recommendation of the board and direct appropriate action to implement the recommendation, or ~~shall~~*will* overrule the recommendation. The vice president ~~shall~~*will* 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~~*will* direct the judicial officer to ~~send to~~*notify* the student ~~a letter stating in writing~~ that the student is barred from re-enrollment to the university until the required conditions are met. The judicial officer ~~shall~~*will* 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~~ will 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~~ will 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.

Non-Discrimination

Decisions under this policy will be made based on observations of a student's conduct, actions and statements and not on the knowledge or belief that a student is an individual with a disability.

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

Student Records (D-13)

Original Implementation: 1974

Last Revision: ~~October 12, 2009~~ October 22, 2012

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 and (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; ~~and,~~
 - 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,
 - 6. alumni records that 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, 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 ~~Web site~~*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 that 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 that relate to him/her.

V. Types and Custodians of Student Records

Type of Record	Content	Custodian
Academic	Grades, classification, academic standing, application for admission and admissions scores.	Registrar, Executive Director of Enrollment Management
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 Director of Student Rights and Responsibilities
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 that 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; *and*
- ~~J.~~K. *other disclosures that the Family Educational Rights and Privacy Act (FERPA) authorizes without consent.*

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 addresses,
- 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 ~~by~~ 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 FERPA.

XIII. Correction of Education Records

A student has the right to request a correction on his/her education records that ~~they~~ *he/she* believes ~~are~~ *is* inaccurate, misleading or in violation of ~~their~~ *his/her* 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 five 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 activities such 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 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-law~~ that 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. § 1232g; 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

Board Committee Assignment: *Academic and Student Affairs*

Ticket Office Services (F-30)

Original Implementation: May 6, 1985

Last Revision: ~~October 12, 2009~~ October 22, 2012

The services of the SFA Ticket Office (*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. *Final accounting will take place within two (2) working days following the event.* Payments for tickets sold for groups without university accounts will be made by university check *no earlier than two weeks following the acceptance of the final accounting by an authorized representative of the group.* ~~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.

Refunds

The Ticket Office sells tickets on a no refund and no exchange basis unless the event for which the ticket was purchased is cancelled. In the case of a cancellation, refunds processed by the Ticket Office will be only for those tickets originally sold or placed on consignment in other outlets by the Ticket Office. Tickets may not be refunded by consignment outlets.

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Director of Student Services

Forms: Consignment Ticket Agreement

Board Committee Assignment: *Academic and Student Affairs*

Vending (F-31)

Original Implementation: Unpublished

Last Revision: ~~October 12, 2009~~ *October 22, 2012*

The food and beverage vending 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
2. Coin-operated game machines, which are the responsibility of the director of student services.

Other exceptions or requests shall be considered on an individual basis, and should be addressed in writing to the vice president for university affairs.

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

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

Forms: None

Board Committee Assignment: *Building and Grounds*