

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS



**Nacogdoches, Texas
April 10-11, 2022
Volume 355**

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**Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
April 10-11, 2022
Austin Building, Room 307
Meeting 355**

Sunday, April 10, 2022

The meeting of the Board of Regents was called to order in open session at 2:01 p.m. by chair Karen Gantt.

PRESENT:

Board Members: Mrs. Karen Gantt, Chair
 Mr. Tom Mason, Vice Chair
 Mrs. Jennifer Winston, Secretary
 Mr. David Alders
 Mr. Robert Flores
 Mrs. Judy Olson – arrived at 2:20 p.m.
 Dr. Laura Rectenwald
 Ms. Nancy Windham
 Mr. Spencer Coffey, Student Member

Note: Regent Brigettee Henderson was unable to attend.

General Counsel: Mr. Damon Derrick
Chief Audit Exec.: Mrs. Gina Oglesbee
Cabinet Members: Mr. Anthony Espinoza
 Mrs. Judi Kruwell
 Mrs. Jill Still

Other SFA administrators and staff were in attendance.

Chair Gantt called the meeting into Executive Session to discuss the following items at 2:05 p.m.:

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

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, *Ann Wilder v. SFASU*; *Christin Evans v. Sydney Miley, et al*; and *Marlene Kahla, Ph.D. v. Board of Regents of Stephen F. Austin State University, et al*. (Texas Government Code, Section 551.071)

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 chief audit executive, director of athletics, executive director for enrollment management, chief marketing communications officer, chief information officer, chief diversity officer, director of governmental relations, vice presidents and the president. (Texas Government Code, Section 551.074)

The executive session ended and the Board of Regents meeting returned to open session at 6:38 p.m.

COMMITTEE OF THE WHOLE

Border Order 22-36

Upon motion by Regent Flores, seconded by Regent Alders, with all members voting aye, it was ordered that the following personnel item be approved.

APPOINTMENT OF INTERIM PRESIDENT

WHEREAS, the board members considered: President Scott Gordon and the university have mutually agreed that it is in the best interest of both parties for the employment relationship to end. It is therefore necessary for the Board of Regents to appoint an interim president to serve until such time as the Board names a permanent president.

THEREFORE, it was approved/ordered that Dr. Steve Westbrook be appointed as interim president of Stephen F. Austin State University at a salary of \$365,000 annually, effective immediately.

The meeting was recessed by Chair Gantt at 6:40 p.m. to Monday, April 11 at 8:00 a.m.

Monday, April 11, 2022

The meeting of the Board of Regents was called to order in open session at 8:08 a.m. by chair Karen Gantt.

PRESENT:

Board Members:	Mrs. Karen Gantt, Chair
	Mr. Tom Mason, Vice Chair
	Mrs. Jennifer Winston, Secretary
	Mr. David Alders
	Mr. Robert Flores
	Mrs. Brigettee Henderson
	Mrs. Judy Olson
	Dr. Laura Rectenwald
	Ms. Nancy Windham
	Mr. Spencer Coffey, Student Member

Interim President:	Dr. Steve Westbrook
General Counsel:	Mr. Damon Derrick
Chief Audit Exec.:	Mrs. Gina Oglesbee

Cabinet Members: Mrs. Erma Brecht
Dr. Michara DeLaney-Fields
Mr. Anthony Espinoza
Dr. Brandon Frye
Mr. Graham Garner
Mr. Ryan Ivey
Mrs. Judi Kruwell
Dr. Lorenzo Smith
Mrs. Jill Still
Dr. Charlotte Sullivan

Other SFA administrators and staff were in attendance.

Chair Gantt provided a review of the Board Order 22-36 that was approved the evening of April 10, 2022 and welcomed Interim President, Dr. Steve Westbrook.

The board recessed to committee meetings.

The meeting of the Building and Grounds Committee was called to order in open session at 8:13 a.m. by committee chair, David Alders.

Committee Members: Mr. David Alders, Chair
Mrs. Brigitte Henderson
Ms. Nancy Windham
Mrs. Karen Gantt, ex officio

The committee members heard presentations, discussed and agreed to recommend the following agenda items.

9. Lanana Creek Trail – Advanced Agreement for the 2019 Safe Routes to School/Transportation Alternatives Grant Program

10. Selection of Architectural Firm to Develop a Comprehensive Athletics Facilities Master Plan

11. Building and Grounds Committee Policy Revisions
Campus Programs for Minors 13.5
Markers, Monuments and Artwork 16.17
Skating, Skateboarding and Motorized Scooters 13.20
Solicitation on Campus 16.25
Space Assignment, Management and Planning 16.3

The Building and Grounds Committee adjourned at 8:22 a.m. and the Academic and Student Affairs Committee was called to order by Committee Chair Brigitte Henderson.

Committee Members: Mrs. Brigitte Henderson, Chair
Dr. Laura Rectenwald
Mrs. Jennifer Winston

Mr. Spencer Coffey, Student Regent
Mrs. Karen Gantt, ex officio

The Title IX Report was provided by cabinet member, Dr. Michara DeLaney-Fields. The UPD Racial Profiling Report was given by SFA Chief of Police, John Fields.

The committee members heard presentations, discussed and agreed to recommend the following agenda items.

12. Enhancing Enrollment with the Addition of STUNT as an Athletic Program

13. Extend the Test-Optional Admissions Requirement for 2023 Terms

14. Curriculum Changes 2022-23

15. Curriculum Change for Summer 2022

16. Academic and Student Affairs Policy Revisions

Academic Accommodation for Students with Disabilities 6.1

Administrative Systems Software Changes 16.2

Compensation from Grants, Contracts and Other Sponsored Agreements 12.1

Discontinuance of Programs or Academic Unit 5.9

Effort Reporting and Certification for Sponsored Activities 8.1

Email for University Communication 15.1

File Maintenance for Faculty Personnel Files 4.6

Financial Conflicts of Interest in Sponsored Activities 8.2

Guest Speaker 16.12

Grants and Contracts Administration 8.3

Institutional Animal Care and Use Committee (IACUC) 8.6

New Employee Orientation 11.17

New Releases 15.3

Payments to Human Research Subjects 8.8

Reproduction of Copyrighted Works by Educators and Librarians 9.2

Student Records 2.10

University Letterhead 15.5

University Publications 15.8

The Academic and Student Affairs Committee recessed and the Finance and Audit Committee Meeting was called to order by Committee Chair Tom Mason at 8:50 a.m.

Committee Members: Mr. Tom Mason, Chair

Mr. Robert Flores

Mrs. Judy Olson

Mrs. Karen Gantt, ex officio

The committee members heard presentations, discussed and agreed to recommend the following

agenda items.

17. Acknowledge Receipt of Audit Services Report

- Safety and Security Audit
- Conflicts of Interest Audit
- Business Office Cash Count
- Annual Risk Assessment
- Quality Assurance Review Self-Assessment
- Update on Audit Plan

18. Acknowledge Receipt of Contract Monitoring Report

19. Grant Awards

The Finance and Audit Committee recessed until after lunch and the Academic and Student Affairs Committee reconvened at 9:26 a.m.

Committee Members: Mrs. Brigettee Henderson, Chair

- Dr. Laura Rectenwald
- Mrs. Jennifer Winston
- Mr. Spencer Coffey, Student Regent
- Mrs. Karen Gantt, ex officio

The board took a tour of the School of Social Work and the DeWitt School of Nursing. The Academic and Students Affairs Committee adjourned at 12:10 p.m. and the board broke for lunch.

At 1:29 p.m. the invocation was provided by Regent Alders and the pledges were led by ROTC Cadet Hannah Fritsch.

The Finance and Audit Committee was called to order by Committee Chair, Tom Mason at 1:35pm p.m.

Committee Members: Mr. Tom Mason, Chair

- Mr. Robert Flores
- Mrs. Judy Olson
- Mrs. Karen Gantt, ex officio

20. On-Campus Residential Wireless Service and Upgrade

21. Finance and Audit Policy Revisions

- Distribution of Payroll 12.3
- Facilities and Administration (Indirect) Cost Recovery, Distribution and Use 8.5
- Family and Medical Leave 12.9
- Fixed Amount Awards 8.12
- Institutional Reserves Fund 3.19
- Lumberjack Education Assistance Program 12.5

Payment Card Acceptance and Security 14.8
Receipts and Deposits 3.26
Student Accounts Receivable 3.28
Travel 3.29

Policy 12.5, Lumberjack Education Assistance Program was tabled for further university discussion.

The Finance and Audit Committee adjourned at 1:48 p.m. and committee meeting were recessed and Chair Gantt reconvened the Board meeting to Committee of the Whole.

SPECIAL RECOGNITION

Student Regent Spencer Coffey was recognized for his service to the university throughout 2021-2022. Dr. Lorenzo Smith recognized professors that received promotions, grants, awards, and the Regent Scholar, Dr. Stephan Taaffe. Mrs. Erma Brecht recognized the Financial Aid and Scholarship Officers for their support to the university. Dr. Brandon Frye recognized the Pine Log and Spirit Programs for awards received. Mrs. Judi Kruwell introduced Jacob Seamans, Director of Financial Reporting. Mr. Ryan Ivey recognized the coaches and players of the Lumberjack and Ladyjack Basketball teams for their successful seasons.

MINUTES

Board Order 22-37

Upon motion by Regent Winston, seconded by Regent Flores, with all members voting aye, it was ordered that the minutes of Meeting 353, January 30 – February 1, 2022 and Special Called Meeting 354, March 23, 2022 be approved as presented.

PERSONNEL

Board Order 22-38

Upon motion by Regent Alders, seconded by Regent Mason, with all members voting aye, it was ordered that the following personnel items be approved as listed in Appendix 1.

STAFF APPOINTMENTS

Staff appointments are recommended by the department chair or director and approved by the appropriate dean (if applicable), vice president and/or president. Each appointment states salary, percentage of time employed, and designates the effective date of employment.

FACULTY APPOINTMENTS

Faculty appointments are recommended by the department chair and approved by the appropriate dean, provost/vice president for academic affairs and the president. Each appointment states salary and percentage of time employed, designates the semester or academic year (September through May) and states the effective date of employment. In addition, last degree and granting institution are included for first-time appointments.

FACULTY PROMOTIONS

Promotions are initiated at the departmental level by one of the following methods: a faculty member applies for promotion on his/her own behalf or is recommended for promotion by his/her department chair. The application/recommendation is reviewed, ranked, and recommended or not recommended for approval by the department faculty at or above the rank sought, department chair, dean, provost/vice president of academic affairs and president. Promotions recommended for approval by the president are submitted to the board for consideration.

FACULTY TENURE

Tenure is awarded by the Board of Regents to those faculty members who are recommended by the president. Applications of individuals recommended for tenure are reviewed by departmental and college committees and by a department chair, dean and provost/vice president of academic affairs, prior to recommendation to the president.

CHANGES OF STATUS

Changes of status include changes in appointment, percentage of time, salary or semesters. These changes are initiated by the department chair or director and routed through administrative channels for approval.

REGENTS SCHOLARS 2022-2023

Nominations for Regents Scholar are sought from the faculty. A committee consisting of three academic deans and three former Regents Professors, review nominations and make recommendations to the provost/vice president of academic affairs. Regents Scholar receive a \$2,000 grant to support their efforts and a medal.

RETIREMENTS

Retirements include the listing of personnel that have selected to retire from SFA.

Board Order 22-39

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

APPOINTMENT OF VICE PRESIDENT FOR FINANCE AND ADMINISTRATION

WHEREAS, the board members considered: The position of vice president for finance and administration has been filled with an interim placement since July 2021. University policy provides that the Board of Regents may participate at its discretion in the selection of any position reporting directly to the president. A need exists for this position to be filled without delay.

THEREFORE, the Board of Regents appoints Ms. Gina Oglesbee, currently chief audit executive, as vice president for finance and administration at a salary of \$202,594 annually, effective April 18, 2022.

Board Order 22-40

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

APPOINTMENT OF INTERIM CHIEF AUDIT EXECUTIVE

WHEREAS, the board members considered: The former chief audit executive, Ms. Gina Oglesbee, has been appointed as vice president for finance and administration. It is necessary for the Board of Regents to appoint an interim chief audit executive to serve until such time as the Board names a permanent chief audit executive.

THEREFORE, the Board of Regents appoints Ms. Jane Ann Bridges, currently assistant chief audit executive, as interim chief audit executive at a salary of \$149,968 annually, effective April 18, 2022.

BUILDING AND GROUNDS COMMITTEE

Board Order 22-41

Upon motion by Regent Alders, seconded by Regent Winston, with all members voting aye, it was ordered that the following building and grounds item be approved.

APPROVAL OF LANANA CREEK TRAIL – ADVANCED AGREEMENT FOR THE 2019 SAFE ROUTES TO SCHOOL/TRANSPORTATION ALTERNATIVES GRANT PROGRAM

WHEREAS, the board members considered: In July 2019, the Board of Regents approved Board Order 19-51, authorizing the submission of four grant applications to the Texas Department of Transportation (TxDOT) Safe Routes to School / Transportation Alternatives (SRTS/TA) Grant Program to construct and enhance pedestrian sidewalks, trails, and bicycle paths, including the Lanana Creek Trail project with a total projected cost of \$1,742,889, of which the university would be responsible for twenty percent (\$348,578). Due to construction escalation costs, TxDOT increased the total projected cost to \$1,811,274. This increased the university's contribution to \$362,255. In April 2021, the Board of Regents approved Board Order 21-48, revising the university's contribution.

On April 29, 2021, the Texas Transportation Commission approved funding for the Lanana Creek Trail TA project. The university is required to execute an Advanced Funding Agreement (AFA) with TxDOT. The AFA is a contract that outlines the specific terms and conditions of the grant-funded project. The grant requires a twenty percent local match of \$362,255. TxDOT is contributing \$217,000 towards the local match, leaving the university to contribute the remaining \$145,255 to complete the twenty percent match.

THEREFORE, it was ordered to execute an Advanced Funding Agreement with TxDOT and

commitment of a \$145,255 cash match in support of the grant funded project. The administration further recommends the remaining balance of \$217,000 from the previously approved \$362,255 contribution be made available for any additional costs associated with the project, including but not limited to addition of appropriate health and safety features. The administration further recommends authorization of the president to sign all associated purchase orders and contracts as necessary.

Board Order 22-42

Upon motion by Regent Alders, seconded by Regent Henderson, with all members voting aye, it was ordered that the following building and grounds item be approved.

SELECTION OF ARCHITECTURAL FIRM TO DEVELOP A COMPREHENSIVE ATHLETICS FACILITIES MASTER PLAN

WHEREAS, the board members considered: The Athletics Advisory Committee recommended to the Buildings and Grounds committee of the Board of Regents that the university develop an athletic facilities master plan. Therefore, the university is seeking to enter into an agreement with a design firm with experience in the programming and design of university athletic facilities. The selected firm will evaluate the existing campus athletic facilities' current conditions to give direction and recommendations for renovating, removing and/or expanding the current athletics facilities. Additionally, the completed master plan will consider programming and design of athletic facilities that will define the strategic planning, programmatic needs, conceptual budgets and potential phasing for future athletic facility projects.

THEREFORE, it was approved for the administration to submit a request for qualifications (RFQ) to select a firm that will define the strategic planning, programmatic needs, conceptual budgets and potential phasing for future athletic facility projects. The administration further recommends authorization of the president to sign all associates contract(s) and purchase orders.

Board Order 22-43

Upon motion by Regent Alders, seconded by Regent Olson, with all members voting aye, it was ordered that the following building and grounds item be approved.

BUILDING AND GROUNDS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 2.

Campus Programs for Minors 13.5

Markers, Monuments and Artwork 16.17

Skating, Skateboarding and Motorized Scooters 13.20

Solicitation on Campus 16.25

Space Assignment, Management and Planning 16.3

ACADEMIC AND STUDENT AFFAIRS COMMITTEE

Board Order 22-44

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

ENHANCING ENROLLMENT WITH THE ADDITION OF STUNT AS AN ATHLETIC PROGRAM

WHEREAS, the board members considered: Knowing SFA's enrollment is of high importance, it is important to introduce strategies and tactics that can positively contribute to SFA's enrollment and have an on-going contribution to the enrollment.

STUNT is considered to be one of the fastest growing sports in the country. *STUNT is a new female sport that incorporates skills derived from cheerleading. STUNT is an exciting head-to-head game between two teams who execute skills-based routines in various categories – partner stunts, jumps & tumbling, pyramids & tosses, and team routines.* Adding a STUNT program at SFA would be separate from Cheer; thus, truly adding to enrollment and avoiding double dipping.

Adding STUNT is an initiative that grows First Year and Undergraduate populations. Growing enrollment within this population is key as a First-Year student on average generates 14.5 credit hours a semester and contributes to undergraduate enrollment for four-six years. This population also generates significant auxiliary funding due to on-campus residential requirement for a student's first two years. Adding a STUNT program would provide an enrollment increase of 35 first year students in 2023, which alone would be a 2.1% increase of the First-Year students entering in fall 2021. The program would grow in year two and target an ongoing roster of 50 undergraduate students.

The current STUNT status in Texas and bordering states:

	Club	Varsity/Sport	NCAA Division
Texas publics	Texas Tech Univ	Texas Woman's Univ	II
	UT Austin	UT Tyler	II
Texas privates		Austin College	III
		Dallas Baptist Univ	II
		Saint Mary's Univ	II
Border states	Southern Arkansas (AR)	Centenary College (LA)	III
	Connors State (OK)	Oklahoma Baptist (OK)	II
	Oklahoma State (OK)	Oklahoma City (OK)	NAIA
	Southwestern Christian (OK)		

STUNT does not compete at a division level. However, adding STUNT would make SFA the only Division I school within a five-state area with STUNT listed as a Women's Sports. This could definitely serve as a positive in recruitment.

Additional factors to consider:

- The budget model for the STUNT program is designed to be self-sustainable.
- There is a growing number of STUNT clubs/programs at Texas high schools and clubs; particularly in our DFW and Houston markets.

- Once SFA has a STUNT program established, there would be opportunity to serve as a host site for STUNT tournaments that would bring groups of high school aged students (and their families) to campus.

The city of Nacogdoches would also experience a positive impact to its economy with the addition of STUNT by serving as a host site for games, tournaments, workshops.

THEREFORE, it was ordered that STUNT be added to the SFA Athletics program for fall 2023 to help enhance enrollment.

EXTEND THE TEST-OPTIONAL ADMISSIONS REQUIREMENT FOR 2023 TERMS

WHEREAS, the board members considered: In response to the pandemic, the SAT/ACT test administration has been disrupted due to limited test sites and/or space at test sites since spring 2020. High school students preparing for college continue to find taking the SAT/ACT a challenge.

Current policy 6.20 requires first-semester freshman to submit official test results from either the ACT or the SAT. If an applicant does not have an official ACT/SAT test score, their application is considered incomplete and is not processed or reviewed for admissions.

Since spring 2020, the SAT/ACT requirement for first-year applicants was waived a total of three times for 2020, 2021, and 2022 terms. The waiving of the SAT/ACT requirement was done under the authority given to Dr. Gordon to modify university policies during the impact period of COVID. SAT/ACT test administrations continues to be a challenge with limited space at test sites or lack of test sites themselves. Preparation is under way for the recruitment and application season for 2023. The ApplyTexas opens July 1, 2022 for fall 2023.

A number of four-year institutions have confirmed the continuation of a test-optional practice for the 2023 terms. It is important SFA remains comparable and competitive with other Texas four-year institutions.

THEREFORE, it was ordered that University Policy 6.20, Undergraduate Admissions and Credits extend the test-optional admission practice for all 2023 terms. Enrollment Management is recommending that the University continue to waive the college entrance exam (SAT/ACT) requirement for the 2023 terms. Applicants who submit all other application requirements, minus the SAT or ACT, will continue to be reviewed holistically through individual file review with an emphasis put on high school academic performance.

CURRICULUM CHANGES 2022-23

WHEREAS, the board members considered: Changes in curriculum originate in the departments and are reviewed by the colleges 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, it was ordered the approval of undergraduate and graduate curriculum changes as presented in Appendix 3 to be effective fall 2022.

CURRICULUM CHANGE FOR SUMMER 2022

WHEREAS, the board members considered: Changes in curriculum originate in the departments and are reviewed by the colleges 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, it was ordered the approval of graduate curriculum change for Accounting – ACCT 5320, effective summer 2022.

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 2.

- Academic Accommodation for Students with Disabilities 6.1
- Administrative Systems Software Changes 16.2
- Compensation from Grants, Contracts and Other Sponsored Agreements 12.1
- Discontinuance of Programs or Academic Unit 5.9
- Effort Reporting and Certification for Sponsored Activities 8.1
- Email for University Communication 15.1
- File Maintenance for Faculty Personnel Files 4.6
- Financial Conflicts of Interest in Sponsored Activities 8.2
- Guest Speaker 16.12
- Grants and Contracts Administration 8.3
- Institutional Animal Care and Use Committee (IACUC) 8.6
- New Employee Orientation 11.17
- New Releases 15.3
- Payments to Human Research Subjects 8.8
- Reproduction of Copyrighted Works by Educators and Librarians 9.2
- Student Records 2.10
- University Letterhead 15.5
- University Publications 15.8

FINANCE AND AUDIT COMMITTEE

Board Order 22-45

Upon motion by Regent Mason, seconded by Regent Windham, with all members voting aye, it was ordered that the following finance and audit item be approved.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

The Board of Regents acknowledge receipt of the audit services report as presented including the

following:

- Safety and Security Audit
- Conflicts of Interest Audit
- Business Office Cash Count
- Annual Risk Assessment
- Quality Assurance Review Self-Assessment
- Update on Audit Plan

Board Order 22-46

Upon motion by Regent Mason, seconded by Regent Alders, with all members voting aye, it was ordered that the following finance and audit items be approved.

ACKNOWLEDGE RECEIPT OF CONTRACT MONITORING REPORT

The Board of Regents acknowledge receipt of the contract monitoring report as presented including the following:

The 84th Legislature passed Senate Bill 20 (SB20) that added new requirements for state agencies and institutions of higher education related to procurement and contracting. These requirements were written into the Texas Government Code and/or Texas Education Code and were effective September 1, 2015. SB 20 states “as soon as is practicable after the effective date of this Act, the comptroller of public accounts, and each affected state agency as necessary, shall adopt the rules, processes, and procedures and take the actions necessary to implement the changes in law made by this Act”. To comply with contract reporting, a procedure has been established to identify each contract that requires enhanced contract or performance monitoring. This report has been developed to include information on identified contracts for reporting to the Board of Regents to meet these requirements. The contract monitoring report as presented includes the following contracts:

- Love Advertising, Inc.
- Symmetry Sports, LLC
- Texas General Land Office acting through Cavallo Energy Texas, LLC

GRANT AWARDS

WHEREAS, the board members considered: For fiscal year 2022, the multi-year grant award total is currently \$81,396,542. Of this total, grant awards allocable to fiscal year 2022 are currently \$28,119,930, an increase of \$196,198 since the last report.

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, it was ordered the approval and ratification of the additional fiscal year 2022 grant awards that total \$196,198. The grant awards are detailed in Appendix 4.

Board Order 22-47

Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the following finance and audit item be approved.

ON-CAMPUS RESIDENTIAL WIRELESS SERVICE AND UPGRADE

WHEREAS, the board members considered: In Fall 2021, the Division of Student Affairs in conjunction with Information Technology Services (ITS) and Procurement and Property Services conducted a Request for Proposals (RFP) to collect, investigate, and assess financial proposals for the potential outsourcing of on-campus residence hall wireless upgrades and services.

Through the RFP process, the committee determined that completing the work internally through ITS was the best value and approach. Options were reviewed to pay for this expense, and it was determined that utilizing the auxiliary fund balance was the best approach. Revenue would be allocated from Campus Living, Dining, and Auxiliary Services, a unit within the Division of Student Affairs, to replenish the auxiliary fund balance from this expense.

THEREFORE, it was ordered the approval of the residence life wireless network upgrade project at a cost not to exceed \$3,200,000. The source of funds is auxiliary fund balance. The university administration is authorized to sign associated purchase orders and contracts as necessary.

Board Order 22-48

Upon motion by Regent Mason, seconded by Regent Alders, with all members voting aye, it was ordered that the following finance and audit item be approved.

FINANCE AND AUDIT POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 2.

- Distribution of Payroll 12.3

- Facilities and Administration (Indirect) Cost Recovery, Distribution and Use 8.5

- Family and Medical Leave 12.9

- Fixed Amount Awards 8.12

- Institutional Reserves Fund 3.19

- Payment Card Acceptance and Security 14.8

- Receipts and Deposits 3.26

- Student Accounts Receivable 3.28

- Travel 3.29

REPORTS

Faculty Senate Chair, Brian Uriegas reported on the following topics.

- Faculty Accomplishments

- Senate Work Spring 2022

- Closing Remarks

Staff Council Chair, Megan Weatherly presented on the following topics.

Topics of Staff Council Discussion
Future Staff Council Actions

Student Government Association President, Madison Gartman discussed the following topics.

SGA Elections

Current and Upcoming SGA Initiatives

Interim President, Steve Westbrook greeted the university faculty, staff and students and discussed:

Legislative Session 2023

Upcoming 100-year anniversary

Maintaining focus on the mission of the University

Chair Gantt called the meeting into Executive Session at 3:50 p.m. to discuss the following items:

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

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, *Ann Wilder v. SFASU*; *Christin Evans v. Sydney Miley, et al*; and *Marlene Kahla, Ph.D. v. Board of Regents of Stephen F. Austin State University, et al.* (Texas Government Code, Section 551.071)

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 chief audit executive, director of athletics, executive director for enrollment management, chief marketing communications officer, chief information officer, chief diversity officer, director of governmental relations, vice presidents and the president. (Texas Government Code, Section 551.074)

The executive session ended and the Board of Regents meeting returned to open session at 6:19 p.m.

The meeting of the Board of Regents adjourned by Chair Gantt at 6:20 p.m.

STAFF APPOINTMENTS

Appendix 1

	Employee Name	New Title and Department	New Salary - New Term Length	New FTE	Effective Date
Staff					
	Amber Mims	Director - AARC	\$45,000-Annual	100%	2/21/2022
	Dylan Belanger	Football Assistant Coach - Athletics	\$41,186-Annual	100%	2/2/2022
	William Bleil	Football Assistant Coach - Athletics	\$80,000-Annual	100%	1/14/2022
	Joe Cauthen	Football Assistant Coach - Athletics	\$115,000-Annual	100%	1/20/2022
	Ikponmwosa Ike Eguae	Football Assistant Coach - Athletics	\$50,000-Annual	100%	1/24/2022
	Madison Wilkerson	Volleyball Assistant Coach - Athletics	\$34,320-Annual	100%	1/12/2022
	Dennis Driscoll	Associate Athletic Director (Strategic Communications) - Athletics	\$58,000-Annual	100%	2/7/2022
	Elizabeth Guerra	Teacher - Charter School	\$39,000-10 months	100%	1/18/2022
	Jennifer Krause	Senior Representative - Human Resources	\$50,000-Annual	100%	2/1/2022
	Isabel Rodriguez	Area Coordinator - Residence Life	\$45,000-Annual	100%	2/14/2022
	Katherine West	Compliance Specialist - Title IX Compliance	\$49,500-Annual	100%	1/26/2022

Time Period Reporting: 1/1/22 - 2/28/22

FACULTY APPOINTMENTS

Appendix 1

	Employee Name Last Degree - Granting Institution	New Title and Department	New Salary - New Term Length	New FTE	Effective Date
Faculty					
	Maria Betancourt-Smith, Ph.D. (Texas A&M)	Visiting Assistant Professor - Human Services and Educational Leadership	\$30,500-Academic (Spring Semester)	100%	1/1/2022
	Robert Clark, MFA (Sam Houston State)	Visiting Assistant Professor - Kinesiology and Health Science	\$25,000-Academic (Spring Semester)	100%	1/1/2022
	Jessica Conn, MS (SFA)	Visiting Instructor - Human Services and Educational Leadership	\$29,000-Academic (Spring Semester)	100%	1/1/2022
	Richard Skuza, Ed.D. (Texas A&M)	Visiting Assistant Professor - Human Services and Educational Leadership	\$30,500-Academic (Spring Semester)	100%	1/1/2022

Time Period Reporting: 1/1/22 - 2/28/22

FACUTLY PROMOTIONS

Explanation:

Promotions are initiated at the departmental level by one of the following methods: a faculty member applies for promotion on his/her own behalf or is recommended for promotion by his/her department chair. The application/recommendation is reviewed, ranked, and recommended or not recommended for approval by the department faculty at or above the rank sought, department chair, dean, provost/vice president of academic affairs and president. Promotions recommended for approval by the president are submitted to the board for consideration.

Recommendation:

It is recommended by the administration that the following individuals be granted promotion to the academic rank indicated:

To Associate Professor, effective fall semester, 2022

Derek Cegelka	Kinesiology and Health Science
Rachel Jumper	Human Sciences
Sarah Straub	Education Studies
James Adams	Music
Jacob Walburn	Music
Stephanie Jones	Agriculture
Jose Carbajal	Social Work
John Pruitt	Anthropology, Geography and Sociology
George Day	Government
James Adams	Physics, Engineering and Astronomy
Christopher Aul	Physics, Engineering and Astronomy
Bidisha Sengupta	Chemistry and Biochemistry

To Professor, effective fall semester, 2022

Kelly Noe	Accounting
Nina Ellis-Hervey	Human Services and Educational Leadership
Todd Whitehead	Kinesiology and Health Science
J.D. Salas	Music
Dusty Jenkins	Psychology
Sarah Savoy	Psychology
Robert Henderson	Mathematics and Statistics
Jane Long	Mathematics and Statistics

To Professor Emeritus, effective fall semester, 2022

Robbie Steward Human Services and Educational Leadership

Promoted to Librarian III, effective September 1, 2022

Shannon Bowman Library

FACULTY TENURE

Explanation:

Tenure is awarded by the Board of Regents to those faculty members who are recommended by the president. Applications of individuals recommended for tenure are reviewed by departmental and college committees and by a department chair, dean and provost/vice president of academic affairs, prior to recommendation to the president.

Recommendation:

It is recommended by the administration that academic tenure be awarded to the following individuals, effective fall semester, 2022:

Derek Cegelka	Kinesiology and Health Science
Flora Farago	Human Sciences
Rachel Jumper	Human Sciences
Heather Munro	Education Studies
James Adams	Music
Jacob Walburn	Music
Stephanie Jones	Agriculture
Jose Carbajal	Social Work
John Pruitt	Anthropology, Geography and Sociology
George Day	Government
James Adams	Physics, Engineering and Astronomy
Christopher Aul	Physics, Engineering and Astronomy
Edward Iglesias	Library

CHANGES OF STATUS - STAFF

Appendix 1

Employee Name	Previous Position and Department	Previous SFA Salary- Previous Term Length (Academic/Annual) - Previous FTE	New Title and Department	New SFA Salary - New Term Length (Academic/Annual) - New FTE	Effective Date
Kristin Bangtson	Program Director - AARC	\$46,350-Annual - 100%	Assistant Director - Athletics Academic Services	\$60,000-Annual - 100%	1/10/2022
Caleb Clowers	Assistant Coach - Athletics - Baseball	\$41,186-Annual - 100%	Assistant Coach - Athletics - Baseball	\$47,675-Annual - 100%	2/2/2022
Kevin Bleil	Assistant Coach - Athletics - Football	\$61,250-Annual - 100%	Assistant Coach - Athletics - Football	\$70,000-Annual - 100%	2/1/2022
Kincaid Faske	Assistant Coach - Athletics - Football	\$55,000-Annual - 100%	Assistant Coach - Athletics - Football	\$65,000-Annual - 100%	2/1/2022
Jared May	Assistant Coach - Athletics - Football	\$61,250-Annual - 100%	Assistant Coach - Athletics - Football	\$70,000-Annual - 100%	2/1/2022
Cameron Rogers	Assistant Coach - Athletics - Football	\$32,000-Annual - 100%	Assistant Coach - Athletics - Football	\$50,000-Annual - 100%	2/1/2022
Matthew Storm	Assistant Coach - Athletics - Football	\$112,500-Annual - 100%	Assistant Coach - Athletics - Football	\$120,000-Annual - 100%	2/1/2022
Travis Killen	Systems Manager - Information Technology Services	\$72,943-Annual - 100%	Systems Assistant Director - Information Technology Services	\$85,000-Annual - 100%	1/1/2022

REGENTS SCHOLAR 2022 - 2023

Explanation:

Nominations for Regents Scholar are sought from the faculty. A committee consisting of three academic deans and three former Regents Professors, review nominations and make recommendations to the provost/vice president of academic affairs. Regents Scholar receive a \$2,000 grant to support their efforts and a medal.

Recommendation:

Dr. Steve Taaffe

Professor of History

RETIREMENTS

Appendix 1

Type (Faculty/Staff)	Employee Name	Current Department	Current Title	Effective Date	Years of Service at SFA
Staff	Shirley Luna	University Marketing Communications	Executive Director	2/28/2022	23

Policy Name	Policy Number	Page
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Administrative Systems Software Changes	16.2.	6
Campus Program for Minors	13.5.	8
Compensation from Grants, Contracts and Other Sponsored Agreements	12.1.	15
Discontinuance of Program or Academic Unit	5.9.	21
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Effort Reporting and Certification for Sponsored Activities	8.1.	27
Email for University Communication	15.1.	31
Facilities and Administration (Indirect) Cost Recovery, Distribution and Use	8.5.	33
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File Maintenance for Faculty Personnel Files	4.6.	43
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Institutional Animal Care and Use Committee (IACUC)	8.6.	67
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Markers, Monuments and Artwork	16.17.	73
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Reproduction of Copyrighted Works by Educators and Librarians	9.2.	102
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Solicitation On Campus	16.25	113
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Policy Name	Policy Number	Page
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Travel	3.29.	136
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STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Academic Accommodation for Students with Disabilities

Policy Number: 6.1

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/30/2022

Unit(s) Responsible for Policy Implementation: Provost and Executive Vice President for Academic Affairs and Chief Diversity Officer

Purpose of Policy (what does it do): This policy helps SFA comply with ADA in regards to fundamental principles of nondiscrimination and accommodations of academic programs.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor updates for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Michara DeLaney-Fields, Chief Diversity Officer
Damon Derrick, General Counsel

Academic Accommodation for Students with Disabilities

Original Implementation: July 14, 1998

Last Revision: April 30, 2019/11, 2022

It is the policy of Stephen F. Austin State University to comply with the fundamental principles of nondiscrimination and accommodation in academic programs set forth in the implementing regulations for Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 (ADA), as amended by the Americans with Disabilities Act Amendments Act of 2008 (ADAAA).

The law provides that:

No qualified student with a disability will, on the basis of disability, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any academic, research, occupational training, housing, health insurance, counseling, financial aid, physical education, athletics, recreation, transportation, other extracurricular, or other postsecondary education aid, benefits, or services. [34 C.F.R. § 104.43(a)]

and

An institution will make such modifications to its academic requirements as are necessary to ensure that such requirements do not discriminate or have the effect of discriminating, on the basis of disability, against a qualified applicant or student with a disability. Academic requirements that the institution can demonstrate are essential to the instruction being pursued by such student or to any directly related licensing requirement will not be regarded as discriminatory. Modifications may include changes in the length of time permitted for the completion of degree requirements, substitution of specific courses required for the completion of degree requirements, and adaptation of the manner in which specific courses are conducted. [34 C.F.R. § 104.44(a)]

Neither Section 504 nor the ADA requires universities to lower their academic standards or substantially alter the essential elements of their courses or programs to accommodate students with disabilities. The requirement to provide reasonable accommodations is designed to afford an equal opportunity for students with disabilities. Achieving reasonable accommodations for a student with a disability involves shared responsibility among students, faculty and staff.

Should *a student be denied* ~~the university deny~~ a requested accommodation, ~~if~~ *the university* must be prepared to show that complying with the request would constitute a fundamental alteration; the unsubstantiated opinion of a faculty member or administrator may not be sufficient for that purpose. Moreover, the cost of the proposed modification is not usually sufficient reason for denying a requested accommodation.

The following accommodations are widely accepted in higher education:

- Providing services such as readers, interpreters, and note-takers.
- Allowing extra time for examinations, assignments and projects.
- Permitting exams to be individually proctored, read orally, dictated, or typed.
- Recording lectures.
- Using computer software for assistance in studying and on tests.
- Using alternative testing formats to demonstrate course mastery.
- Changing classrooms as needed for accessibility.

Who must be accommodated?

Students who are requesting support services from SFA are required to submit documentation through the Office of Disability Services to verify eligibility for reasonable accommodations. Students are not required to assume the responsibility for securing a necessary accommodation. The university will review and evaluate that documentation and, when required under law, provide reasonable accommodations for a student's known disability so that the student has an equal opportunity to participate in the courses, activities or programs.

When additional expertise beyond that of the staff of the Office of Disability Services is needed to assess a student's documentation, the Academic Assessment Committee, consisting of members of the faculty and staff who are knowledgeable about disabilities, and staff members, including the ADA coordinator, will evaluate the documentation, request additional information if required, and make a recommendation to the Office of Disability Services.

Documentation must validate the need for services based on the individual's current level of functioning in an educational setting. If the documentation is found to be insufficient, the university is not obliged to provide accommodations. If the documentation is found to be sufficient, appropriate accommodations are recommended.

What accommodations must be provided?

Students with disabilities may be accorded two types of accommodations: they may be permitted to substitute particular courses for some of those required under their degree requirements, or they may be afforded approved accommodations within the courses they take.

If a course substitution is requested, the request must be received by the academic department that teaches the course to be deleted from the student's requirements no later than the semester prior to one in which the student proposes to take one or more of the substitute courses. Ordinarily the request should arrive at the department office the academic department before the 12th day of classes of a long semester, or the 4th day of classes of a summer session official reporting day of the appropriate part of term.

Once received by the *academic* department, the course substitution request is considered by the academic unit head, who consults with ~~the Office-office of~~ Disability Services before making a recommendation. The academic unit head's recommendation regarding substitution is forwarded to the student's academic dean. Employing the college's usual procedures for decisions about curricula, and consulting with other colleges as necessary, the dean makes the final determination about whether the requested substitution may be allowed, or does, in fact, represent a fundamental modification of the program in question. Before a course substitution is considered there should be evidence that even with reasonable accommodation the student cannot succeed in the required course.

Requests for accommodation within a particular course should, when possible, be received by ~~the Office-office of~~ Disability Services before the beginning of the semester in which the student with a disability is to enroll in the course. Once received, the accommodation request is considered by ~~Disability Sservices~~ and, if required, by the Academic Assessment Committee. If the decision is to recommend against providing the requested accommodation, the student is informed. If it is decided that accommodation is to be provided, a record of that recommendation, together with a recommendation of the general type of accommodation to be provided is sent to the instructor of the subject course, ~~with a notification to the academic unit head~~. The instructor then meets with the ~~disabled~~ student to work out precisely how the recommended accommodations are to be implemented in the context of the particular course and may consult with the academic unit head if needed. To make provision of appropriate accommodations as effective as possible, students with disabilities are to meet with instructors from whom accommodations are requested as early in the semester as possible.

The student, ~~the Office-office of~~ Disability Services, the Academic Assessment Committee, the academic unit head, and the course instructor will cooperate to identify accommodations that meet the student's documented need without fundamentally altering the course.

Who must provide approved accommodations in a particular course?

Accommodations most commonly requested may include providing services such as readers, interpreters, and note-takers; allowing extra time for examinations, *assignments and projects*; using alternate ~~forms-formats of~~ *and individualized proctoring methods* for examinations; recording lectures; using computer software for assistance in studying and on tests; and, ~~on rare occasions,~~ relocating ~~the classrooms as needed for accessibility~~. It is the responsibility of ~~the Office-office of~~ Disability Services to provide readers, interpreters, and note-takers when needed. The instructor will cooperate with ~~Disability Sservices~~ in accommodating these service providers in the classroom.

~~The instructor's~~ ~~It is the responsibility is of the instructor~~ to organize examinations so students with disabilities may be accorded extra time and special testing conditions when needed as an accommodation. When possible, special testing will be done within the offices of the academic department. When testing cannot be done in the department, ~~Disability Sservices~~ will provide secure facilities and supervision. In the event that exams are administered solely online, students with disabilities will be granted the exam accommodations under the same online conditions allowed for

other students enrolled in the course.

When special materials (e.g., Braille transcripts or audio recordings of course materials) are required, it is the joint responsibility of the ~~Office~~ ~~office~~ of Disability Services and the instructor *is* to arrange to make these materials available to the student. Such materials must be made available to students with disabilities at the same time that their equivalents are given to other students.

~~The~~ ~~It is the responsibility of the~~ academic unit head's *responsibility*, in cooperation with the instructor and the dean, *is* to relocate courses when required.

Resolving Disagreements

Disagreements will be resolved according to the provisions of Policy 6.6, Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities.

Cross Reference: Section 504 of the Rehabilitation Act of 1973, Pub. L. No. 93-112, 29 U.S.C. § 794; Americans with Disabilities Act of 1990, Pub. L. No. 101-336, 42 U.S.C. §§ 12101-12213 as amended by the Americans with Disabilities Act Amendments Act of 2008, Pub. L. No. 110- 325; 34 C.F.R. 104; Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities (6.6); Accessibility for Persons with Disabilities (2.2); Animals on University Property (13.2)

Responsible for Implementation: Provost and *Executive* Vice President for Academic Affairs, ~~Vice President for University Affairs~~ *Chief Diversity Officer*

Contact for Revision: Director of Disability Services

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Administrative Systems Software Changes

Policy Number: 16.2

Is this policy new, being reviewed/revised, or deleted? Delete

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Information Technology Services

Purpose of Policy (what does it do): Define administrative systems software changes as the responsibility of Information Technology Services.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: Recommend deletion as this policy is no longer needed

Additional Comments:

Reviewers:

Anthony Espinoza, Chief Information Officer
Scott Gordon, President
Damon Derrick, General Counsel

~~Administrative Systems Software Changes~~

~~Original Implementation:~~ January 19, 1999

~~Last Revision:~~ April 11/30, 202219

~~Administrative systems software changes are the responsibility of Information Technology Services (ITS) in conjunction with Enterprise Resource Planning (ERP) systems module owners. ERP systems include, but are not limited to, Banner, Raiser's Edge, and Brightspace Learning Environment.~~

~~Software changes to the university's ERP systems allow each system to:~~

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

~~Changes to software modules in the ERP system are requested by the module owners or designee(s). All requested changes are evaluated and either approved or rejected by the chief information officer and the module owner or designee.~~

~~Cross Reference:~~ ITS Policy Handbook

~~Responsible for Implementation:~~ President

~~Contact for Revision:~~ Chief Information Officer

~~Forms:~~ None

~~Board Committee Assignment:~~ Academic and Student Affairs

STEPHEN F. AUSTIN STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Campus Program for Minors

Policy Number: 13.5

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: April 30, 2019

Unit(s) Responsible for Policy Implementation: Vice President of Student Affairs; Campus Living, Dining, and Auxiliary Services

Purpose of Policy (what does it do): The purpose of the Campus Program for Minors is to educate University employees and volunteers of such programs by establishing requirements relating to sexual abuse and child molestation training and examination. The proposed rules are necessary to comply with Senate Bill (SB) 1414, 82nd Legislature, Regular Session, 2011, which amended Texas Education Code, Section 51.976.

The rules will impose a requirement for all staff or volunteers in a position involving contact with campers at a campus program for minors to successfully complete an approved training and examination program on sexual abuse and child molestation; establish criteria for a training and examination program on sexual abuse and child molestation; require a training and examination program on sexual abuse and child molestation to be approved by DSHS; and provide civil penalties for a person violating the Act or a rule or order adopted under the Act.

Reason for the addition, revision, or deletion (check all that apply):

☒ Scheduled Review ☐ Change in law ☐ Response to audit finding

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The reviewers revisited the Texas Education Code Title 3, Subtitle A, Chapter 51, Subchapter Z and made clarifications and corrections to the policy definitions and code language.

Specific rationale for deletion of policy:

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Additional Comments:

Reviewers:

Student Affairs Policy Review Committee

Carrie Charley, Executive Director , Campus Living, Dining & Auxiliaries

Brandon Frye, Vice President of Student Affairs

Damon Derrick, General Counsel

Campus Programs for Minors

Original Implementation: April 23, 2013

Last Revision: April 30, 2019/11, 2022

Stephen F. Austin State University is committed to providing a safe environment for its students, employees and guests. The university sponsors programs on campus ~~from time to time that~~ *that at times involve minors as participants. Campus shall mean all real property over which the university has possession and control by law.* In addition, the university may grant use of its facilities to third parties for programs that involve minors *as participants*. This policy provides for regulation of these campus programs for minors (CPM).

Definitions: ~~As detailed in Texas Education Code, Chapter 51, Subchapter Z, §51.976~~

Abuse – includes the following acts or omissions by a person:

- a. mental or emotional injury to a child that results in an observable and material impairment in the child's growth, development or psychological functioning;
- b. causing or permitting the child to be in a situation in which the child sustains a mental or emotional injury that results in an observable and material impairment in the child's growth, development or psychological functioning;
- c. physical injury that results in substantial harm to the child or the genuine threat of substantial harm from physical injury to the child, including an injury that is at variance with the history or explanation given and excluding an accident or reasonable discipline by a parent, guardian or managing or possessory conservator that does not expose the child to a substantial risk of harm;
- d. failure to make a reasonable effort to prevent an action by another person that results in physical injury that results in substantial harm to the child;
- e. sexual conduct harmful to a child's mental, emotional or physical welfare, including conduct that constitutes the offense of continuous sexual abuse of a young child or ~~children~~ *disabled individual* under Section 21.02, Penal Code, indecency with a child under Section 21.11, Penal Code, sexual assault under Section 22.011, Penal Code, or aggravated sexual assault under Section 22.021, Penal Code;
- f. failure to make a reasonable effort to prevent sexual conduct harmful to a child;
- g. compelling or encouraging the child to engage in sexual conduct as defined by Section 43.01, Penal Code, including compelling or encouraging the child in a manner that constitutes an offense of trafficking of persons under Section 20A.02(a)(7) or (8), Penal Code, *solicitation of* prostitution under Section 43.02(b)1, Penal Code, or compelling prostitution under Section 43.05(a)(2), Penal Code;
- h. causing, permitting, encouraging, engaging in or allowing the photographing, filming or depicting of the child if the person knew or should have known that the resulting photograph,

- film or depiction of the child is obscene as defined by Section 43.21, Penal Code, or pornographic;
- i. the current use by a person of a controlled substance as defined by Chapter 481, Health and Safety Code, in a manner or to the extent that the use results in physical, mental or emotional injury to a child;
- j. causing, expressly permitting or encouraging a child to use a controlled substance as defined by Chapter 481, Health and Safety Code;
- k. causing, permitting, encouraging, engaging in or allowing a sexual performance by a child as defined by Section 43.25, Penal Code;
- l. knowingly causing, permitting, encouraging, engaging in or allowing a child to be trafficked in a manner punishable as an offense under Section 20A.02(a)(5), (6), (7) or (8), Penal Code, or the failure to make a reasonable effort to prevent a child from being trafficked in a manner punishable as an offense under any of those sections; or
- m. forcing or coercing a child to enter into a marriage.

Campus Program for Minors (CPM) – programs that:

- a. include participants who are minors;
- b. are operated by or on the campus of the university, including programs operated by third parties;
- c. offer recreational, athletic, religious, or educational activities to participants for all or part of at least two (2) days.

Contact With Minor(s) – in the context of an employment or volunteer position described in this policy, interaction with minors that is direct and reasonably anticipated. The term does not include interaction that is merely incidental, or an employee or volunteer acting as a guest speaker, entertainer, or fulfilling any other role whose attendance at the campus program for minors is for a limited purpose or limited time if the employee or volunteer has no direct or unsupervised interaction with campers.

Minor – a child, under the age of 18, who is attending a campus program for minors.

Neglect — *an act or failure to act by a person responsible for a child's care, custody, or welfare evidencing the person's blatant disregard for the consequences of the act or failure to act that results in harm to the child or that creates an immediate danger to the child's physical health or safety and includes:*

- a. the leaving of a child in a situation where the child would be exposed to *an immediate danger*-a substantial risk of physical or mental harm, without arranging for necessary care for the child and the demonstration of an intent not to return by a parent, guardian or managing or possessory conservator of the child;
- b. the following acts or omissions by a person:

1. placing a child in or failing to remove a child from a situation that a reasonable person would realize requires judgment or actions beyond the child's level of maturity, physical condition or mental abilities and that results in bodily injury or *an immediate danger*/~~a~~-substantial risk of ~~immediate~~ harm to the child;
 2. failing to seek, obtain or follow through with medical care for a child, with the failure resulting in or presenting *an immediate danger*/~~a~~-substantial risk of death, disfigurement or bodily injury or with the failure resulting in an observable and material impairment to the growth, development or functioning of the child;
 3. the failure to provide a child with food, clothing or shelter necessary to sustain the life or health of the child, excluding failure caused primarily by financial inability unless relief services had been offered and refused;
 4. placing a child in or failing to remove the child from a situation in which the child would be exposed to *an immediate danger*/~~a~~-substantial risk of sexual conduct harmful to the child; or
 5. placing a child in or failing to remove the child from a situation in which the child would be exposed to acts or omissions that constitute abuse under "Abuse" definitions (e), (f), (g), (h) or (k) committed against another child.
- d. the failure by the person responsible for the child's care, custody, or welfare to permit the child to return to the child's home without arranging for the necessary care for the child after the child has been absent from the home for any reason, including having been in residential placement or having run away; or
 - e. a negligent act or omission by an employee, volunteer, or other individual working under the auspices of a facility or program, including failure to comply with an individual treatment plan, plan of case, or individualized service plan, that causes or may cause substantial emotional harm or physical injury to, or the death of, a child served by the facility or program as further described by rule or policy.

Neglect does not include the items specified under Tex. Family Code § 261.001(4)(B).

Reporting Neglect or Abuse

A person having cause to believe that a minor has been abused or neglected by any person shall immediately (within 48 hours) make a report to the University Police Department or other local law enforcement agency. This legal requirement must be communicated to all individuals participating in the management/supervision of CPMs and employees and volunteers of third-party camps utilizing university facilities.

Procedures for Campus Programs for Minors

The university will adopt a procedure for CPMs that will include, but not be limited to, the following:

- a. *For the purposes of this policy, this designee is the Coordinator for Camps and Conferences and can be contacted at reservations@sfasu.edu.* ~~A designee(s) who is authorized to review and approve camps and programs for minors on behalf of the university;~~
- b. Procedures for reporting suspected abuse/molestation of minors;
- c. A requirement to purchase medical coverage through the university camp insurance program and to provide evidence of liability insurance endorsing sexual molestation coverage and listing the university as additionally insured at levels approved by and meeting the standards of Environmental Health, Safety, & Risk Management.
- d. Payment of required CPM administration fees as may be assessed.

Required Training

This policy requires child abuse prevention training for employees/volunteers of CPMs and establishes standards for such camps and programs. *Training will not be required for university employees or third party personnel whose positions of employment do not involve contact with minors at a CPM.*

An individual hired or assigned to an employee or volunteer position involving contact with minors at a camp and program for minors is required to complete training and examination on sexual abuse and child molestation meeting the following criteria:

- a. Successful completion of a Child Protection Training course approved by the Texas Department of State Health Services.
- b. Training must be completed prior to the employees' or volunteers' interacting with minors.
- c. A certificate of completion shall be kept on file for two years *by the program's operator (i.e., camp director).*
- d. Employees or volunteers of third-party camps using university facilities may substitute the university-approved training course with an approved course as listed with the Texas Department of State Health Services.
- e. ~~Training will not be required for university employees or third party personnel whose positions of employment do not involve contact with minors at a CPM.~~

Cross Reference: Tex. Educ. Code § 51.976; Tex. Fam. Code §§ 261.001-.111; Texas

Department of State Health Services Approved Training Programs

Responsible for Implementation: Vice President ~~of for University~~ *Student Affairs*

Contact for Revision: ~~Director of Student Services~~ *Executive Director of Campus Living, Dining, and Auxiliaries*

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Compensation from Grants, Contracts and Other Sponsored Agreements

Policy Number: 12.1

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 7/23/2019

Unit(s) Responsible for Policy Implementation: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): Established guidelines for pay to faculty and exempt staff from Grants in relation to federal and state laws.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee

Lorenzo Smith, Provost and Executive Vice President for Academic Affairs

Damon Derrick, General Counsel

Compensation from Grants, Contracts and Other Sponsored Agreements

Original Implementation: April 17, 2012

Last Revision: ~~July 23, 2019~~ April 11, 2022

This policy establishes guidelines for compensation paid to faculty and professional (exempt) staff from grants, contracts, and other sponsored agreements (grants) that are consistent with federal and state laws, rules and regulations and university policies and procedures.

If permitted by a specific grant and university policy, an employee may receive compensation for personal services directly related to the grant in the form of direct salary or additional compensation. The form and amount of compensation depends upon:

- the workload status of the employee (part-time or full-time);
- the type of work being performed;
- the employee status (exempt/non-exempt, faculty/staff); and
- the timing of work performed (for example, weekends, after normal work hours, and summer months).

Direct Salary

Compensation from grants is normally paid as a portion of the institutional base salary (IBS) for actual work performed on the grant from which the salary is paid. Compensated services must be performed during the project period and are captured in effort certification reporting as part of the individual's IBS. Compensation from grants can never exceed the individual's normal IBS rate of pay (2 CFR 200.430).

1. Exempt and non-exempt staff – A portion of an individual's IBS may be paid from one or more grants proportional to the effort expended on each grant agreement during the term the work is performed. Individuals paid 100% from grant funds cannot perform any institutional functions outside of their grant-related job duties. See Effort Reporting and Certification of Sponsored Activities policy (8.1).
2. Full-time Faculty - A full-time faculty member's salary may be paid from one or more grants proportional to the effort expended on each grant agreement during the academic term such work is performed. This reassigned time releases the faculty member from teaching and/or research/scholarly/creative and service activities proportional to the level of effort on the grant.

For a full-time nine-month assignment, the equivalent of 20% effort over the term is

normally devoted to research/scholarly/creative and service activities. Therefore, for purposes of compensation from grants, paid or cost-shared, a normal three-credit hour course is equivalent to 20% effort (or 0.20 FTE) and non-instructional activities are equivalent to 5% effort (or 0.05 FTE).

3. Faculty Summer Assignments - If a faculty member's teaching workload is less than 100% during a summer part of term, the faculty member may also be paid from one or more grants proportional to the effort expended, subject to the summer salary calculations outlined in Salary Supplements, Stipends and Additional Compensation policy (12.16). Faculty can earn no more than their prorated 9-month salary during the summer terms based on the combined grant salary and teaching workload assignment.

For purposes of compensation from grants (paid or cost-shared), a normal three-credit hour course in a summer part of term is equivalent to 50% effort (or 0.50 FTE) for the summer part of term.

Grant funds cannot be used during the summer months to pay for work performed during the academic year, and cannot be used to supplement institutional compensation that may be paid at a lower rate than the individual's IBS.

Additional Compensation

Additional compensation, or extra service pay, refers to salary paid in excess of the IBS for work that is clearly in addition to regularly assigned or contracted duties.

- To ensure equitable and consistent application of SFA's faculty workload policy, these guidelines apply to all sponsored project agreements regardless of the source of funding (federal, state, local government, and/or private entities).
- General requirements for payment of additional compensation are detailed in Salary Supplements, Stipends and Additional Compensation policy (12.16).
- Principal Investigators/Project Directors (PI/PD) are not eligible to receive additional compensation from their own projects.
- Non-exempt staff members are not eligible for additional compensation from grants and must be paid overtime at the appropriate rate of pay.
- Additional compensation is accounted for separately and is not captured in effort certification and reporting procedures. See the Effort Reporting and Certification for Sponsored Activities policy (8.1).
- The rate of pay shall not exceed the hourly equivalent of the individual's regular IBS. This rate is calculated using a monthly basis of 173.33 hours.

Exempt, full-time staff members may be eligible to receive additional compensation for incidental activities (task assignments) if the grant-related activities are (1) clearly

unrelated to their current duties as demonstrated by the employee's job description or other documentation; and (2) are performed outside of the employee's regular work hours.

Incidental activities (task assignments) should be based on completion of an assignment or task and are restricted to one-time services or jobs with a time commitment of one month or less.

Full-time faculty members may be eligible to receive additional compensation if the grant-related activities are for (1) intra-university consulting or for (2) incidental activities if it can be clearly demonstrated that the work is in addition to the duties detailed in the appointment contract and Faculty Workload policy 7.13 that serve as a basis for IBS.

1. Intra-university Consulting - Normally, intra-university consulting is considered to be a professional courtesy or normal university faculty obligation for which extra compensation is not paid. However, under unusual circumstances, additional compensation may be paid if all of the following conditions are met: (a) for faculty working across departmental lines or at a separate or remote location, such as outside of the Nacogdoches area; and (b) the services to be provided are essential and cannot be provided by persons receiving salary support from the sponsored agreement, or otherwise compensated for their services by the university.
2. Incidental Activities (task assignments) - If it can be demonstrated that it is crucial to the success of the project, faculty members may be paid from grants for incidental activities. Incidental activities should be based on completion of an assignment or task and are restricted to one-time services or jobs with a time commitment of one month or less.

Specific Requirements

For sponsors that allow additional compensation to be paid in the form of intra-university consulting or incidental activities, the sponsor must be informed of the intent to charge salary as additional compensation, preferably in the original budget proposal. The budget and/or project narrative of the grant or contract should clearly state:

- that additional compensation above IBS will be paid to university employees;
- the name or position of the individuals who will be receiving additional compensation; and
- the work and services to be performed by these individuals.

In addition, the amount of the additional compensation should be segregated from regular salary expenses and the budget justification should clearly indicate:

- the total dollar amount of additional compensation requested;
- the percent of additional effort committed to the project, or the hourly rate and number of hours committed to the project; and
- the appropriate fringe benefits.

The award document from the sponsoring agency must state that additional compensation is allowed, or the document must imply that the sponsor accepts the proposal with no alterations regarding the request for additional compensation.

Since fixed amount awards are performance based and generally do not require a sponsor-approved budget detail, additional compensation from these projects requires adequate justification from the employee's supervisor. Such requests should be included in the internal budget submitted as part of the proposal clearance process.

Responsibility for Compliance

1. Individuals requesting additional compensation are required to certify that they meet the eligibility requirements by signing the ORGS Additional Compensation Verification form. They also must provide assurance to their immediate supervisor that the work to be performed will not interfere with performance of regular responsibilities.
2. Principal Investigators (PI)/Project Directors (PD) are responsible for assessing and determining if additional compensation is appropriate, is allowed by the sponsor, and follows university policies and procedures. The PI/PD is responsible for initiating internal forms for employee eligibility certification, institutional approval, and payment. PIs/PDs are not eligible to receive additional compensation from their own projects.
3. Department Chairs/Division Directors/Deans are responsible for carefully analyzing the total university commitments of the employee who requests additional compensation from grants to confirm that the work is outside of the employee's contractual obligations to the university. The dean routes the Authorization for Additional Compensation Services form and the ORGS Additional Compensation Verification form to ORGS to verify eligibility and sponsor approval.
4. Office of Research and Graduate Studies is responsible for verifying additional compensation approval with the sponsor, either in the form of an approved grant application as submitted, or in the language of the grant, by approved amendment, or from subsequent written correspondence from the sponsor's contracting official.
5. Human Resources is responsible for confirming that the individual has not exceeded the maximum additional compensation limits as outlined in the Salary Supplements,

Stipend, and Additional Compensation policy (12.16) and that the IBS rate of pay has not been exceeded.

Remedies for Non-Compliance

In the event that repayment of additional compensation paid from grant funds is required by a sponsoring agency, auditor, or other authorized entity, the academic unit with managerial oversight of the sponsored agreement in question is responsible for repayment using departmental or college resources. This includes instances where administrative and/or sponsor approvals were not obtained in advance.

Cross Reference: 2 C.F.R. § 200.430; Uniform Grant Management Standards for Texas, UGMS; Distance Education Faculty Competencies and Compensation (7.9); Effort Reporting and Certification for Sponsored Activities (8.1); Faculty Workload (7.13); Outside Employment (11.19); Off-campus Credit Courses (5.13); Grants and Contracts Administration (8.3); Faculty Compensation (12.6); Summer Teaching Appointments (7.28); ~~Salary Supplements, Stipends and~~ Additional Compensation (12.16) .

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

Contact for Revision: Dean, Office of Research and Graduate Studies

Forms: Authorization for Additional Compensation Services and Authorization for Additional Compensation Payment (Human Resources website); Additional Compensation Verification (ORGS website).

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Discontinuance of Program or Academic Unit

Policy Number: 5.9

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): This policy will govern the discontinuance of a program or academic unit for reasons other than financial exigency.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Texted updated for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Scott Gordon, President
Damon Derrick, General Counsel

Discontinuance of Program or Academic Unit

Original Implementation: October 18, 2011

Last Revision: ~~January 29, 2019~~ April 11, 2022

This policy will govern the discontinuance of a program or academic unit for reasons other than financial exigency.

Termination of an appointment with tenure, or of a probationary or special appointment before the end of the specified term may occur as a result of discontinuance of a program or academic unit.

~~The recommendation to discontinue a program or academic unit will be based on educational consideration as determined by the university administration after consultation with the affected faculty and appropriate standing or ad hoc committees and will be subject to approval by the Board of Regents.~~

The recommendation to discontinue a program or academic unit will be based on educational considerations; this may include histories of low-producing programs, low-enrollments, or obsolescence, among other considerations. Recommendations will be made by appropriate university administrators, including the provost and executive vice president for academic affairs, the dean, and the unit head, in consultation with the affected faculty. Discontinuance is subject to approval by the Board of Regents.

Before the administration issues notice to a faculty and/or staff member of its intention to terminate an appointment because of discontinuance of a program or academic unit, the university will make every reasonable effort to place the affected faculty and/or staff member in another position for which the individual is professionally qualified.

In each case of termination of appointment because of program discontinuance, probationary faculty members will be given notice as prescribed in policy 7.29, Tenure. Tenured faculty members will be given notice at least twelve months prior to termination of appointment.

A faculty member who alleges discrimination or abridgement of constitutional guarantees or academic freedom will be afforded due process.

Cross Reference: Tenure (7.29); *Financial Exigency* (3.15); *Establishing Centers, Institutes, and Specialized Testing or Services Laboratories* (5.10); *Tex. Educ. Code* § 61.0512

Responsible for Implementation: President

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Distribution of Payroll

Policy Number: 12.3

Is this policy new, being reviewed/revised, or deleted? Delete

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): University employees are paid monthly or semi-monthly for work done in the previous month. It is SFA's intent to pay all employees by direct deposit. However, if an employee has not authorized direct deposit, a payroll check will be produced and should be picked up at the Business Office.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: The content of this policy is procedural in nature and it is recommended that the policy be removed and included in procedure.

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Kay Johnson, Executive Director of Finance and Administrative Services
Damon Derrick, General Counsel

~~Distribution of Payroll~~

Original Implementation: Unpublished

Last Revision: April 11/30, 202219

Purpose

~~This policy establishes when and how university employees will be paid.~~

General

~~University employees are paid monthly or semi-monthly for work done in the previous month. It is SFA's intent to pay all employees by direct deposit. However, if an employee has not authorized direct deposit, a payroll check will be produced and should be picked up at the Business Office.~~

Payroll Schedule

~~Salaried employees are paid on the first day of the month. Hourly employees are paid on the 1st and 15th of the month. If the 1st or 15th falls on a weekend or holiday, employees are paid on the first working day following the weekend or holiday.~~

Form of Payment

~~Direct deposits can be made electronically to any financial institution that accepts electronic transfers. The employee may designate more than one institution and more than one account per institution. It is the employee's responsibility to verify that their pay has been properly deposited into their account(s). Direct deposits will be inactivated after an employee terminates employment at the university and the final payroll has been issued.~~

~~If an employee has not authorized direct deposit, a payroll check will be produced. Payroll checks are released at the Business Office at 11:00 a.m. on paydays. Picture identification is required of the employee picking up his/her payroll check.~~

Release of payroll check to another person

~~An employee wishing to have his/her payroll check released to another individual must provide that individual with signed authorization. The authorization must be presented to the Business Office, along with picture identification of both the employee and the person obtaining the check.~~

~~The employee's identification must also include a sample of the employee's signature, which can be compared with the signed authorization (e.g., a state driver's license).~~

~~Mailing of payroll check~~

~~An employee wishing to have his/her payroll check mailed must provide a signed authorization and self-addressed stamped envelope to the Business Office. The check will be mailed on the payday.~~

~~Lump Sum Payment of Accrued Vacation Time and/or Compensatory Time~~

~~Payment of accrued vacation time and/or compensatory time is made when an eligible employee resigns, is dismissed, or otherwise separates from state employment. Exempt employees receive payment for accrued vacation but not compensatory time. Non-exempt employees receive payment for both accrued vacation and compensatory time. These final payments are considered non-salary payments and may be reduced by any amounts due the university.~~

~~When an employee moves from a non-exempt to an exempt position, the employee is paid for any accrued compensatory time that was earned at the rate of 1-1/2 times the employee's regular rate of pay. Any accrued compensatory time that was earned at the employee's regular rate of pay will be carried forward to the exempt position.~~

~~Cross Reference:~~ None

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

~~Contact for Revision:~~ Controller

~~Forms:~~ Direct Deposit Authorization Form

~~Board Committee Assignment:~~ Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Effort Reporting and Certification for Sponsored Activities

Policy Number: 8.1

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): This grant related policy helps facilitate grant costs and expenditures are meeting laws and regulations.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor updates.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

Effort Reporting and Certification for Sponsored Activities

Original Implementation: January 29, 2008

Last Revision: ~~January 29, 2019~~ April 11, 2022

This policy establishes requirements to facilitate compliance with laws and regulations concerning employee effort for salary expenditures and cost-sharing requirements related to grants, contracts and other sponsored agreements (grants).

Recipients of federal funds must maintain a system of internal controls that provide reasonable assurance that payroll charges are accurate, allowable, necessary, and properly allocated among grant and institutional activities. Recipients of grants must exercise due diligence in the review and certification of effort reports.

Effort expended for extra compensation as defined in the ~~Salary Supplements, Stipends and Additional Compensation~~ policy (12.16), or for work not compensated by the university, is not included in effort calculations. Refer to Compensation from Grants, Contracts and Other Sponsored Agreements (12.1).

1. Effort is defined as the percentage of time spent on a particular activity and is not based on a traditional 40-hour work week. The total effort associated with institutional base salary (IBS) is defined as 100% effort. This includes instruction, departmental administration, departmental research, grants, and other institutional activities.

The federal government recognizes that decisions made in the certification of effort percentages to individual sponsored activities are based on reasonable estimates. It is recognized that, in an academic setting, teaching, research, service, and administration are often inextricably intermingled. Therefore, a precise assessment of factors that contribute to costs is not always feasible, nor is it expected. Reliance, therefore, is placed on estimates in which a degree of tolerance is appropriate.

Tolerance is defined by the university as +/- five percent (5%) of the committed effort. Therefore, if the percentage on the effort report reflects one's effort within this variance, the effort percentage may be confirmed as a reasonable estimate. Effort certification report adjustments may be required when: a) effort does not match salary expenditures within the tolerance limit for the time period covered by the report; b) there are payroll cost transfers; or c) revised personnel actions are generated.

2. Effort certification reports are required for all employees who devote effort (paid or cost-shared) to one or more grants. These records are generated by and retained in the Banner effort system for salaried individuals. For hourly paid individuals, certified time records are generated and retained in the TimeClock Plus system or recorded manually on time sheets retained by the

department, and serve as alternate official effort certification records.

3. After-the-fact effort reporting is required for all sponsored projects grants regardless of the source of funds (Federal, state, or private). After-the-fact reporting is defined as certification reports originated after the work has been performed.
4. Project directors (PDs) or principal investigators (PIs) are responsible for ensuring that effort certification reports are completed accurately and in a timely manner for each individual subject to this policy from a grant for which they serve as PD/PI.

Effort reports must be certified by a person having either firsthand knowledge of the work performed or a suitable means of verification that the work performed was related to the specific sponsored activities. Normally, this certification is performed by the employee, PD or PI. If one of these persons is unable to certify the effort report, a surrogate with firsthand knowledge or who has a suitable means of verification as described above may certify the report (e.g., the unit head, a co-investigator). The PD/PI will certify effort for graduate students.

5. Effort attributed to any grant must represent work specific to the agreement. Intentional falsification, forgery, or fraudulent alteration of effort certification reports constitutes fraud. Non-compliance with this policy and related procedures may result in penalties levied against the departments, divisions, schools and/or the university. Individuals with roles and responsibilities in the certification process are held responsible for any instances of non-compliance. Criminal and/or employee discipline measures may be pursued.

If effort reports are not certified in a timely manner, the Office of Research and Graduate Studies will take actions to assist with compliance with this federal requirement. These actions may include, but are not limited to: a) withholding submission of proposals, project applications or other documents such as material transfer agreements; b) freezing active grant funds; or c) adjusting uncertified labor distributions and the effort they represent to non-sponsored Banner funds managed by the administrative unit.

6. Each individual with responsibilities related to effort certification must thoroughly understand the proper method of reviewing and certifying the effort reports to ensure the reports reflect effort expended toward grants and other activities during the report period. Thus, effort training is mandatory for all employees who certify payroll expenses.

Procedures for effort reporting and certification are outlined in the Grants and Contracts Procedures Manual published by the Office of Research and Graduate Studies.

Cross Reference: 2 C.F.R. § 200.430; ~~A—~~Texas Uniform Grant Management Standards, II.B(11)(h)(1-5,7); ORGS Grants and Contracts Procedures Manual; ~~Salary Supplements, Stipends and~~ Additional Compensation (12.16); Compensation from Grants, Contracts and Other Sponsored Agreements (12.1)

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

Contact for Revision: Dean, Office of Research and Graduate Studies

Forms: Banner Effort Certification Reports; TimeClock Plus records; time sheets

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Email for University Communication

Policy Number: 15.1

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: ITS

Purpose of Policy (what does it do): Define email as the official means of communication among university faculty, students, and staff members.

Reason for the addition, revision, or deletion (check all that apply):

☒ Scheduled Review ☐ Change in law ☐ Response to audit finding

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

No changes.

Reviewers:

Anthony Espinoza, Chief Information Officer

Scott Gordon, President

Damon Derrick, General Counsel

Email for University Communication

Original Implementation: January 28, 2003

Last Revision: April 30/11, 2022~~19~~

Email is an official means of communication among university faculty, students, and staff members. Although email accounts are assigned to all prospective students at the time they apply for admission, they are not bound by this policy until they have been admitted to the university.

The following conditions apply to university email accounts:

1. Each person applying for admission to Stephen F. Austin State University (SFA) as a student will be assigned an SFA email account. Each faculty or staff member hired by the university will be assigned an SFA email account at the time the employment information is entered into the Human Resources system.
2. The assigned email account will be considered an official method of communication from university faculty and administrators to faculty, enrolled students, and staff members, either collectively or individually. All personnel and students are responsible for university email message content, even if they do not use the university system as their primary account.
3. Applicants' email accounts will be removed if they do not enroll at SFA. Enrolled students retain their email accounts as long as they are an active student.;
4. Faculty and staff email accounts will be deleted upon separation or termination of employment. Some exceptions may be granted by the chief information officer for cause.

Cross Reference: Acceptable Use of Information Resources (14.2)

Responsible for Implementation: President

Contact for Revision: Chief Information Officer

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Facilities and Administration (Indirect) Cost Recovery, Distribution and Use

Policy Number: 8.5

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): Grants related policy in regards to indirect costs of grants.

Reason for the addition, revision, or deletion (check all that apply):

☒ Scheduled Review ☐ Change in law ☐ Response to audit finding

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor updates.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee

Lorenzo Smith, Provost and Executive Vice President for Academic Affairs

Damon Derrick, General Counsel

Facilities and Administrative (Indirect) Cost Recovery, Distribution and Use

Original Implementation: October 26, 1999

Last Revision: ~~January 29, 2019~~ April 11, 2022

Facilities and administrative (F&A) costs, also known as indirect costs (IDC) are expenses that cannot be directly charged or easily allocated to a specific externally sponsored grant, contract, or other sponsored agreement (grant). Examples of F&A costs include facilities expenses such as utilities, custodial services, and physical plant; and administrative expenses such as salaries and operating costs for departments such as human resources, the controller, payroll, accounts payable, legal counsel, procurement/property services, travel, technology services, library, audit services, and sponsored projects. They may also include departmental and college administrative costs such as clerical support, telephone, and copying.

F&A cost rates are negotiated by the university with a federal cognizant agency, which for SFA is the Department of Health and Human Services. In accordance with 2 C.F.R. § 200.414(c), federal agencies must accept these negotiated rates unless a different rate is required by regulation, statute, or program.

F&A Cost Recovery

The principal investigator (PI) or project director (PD) must include F&A cost rates in a proposed budget for all grants and will use the university's full, federally negotiated F&A rate unless a sponsor has a formal, written policy that specifically limits or disallows payment of F&A costs.

In extraordinary circumstances, a PI/PD may request a reduction of F&A costs. As such a reduction is a financial loss to the university, all reduction requests must be approved by the provost and vice president for academic affairs; and the vice president for finance and administration before a budget with a reduced F&A rate is submitted to a sponsor for consideration. This applies to all forms of grants, contracts, and other sponsored agreements (grants). Failure to comply may require a budget revision and/or renegotiation of a grant and may jeopardize or delay receipt of an award. A PI/PD is not authorized to negotiate an F&A rate reduction with a sponsor.

Recovered F&A Distribution and Use

Recovered F&A is subject to the provisions of the Texas Education Code, Section 145.001: "The retained funds are subject to the following requirements:

- (1) The funds shall be expended under guidelines approved by the institution's governing board for projects encouraging further research at the unit, agency, or department level at which the research was conducted, including:
 - (A) conducting early pre-grant feasibility studies;

- (B) preparing competitive proposals for sponsored programs;
 - (C) providing carryover funding for research teams to provide continuity between externally funded projects;
 - (D) supporting new researchers pending external funding;
 - (E) engaging in research programs of critical interest to the general welfare of the citizens of this state;
 - (F) purchasing capital equipment directly related to expanding the research capability of the institution; and
 - (G) research or project administrative costs; and
- (2) the funds remaining after the application of Subdivision (1) shall be used by a general academic teaching institution or a medical or dental unit to support research as approved by a general academic teaching institution or a medical or dental unit.”

If a project includes the full F&A rate as allowed by the sponsor, the academic units that generate the recovered F&A costs will receive a portion of the F&A recovered in a fiscal year. The university retains 55% of recovered F&A for university expenses with the remainder distributed based on a formula recommended by the University Research Council and approved by the provost and *executive* vice president for academic affairs. If an F&A rate reduction was granted for a project, the amount recovered from that project will be excluded from the distribution formula. The distributions are made after the close of each fiscal year based on F&A costs recovered the previous fiscal year. Reports summarizing the use of these funds must be submitted to the ~~controller's office~~ *Office of Financial Reporting* annually. The administrative cost allowance generated by financial aid programs is not considered in the distribution formula.

The university will report the actual amounts of money retained and expended under this policy and the estimated amounts for the next biennium in its report to the Legislative Budget Board as part of the biennial budget reporting process.

Cross Reference: 2 C.F.R. §§ 200.56,.57,.306,.414; Tex. Educ. Code § 145.001; ORGS Grants and Contracts Procedures Manual

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

Contact for Revision: Dean, Office of Research and Graduate Studies

Forms: Facilities and Administration (F&A/Indirect Cost, IDC) Reduction Request

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Family and Medical Leave

Policy Number: 12.9

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy explains who is eligible for family and medical leave and defines related terms. It also provides information for employees who may need to request family and medical leave.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording changes for consistency within the policy.

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Wyatt, Interim Human Resources Director
Damon Derrick, General Counsel

Family and Medical Leave

Original Implementation: August 5, 1993

Last Revision: April 1/30, 2022~~19~~

Purpose

This policy explains who is eligible for family and medical leave and defines related terms. It also provides information for employees who may need to request family and medical leave.

Definitions

Applicable Paid Leave - Sick leave and vacation accruals.

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

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

Child/Son or Daughter - Legally recognized, including biological, adopted, foster children, stepchildren, and legal wards, who are under eighteen (18) years of age or eighteen (18) years of age or older and incapable of self-care because of mental or physical disability. For purposes of qualifying exigency leave, an employee's son or daughter on covered active duty refers to a child of any age.

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

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

Health Care Provider - Includes: licensed medical (MD) and osteopathic (OD) doctors, podiatrists,

dentists, clinical psychologists, optometrists, chiropractors authorized to practice in the State, nurse practitioners and nurse-midwives authorized under state law, and Christian Science practitioners.

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

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

Qualifying Exigencies - Describes situations arising from the military deployment of an employee's spouse, son, daughter, or parent to a foreign country. Qualifying exigencies for which an employee may take FMLA leave include issues arising from the military member's short notice deployment; or making alternative child care arrangements—for a child of the military member when the deployment of the military member necessitates a change in the existing child care arrangement; attending certain military ceremonies and briefings; attending counseling for the employee, the military member, or the child of the military member; or taking leave to spend time with a military member on Rest and Recuperation leave—during deployment; or making financial or legal arrangements to address a covered military member's absence; or certain activities related to care of the parent of the military member while—the military member is on covered active duty; or any other event that the employee and employer agree is a qualifying exigency.

Short Notice Deployment - ~~d~~Deployment within seven or less days of notice.

Covered Servicemember - A current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness. "Covered servicemember" also includes veterans discharged under conditions other than dishonorable within the five-year period before you first take military caregiver leave to care for that veteran. A serious injury or illness is one that is incurred by a servicemember in the line of duty on active duty that may cause the servicemember to be medically unfit to perform the duties of ~~his/her~~*their* office, grade, rank, or rating. A serious injury or illness also includes injuries or illnesses that existed before the servicemember's active duty and that were aggravated by service in the line of duty on active duty.

General

Employees are eligible to take family~~y~~ *and* medical leave within any 12-month period and be restored

to the same or an equivalent position upon return from leave, provided that the employee has worked for the state of Texas for at least twelve (12) months and for at least 1,250 hours within the previous twelve (12) month period. Leave without pay may begin after all available applicable paid leave has been exhausted and will be included in the twelve (12) weeks of Family and Medical Leave Act (FMLA) time. Applicable Sick Leave Pool benefits, donated sick leave, and leave resulting from Workers' Compensation claims (See Workers Compensation Coverage, Policy 12.23) will be included in the twelve (12) week period.

Reasons for Family and Medical Leave

Eligible faculty and staff may take up to 12 workweeks of leave in a 12-month period of family and medical leave for any of the following reasons:

1. The birth of a child or placement of a child with the employee for adoption or foster care;
2. To care for a spouse, child, or parent who has a serious health condition;
3. For a serious health condition that makes the employee unable to perform the essential functions of his or her job; or
4. For any “qualifying exigency” arising out of the fact that a spouse, son, daughter, or parent is a military member on covered active duty or has been notified of an impending call to covered active duty status.

Eligible faculty and staff may take up to 26 workweeks of leave in a 12-month period of family and medical leave for the following reason:

~~An eligible employee may also take up to 26 workweeks of leave during a single 12-month period to~~ care for a covered servicemember with a serious injury or illness, when the employee is the spouse, son, daughter, parent, or next of kin of the servicemember.

For purposes of FMLA, a rolling twelve (12) month period will be measured backward from the date leave begins.

Leave because of birth of a child or placement of a child with the employee for adoption or foster care must be completed within the twelve (12) month period beginning on the date of birth or placement. An employee is allowed to use sick leave for the period of time that is certified by the physician to recover from childbirth. An employee may take additional time off before returning to work requesting up to 12 weeks of leave for the birth or placement of a child under FMLA. However, the employee may not use sick leave for the remaining time unless the employee or the child is actually sick. In addition, spouses employed by Stephen F. Austin State University who request leave because of these reasons or to care for an ill parent may only take a combined total of twelve (12) weeks during any twelve (12) month period.

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

Employees with less than 12 months of state service and/or less than 1,250 hours of work in the 12 months immediately preceding the start of leave are entitled to a parental leave of absence, not to exceed 12 weeks (480 hours). The employee must first use all available and applicable paid vacation and sick leave while taking parental leave prior to going on leave without pay. Such parental leave may only be taken for the birth of a natural child or the adoption or foster care placement with the employee of a child under three years of age. The leave period begins with the date of birth or the adoption or foster care placement.

Notice of Leave

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

Medical Certification

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

Reporting While on Leave

If an employee takes FMLA *leave* because of a personal serious health condition or to care for a covered

relation, the employee must contact the supervisor at least once each week, or as often as requested by the supervisor, regarding the status of the condition and the intention to return to work. The supervisor is responsible for reporting this information to the leave administrator. Additionally, the employee is required to call Human Resources on the 1st and 3rd Monday of each month during their leave to report their leave and/or return to work status. Failure to communicate with the supervisor and Human Resources on the approved reporting schedule may result in denial of leave.

Leave Is Unpaid

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

Medical and Other Benefits

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

Intermittent and Reduced Schedule Leave

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

equivalent pay and benefits.

Returning From -Leave

If the employee takes leave because of a personal serious health condition, the employee is required to provide ~~medical certification~~ *a release to return to work* to their supervisor and the leave administrator that *states that* the employee is fit to resume work. *An example of a R* ~~release to return to work~~ **Work Medical Certification Forms** may be obtained from Human Resources. Employees failing to provide ~~the Return to Work Medical Certification Form~~ *an acceptable release to return to work* will not be permitted to resume work until it is provided.

Cross Reference: The Family and Medical Leave Act of 1993 (FMLA), 29 C.F.R. § 825; Tex. Gov't Code § 661.912; Workers Compensation Coverage (12.23)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: *Family and Medical Leave Request for Leave Form, Certification of Health Care Provider for Employee's Serious Condition under the Family and Medical Leave Act, Certification of Health Care Provider for Family Member's Serious Health Condition under the Family and Medical Leave Act, Certification for Serious Injury or Illness of a Current Servicemember for Military Caregiver Leave under the Family and Medical Leave Act, Certification for Military Family Leave for Qualifying Exigency under the Family and Medical Leave Act* ~~Physician or Practitioner Form,~~ *Family and Medical Leave Certification of Placement/Bonding Leave Due to Adoption or Foster Care. Family/Medical Leave Return to Work Medical Certification Form*

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: File Maintenance for Faculty Personnel Files

Policy Number: 4.6

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: VPAA

Purpose of Policy (what does it do): This policy is a requirement from SACS to keep up with all faculty members of the university.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review
 ☐ Change in law
 ☐ Response to audit finding
☐ Internal Review
 ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor updates.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
 Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
 Damon Derrick, General Counsel

File Maintenance for Faculty Personnel Files

Original Implementation: October 31, 2000

Last Revision: ~~January 29, 2019~~ April 11, 2022

The Southern Association of Colleges and Schools requires the university to keep documentation on file of academic preparation for all full-time and part-time faculty members. Documentation includes official transcripts, and, if appropriate for demonstrating competency, official documentation of professional and work experience, technical and performance competency, records of publications, certifications, ~~or~~ and other qualifications. To meet this requirement, the following guidelines have been established to address the contents of the file and the designated office responsible for ~~maintaining the file~~ file maintenance.

Filed in the Office of the Provost and *Executive* Vice President for Academic Affairs:

Full-time ~~academic rank~~ faculty *holding academic rank*:

- Recommendation for Appointment form
- Signed contract issued by the Office of the Provost and *Executive* Vice President for Academic Affairs
- Curriculum vitae
- Official transcripts from all degree granting institutions attended
- Three letters of reference
- Faculty Certification of Credentials form for those faculty who do not hold the terminal degree or whose terminal degree is outside the discipline in which they are teaching

Filed in the Office of the College Dean:

Adjunct faculty, designated 4.5 to 9 months faculty, non-tenure track faculty:

- Signed contract issued by the dean's office
- Curriculum vitae
- Official transcripts from all degree granting institutions attended or verification that official transcripts are in the Office of the Provost and *Executive* Vice President for Academic Affairs
- Three letters of reference
- Faculty Certification of Credentials form for those faculty who do not hold the terminal degree or whose terminal degree is outside the discipline in which they are teaching

Graduate teaching assistants (when instructor of record):

- Curriculum vitae
- Official transcripts from all degree granting institutions attended or verification that official transcripts are in the Office of Research and Graduate Studies.
- Three letters of reference
- Faculty Certification of Credentials form

Note: See Academic Appointments and Titles (7.2) for definition of titles.

Cross Reference: Academic Appointments and Titles (7.2); Faculty Handbook

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

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

Forms: Recommendation for Appointment form, Faculty Certification of Credentials form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Financial Conflicts of Interest in Sponsored Activities

Policy Number: 8.2

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): Grants related policy in regards to conflict of interest for SFA faculty and staff.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor updates.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee

Lorenzo Smith, Provost and Executive Vice President for Academic Affairs

Damon Derrick, General Counsel

Financial Conflicts of Interest in Sponsored Activities

Original Implementation: January 30, 1996

Last Revision: April 30, 2019/11, 2022

1. Introduction

The purpose of this policy is to protect the credibility and integrity of Stephen F. Austin State University's (SFA) faculty and staff by ensuring public trust and confidence in the university's research and grants, contracts, and other sponsored agreements (grants) by identifying and then managing, reducing, or eliminating actual or potential conflicts of interest.

A potential conflict of interest occurs when divergence exists between the private interests of individuals and their professional obligations to the university, to the extent that an independent observer might reasonably question whether an individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise. An actual conflict of interest depends on the situation and not on the character or actions of the individual. In some cases, it also might be appropriate to voluntarily report apparent nonfinancial conflicts of interest and the steps taken by SFA to mitigate them, such as relationships between grant and university personnel.

The university will take all necessary steps to assure that any identified actual or potential financial conflicts of interest are managed, reduced, or eliminated prior to the university's expenditure of any funds under an award and, if required by a sponsor, certify to the funding agency that this has been done or report conflicts that cannot be satisfactorily managed, reduced, or eliminated.

As defined in section II, all investigators are required to disclose any significant financial interest that could directly or indirectly affect the design, conduct, and/or reporting of research and/or affect professional judgment in the conduct of grants.

Federal awarding agencies must establish conflict of interest policies for their awards that require the awardee to disclose in writing any potential conflict of interest (2 C.F.R. § 200.112). This policy has been developed to address financial conflicts of interest in grants in general, with specific requirements to address regulations for Public Health Service supported research. Investigators will be required to comply with each individual federal awarding agency's policies. State laws regarding employee conduct may also apply to situations involving potential financial conflicts of interest.

Additional requirements are outlined in section VI that pertain specifically to Public Health Service (PHS) sponsored research grants and to research sponsored by other federal agencies with similar financial conflict of interest regulations.

2. Definitions

Compliance Coordinator (CC): an individual in the Office of Research and Graduate Studies (ORGS)

designated to coordinate financial conflict of interest requirements for grants at the proposal and award stages.

Disclosure of significant financial interests: an investigator's disclosure of significant financial interests to the university.

Equity interest: includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.

Financial conflict of interest (FCOI): a significant financial interest that could directly and significantly affect the design, conduct, or reporting of grant activities.

Financial interest: anything of monetary value, whether or not the value is readily ascertainable.

Institutional responsibilities: an investigator's professional responsibilities on behalf of the university, which for faculty includes teaching, research, service and other scholarly and professional activities and for staff includes job-related activities.

Institutional Official (IO): the provost and vice president for academic affairs.

Investigator: a project director (PD) or principal investigator (PI) and any other person, regardless of title or position, who is identified as: (a) senior/key personnel in the grant application, progress report, or any other report submitted to a funding agency; (b) a responsible party on applications for the use of human or animal subjects; and (c) responsible for the design, conduct, or reporting of grant activities.

Manage/Management Plan: taking action to address a FCOI, which can include reducing or eliminating the conflict of interest to ensure, to the extent possible, that the design, conduct, and reporting of research will be free from bias.

Public Health Service (PHS): an entity of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority involved may be delegated, which includes agencies such as the National Institutes of Health (NIH), the Centers for Disease Control and Prevention (CDC), the Food and Drug Administration (FDA), and the Health Resources and Services Administration (HRSA).

Research: a systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term encompasses basic and applied research and product development.

Responsible Official (RO): the dean of research and graduate studies.

Significant financial interest: a financial interest that must be disclosed by an investigator that: (a) consists of one or more of the following interests of the investigator, and/or the investigator's spouse and dependent children, or any other financially interdependent individual in the household; (b) which reasonably appears to be related to the investigator's institutional responsibilities; and (c) was received, obtained, or held during the twelve (12) months preceding the disclosure.

Information that must be disclosed by an investigator includes:

- A. Payments from or an equity interest in a publicly-traded entity if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure together exceed \$5,000. Remuneration includes any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship);
- B. Payments from or an equity interest in a non-publicly traded entity if the value of any remuneration received from the entity in the twelve months preceding the disclosure exceeds \$5,000 and any equity interest is held;
- C. Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests; and
- D. Travel payments (reimbursements or amounts paid on behalf of the investigator) related to institutional responsibilities (this requirement only applies to investigators with PHS supported research or other Federal sponsors with similar FCOI requirements).

Information that is excluded from disclosure by an investigator includes:

- A. Salary, royalties, or other remuneration paid by the university to the investigator if the investigator is currently employed or otherwise appointed by SFA, including intellectual property rights assigned to SFA and agreements to share in royalties related to such rights;
- B. Income from certain investment vehicles, such as mutual funds and retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles; and
- C. Income from seminars, lectures, or teaching engagements, or income from service on advisory committees or review panels sponsored by a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

Regardless of the above minimum requirements, investigators in their own best interest may choose to

disclose any other financial or related interest that could present an actual conflict of interest or be perceived to present a conflict of interest.

Grants: all externally funded activities, including but not limited to research, public service, instruction, and/or training activities funded by grants, contracts, cooperative agreements, or other sponsored agreements.

3. Responsibilities Regarding FCOI

A. **Investigator** – It is the responsibility of the investigator to:

- i. file and update a PI/PD Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects form with each grant application and a Disclosure of Substantial Interest form as needed;
- ii. file and update a Disclosure of Substantial Interest form in other instances as outlined in this policy;
- iii. acknowledge in the disclosure form their understanding of this policy and applicable federal regulations;
- iv. provide additional information and documentation required to meet the terms of this policy when requested by university officials; and
- v. complete FCOI training as required by this policy.

B. **Institutional Official (IO)** – It is the responsibility of the IO to:

- i. review Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects and Disclosure of Substantial Interest forms related to grants;
- ii. determine if a FCOI exists with regard to grant funding, appoint a committee as required to assist in the decision, and make recommendations regarding management of any such conflict of interest;
- iii. if indicated, develop a plan for management of the conflict in consultation with the investigator and in conjunction with the appointed committee, the university's general counsel and other university officials, as appropriate; and
- iv. determine the appropriate individual to monitor implementation of the plan, as needed.

C. **Compliance Coordinator (CC)** – It is the responsibility of the CC to:

- i. verify that Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects and as needed, Disclosure of Substantial Interest forms are on file for investigators prior to submitting applications to any entity;
- ii. verify that Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects and as needed, Disclosure of Substantial Interest forms are on file for investigators after an award is made and prior to the expenditure of funds;
- iii. provide disclosure and reporting requirements to any subrecipients related to an award from a Federal sponsor; and
- iv. communicate with the investigator regarding the status of the project with regard to compliance with this policy, including applicable training requirements.

D. Responsible Official (RO) – It is the responsibility of the RO to:

- i. provide general oversight ~~to~~ of the FCOI reporting and management process as it relates to research and other sponsored activities;
- ii. participate in the review of Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects and Disclosure of Substantial Interest forms and in the development of management plans, as requested by the IO; and
- iii. submit conflict of interest reports to the sponsoring agency as required by the PHS or any other Federal agency.

4. FCOI Reporting and Review Procedures

A. Timeline for Disclosures

- i. all investigators are required to disclose significant financial interests on the Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects form and as needed, a Disclosure of Substantial Interests form prior to the submission of every grant application;
- ii. during the year as needed and no later than thirty (30) calendar days after a new, reportable significant financial interests is obtained such as an increase in value that meets the reporting threshold, as well as the acquisition of new interests that are reportable (for example, through purchase, marriage, or inheritance); and
- iii. for new investigators, within thirty (30) calendar days of joining an active grant.

B. Disclosure Period - Each individual completing the Disclosure of Substantial Interest form must list any financial interests for the preceding twelve (12) months that appear to be related to the investigator's institutional responsibilities and that might reasonably appear to affect the grant activities funded, or proposed for funding.

C. Disclosure Review Process - The IO will conduct an initial review of all financial disclosures related grants in consultation with the RO or other official designee of the university, as appropriate. If an initial determination is made that there may be a potential for conflict of interest covered by this policy, additional information will be requested from the investigator.

A potential FCOI also may be referred to an investigating committee for review. If it is determined by the IO that a committee should be formed, members will be appointed by the IO after consultation with the RO, who serves as chair. If it is determined that a conflict of interest exists, the IO and/or the investigating committee will determine what conditions or restrictions, if any, should be imposed by the university to manage actual or potential conflicts of interest arising from such disclosures.

D. Records Retention - Records of investigator financial disclosures, the university's review and response to disclosures, and of actions taken to manage actual or potential conflicts of interest, as applicable to grants will be retained by ORGS according to each sponsor's retention requirements-, or the resolution of any government action involving those records,

or where applicable, from other dates specified in 45 CFR 74.53(b) and 92.42 for PHS supported research or other agency regulations.

- E. **Enforcement** - The IO will be responsible for determining and implementing sanctions on investigators who have violated this policy in terms of a conflict of interest resolution. The investigator will be notified in writing of the recommended sanctions within twenty-one (21) calendar days of the discovery of the violation. If the sanctions involve a recommendation for termination of employment, the university's termination procedures will be invoked. The university must take action as warranted by the seriousness of the violation including, but not limited to, one or more of the following:
- removal from the activity;
 - special monitoring of future work;
 - letter of reprimand;
 - probation with conditions specified; and/or
 - termination.

Additionally, the university will follow PHS and other applicable Federal regulations regarding the notification of a sponsoring agency in the event an investigator has failed to comply with this policy.

Individuals may appeal the judgment and/or the sanction. A written statement of the grounds for the appeal must be submitted to the president of the university within thirty (30) working days of written notification of the sanctions. Grounds for appeal include, but are not limited to, previously unconsidered material evidence, sanctions not commensurate with the finding, and failure to follow the prescribed process. Upon receipt of a written appeal, the president will evaluate the evidence and make a determination. The president will open an investigation if circumstances so dictate. The president's decision will be conveyed to all parties within thirty (30) working days.

5. FCOI Information Dissemination and Training

- A. **Information Dissemination** - The Office of Research and Graduate Studies will inform each investigator applying for grants of the university's policy on financial conflicts of interest, the investigator's responsibilities regarding disclosure of significant financial interests, and any applicable Federal regulations regarding FCOI. Such information will also be posted on the ORGS website.
- B. **Mandatory Training** - Each investigator who is awarded a PHS research award or an award from a Federal agency with similar FCOI training requirements will complete a training session on FCOI prior to engaging in the grant activity and subsequently every four (4) years. In addition, training is required for these individuals immediately when: (1) the university revises its financial conflict of interest policies or procedures in any manner that affects the requirements of investigators; (2) an investigator on a PHS supported award is new to the

university; or (3) if the university finds that an investigator is not in compliance with this policy or a prescribed FCOI management plan.

- C. **Subrecipients** - If the university carries out research through a subrecipient (e.g., subcontractors or consortium members) that is supported by the PHS or by a Federal agency with similar FCOI reporting and/or training requirements, the university (awardee institution) will take reasonable steps to ensure that any subrecipient investigator complies with the training requirement described in B. above by incorporating as part of a written agreement with the subrecipient terms that establish whether the financial conflicts of interest policy of the university or that of the subrecipient will apply to the subrecipient's investigators. The agreement referenced will specify time period(s) for the subrecipient to report all identified financial conflicts of interest to the university. Such time period(s) will be sufficient to enable the university to provide timely FCOI reports, as necessary, to the PHS or other Federal agencies as required by the agency.

6. Special Provisions for Managing and Reporting Financial Conflicts of Interest for Public Health Service (PHS) Supported Research

- A. **Management Plan** - For PHS supported research, resolution of any potential or actual conflicts of interest will not be required until after funding has been approved and prior to any expenditure of funds under the PHS supported award. Prior to the expenditure of any funds under a PHS-funded research project, the IO will develop and implement a management plan that will specify the actions that have been and will be taken to manage such financial conflict of interest.

The IO, along with any investigating committee, the investigator, the RO, and other university officials as required, will proceed to resolve any actual or potential problems revealed by the initial review of financial disclosures. In order for the conflict to be managed, reduced, or eliminated, the IO may recommend:

1. public disclosure of significant financial or related interests (e.g., during presentations or in publications);
2. for research projects involving human subjects research, disclosure of financial conflicts of interest directly to participants prior to participation;
3. monitoring of sponsored activities by independent reviewers;
4. modification of the research or other sponsored activity plan;
5. Change in personnel and/or disqualification from participation in all or a portion of the activity funded that would be affected by the significant financial interests;
6. divestiture of significant financial interests; and/or
7. severance of relationships that create actual or potential conflicts of interest.

If the IO, along with any investigating committee determines that imposing conditions or restrictions would either be ineffective or inequitable, and that the potential negative impacts

that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, the IO and committee may recommend that, to the extent permitted by federal regulations, the sponsored activity go forward without imposing such conditions or restrictions. In these cases, the IO in consultation with the RO will make the final decision regarding resolution.

The approved written resolution plan will detail the conditions or restrictions imposed upon the investigator in the conduct of the sponsored activity or in the relationship with the enterprise or entity.

Actual or potential conflicts of interest will be satisfactorily managed, reduced, or eliminated in accordance with these guidelines and all required reports regarding conflicts of interest submitted to the sponsor prior to the expenditure of any funds under an award.

B. Retrospective Review - For PHS supported research, whenever a significant financial interest is discovered that was not disclosed in a timely manner by an investigator, or for whatever reason, was not previously reviewed by the university during an ongoing PHS supported research project (including subrecipients), the IO will within sixty (60) calendar days:

1. review the significant financial interest;
2. determine whether it is related to PHS-funded research;
3. determine whether a financial conflict of interest exists; and, if so implement, on at least an interim basis, a management plan that will specify the actions that have been, and will be, taken to manage such financial conflict of interest going forward.

In addition, if it is determined that the university failed to review or manage such a financial conflict of interest, or the investigator failed to comply with a financial conflict of interest management plan, the IO will, within 120 calendar days of the university's determination of noncompliance, lead a retrospective review of the investigator's activities and the PHS supported research project to determine whether any PHS supported research, or portion thereof, conducted during the time period of the noncompliance, was biased in the design, conduct, or reporting of such research.

The retrospective review will be documented, and will include at a minimum the following key elements:

1. project number;
2. project title;
3. PD/PI or contact PD/PI if a multiple PD/PI model is used;
4. name of the investigator with the FCOI;
5. name of the entity with which the investigator has a financial conflict of interest;
6. reason(s) for the retrospective review;

7. detailed methodology used for the retrospective review (e.g., methodology of the review process, composition of the review panel, documents reviewed);
8. findings of the review; and
9. conclusions of the review.

Based on the results of the retrospective review, if appropriate, the university will update the previously submitted FCOI report, specifying the actions that will be taken to manage the financial conflict of interest going forward. If bias is found, the university will notify the PHS awarding agency promptly and submit a mitigation report to the agency. The mitigation report must include, at a minimum, the key elements documented in the retrospective review above and a description of the impact of the bias on the research project and the university's plan of action or actions taken to eliminate or mitigate the effect of the bias. Depending on the nature of the financial conflict of interest, the university may determine that additional interim measures are necessary with regard to the investigator's participation in the PHS supported research project between the date that the financial conflict of interest or the investigator's noncompliance is determined and the completion of the university's retrospective review.

7. Public Disclosure

Prior to the expenditure of any funds under a PHS supported research project, the university will ensure public accessibility via written response to any requestor within five (5) working days of a request for information concerning any significant financial interest disclosed to the university that meets the following three criteria:

- A. the significant financial interest was disclosed and is still held by the senior/key personnel as defined by this subpart;
- B. the university determines that the significant financial interest is related to the PHS supported research; and
- C. the university determines that the financial interest is a significant financial conflict of interest.

The information provided by written response to any requestor will include at a minimum the following information:

- A. the investigator's name;
- B. the investigator's title and role with respect to the research project;
- C. the name of the entity in which the significant financial interest is held;
- D. the nature of the significant financial interest;
- ~~D~~.E. the approximate dollar value of the significant financial interest specified in ranges (e.g., \$0–\$4,999; \$5,000–\$9,999; \$10,000–\$19,999; amounts between \$20,000–\$100,000 by increments of \$20,000; amounts above \$100,000 by increments of \$50,000), or a statement that the interest is one whose value cannot be readily determined through reference to public prices or other reasonable measures of fair market value; and
- ~~E~~.F. will note that the information provided is current as of the date of the correspondence

and is subject to updates, on at least an annual basis and within 60 calendar days of the identification by the university of a new financial conflict of interest, which should be requested subsequently.

Information concerning the significant financial interests of an individual subject to this section will remain available for at least three (3) years from the date that the information was most recently updated.

8. Reporting to PHS Agencies

Prior to the university's expenditure of any funds under a PHS supported research project, the university will provide to the PHS agency an FCOI report regarding any investigator's significant financial interest found by the university to be conflicting and ensure that the university has implemented a management plan in accordance with PHS regulations. In cases in which the university identifies and eliminates a FCOI prior to the expenditure of PHS-awarded funds, an FCOI report is not required.

For any significant financial interest that the university identifies as conflicting subsequent to the initial FCOI report and during an ongoing PHS supported research project, the university will provide within sixty (60) calendar days, a FCOI report to the PHS agency and ensure that a management plan has been implemented in accordance with PHS regulations. This includes results of a retrospective review, and in situations in which bias is determined, the university will promptly notify and submit a mitigation report to the PHS agency.

Any FCOI report will include sufficient information to enable the PHS agency to understand the nature and extent of the financial conflict, and to assess the appropriateness of the university's management plan. Elements of the FCOI report will include, but are not necessarily limited to, the following:

- A. project number;
- B. PD/PI or Contact PD/PI if a multiple PD/PI model is used;
- C. name of the investigator with the significant financial conflict of interest;
- D. name of the entity with which the investigator has a financial conflict of interest;
- E. nature of the financial interest (e.g., equity, consulting fee, travel reimbursement, honorarium);
- F. value of the financial interest (dollar ranges are permissible: \$0–\$4,999; \$5,000–\$9,999; \$10,000–\$19,999; amounts between \$20,000–\$100,000 by increments of \$20,000; amounts above \$100,000 by increments of \$50,000), or a statement that the interest is one whose value cannot be readily determined through reference to public prices or other reasonable measures of fair market value;
- G. a description of how the financial interest relates to the PHS supported research and the basis for the university's determination that the financial interest conflicts with such research; and
- H. a description of the key elements of the university's management plan, including:

- i. role and principal duties of the conflicted investigator in the research project;
- ii. conditions of the management plan;
- iii. how the management plan is designed to safeguard objectivity in the research project;
- iv. confirmation of the investigator's agreement to the management plan;
- v. how the management plan will be monitored to ensure investigator compliance; and
- vi. other information as needed.

For any financial conflict of interest previously reported by the university with regard to an ongoing PHS-funded research project, the university will provide to the PHS agency an annual FCOI report that addresses the status of the financial conflict of interest and any changes to the management plan for the duration of the project. The annual FCOI report will specify whether the financial conflict is still being managed or explain why the financial conflict of interest no longer exists.

9. Remedies

If an investigator fails to comply with this policy, or a financial conflict of interest management plan appears to have biased the design, conduct, or reporting of PHS- funded research, the university will promptly notify the PHS agency of the corrective action taken or to be taken.

Cross Reference: 2 C.F.R. § 200.112; 42 C.F.R. Part 50, Subpart F; 45 C.F.R. Part 94, Faculty Handbook; Ethics (2.6); Misconduct in Scholarly or Creative Activities (7.19); and Purchasing Ethics and Confidentiality (17.221).

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

Contact for Revision: Dean of Research and Graduate Studies

Forms: Disclosure of Substantial Interest form; PI/PD Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Fixed Amount Awards

Policy Number: 8.12

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): Grants related policy in regards to pricing that is agreed to in advance rather than actual costs incurred while conducting the work.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee

Lorenzo Smith, Provost and Executive Vice President for Academic Affairs

Damon Derrick, General Counsel

Fixed Amount Awards

Original Implementation: July 28, 2015

Last Revision: ~~January 29, 2019~~ April 11, 2022

Fixed amount awards, also known as fixed-price agreements, are awards in which a price is agreed to in advance for a specific scope of work that is payable based on performance and deliverables rather than the actual costs incurred during the conduct of the work.

Fixed amount awards may include grants, cooperative agreements, contracts, research agreements, and subawards (grants) from federal and non-federal sources to the university, as well as fixed amount subawards from the university to a subrecipient.

Fixed Amount Awards to the University

A fixed amount award to the university should reflect an accurate estimate of anticipated direct costs for the efficient and effective conduct of the project plus the university's full federally negotiated facilities and administrative (F&A, indirect) cost rate. The Principal Investigator/Project Director (PI/PD) is responsible for ensuring that a fixed amount award is accurately estimated.

The Office of Research and Graduate Studies (ORGS) requires an internal operating budget for fixed amount awards and awarded funds must be used during the term of the agreement in support of the specific statement of work. The PI/PD is responsible for charging all appropriate operating expenses to the award, including salary and associated benefits at a level commensurate with the effort committed to the project.

In the event ~~that~~ there is a negative balance at the conclusion of a fixed amount award project, the managing administrative unit is responsible for covering the shortage from an appropriate source of funds.

In the event a residual balance remains after all allocable expenses have been recorded to the project fund, the following processes apply:

Non-Federal Awards

1. The PI/PD will certify that the sponsor has accepted all required deliverables, the ~~controller's office~~ *Office of Financial Reporting* will confirm that the sponsor has made final payment. If the remaining balance exceeds \$500, the full federally-negotiated F&A rate will be charged against the award. Any residual balance should be no more than 20% of the original award.
2. If the residual balance is less than 20% of the original award (up to \$10,000 or 25% of the residual balance, whichever is less) then the amount is transferred to a fixed-price residual

(FPR) fund for the PI/PD, or into an FPR fund established for a university-recognized center. The remaining balance, in excess of 25% or \$10,000, is transferred to a designated fund pool to be used in support of research and development.

If the residual balance exceeds 20% of the original award, the sponsor is contacted to determine the disposition of the balance. If the sponsor allows residual amounts to be retained by the university, the amounts are distributed as described above.

If the residual balance is \$500 or less, the entire amount may be transferred to the individual PI/PD ~~Fixed-Price Residual~~ FPR Fund.

3. Fixed-price residual funds must be used for on-going research activities or to support the goals and objectives of the PI, PD, or center, in accordance with state and university regulations, policies, and procedures.

Federal Awards

1. For fixed amount awards originating from federal sources, there should be “no increment above actual cost” [~~2 C.F.R. § 200.201(b)(1)~~].
2. The university must certify in writing to the federal agency or pass-through entity that the project was completed or the level of effort expended.
3. If ~~both of the above~~ requirement #2s cannot be met, the amount of the award must be adjusted [2 C.F.R. § 200.201(b)(3)].

Fixed Amount Awards from the University

The amount of a fixed amount award to a subrecipient from the university should reflect an accurate estimate of anticipated costs for the efficient and effective conduct of the project. ORGS may require a budget detail and justification from a potential subrecipient.

Fixed amount subawards from federal sources are allowable with prior written approval from the federal awarding agency in an amount up to \$150,000 [2 C.F.R. § 200.88, .332]. Such awards are subject to the terms and conditions detailed in 2 C.F.R. § 200.201(b).

Cross Reference: 2 C.F.R. §§ 200.45, .88, .201, .332; Grants and Contracts Procedures Manual

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

Contact for Revision: Dean of Research and Graduate Studies

Forms: Fixed Amount Award Close-out Certification Form; Fixed Amount Award Close-out Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Grants and Contracts Administration

Policy Number: 8.3

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: Provost and Executive Vice President for Academic

Purpose of Policy (what does it do): Grants related policy to ensure sponsored activities are conducted in accordance with university policies and procedures.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic
Damon Derrick, General Counsel

Grants and Contracts Administration

Original Implementation: August 1, 2000

Last Revision: ~~January 29, 2019~~ April 11, 2022

The dean of research and graduate studies establishes and makes available procedures for the programmatic administration of grants, contracts and other sponsored agreements. These procedures are outlined in the Grants and Contracts Procedures Manual published by the Office of Research and Graduate Studies (ORGS). The *division of finance and administration controller* establishes internal controls for the fiscal administration and reporting of grants, contracts and other sponsored agreements and is responsible for the negotiation of facilities and administrative (indirect) cost rate agreements with the federal cognizant agency.

These controls and procedures are designed to ensure that sponsored activities are conducted in accordance with university policies and procedures, with laws and regulations, and with the provisions of the grants, contracts and sponsored agreements themselves.

Cross Reference: 2 C.F.R. Part 200; ORGS Grants and Contracts Procedures Manual

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

Contact for Revision: Dean of Office of Research and Graduate Studies

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Guest Speaker

Policy Number: 16.12

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Vice President of Student Affairs

Purpose of Policy (what does it do): States rules for invitation and presentations of guest speakers on University property and/or at University-sponsored events

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor updates made for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Student Affairs Policy Review Committee
 Hollit Smith, Executive Director of Student Life
 Brandon Frye, Vice President of Student Affairs
 Damon Derrick, General Counsel

Guest Speaker

Original Implementation: July 1980

Last Revision: ~~April 30, 2019~~ April 11, 2022

Application of Policy:

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

Definitions:

The term "University Property" includes all land, buildings, facilities, and other property in the possession of and/or owned, used, or controlled by the University (including adjacent streets and sidewalks).

The term "University-sponsored" includes a program or event initiated, aided, authorized, or supervised by a registered student organization, faculty or staff organization.

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. *If the guest speaker is a distinguished guest, the sponsoring organization must adhere to Policy 2.16, Distinguished Guests.*
3. Only registered student *organizations*, 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 those of the speaker and not necessarily those of the university.
- ~~4.5.~~*The organization sponsoring a guest speaker is responsible for the guest speaker's actions.*
- ~~5.6.~~*Registered student organizations, 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 (16.33). 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.*
- ~~6.7.~~*If a guest speaker is to be paid from university funds as consideration for his/her speech:*
 - a. The facility in which the speech is to be delivered must be open to the public and the news media.

- b. The sponsoring organization must follow all applicable university procurement procedures.

7.8. 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.

8.9. 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, "advocate~~ee~~y" means speech directed to inciting or producing imminent lawless action that is likely to incite or produce such action, as opposed to the abstract espousal of the moral propriety of a course of action.

Cross Reference: Use of University Facilities (16.33)

Responsible for Implementation: Vice President ~~for University Affairs~~ *of Student Affairs*

Contact for Revision: ~~Dean of Student Affairs~~ *Executive Director of Student Life*

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Institutional Animal Care and Use Committee (IACUC)

Policy Number: 8.6

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): Policy regards to animal care during research projects

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
 Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
 Damon Derrick, General Counsel

Institutional Animal Care and Use Committee (IACUC)

Original Implementation: April 17, 2012

Last Revision: ~~January 29, 2019~~ April 11, 2022

The Stephen F. Austin State University Institutional Animal Care and Use Committee (IACUC) is responsible for the review of research and teaching activities that involve vertebrate animals.

This review process ensures that all university activities comply with government regulations set forth by the United States Department of Health and Human Services, Office of Laboratory Animal Welfare (OLAW) and by the United States Department of Agriculture-Animal and Plant Health Inspection Service (USDA-APHIS) under the Animal Welfare Act (AWA).

The IACUC will consist of a minimum of five (5) members, including: at least one faculty member representing an academic department utilizing vertebrate animals for research, testing, or training; one member from a department that does not utilize animals in research; one doctor of veterinary medicine; and one member of the community not associated with the university. The committee will meet at least twice per year and on an as-needed basis to review faculty research proposals that involve vertebrate animals and complete any additional tasks required by law.

The IACUC will establish and publish the processes that must be followed when vertebrate animals are to be used in research. The dean of research and graduate studies will serve as the institutional official (IO). The IACUC reports to the IO, who possesses administrative and operational authority to ensure compliance with relevant policies from OLAW and the AWA.

No activities involving vertebrate animals can be carried out without approval from the IACUC. This includes activities that may be considered exempt activities and/or exempt animals.

This policy applies to all activities, teaching and research, that involve vertebrate animals that are: sponsored by the university; conducted by university faculty, staff, visitors, or students; and conducted using property and/or facilities owned by the university.

Failure to comply with applicable federal policies related to animal care and use may result in civil and/or criminal penalties, and may also result in loss of federal funding to the university.

Cross References: 9 C.F.R. § 2.31; Animal Welfare Act, 7 U.S.C. 2131 et. seq.; Office of Laboratory Animal Welfare, *Guide for the Care and Use of Laboratory Animals*, 8th edition; Office of Laboratory Animal Welfare, *Institutional Animal Care and Use Committee Guidebook*, 2nd edition; ORSP Grants and Contracts Procedures Manual; SFASU IACUC Policies and

Procedures Manual

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

Contact for Revision: Dean of Research and Graduate Studies

Forms: Animals in Research Protocol; IACUC Application – short form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Institutional Reserves Fund

Policy Number: 3.19

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy establishes guidelines for the university's institutional reserves. Appropriate institutional reserves help maintain financial strength, provide the foundation for debt management and issuance, protect against volatility in revenue and expenditures, and allow flexibility in planning for the needs of the university.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: New name and updates for clarification.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Institutional Reserves Fund

Original Implementation: July 13, 2006

Last Revision: April 1/30, 2022/9

Purpose

This policy establishes guidelines for the university's institutional reserves—~~fund~~. An appropriate institutional reserves—~~fund~~ helps maintain financial strength, provides the foundation for debt management and issuance, protects against external volatility in revenue and expenditures, and allows flexibility in planning for the needs of the university.

Definitions

~~The~~ institutional reserves ~~fund~~ refers to resources that are not allocated to any specific unit of the university, but are held centrally within the university's financial system. Additions to the institutional reserves—~~fund balance~~ include revenues that exceed expenditures. Deductions include the use of reserves to fund *items not included in the operating budget; planned uses of reserves for the operating budget; and capital budgets, construction projects, and* unanticipated institutional requirements. *—Institutional reserves are represented in the Statement of Net Position as Unrestricted Net Position (UNP).*

General

The purpose of ~~an~~ institutional reserves—~~fund~~ is to provide contingent support for potential significant financial occurrences, including:

- strategic capital projects,
- unanticipated or uninsured catastrophic events,
- temporary institutional revenue shortfalls or expenditure gaps,
- unforeseen legal obligations and costs,
- failures in central infrastructure,
- failures of major business systems.

Institutional Reserves Fund Budgeting

The university may augment institutional reserves as a budget practice during periods of revenue growth and stability. During periods that revenue support is needed, the university may utilize institutional reserves.

Institutional Reserves Fund Size Target

The university utilizes the primary reserve ratio to target the amount of reserves that an institution should be—~~should~~ maintained. ~~is determined using a calculation called the primary reserve ratio.~~ The ratio is calculated according to higher education industry standards by dividing expendable net assets by total expenses, net of depreciation and

~~amortization~~*Governmental Accounting Standards Board (GASB) Statement 34*. The higher education industry target ~~and the target benchmark for the primary reserve ratio is .40. Consequently, an institution's target reserves fund goal should be~~ is 40% of its annual operating budget, thus providing approximately five months of operational capacity.

At the end of each fiscal year, the primary reserve ratio calculation will be used to evaluate the institutional reserves fund ~~and target. The~~, and information will be reported to the Board of Regents with the Annual Financial Report.

Cross Reference: None

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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Markers, Monuments, and Artwork

Policy Number: 16.17

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): Stephen F. Austin State University has a large dynamic campus that is constantly in a state of change to meet the various needs of the diverse departments that make up the university as a whole. There are limitations on where and how markers, monuments, and artwork may be added to or removed from the campus so as not to encumber future university needs. The rules articulated in this policy apply to all students, faculty, staff, and their approved organizations, as well as all other persons and groups.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Committee changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Branch, Interim Director of the Physical Plant
Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Markers, Monuments, and Artwork

Original Implementation: July 17, 2001

Last Revision: ~~January 29, 2019~~ April 11, 2022

Purpose

Stephen F. Austin State University has a large dynamic campus that is constantly in a state of change to meet the various needs of the diverse departments that make up the university as a whole. There are limitations on where and how markers, monuments, and artwork may be added to or removed from the campus so as not to encumber future university needs. The rules articulated in this policy apply to all students, faculty, staff, and their approved organizations, as well as all other persons and groups.

Definitions

Markers, monuments, or artwork include all types of features that are erected, affixed, or otherwise installed on any institutional building or land for a time period extending beyond 14 days.

Non-permanent markers, monuments, or artwork would be those meeting the criteria described in Policy 16.24, Section IV concerning signs displayed for 14 days or less.

General

Markers, monuments, or artwork including historical markers or signs, may be placed on or removed from campus when it is in the best interest of the university. ~~A committee will review all such requests. Nominations for a new marker, monument, or artwork and applications for removal of an existing marker, monument, or artwork may be found on the Physical Plant Department (PPD) website.~~ *The university master plan committee can review requests and make recommendations to the President's cabinet who will review location and design. The president will make the final determination on requests for non-permanent markers, monuments, or artwork. The president will make a recommendation to the Building & Grounds Committee of the Board of Regents for all other requests.*

Markers, monuments, or artwork placed on campus without prior written permission will be removed by the PPD. Removed items will be held for sixty (60) days prior to disposal. Notification will be provided if possible.

Committee

~~The vice president of finance and administration will appoint a markers, monuments, and artwork committee that includes one representative from each of the following: development, alumni, faculty, physical plant, university marketing and communications, and a student representative. Each faculty~~

~~and staff member will serve on the markers, monuments, and artwork committee for a term of two (2) years, with the possibility of reappointment. The SFA student representative will serve a term of one (1) year with the possibility of reappointment. The markers, monuments, and artwork committee will review all nominations for markers, monuments, and artwork as well as applications for deaccession of markers, monuments, and artwork. Upon review of the nominations and applications by the markers, monuments, and artwork committee, recommendations will be made to the vice president of finance and administration for final approval.~~

New Marker, Monument, or Artwork

Upon receipt of a ~~nomination request~~ for a new marker, monument, or artwork by a university stakeholder, ~~the markers, monuments, and artwork committee will review the nomination for a new marker, monument, or artwork for the following~~ *the university can consider the following:*

- Preservation of the beauty of the SFA campus;
- Historical significance;
- Advancement of the university's educational mission;
- Building access and campus circulation is not impeded;
- Size, scope, and relevance;
- Copyright;
- Safety;
- Prominence and location on campus;
- Aesthetic merit;
- Funding for costs including installation, maintenance, and insurance.

Please note that each marker, monument, or artwork ~~nomination request~~ will be considered individually based on the SFA campus master plan and SFA policy and procedure as well as current and future costs. ~~The markers, monuments, and artwork committee and/or the vice president of finance and administration~~ *University* reserves the right to refuse ~~nominations requests~~ for markers, monuments, and artwork after review of the ~~nomination request~~.

Deaccession

Upon receipt of ~~an application~~ *a request* to remove a marker, monument, or artwork by a university stakeholder, ~~the markers, monuments, and artwork committee will review the application for the following~~ *the university can consider the following:*

- Safety;
- Aesthetic merit;
- Historical significance;
- Accidental loss or destruction;
- Repatriation;
- Educational value;

- Building access;
- Size, scope, and relevance;
- Condition;
- Prominence and location on campus;
- Cost of maintenance and insurance.

Please note that each marker, monument, and artwork ~~application-request~~ for removal will be considered individually based on the SFA campus master plan and SFA policy and procedure as well as current and future costs. The ~~markers, monuments, and artwork committee and/or the vice president of finance and administration-university~~ reserves the right to refuse ~~applications-requests~~ for removal of markers, monuments, and artwork after review of the application.

Exceptions to ~~Committee~~ Review

Markers or monuments honoring or in memory of an individual are limited to students, faculty, or staff who have passed away while in a student, faculty, or staff status. Such monuments are limited to the memorial walk area on the south side of the Ag Pond. Markers or monuments may not be placed at any other location on campus.

Monuments will be purchased by the individual or group desiring to place the monument on the walk. Installation will be by PPD. The PPD will provide maintenance at the same level as the existing walk. Markers that are broken or otherwise damaged or lost will not be the responsibility of PPD. Requests to place a marker should be directed to the director of the physical plant.

The Walk of Recognition (located at SFA fountain plaza) includes markers and bricks as coordinated through the SFA Alumni Association. Requests and guidelines for placement of markers and bricks at the Walk of Recognition are established by the SFA Alumni Association separate from this policy.

Cross Reference: Signs and Exhibits (16.24)

Responsible for Implementation: Vice President for Finance and Administration; *Vice President for University Advancement*

Contact for Revision: Vice President for Finance and Administration; *Vice President for University Advancement*

Forms: ~~Nomination for a New Monument, Marker or Artwork, Application for Removal of an Existing Monument, Marker or Artwork on PPD website~~None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: New Employee Orientation

Policy Number: 11.17

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): The purpose of this policy is to ensure that new employees receive sufficient orientation to enable them to perform their assigned duties. It is the responsibility of each hiring department to require new employees to participate in the new employee orientation.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor changes to reflect current process.

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Wyatt, Interim Human Resources Director
Damon Derrick, General Counsel

New Employee Orientation

Original Implementation: September 1990

Last Revision: April 11/30, 2022/49

Purpose

The purpose of this policy is to ensure that new employees receive sufficient orientation to enable them to perform their assigned duties. It is the responsibility of each hiring department to require new employees to participate in the new employee orientation.

General

The human resources department orients new employees to SFA in two different sessions: a benefit information session and a *general* ~~“Welcome Jacks”~~ orientation session. The hiring department is responsible for scheduling the new employee for each session with human resources.

The benefit information session is conducted by the human resources department ~~on or before~~ *within* the first 30 days of employment. In this session, the new employee receives detailed information about SFA benefits and retirement options available to new employees.

The *general* ~~“Welcome Jacks”~~ orientation is conducted within the first ~~60 days~~ *month* of employment by the human resources department. This session provides the new employee with ~~information~~ *an in-depth review* of SFA’s mission, vision, history, culture, policies, procedures, and traditions.

The human resources department also provides hiring departments with an orientation checklist that details appropriate topics to cover with all new employees. The checklist requires hiring departments to provide new employees with *department-specific* information ~~regarding department details~~, training requirements, and ~~information regarding~~ the expectations for performance of the job duties. The checklist should be returned to human resources upon completion *and it will be filed in the employee’s personnel file*.

While orientation is required for all new employees, the supervisor should maintain flexibility as to the extent of the orientation sessions, i.e., individuals having previous university employment may not require the in-depth training that would be needed by a first-time employee. At the supervisor's discretion, an employee transferring from one university department to another may *only need to complete the orientation checklist* ~~be required to participate only in the departmental employee orientation~~.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: News Releases (and Media Contact)

Policy Number: 15.3

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Chief Marketing Communications Officer

Purpose of Policy (what does it do): Guides interaction with news media. The intent of the this policy and its previous iterations clearly show that it is designed to guide more than just news releases, but also to advise on interacting with the news media.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☒ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The name change includes "Media Contact" to expand on the understanding beyond just news releases.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Graham Garner, Chief Marketing Communications Officer
Damon Derrick, General Counsel

News Releases *and Media Contact*

Original Implementation: 1950

Last Revision: April 30, 2019/11, 2022

The Division of University Marketing Communications is responsible for producing and distributing news releases, publishing and promoting news of the university, responding to media inquiries, and monitoring news coverage of the university.

The university requests members of the news media to coordinate all interviews, campus visits, and inquiries through the Division of University Marketing Communications.

Departments and individuals seeking media coverage concerning university activities ~~should~~*must* request assistance from *the Division of University Marketing Communications*, ~~which will work collaboratively with the requesting party to evaluate the newsworthiness of the activity.~~ When an activity is determined to be newsworthy, University Marketing Communications will prepare ~~and market, in coordination with the requesting party, and promote~~ a release of information to the news media. ~~As a general guideline, requests for media coverage should be made a minimum of 10 days before the scheduled event.~~*public and news media.*

Departments and individuals ~~should~~*must* not contact the news media without ~~the assistance of University Marketing Communications.~~ News media receive numerous requests for coverage from a wide range of organizations and individuals. Uncoordinated coverage requests and/or requests for coverage of activities that may have little or no news value have the potential to diminish the effectiveness of University Marketing Communications ~~when it makes requests for coverage.~~*Division of newsworthy activities.* University Marketing Communications ~~may grant exceptions to select university divisions regarding this aspect.~~ Coverage requests, statements, and policies of ~~this policy,~~*the university, its component entities or representatives must be clear, consistent, and compliant.*

~~Upon occasion,~~*When members of the news media may directly contact university faculty or staff members seeking interviews or comments that may be published or broadcast. Faculty and staff members are encouraged, as time permits, to,* those individuals may share their insights on topics within their areas of scholarly study or professional expertise. Such participation has the potential to highlight the quality of university personnel, bring positive visibility to the university, and provide a valuable community service. ~~The faculty~~*Employees are discouraged from commenting on policies, actions, or staff member events outside of their immediate responsibilities or expertise.* Anyone contacted by the media ~~should~~*must* notify *the Division of University Marketing Communications* of the interview request. ~~University Marketing Communications can assist both sides in facilitating the interview and monitor the media outlet for publication or broadcast of the interview.~~

Cross Reference: None

Responsible for Implementation: Vice President for University Advancement
Division

~~**Contact for Revision:** Executive Director of University Marketing Communications, Chief
Marketing Communications Officer~~

Contact for Revision: Chief Marketing Communications Officer

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Payment Card Acceptance and Security

Policy Number: 14.8

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/20/2021

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy defines the requirements and responsibilities for maintaining compliance with the Payment Card Industry's Data Security Standard (PCI-DSS) at SFA. Achieving and maintaining Payment Card Industry (PCI) compliance mitigates the potential of data breaches and allows our departments and affiliated organizations (merchants) to take payment cards with a level of risk acceptable to the university. This policy is supplemental to any other information security policies currently in effect at the university.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Minor Changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Michaelyn Greene, Director of Treasury and Student Business Services
Damon Derrick, General Counsel

Payment Card Acceptance and Security

Original Implementation: July 21, 2009

Last Revision: April 11/20, 2022+

Purpose

This policy defines the requirements and responsibilities for maintaining compliance with the Payment Card Industry's Data Security Standard (PCI-DSS) at Stephen F. Austin State University (the university). Achieving and maintaining Payment Card Industry (PCI) compliance mitigates the potential of data breaches and allows our departments and affiliated organizations (merchants) to take payment cards with a level of risk acceptable to the university. This policy is supplemental to any other information security policies currently in effect at the university.

General

Stephen F. Austin State University takes steps to ensure full compliance with the PCI-DSS. All payment card handling activities and related technologies must comply with the PCI-DSS. Payment card handling activities must be conducted as described herein and in accordance with the guidelines in the Payment Card Security Handbook, maintained on the university's PCI website.

This policy will be reviewed at least annually and updated as needed to reflect changes to business objectives or the risk environment.

Applicability

~~This policy applies to all personnel who store, process, transmit, have access to, or can affect the security of payment card data, including faculty, staff, contractors, and students who are employed or utilized by the university.~~ *This policy applies to all faculty, staff, students, contractors, volunteers, and third-parties who store, process, transmit, have access to, or can affect the security of payment card data in physical or electronic format on behalf of or in association with the university SFSU. This includes any entity that utilizes any part of the university SFSU network infrastructure for payment card transaction services.* This policy also applies to any employee who contracts with a third-party vendor to handle and/or process payment card data on behalf of the university. All vendors, contractors, and business partners who store, process, transmit, have access to, or can affect the security of payment card data on behalf of the university will state in their contract that they are and will remain compliant with the PCI-DSS at all times.

All computers, electronic devices, or other resources at the university used in payment card processing are governed by this policy and subject to PCI-DSS requirements. This includes but is not limited to workstations which are used to enter payment card information into a central system, cash registers, point-of-sale terminals connected to a phone line or the university network, printers, scanners, and any other devices through which the payment card data is transmitted or on which payment card data is stored. Also covered are website storefronts that redirect customers to another website to enter payment information. In addition, all paper forms or receipts containing cardholder data are also covered under this policy.

Responsibilities

The vice president for finance and administration is responsible for oversight of the PCI compliance program. The vice president for finance and administration will designate specific individuals who will have responsibility for the development, implementation, and administration of the program. These individuals will serve on the PCI Steering Committee and will assist the university in achieving and maintaining compliance with the PCI-DSS and in reducing the scope of items that will need to be compliant with the PCI-DSS.

The vice president for finance and administration will also designate program representative(s) who will review and approve all requests to accept payment cards, perform all necessary actions to ensure PCI compliance, and respond to any suspected payment card information threat.

University merchants will establish and maintain documented procedures for complying with this policy and the PCI-DSS and will follow guidelines established in the Payment Card Security Handbook.

Requirements

PCI-DSS compliance is mandatory for any department or affiliated organization that accepts, captures, stores, transmits, and/or processes payment card information. Only authorized and properly trained employees, vendors, or temporary employees may accept and/or access payment card information. Each person who has access to payment card information is responsible for protecting the information in accordance with the PCI-DSS and university policy.

Only PCI-DSS compliant equipment, systems, and methods may be used to process, transmit, and/or store payment card information. All equipment and systems used to process, transmit, and/or store payment card data must be approved by the designated program representative(s). Payment cards cannot be processed, transmitted, and/or stored using the university's network unless all technical controls required by the PCI-DSS and other applicable university policies are approved by the designated program representative(s).

University departments and affiliated organizations must obtain advance approval from the program representative(s) designated by the vice president for finance and administration before accepting payment cards for payment of goods or services, or before entering into any contracts or purchases of software and/or equipment related to payment card processing. Once approved, copies of contracts must be forwarded to the designated program representative(s). University departments and affiliated organizations are required to use the university's preferred service provider. Exceptions may be granted only after a request from the payment card processor has been reviewed and approved by the PCI Steering Committee. When an exception has been granted, the merchant remains responsible for ensuring the service provider is PCI compliant and providing ongoing certification of compliance to the designated program representative(s).

Cardholder data must not be transmitted or accepted in an insecure manner. Insecure methods of transmitting or accepting cardholder data include but are not limited to unencrypted wireless, email,

fax, and campus mail. Printed receipts or other physical materials containing cardholder information must be stored in a secure environment until they are processed. Payment card information must be destroyed in a secure manner as soon as it is no longer needed.

Credit card information must not be stored on any electronic device including university network servers, workstations, laptops, tablets, and cell phones-unless it is explicitly approved for use as part of the cardholder data environment.

Training

All personnel in positions that store, process, transmit, have access to, or affect the security of payment card data will complete PCI-DSS training upon hire and at least annually. These personnel will also acknowledge, in writing or electronically, that they have read, understand and will comply with these policies and procedures.

Incident Response

All security incidents, including suspected exposure or theft of payment card information, must be reported in accordance with university policy 1

4.14, Information Security Incident Response and Reporting. All PCI users should be familiar with this policy and are responsible for reporting any incident of theft, fraud, or misuse of payment card data.

Enforcement

Periodic reviews may be performed to validate compliance with this policy. If the requirements of this policy are not followed, suspension of payment card options may result. Substantial fines may also be imposed by payment card companies if a security breach and subsequent compromise of payment card data occurs.

Employees in violation of the PCI-DSS and this policy may be subject to a range of sanctions including loss of computer network access, disciplinary action or legal sanctions.

Cross Reference: PCI Security Standards; Payment Card Security Handbook; Receipts and Deposits (3.26); Information Security Management (14.1); Information Security Incident Response and Reporting (14.14); ITS Policy Handbook

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revisions: Vice President for Finance and Administration

Forms: Application for Exception from Use of University Preferred Electronic Payment Service, Statement of Intent to Comply with the University Policy for Payment Card Acceptance and

Security, Payment Card Processor Registration Form, Confidentiality Statement

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Payments to Human Research Subjects

Policy Number: 8.8

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): Policy regards to human subjects who may incur personal costs for research and entitlement to be reimbursed.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee

Lorenzo Smith, Provost and Executive Vice President for Academic Affairs

Damon Derrick, General Counsel

Payments to Human Research Subjects

Original Implementation: July 21, 2009

Last Revision: ~~January 29, 2019~~ April 11, 2022

During the conduct of research studies with human subjects, it is recognized that participants may incur personal costs for which they are entitled to reimbursement. It is also desirable in some instances to provide a reward or recognition to participants for the time and effort they have devoted to participating in a research project.

At the time of application to the Stephen F. Austin State University (SFA) Institutional Review Board (IRB) for approval of the conduct of research studies with human subjects, the principal investigator must present a rationale to establish the appropriate level of compensation for participants in the study.

Any reimbursement or incentive to participants in a research study must not involve coercion or constitute undue inducement or influence an individual's decision to participate in the study.

Subject to university policy, cash, gift cards and gifts such as t-shirts or coffee mugs may be used for compensation and/or personal expenses such as travel and childcare costs may be reimbursed. Gifts must be provided to participants at the completion of the relevant activity. Payments by check should be avoided as they require disclosure of personal information to the business office.

Use of Grant Funds – Reimbursements or incentives for participation in a research study must be detailed in the grant application and in the application to the IRB by method and amount. The payments must be approved by the funding agency and the IRB.

Informed Consent - It is critical that participants are informed during the consent process that if, either in one or multiple studies in a given calendar year, the total payments and/or gift values exceed \$100, their social security number and contact information will be provided to the SFA business office to comply with Internal Revenue Service regulations. Further, study participants must be informed that if they receive payments that total more than \$599, they will receive a tax form from SFA at the end of the calendar year.

Finally, participants must be told that they can elect not to receive payments to avoid disclosure of this information to the SFA business office.

Documentation – Principal investigators are required to maintain a tracking list or spreadsheet with individual code numbers and payments of any value. Once compensation exceeds a total of \$100 in a calendar year, the principal investigator must record the individual's name, social security number, address, and signature at the time of payment. Unless the study guarantees participant anonymity, the principal investigator must also keep a master list linking code numbers and

individual participant names, which must be kept in a password-protected computer file and/or locked filing cabinet. The tracking spreadsheet or other documentation with study and individual code numbers must be retained by the principal investigator for a minimum of five years after completion of the study or the requirements of the specific grant award, whichever is longer.

Cross Reference: Ethical Principles and Guidelines for the Protection of Human Subjects in Research: The Belmont Report; 45 C.F.R. § 46; Gifts, Prizes and Awards (3.18).

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

Contact for Revision: Dean of Research and Graduate Studies

Forms: SFA business office and Institutional Review Board forms

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Receipts and Deposits

Policy Number: 3.26

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/19

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy provides guidance for the internal control of receipt handling to all Stephen F. Austin State University (the university) departments who handle receipts and deposits. The university has delegated the authority and responsibility for maintaining procedures for all receipt-handling activities to the office of student business services. 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.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Organizational updates and removal of procedures from this policy.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Receipts and Deposits

Original Implementation: Unpublished

Last Revision: ~~January 29, 2019~~ April 11, 2022

Purpose

This policy provides guidance *for the internal control of receipt handling* to all Stephen F. Austin State University ~~(the university SFA)~~ departments *who handling* receipts and deposits. ~~The policy also encourages effective administration and internal control of receipt handling operations throughout the university. The university has delegated the authority and responsibility for maintaining procedures for all receipt-handling activities to the office of student business services.~~
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.~~

Definitions

~~The~~ **Custodian** is anyone who handles cash and receipts.

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.*

~~A~~ **Refund** is the return of funds for a transaction that occurred on a prior business day.

Cashier's check is 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 is a personal check guaranteed by the bank; the check is stamped "certified" and signed by a bank officer.

Money order is 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 is 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 is 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 is 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 ~~personalized~~ 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.~~

Counter check is a non-personalized, non-encoded check that is available at most banks.

Third-party check is a check made payable to a person or organization other than the one accepting or cashing the check (e.g. a paycheck).

Foreign check is 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.~~

General

The *vice president of finance and administration* ~~university~~ has delegated the authority and responsibility for establishing procedures for all receipt-handling activities to the *director of treasury and student business services* ~~controller's office~~. ~~In carrying out the responsibility for maintaining procedures for all receipt-handling activities is duty,~~ the ~~controller's office of student business services~~ is responsible ~~to for~~:

1. ~~Establishing and enforcing~~ procedures governing the receipt, handling, custody, and disbursement of funds.
2. ~~Requiring the establishment and~~ maintenance of records *that accounting* for funds received and paid by the university.
3. ~~Opening and closing bank accounts and transferring funds among such accounts as necessary and prudent, considering current interest rates and collateral levels.~~
- 4.3. ~~Establishing and authorizing~~ procedures for granting, maintaining, and terminating the ~~departmental~~ collection of university funds *by a department, office, or affiliated organization that handles university receipts.*

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 controller's office student business services office or audit services may perform periodic audits of any department or affiliated organization with university receipt-handling operations.~~

Any individual handling university receipts ~~is responsible~~ *must remain familiar with the provisions of this policy, to the university for and ensure* 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. In rare instances, non-employees (i.e. students or volunteers) may be authorized to accept funds for the university if written approval is obtained from the *director of treasury and student business services or their designee* ~~bursar~~. In these cases, an employee is responsible for ensuring that these persons are properly trained and receipts are handled appropriately. All persons accepting funds for the university 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.

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 policies established in this document, each department that handles receipts is required to have its own internal 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 *student business services* 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.~~
- ~~• All forms of payment including cash, checks, and credit card receipts 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 taken 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 (see Endorsement Stamps, below).~~

Prohibition Against Transactions Involving Family Members

Employees may not receipt, accept, or handle checks, cash, or deposits from a relative, as defined by policy 11.16, Nepotism. Family member status is not terminated by death or divorce.

Custodian Responsibilities

Custodians should be familiar with this policy and with Receipting Guidelines and Procedures found on the Student Business Services website.

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 *student business services* controller's office, internal or external auditors, or the department head. Specific information on appropriate documentation can be found ~~under~~ in *Receipting Revenues Guidelines and s Procedures*, ~~below. on the SFA Student Business Services website (add link).~~

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 *student business services* 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: -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 *student business services* office. All refunds should be processed by the completion of a purchase voucher in adherence to the procedures as established by the *procurement and business services* 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 *procurement and business services* controller's office. All funds must be deposited into a university account before a department may use the receipted funds.

Training Requirements: Mandatory receipts training is required of all employees whose job duties include the acceptance, record keeping, and deposit of university receipts. ~~Additionally~~ Additionally, ~~in accordance with policy 14.8, Payment Card Acceptance and Security,~~ separate training is required for employees who handle payment cards. Receipts and payment card training is required on an annual basis and should be coordinated through the *student business services* office.

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 format. 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 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. Numbers of each book distributed
3. Signature by the person receiving the book(s)
4. 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. 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 format). 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 (2.9)) must be adhered to for all receipts, receipt books, Deposit Summary Forms, and any other backup. Copies of checks and other confidential information should not be retained. 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 forms of payment with proper identification:

- ~~Cashier's Check~~
- ~~Certified Check~~
- ~~Money Order~~
- ~~Traveler's Check~~
- ~~Personal Check~~
- ~~Starter Check~~

Unacceptable forms of payment
without permission of the business office:

- ~~Counter Check~~
- ~~Third Party Check~~
- ~~Foreign Check~~

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

Item	Verification
Account holder's name, address, phone	Verify the information is included on the check. A daytime phone number is preferred.
Bank coding and holder's account	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.
Date	Verify check is not stale dated or postdated.
Amount	Verify that numerical amount is same as written amount.
Signature	Observe that check is signed.

Credit Cards

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

- ~~Visa~~
- ~~American Express~~
- ~~MasterCard~~
- ~~Discover~~

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

- ~~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 (14.8)).

Specific instructions for handling credit card transactions will be provided during receipt training and payment card training (see Training Requirements, above).

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 five (5) calendar days or when \$100 or more in receipts have accumulated, whichever comes first. The business office will establish the time of day that deposits must be received. Deposits must not be mailed to the business office.

All checks must be restrictively endorsed immediately upon receipt (see Endorsement Stamps above).

Preparing and Making the Deposit

It is the responsibility of the department to accurately count all currency and checks collected. All currency must be separated by denomination and a calculator tape should be included to reflect this itemization. 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.

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: Records Management (2.9); Payment Card Acceptance and Security (14.8); Returned Payments (3.27); Nepotism (11.16)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: ~~Controller~~ *Director of Treasury and Student Business Services*

Forms: *None* ~~Deposit Summary Form~~

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Reproduction of Copyrighted Works by Educators and Librarians

Policy Number: 9.2

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): Policy discusses copyright act of others work.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Text updates for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

Reproduction of Copyrighted Works by Educators and Librarians

Original Implementation: 1979

Last Revision: April 30, 2019/11, 2022

The Copyright Act (17 U.S.C. §§ 101-1332) affects all types of reproduction and/or use of others' works. The following ~~guidelines~~ *policy* provides general copyright information *and guidelines* useful to the academic community.

Public Domain

~~Public domain refers to creative materials that are not protected by intellectual property laws such as copyright, trademark, or patent laws. Generally, if a work was published without copyright notice under the authorization of the copyright owner and the law does not provide an exception for the omission, the work is in the public domain if published in the U.S. 95 years after the author's death after 1922 (as of 2021, 1926 or earlier) but before March 1, 1989. The presence or absence of a copyright notice is not of significance in determining whether a work is copyrighted or is in the public domain. for works published on or after March 1, 1989.~~

Public domain refers to creative materials that are not protected by intellectual property laws such as copyright, trademark or patent laws. Consult the U. S. Copyright Office website (<https://www.copyright.gov/>) to determine when specific creative materials are in the public domain. The presence or absence of a copyright notice is not of significance in determining whether a work is copyrighted or is in the public domain.

The following factors may be used to determine what constitutes a public domain work:

- works that lack originality (e.g., phone book (*white pages*));
- works that are no longer protected by copyright;
- freeware (must be expressly stated);
- U.S. Government publications;
- facts or theories; or,
- ideas, short phrases, processes, methods, and systems described in copyrighted work that are not otherwise protected by patents.

Copies in the Library (17 U.S.C. § 108)

~~When library staff are copying or digitizing~~ *duplicating materials for a patron, the responsible party* ~~patron~~ will include the following:

- any copyright notice on the original;
- appropriate citations and attributions to the source; and,

The library staff member will:

- ~~a Section 108(f)(1) stamp the sentence below on the first piece of each item photocopied, attach it to the glass on the photocopying equipment so that it is automatically transferred to each sheet, attach a sticker bearing this notice to each item photocopied, or use some other method whereby this message is affixed to all reproductions. notice indicating that making a copy may be subject to copyright law.~~

“Notice: This material may be protected by copyright law (Title 17 U.S. Code).”

Fair Use Guidelines (17 U.S.C. § 107)

In determining whether the use of a work is fair use, all four of the following statutory factors should be considered:

- (1) the purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes;
- (2) the nature of the copyrighted work;
- (3) the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
- (4) the effect of the use upon the potential market for or value of the copyrighted work.

Single Copying for Instructional Use

The following guidelines can be followed in copying materials by faculty, however the law may allow more or less to be copied than stated in these guidelines. A single copy may be made of any of the following by or for a faculty member at his or her individual request for his or her their scholarly research or instructional purposes:

- (1) a chapter from a book;
- (2) an article from a periodical title or newspaper;
- (3) a short story, short essay or short poem, whether or not from a collective work;
- (4) a chart, graph, diagram, drawing, cartoon, or picture from a book, periodical, or newspaper;
- (5) a single copy of an excerpt from a musical work, provided the excerpt is less than 10% of the entire work and is less than a performable unit, such as a section, movement, or aria; or,
- (6) a single copy of an entire work, provided a copy cannot be obtained at a fair price.

Multiple Copies for Instructional Use

Multiple copies (not to exceed in any event more than one copy per pupil in a course) may be made by or for the faculty for classroom use or discussion; ~~provided that~~ copies in excess of this amount may be permissible in some circumstances under fair use. Copying ~~will~~ may not be repeated with respect to the same item for use by the same individual from term to term. In all circumstances other than the specific fair use guidelines described above for single or multiple copies, permission must be obtained from the copyright holder.

General Guidelines for Copyrights Related to Academic Activities

Reproduction by Libraries and Archives (17 U.S.C. § 108)

Under Section 108 of the Copyright Act, the library is authorized to exercise special rights in addition to fair use.

- To archive lost, stolen, damaged, or deteriorating works, if a replacement cannot be obtained at a fair price;
- To engage in isolated and related reproduction or distribution of a single copy for library patrons; and,
- To provide, at the request of another library, a copy of an article or book chapter through interlibrary loan. The library may acquire up to five copies of an article from a journal published within the last five years within a calendar year. If a request exceeds the five copies permitted, the library will pay copyright royalties to the Copyright Clearance Center for subsequent requests.

For works in the last 20 years of protection and not available at a fair price, more generous copying than indicated herein may be performed, provided the purpose of the copying is to support preservation, scholarship, or research.

Reserve Collections

It is strongly recommended that faculty link to items in the library's databases to the university's learning management system instead of duplicating materials for a class. Copies that are digitized for placement in the university's learning management system should be structured to limit access to students registered in the course for which the materials have been placed on reserve and to instructors and staff responsible for the course or the electronic system. The availability of these materials should be limited to the duration of the course.

When ~~digitizing~~ ~~duplicating~~ copyrighted works for this purpose, the following limitations should be observed:

- single articles or chapters; several charts, graphs or illustrations; or other small parts of a work;
- a small portion of materials required for the course; or,
- copies of materials a faculty member or the library already possesses legally (i.e., by purchase, license, fair use, interlibrary loan, etc.).
- *Digital Rights Management (DRM) protections on materials may not be circumvented.*

Course-pack Guidelines

The Fair Use Guidelines are applicable to course-packs. The faculty/staff member who compiles course-pack materials will be responsible for complying with ~~these~~ *the four factors of Fair Use guidelines*.

Using a commercial copy shop does not necessarily relieve the course-pack creator of liability, unless the ~~above guidelines~~ *four factors of Fair Use* are followed or the copy shop pays appropriate royalties. ~~Campus copy centers are not permitted to copy course-packs, unless these guidelines are followed.~~

Computer Software

Only explicitly stated freeware, not shareware or other licensed software, is allowed to be freely used without a license. Appropriate licenses must be obtained for all other software use. The software user is responsible for reading and complying with all license agreements. Other university computer use policies ~~will~~ also apply.

Guidelines for Music

The university maintains some general licenses for copyrighted music use with Broadcast Music Incorporated (BMI) and American Society of Composers, Authors and Publishers (ASCAP) for specific use areas (College of Fine Arts, Student Activities, etc.). Beyond those areas, use of music must be licensed or specific permission obtained. General guidelines for copying music are outlined below.

Copying will be limited to:

- entire works of sheet music for performance-related emergencies;
- performable units of sheet music (movements, sections, arias, etc.) if out of print;
- recordings of student performances for teacher or institutional evaluation or student's portfolio; and,
- one copy of sound recordings for classroom or reserve room use.

If emergency copies are made, they must be replaced with purchased originals as soon as practical.

Performances and Displays in Face-to-Face Teaching and Broadcasts

Educational institutions and governmental agencies are authorized to publicly display and perform others' works in the course of face-to-face teaching activities, and ~~to a limited degree,~~ in broadcasts ~~where there is a delayed transmission~~ of faculty instruction. These rights are described in Sections 110 (1) and (2) of the Copyright Act: *(The TEACH Act)*.

Performances and Displays in Distance Learning *(17 U.S.C. § 110 (1) (2) - the TEACH Act)*

Sections 110(1) and (2) of the Copyright Act ~~may does not cover~~ *supersede* fair use *under 17 U.S.C. § 107* of the ~~performance of others' works in online course materials~~ *copyright act*. For

purposes of distance learning, ~~small~~ parts of others' works may be used for a limited time, and only if a faculty member or the institution possesses a legal copy of the work.

Access will be limited to students enrolled in the class and administrative staff, and will be terminated at the end of the class term.

Digitizing and Using Images for Educational Purposes

An image should be purchased or licensed if it is available at a fair price. If an image is not readily available online or for sale or license at a fair price, it ~~should~~ *may* be digitized ~~and if~~ used according to the following guidelines:

- Access should be limited to students enrolled in the class and administrative staff as needed, and terminate access at the end of the class term (use of "thumbnails" is typically considered fair use and may be used accordingly, without this more stringent restriction).
- Use of these images at conferences is permissible.
- Students may download, transmit, and print these images to complete academic requirements, and may keep works containing images in their portfolios.
- ~~Unnecessary copies are not permissible.~~

Digitizing and Using Others' Works in Multimedia Materials for Educational Purposes

The Conference on Fair Use (CONFU) suggests that: fair use adheres to specific numerical portion ~~limits~~ *guidelines*; copies of the multimedia work should be strictly controlled; and fair use "expires" after two years. Although these are important considerations, CONFU ~~numerical limits~~ *guidelines* do not constitute the outer limits of fair use for educational purposes.

The guidelines herein allow for the creation of unique works within the limitations provided, but not to make or distribute multiple copies. (Multimedia materials that will be licensed, distributed, or sold must obtain appropriate permission from each applicable copyright holder.)

Students, faculty, and staff may incorporate others' works into a multimedia work, and display and perform a multimedia work in connection with or creation of required academic and professional materials.

~~All employees who assist in making copies must comply with the fair use guidelines. All public copy machines or public copy centers on campus must have a warning notice on or near each machine which states that the responsibility for copyright infringement rests with the user. The use of printed copyright warnings transfers a portion of the responsibility for copyright compliance to the~~ individual ~~user.~~

Personal liability for copyright infringement can be created for willful acts. This policy has been formulated to provide specific guidance on the variety of circumstances where fair use is

permissible. The copyright law provides a good faith fair use defense (17 U.S.C. § 504(c)(2)). It applies only if the person who copied material reasonably believed that what he or she did was fair use.

Federal legislation entitled the No Electronic Theft (NET) Act creates criminal penalties for non-commercial copyright infringement of a sufficient dollar value. The academic community must be aware that distribution of pirated computer software or other copyrighted material on computer bulletin boards or other methods of distribution may constitute a federal crime, regardless of whether or not the infringer receives financial gain.

The Digital Millennium Copyright Act (DMCA) limits university liability as an internet service provider for certain copyright infringements created on-line. The university's registered agent for on-line copyright infringement complaints ~~will be~~ is the general counsel. The DMCA establishes procedures whereby, upon receipt of proper complaints, the university will block access to or take down allegedly infringing material and notify the web page owner of the complaint. Alleged infringers may issue a counter-notice, which includes a signature, description of removed material, explanation why the material did not infringe any copyright, and their name, address and phone number, with a consent to the jurisdiction of the court to be sued. Upon receipt of this counter-notice, the university will re-post the material. Repeat infringers will be subject to termination of internet service by the university.

Recording of Broadcasts for Educational Use

Material transmitted for public programming by broadcast stations, cable systems, satellite, or any other transmission medium may be recorded and used for educational purposes in accordance with federal copyright law, except where forbidden by an explicit agreement between the parties originating and receiving the program or information. Broadcast programs are televised programs transmitted by television stations for reception by the general public without charge. Programs may not be recorded from a television satellite/cable unless these programs are authorized for free reception or the institution obtains a license to copy the programs.

The following guidelines must be observed in the off-air recording of broadcast programming for educational use:

- (1) A broadcast transmission may be recorded off-air simultaneously with the broadcast transmission (including simultaneous cable retransmission) and retained by Stephen F. Austin State University (SFA) for a period not to exceed forty-five (45) consecutive calendar days after the date of the recording. Upon conclusion of the retention period, all off-air recordings must be erased or destroyed immediately by the holder of the recording.
- (2) An off-air recording may be used only once by an instructor for relevant teaching activities, but may be repeated one other time when instructional reinforcement is necessary. All use of recordings must be in a classroom or in similar places devoted to instruction during the first

ten (10) consecutive school days in the 45-calendar-day retention period. School days are defined as school session days (not counting weekends, holidays, vacations, examination periods, or other scheduled interruptions) within the 45-calendar-day retention period.

- (3) Off-air recordings may be made only at the request of and used by individual instructors and may not be regularly recorded in anticipation of requests. No broadcast program may be recorded off-air more than once at the request of the same instructor, regardless of the number of times the program may be broadcast.
- (4) An off-air recording may be copied to a limited legitimate number of copies to meet the needs of instructors under these guidelines. Each additional copy will be subject to all provisions governing the original recording and must contain the copyright notice of the broadcast program as recorded.
- (5) If the instructor wishes to add the broadcast program to the curriculum, permission must be obtained from the copyright owner.

Off-air recordings need not be used in their entirety. The recorded programs may not be altered from their original content. Off-air recordings may not be physically or electronically combined or merged to constitute teaching anthologies or compilations.

Further information can be obtained by accessing the webpage of the U.S. Copyright Office within the Library of Congress at: <http://www.copyright.gov>. The university's general counsel may be contacted with specific inquiries.

Cross Reference: 17 U.S.C. §§ 101-1332; No Electronic Theft (NET) Act, Pub. L. No. 105-147, 111 Stat. 2678; Digital Millennium Copyright Act (DMCA), Pub. L. No. 105-304, 112 Stat. 2860 (1998); CONFU Guidelines, ~~Computer and Network Security~~ *Acceptable Use of Information Resources* (14.2); ~~Computing Software Copyright~~ (9.1); Digital Millennium Copyright (9.3);

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

Contact for Revision: Library Director, General Counsel

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Skating, Skateboarding, and Motorized Scooters

Policy Number: 13.20

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): The purpose of this regulation is to establish guidelines governing the use of skateboards, rollerblades, or other types of skating apparatuses.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Definitions added and text updates for clarification.

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Fields, Chief of Police
Damon Derrick, General Counsel

Skating, Skateboarding, and Motorized Scooters

Original Implementation: January 24, 1989

Last Revision: April 11/30, 2022~~19~~

Purpose

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

Definitions:

Skateboard *is* – a non-motorized device where two or more wheels are attached to a platform upon which the rider stands.

Rollerblades *are a* –shoe or device that attaches to a shoe, having one or more sets of wheels.

Hover Board *is* – a motorized personal vehicle consisting of a platform for the feet mounted on two wheels and controlled by the way the rider distributes their weight.

Motorized Scooters ~~*are*~~ – a power stand-up scooters using a small unit gas engine or electric motor.

Regulations:

1. Persons choosing to ride a skateboard or use rollerblades may do so as a means of transportation only on sidewalks while on the university campus.
2. Persons riding a skateboard or rollerblades shall keep all of the wheels on the ground while operating them as a means of transportation. At no time shall a rider perform any stunts or acts that could be deemed as stunts, or act in a way that impedes pedestrian traffic on the sidewalks.
3. The rider shall refrain from using a skateboard or rollerblades on any public street, parking garage facility, Homer Bryce Stadium, Johnson Coliseum, or in any building.
4. Persons riding a skateboard or rollerblades shall yield the right of way to all pedestrians, motorized vehicles, and bicycles.
5. Persons riding a skateboard or rollerblades shall not ride in or around any areas of construction on the university campus.
6. The use or storage of hover boards on campus is prohibited.
7. Motorized scooters *and motorized skateboards* are prohibited on campus unless prescribed by a qualified medical provider with appropriate medical documentation. Students must also receive approval by the Office of Disability Services.

8. Events that have been prearranged, with proper facility reservations, approval from the University Police Department, and under the direct supervision of the Campus Recreation Department, such as skateboarding club or rollerblading club practices and competitions, are not subject to these regulations.

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

Cross Reference: Accessibility for Persons with Disabilities (2.2); Parking and Traffic Regulations (13.14), as related to bicycles

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

Contact for Revision: Chief of University Police

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Solicitation on Campus

Policy Number: 16.25

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/20/2021

Unit(s) Responsible for Policy Implementation: Vice President of Student Affairs

Purpose of Policy (what does it do):

Reason for the addition, revision, or deletion (check all that apply):

☐ Scheduled Review ☒ Change in law ☐ Response to audit finding

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Adjusted policy to refer alleged violations of this policy to the appropriate office for students or employees. Also updated references to comply with new law.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Student Affairs Policy Review Committee

Andrew Dies, Assistant Vice President of Student Affairs/Dean of Students

Brandon Frye, Vice President of Student Affairs

Damon Derrick, General Counsel

Solicitation on Campus

Original Implementation: July, 1980

Last Revision: April 20, 2021/11, 2022

Definitions

1. Solicitation means the sale or offer for sale of any property or service, whether for immediate or future delivery, and the receipt of, or request for, any gift or contribution. However, this term does not apply to an appointment between a student or employee, and another person (solicitor); if the appointment does not interfere with or disturb the normal activities of the student or employee, or the university.
2. Campus shall mean all real property over which the university has possession and control by law.
3. University group shall mean a recognized student, faculty, or staff organization.
4. Outside group shall mean any organization or group that is not included within the term "university group."
5. University agent shall mean a person acting in the course and scope of that individual's employment on behalf of an academic college, department, or program, or a university council, committee, or auxiliary enterprise.
6. University function shall mean any activity directly sponsored by the university.
7. University department shall mean any academic or administrative department of the university.

Time, Place, and Manner Regulations

1. No solicitation shall be conducted in any building or structure on the campus. However, the following activities shall not be deemed to be solicitations prohibited by this section:
 - a. From the day the residence halls open through the first day of classes each semester, the sale or offer for sale of any newspaper in an area designated by the appropriate university official.
 - b. The distribution, sale or offer for sale of any newspaper, magazine, or other publication by means of a vending machine or rack in an area designated in advance by the appropriate university official.
 - c. The sale or offer for sale of any food or drink item by means of a vending machine in an area designated in advance by the appropriate university official.
 - d. The sale or offer for sale of any publication of the university or of any book or other printed material to be used in the regular academic work of the university.
 - e. The operation by the university or its subcontractor of any bookstore, specialty store, laundry service, dining and retail facilities, student center, or other service facility maintained for the convenience of the students, faculty, and staff.
 - f. The sale or offer for sale by the university or its sub-contractor of food and drink items,

- programs, and tickets at athletic contests.
- g. The collection of membership fees or dues by a university group.
 - h. The collection of admission fees for the exhibition of movies or other programs that are sponsored by the university, or a university group, and are scheduled in accordance with the Use of University Facilities (16.33) policy.
 - i. The posting of ads and for sale notices in newspapers or on campus kiosks designated for such purposes by the appropriate university official, provided that such ads and notices posted on bulletin boards conform to the Expressive Activities (16.4) policy.
 - j. University recognized groups conducting fund raising activities approved by the appropriate university official. The university requires that only members of the group approved to conduct fundraising may solicit directly. Non-members may not be used to solicit on behalf of the organization.
 - k. Other solicitation activities as approved by the appropriate university official.
2. No solicitation shall be conducted on the grounds, sidewalks, and streets of the campus except by:
 - a. a university agent; or
 - b. a university group.
 3. Solicitation to buy complimentary copies of textbooks are specifically prohibited anywhere on the campus or in any building.
 4. Only university departments and the SFA Alumni Association may be approved to solicit as agents of a commercial organization.
 5. Solicitation conducted on the campus must not:
 - a. disturb or interfere with the regular academic or institutional programs of the university;
 - b. interfere with the free and unimpeded flow of pedestrian and vehicular traffic on the sidewalks and streets and at places of entry and exit to university buildings;
 - c. harass or intimidate the person or persons being solicited; or
 - d. violate an exclusivity agreement entered into with the university.
- ~~6. If an employee or faculty or staff organization violates the provisions of this policy, the incident should be reported to Human Resources. If an individual student or student group violates the provisions of this policy, the appropriate university official, with the approval of the vice president to whom that individual reports, may prohibit the offender from engaging in any solicitation on the university campus for a specified period~~
- ~~7.6. of time not to exceed one (1) year~~ *an incident report should be filed with the Dean of Students Office. Any violations by an outside group should be reported to the Vice President for Finance and Administration. In the case of a repeated violation of these rules, the following sanctions shall may apply:*
- a. ~~The appropriate university official with the approval of the vice president to whom the individual reports~~ *The Assistant Vice President of Student Affairs and Dean of Students, or their Designee, may suspend or cancel the recognition status of an offending student organization.*
 - b. *The appropriate university official* ~~The appropriate university official, with the approval~~

- of the vice president to whom the individual reports, may suspend the use of university facilities by an offender in accordance with the Penalty and Hearing section of the Use of University Facilities (16.33) policy;
- c. The university may prosecute an offender for trespass in accordance with Chapter 51 of the Texas Education Code.

Procedures for Conducting Raffles on Campus

1. University groups authorized to conduct raffles under the Charitable Raffle Enabling Act (Tex. Occ. Code Ch. 2002) may conduct raffles on campus
2. All proceeds from the sale of tickets must be spent for the charitable purposes of the organization.
3. The qualified university group is limited to ~~two~~ *four* (24) raffles per calendar year (January 1 - December 31) and may not conduct more than one (1) raffle at a time. This will be monitored by the Office of Student Engagement ~~Programs~~ within the Division of Student Affairs.
4. The sponsoring university group may not promote the raffle through television, radio, newspaper, or other medium of mass communication by the use of paid advertising, or promote or advertise statewide, other than on the university group's internet website or through a publication or solicitation, including a newsletter, social media or e-mail, provided only to previously identified supporters of the university group, or sell or offer to sell tickets for the raffle statewide.
5. The university group conducting the raffle may not compensate a person directly or indirectly for organizing or conducting a raffle or for selling or offering to sell tickets to the raffle, unless that person is employed by the university group and the work organizing or conducting the raffle is no more than a de minimis portion of that person's employment with the university group. Persons who are not members of the university group may not sell or offer tickets to the raffle.
6. The university group conducting the raffle must have the prize in its possession or post bond for the full amount of the money value of such prize before raffle tickets are sold. The prize awarded at a raffle may not be money and the value of the prize may not exceed \$275,000. The following must be printed on each raffle ticket sold or offered for sale:
 - a. the name of the university group conducting the raffle and the address of the organization or of a named officer of the organization;
 - b. the price of the ticket; and
 - c. a general description of each prize that has a value of more than \$10 and is to be awarded in the raffle.

Financial Policies of Student Organizations

1. The Vice President ~~offer~~ Student Affairs or designee may request a financial statement of any student organization at any time. The requirements of the financial statement shall be established by the *Assistant Vice President of Student Affairs and Dean of Students, or their*

Designated dean of student affairs.

2. Any registered student organization failing to comply with the provisions of this section may be subjected to sanctions provided by the Time, Place, and Manner Regulations section.

Additional Rules

In addition to these rules, solicitation conducted in:

- a. residence halls must comply with the rules governing residence halls.
- b. the Baker Pattillo Student Center must comply with the rules governing the Baker Pattillo Student Center; and
- c. academic buildings must comply with the rules governing academic buildings.

Cross Reference: U.S. Const. amend. I; U.S. Const. amend. XIV, §1; Charitable Raffle Enabling Act, Tex. Occ. Code Ch. 2002; Tex. Educ. Code §§ 51.204, .209, 101; Use of University Facilities (16.33); Expressive Activities (16.4)

Responsible for Implementation: Vice President ~~off~~for Student Affairs

Contact for Revision: Vice President ~~off~~for Student Affairs; *Assistant Vice President of Student Affairs and Dean of Students*

Forms: Fundraising Approval

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Space Assignment, Management, and Planning

Policy Number: 16.3

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy establishes the process for assignment, reassignment, management, planning, and modification of Stephen F. Austin State University space to promote the most efficient stewardship of this limited resource.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Minor changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Branch, Interim Physical Plant Director
Damon Derrick, General Counsel

Space Assignment, Management, and Planning

Original Implementation: January 29, 2019

Last Revision: ~~None~~ April 11, 2022

Purpose

This policy establishes the process for assignment, reassignment, management, planning, and modification of Stephen F. Austin State University space to promote the most efficient stewardship of this limited resource.

Definitions

Space means all interior buildings and facilities and exterior areas owned or leased by the university.

Educational and general (E&G) space means an area which is used for academic instruction, research, and support of the institution's mission. It does not include space that is permanently unassigned, or space used for operations independent of the institution's mission.

Auxiliary enterprise space are buildings and facilities that are managed as essentially self-supporting activities. Examples are residence halls, food services, student health services, intercollegiate athletics, retail spaces, campus recreation, and student center spaces.

Space management refers to oversight of all university space and the assignment and reassignment of such to remain in compliance according to this policy and state and federal codes, regulations, and laws.

Space planning means the creation of ideas, solutions, and recommendations for space-related needs.

Space assignment means allocating/designating space ~~to~~ *for use by* a particular individual or unit.

Space reassignment means reallocating/re-designating space ~~from~~ *for use by* one individual or unit to another.

Routine maintenance includes expenditures made for the normal upkeep of physical properties (i.e. land, buildings, and equipment) including recurring, preventive, and on-going maintenance necessary to delay or prevent the failure of critical and non-critical building systems and excludes work that requires emergency attention, alters the structure, or supports an event.

General

Stephen F. Austin State University (not any group, individual, or unit within it) owns and/or controls all interior and exterior spaces on campus as well as additional properties off-campus including leased properties. All space decisions are based upon the Higher Education Coordinating Board (THECB) space utilization requirements and aligned with academic, research, clinical, administrative, or community engagement needs which are consistent with the strategic initiatives of the university. The assignment, reassignment, alteration, and/or reclassification of space are made to meet the overall needs and best interests of the university. Oversight and management of space will remain in compliance with this policy and state and federal codes, regulations, and laws.

Space Assignment, Reassignment, Construction and/or Renovation

Assignment and utilization of university space shall be the decision of the president or his/her delegate, who is authorized to assign or reassign space to any unit on campus. The president may delegate such decision-making authority.

~~Space modification or design requests are required for all changes to university space including, but not limited to reassignment, reclassification, and changes to capacity, use, or function, and alteration or renovation not considered routine maintenance. Space modification or design requests are Changes to the use of space are reviewed by the space modification assessment committee and/or the university master plan committee and recommendations are made to the cabinet for final review. submitted to the provost and vice president for academic affairs and to the vice president for finance and administration for final approval regarding E&G space and to the vice president for university affairs and to the vice president for finance and administration for final approval regarding auxiliary space.~~

Vacated Space

Space vacated within an academic or administrative unit due to normal employee turnover may remain internally assigned within that unit at *the* discretion of the president or his/her designee. Space vacated by an academic or administrative unit that occurs due to a permanent reduction in workforce, downsizing or elimination of a unit, reorganization, or relocation reverts to the university administration for re-assignment.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: President

Forms: Request for space modification or design is located on the SFA business forms webpage.

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student and Non-Student Accounts Receivable

Policy Number: 3.28

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/29/19

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy establishes guidelines for the prudent collection of student accounts receivable in the best interest of Stephen F. Austin State University (the university) and the State of Texas. Although this policy primarily applies to student accounts receivable, including certain university-issued short-term loans, processes stated herein may be used for other delinquent receivables from vendors and non-student accounts. This policy does not apply to the write-off of any federal loans.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Organizational updates and formatting and wording changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Student *and Non-Student* Accounts Receivable

Original Implementation: July 15, 2008

Last Revision: ~~January 29, 2019~~ April 11, 2022

Purpose

This policy establishes guidelines for the prudent collection of student accounts receivable in the best interest of Stephen F. Austin State University (*the university*) and the State of Texas. Although this policy primarily applies to student accounts receivable, including certain university--issued short-term loans, processes stated herein may be used for other delinquent receivables from vendors and non-student accounts. This policy does not apply to the write-off of any federal loans.

General

Procedures will be maintained by the ~~controller's~~ office of *student business services*, for at least the following:

- to ensure that the requested extension of credit is not a prohibited transaction.
- to ensure that any extension of credit (installment plan contract, ~~short-term loan request,~~ or repayment agreement) is done so in a prudent manner, including the use of standardized credit applications and legal authority required for approval of the requested ~~credit~~.
- to analyze whether credit should be extended to students who are in default on other obligations or for whom previous obligations have been written off as uncollectible. If a student account is past due, a transcript and registration hold will be placed on the account.
- for managing and monitoring the billing and collection activities on student accounts.
- for recording and monitoring *student billing* ~~credit extended~~ and subsequent payments received ~~on~~ student accounts.
- to ensure that amounts reported as receivables on the financial statement are recorded in accordance with generally accepted accounting principles.

Criteria for Recognizing an Account Receivable

A student account receivable will be recognized (recorded in the university's financial records) when:

- a student has enrolled for classes at the university or has been registered for classes by the university;

- a student has incurred charges for costs associated with attendance (tuition, fees, housing and meal charges, post office charges, book purchases, parking permits and fines, etc.) from which a benefit to the student is derived;
- payment is due to the university from the student or a third party;
- payment has not been received (collected) by the university from the student or third party;
- the account receivable does not represent an extension of credit that is prohibited by law; and,
- the recording is deemed to be appropriate by the university's fiscal officers.

Recording an Account Receivable in the Financial Records

An account receivable is recorded in the financial records automatically by the registration and billing process. These entries credit the appropriate revenue accounts and debit the appropriate account receivable accounts in the university's accounting system.

In the event that a student withdraws during the semester, *the- student charges will be adjusted in accordance with state law.* ~~accounts receivable outstanding balance is reduced by the appropriate percentage refund rate relevant at the time of withdrawal.~~

Reconciling Accounts Receivable

The ~~controller's~~ *office of student business services* maintains ~~adequate~~ records of student accounts receivable and prepares a reconciliation of the student receivable records and the financial accounting records on a timely basis.

Aging Accounts Receivable

The ~~controller's~~ *office of student business services* -also maintains an aging schedule for all student accounts receivable with the total of the aging schedule balanced to the total recorded accounts receivable. At year end, the aging schedule may be analyzed to aid in the process of the calculation of the allowance for doubtful accounts.

Collecting Accounts Receivable

~~The size of the account receivable may influence the collection efforts. The expenditure of time, effort, and money to collect large accounts receivable is appropriate; however, the same efforts expended on very small accounts receivable may not be economical. Guidelines and procedures for collection of delinquent accounts will be maintained by the office of student business services as to~~

~~the level of attention and the efforts expended on accounts receivable will be set by the university based on recommendations from collection agencies and management.~~

An account will be considered in default if the following apply:

- the account balance is at least 30 days old;
- the debtor has not exhibited concern regarding the delinquent account (i.e., requested a repayment agreement); and,
- the debtor is not an active student.

An account will be considered delinquent if it is past due.

Billing and Collection Activity on Delinquent Accounts or Accounts in Default

Active Students: Active students will be billed throughout the term with due dates set by the ~~business office of student business services~~. Students may be assessed penalties for late payments, but will not be turned over for collection in the term if they are actively enrolled.

Inactive Students: Delinquent accounts will be analyzed and processed on a regular basis. Any general deposits will be applied to inactive students' outstanding balances to defray the amounts due to the university. ~~After this analysis~~As appropriate, delinquent accounts on inactive students will be subject to collection activity. Attempts will be made to contact students before delinquent accounts are turned over to collections. Students will not be assessed ~~any~~ collection agency fees or collection costs if they make a payment or request to set up a repayment agreement ~~during the communication and contact period(s) prior to the account being turned over to a collection agency. Collection agency~~ After communication and contact periods expire, accounts will be placed with a collection agency or an attorney. The collection agency may give the student an additional period prior to assessing fees. ~~The fees assessed to the student will be negotiated in advance by the university with the collection agencies and are subject to approval by~~ ~~at from the T~~ the Texas Attorney General's office. Additionally, accounts may also be reported to the Texas Comptroller of Public Accounts as authorized by Texas Government Code § 403.055 to ensure that no treasury warrants are issued or payments are paid to the debtor until the debt is paid.

If a debtor with a delinquent account establishes a repayment agreement and makes scheduled payments towards the balance within one of the warning periods, the debtor will be treated as an "active" student and will not be turned over to a collection agency unless monthly payments cease before the account balance is paid in full. If the account is turned over for collection, collection costs, collection agency fees and/or attorney fees will apply. There will be transcript and registration holds placed on the student's account until the balance has been paid in full.

~~If a debtor has received a warning letter and begins making regular payments but then stops making~~

~~regular payments before the account is paid in full, the debtor may be sent to an outside collection agency or attorney without further notice to the debtor.~~

All demand letters should be mailed in compliance with applicable collection laws. If an address correction is provided by the United States Postal Service, the demand letter should be mailed to the corrected address prior to the referral procedures described above. Demand should be made upon every debtor prior to referral of the account to an outside collection agency and the attorney general.

Write-Off of an Uncollectible Account

The university will establish procedures to determine when the write-off of an uncollectible account will occur. These write-off procedures will ~~take into account~~ *consider* both the age of the account and the amount due from the student.

~~A list of all accounts written off will be filed in the controller's office of student business services, and all student accounts that have been written off will be flagged in the student system. Additionally, a transcript and registration hold will be placed on these student accounts to prevent these persons from receiving future university services until their balances have been paid in full. Warrant holds placed on the student's account will not be removed until the balance is paid in full.~~

~~Forgiveness of Debt versus Write-Off of Uncollected Accounts~~

~~The write off of an uncollected account is a bookkeeping entry only and does not relieve the debtor from his financial responsibility to the university. Although the uncollected account has been removed from the financial books and records (i.e., written off as uncollectible), the university may still have a claim against the debtor and may still seek legal remedy (i.e., file suit for collection in a court of law). Therefore, it is the responsibility of the controller's office of student business services to maintain adequate records regarding legal financial obligations (i.e., debts) owed to the university.~~

Allowance for Doubtful Accounts

The university records an allowance for doubtful accounts on past due accounts ~~for all accounts that have not been written off or forgiven~~. Prior to closing each fiscal year's books, the ~~controller's office of student business services and office of financial reporting~~ will analyze and adjust the allowance for doubtful accounts, with offsets to the appropriate revenue accounts or bad debt expense, in accordance with accounting guidelines. An allowance for doubtful accounts will be set up as a contra-receivable in ~~the each appropriate~~ general ledger.

Cross Reference: Texas Comptroller of Public Accounts Fiscal Policies & Procedures, Accounting for Uncollectible Accounts (APS 027); Tex. Gov't Code § 403.055; Ch. 2107; *Tex. Educ. Code* § 54.006

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: ~~Controller~~ *Director of Treasury and Student Business Services*

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Records

Policy Number: 2.10

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 2/2/2021

Unit(s) Responsible for Policy Implementation: Enrollment Management

Purpose of Policy (what does it do): Policy represents the university's compliance statement with regards to the Family Educational Rights and Privacy Act (FERPA).

Reason for the addition, revision, or deletion (check all that apply):

- ☐ Scheduled Review ☐ Change in law ☐ Response to audit finding
☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Removing "Class Roster" from the list of items designated as Directory Information will align the policy with best practices related to FERPA.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Mickey Diez, Registrar

Erma Brecht, Executive Director of Enrollment Management

Damon Derrick, General Counsel

Student Records

Original Implementation: 1974

Last Revision: ~~February 2, 2021~~ April 11, 2022

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 numbers 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, digital, 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;
 - 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.

- II. 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. University employees, including student employees, and others designated by the Registrar will annually complete Family Educational Rights and Privacy Act (FERPA) training. Initial training must be completed no later than thirty (30) days from start of employment or granting of access. If training is not completed as required, access to any system containing student information may be removed.

Annual notification is published on the SFA website and in the annual Welcome Edition of the Pine Log. Specific information may be obtained by consulting with administrative officials listed in this policy.

III. Student Rights

Each student has the right to:

- A. receive a list of the types of education records maintained by the university;
- B. inspect and review the contents of his/her records, excluding the exceptions included in this policy;
- C. 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. receive explanations and interpretations of his/her records; and,
- E. request 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 they wish 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
Academic	Student Work products or artifacts	Instructor of Record, Department, or College
Financial	Amount of financial assistance given by university and type of assistance.	Director of Financial Aid and Scholarships, <i>Student Business Services</i> Controller
Disciplinary	Nature of offense and type of university action.	Director of Student Rights and Responsibilities
Placement	Academic record and documents of recommendations	Director of the Center for Career and Professional Development.
Health	Medical history to include all treatment by university physicians.	Director of Health Services
Counseling	Test scores and counseling sessions.	Director of Counseling 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 on file before January 1, 1975;
- C. records connected with an application to attend the university if that application was denied; and,
- D. those records that 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;
- 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, unless the student has a confidentiality request on file;
- I. to comply with a judicial order or a lawfully issued subpoena;
- J. to appropriate parties in a health or safety emergency; and
- 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 files a Request to Prevent Disclosure of Directory Information form with the Registrar's Office. Students have until the twelfth-class day of a regular semester or the fourth-class day of a condensed semester to file the form before information may be released by the university for that 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 FERPA.

XIII. Correction of Education Records

A student has the right to request a correction on his/her education records that he/she believes is inaccurate, misleading or in violation of 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, the officer 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, the officer 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 Number

Federal law requires that when any federal, state or local government agency requests an individual to disclose his/her social security number (SSN), 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 SSN is mandatory as a condition for participation in certain activities at the university.

Under the mandatory category, the SSN 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 SSN is voluntary for certain other activities. Under the voluntary category, the SSN 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 SSN is grounded in federal law that provides that an agency may continue to require disclosure of an individual's SSN 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.

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, the disclosure of the SSN may be required on student application forms and other necessary student forms and documents.

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

Responsible for Implementation: Executive Director of Enrollment Management

Contact for Revision: Executive Director of Enrollment Management; General Counsel

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Travel

Policy Number: 3.29

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 10/26/2020

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy establishes regulations related to allowable expenditures for university business travel and identifies the SFA Travel Guidelines and the Textravel website maintained by the Texas Comptroller of Public Accounts as the authoritative resources for travel laws and rules.

Reason for the addition, revision, or deletion (check all that apply):

- ☐ Scheduled Review ☐ Change in law ☐ Response to audit finding
☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Added definition, remove procedural references, update position titles, and minor word changes.

Specific rationale for deletion of policy: NA

Additional Comments:

Reviewers:

Jennifer McCall, Director of Procurement and Business Services/HUB Coordinator
 Judi Kruwell, Interim Vice President for Finance and Administration
 Damon Derrick, General Counsel

Travel

Original Implementation: October 31, 2000

Last Revision: ~~October 26, 2020~~ April 11, 2022

Purpose

This policy establishes regulations related to allowable expenditures for university business travel and identifies the Stephen F. Austin State University (SFA) Travel Guidelines and the Textravel website maintained by the Texas Comptroller of Public Accounts (TCPA) as the authoritative resources for travel laws and rules.

Definitions

University business travel is travel undertaken for the benefit of the university.

***Account Manager** is defined as a department head (including department chairs, divisions heads, and all deans or designees) and/or financial manager.*

General

The university shall make every effort to minimize the amount of travel expenses paid and/or reimbursed. *Account managers and travelers must*~~are~~, and to ensure that each travel arrangement is the most cost-effective considering all relevant circumstances. Travel expenditures must be reasonable, necessary, appropriately documented, and properly approved.

~~The *SFA Travel Guidelines* are located on the university's travel website. These guidelines apply to employees, students, and prospective employees traveling in a university capacity, except the president, members of the Board of Regents, and intercollegiate athletics. Travel by the president and Board of Regents will be made in accordance with applicable law. Travel related to intercollegiate athletics will be made in accordance with the *SFA Athletics Policy Manual*. *Intercollegiate Athletics Policy and Procedure Manual*.~~

~~The reimbursement limits stated in the SFA Travel Guidelines may be exceeded only if funds are available in, and the additional costs are charged to, a discretionary account controlled by the budget manager authorizing the additional expenditure. For this policy, discretionary funds shall be defined by the controller's office. A list of funds that can be used for discretionary purposes will be published on the controller's office website.~~

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

~~The *T*Generally, *t*CPAhe Texas Comptroller of Public Accounts *created Textravel to* provides information on state travel laws and rules and (TCPA) is the authoritative source regarding travel.~~

TCPA travel rules, *Textravel*, are located on the university's *travel website*. ~~In case of conflict between SFA Travel Guidelines and Textravel, SFA Travel Guidelines take precedence except where state of Texas law prevails.~~ The university president, at his/her discretion, may establish lower travel reimbursement rates than those in Textravel. Travelers will be notified in advance of the effective date of any rate change.

Travelers are responsible for ensuring their travel complies with applicable state law and SFA Travel Guidelines. Failure to comply may result in reimbursement delays and/or rejection of the traveler's claim for travel reimbursement. Fraudulent travel claims will be grounds for disciplinary action, including termination.

Cross Reference: Tex. Gov't Code § 660.203; Tex. Educ. Code § 101.19; SFA Travel Guidelines; ~~SFA Interscholastic Athletics Policy and Procedure Manual; Textravel (Texas Comptroller of Public Accounts travel rules); Fraud (2.7)~~

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Procurement & Business Services / HUB Coordinator* ~~Controller~~

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN

STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: University Letterhead (and Email Signatures)

Policy Number: 15.5

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Chief Marketing Communications Officer

Purpose of Policy (what does it do): Explains standards and processes for having consistent representation of university information in correspondence

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: This review adds Email Signatures, which serve a similar function to University Letterhead. Both are included in official university correspondence and represent the official nature of included materials. Consistency of brand identity and authority are vital to institutional authority. This change includes limitations on the personalization available to email signatures, in the interest of preserving the university against misunderstandings of its official positions, values and views.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Graham Garner, Chief Marketing Communications Officer
Damon Derrick, General Counsel

University Letterhead *and Email Signatures*

Original Implementation: May 9, 1985

Last Revision: April 30, 2019/11, 2022

University departments are required to use ~~printed and/or electronic~~ letterhead *and email signature blocks* as designated by the president and produced by ~~the Division of University Printing Services~~. *Marketing Communications (UMC)*. *Shops or vendors which produce printed letterhead must be qualified as designated by UMC.*

Letterhead design must be developed or approved by the Division of University Marketing Communications, in compliance with current style and graphic identity standards. Email signatures are considered a form of letterhead, representing official university communication and presentation of the university's brand.

Employees may not add other logos, images, colors, mottos, symbols, quotations, taglines or other statements to the email signature block, as these may be misunderstood as representing the university's official positions, values or views (see Policy 14.2 and 15.1).

All faculty and staff shall comply with this policy by creating an approved email signature block and using it consistently when communicating via their university email accounts. Should there be noncompliance to this policy, the individual's supervisor and/or ~~vice-president~~ president's cabinet member will enforce compliance through appropriate policy.

Ordinarily, sub-units of departments use the letterhead of the parent department, especially if the unit's correspondence is primarily with students. However, if the sub-unit is of a permanent or semi-permanent nature and has ~~a majority of its~~ significant correspondence with off-campus agencies or individuals, it can be identified under the name of the parent unit on the letterhead. If a unit is independent of any department and is of a permanent or semi-permanent nature, it may have its own letterhead, consistent with the university design.-

Information in the stationery heading includes the university name; the name of the unit or department; post office box, telephone *and/or* fax number; general email address; *short web URL* uniform resource locater (URL); and city, state, and zip code.

Any deviation from the university letterhead design *or email signature block* must be approved by ~~the president~~. UMC. Requests to deviate from ~~the standard letterhead design~~ *should* may be directed, in writing, to the ~~executive director~~ chief marketing communications officer in the Division of University Marketing Communications.

Cross Reference: ~~None~~ 14.2 “Acceptable Use of Information Resources,” and 15.1 “Email for University Communication”

Responsible for Implementation: ~~Vice President for University Advancement~~ Chief Marketing Communications Officer

Contact for Revision: ~~Executive Director~~ Division of University Marketing Communications, Chief Marketing Communications Officer

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: University Publications (Mass Email and Webpages)

Policy Number: 15.8

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Chief Marketing Communications Officer

Purpose of Policy (what does it do): Provides guidelines to ensure materials promoting or representing the university are followed to ensure accuracy, professionalism, character, integrity and accreditation status of the institution

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: This review adds Mass Email and Webpages, which are increasingly used and even outpacing the use of University Publications to represent the institution. This revision includes additional formats and materials used in the advent of digital technology. It clarifies the involvement of UMC in planning, executing, and approving materials.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Graham Garner, Chief Marketing Communications Officer
Damon Derrick, General Counsel

University Publications, *Mass Email*, and *Webpages*

Original Implementation: March 15, 1977

Last Revision: April 30, 2019/11, 2022

~~To assure that communication to the general public contains accurate and current information and presents, through both content and appearance, a professional image that properly reflects the character, integrity, and accreditation status of the institution, official~~ *Official* university publications, *mass emails*, *webpages* and ~~non-broadcast video presentations intended for off-campus distribution, to promote or on-campus distribution to non-represent the~~ university individuals or groups (those not employed by or enrolled in the university), *its activities* must be approved by *the Division of University Marketing Communications* prior to printing or electronic distribution. ~~Communication intended solely for students and/or university employees is not subject to this approval policy. or publication to ensure accuracy, professionalism, character, integrity and accreditation status of the institution.~~

Examples of ~~communication~~ *communications* that must be submitted for approval include ~~academic bulletins, though are not limited to,~~ brochures, flyers, invitations, ~~pamphlets~~ *mass emails*, handbooks, newsletters, program announcements, advertising (newspaper, magazine, radio, television, online, billboards, posters, etc.), and publications for intercollegiate athletics (media guides, programs, newsletters, etc.).

~~This approval policy applies to publications printed on-campus or off-campus printers~~ *While such materials must be reviewed by the Division of University Marketing Communications, the university prioritizes materials directly related to, and departments using desktop publishing or video equipment, which display proven progress toward, student recruitment, enrollment and donor relations.*

University communication and marketing efforts must be planned, executed, or approved by the Division of University Marketing Communications. Review may include any or all of the following: ~~writing~~ copywriting, editing, formatting, coding, web design, layout and graphic design, ~~videotaping~~ photographing, video recording, video editing, and assessing visual and audio content. Assistance with scheduling and purchasing advertising placements, preparing specifications required for competitive bidding, and coordinating production schedules and delivery with outside vendors also may be provided.

Without approval of the materials from *the Division of University Marketing Communications*, university procurement will not issue a purchase order for advertising or off-campus printing services.

Prior to submission to University Marketing Communications ~~for approval~~, a publication or advertisement should be reviewed and approved in writing (~~use Approval for Printing form available on the University Marketing Communications website~~) by the appropriate authorities

within the department and division. *Once internally approved, the department, office, or division must submit the piece for final approval through the Division of University Marketing Communication's online service desk.*

Allow at least 10 working days for *the Division of University Marketing Communications* to review materials, but it is strongly encouraged that materials be submitted well in advance of publication or printing deadlines, as revisions may be required *and also may include a redesign by University Marketing Communications.*

Upon approval by *the Division of University Marketing Communications*, the ~~head~~ *designee* of the originating department ~~or a designee will~~ may work directly with *the SFA Graphic Shop, the Division of University Printing Services* ~~Marketing Communications~~ or Procurement and Property Services to initiate the printing process. If an off-campus printer is used and competitive bidding is required, *the Division of University Marketing Communications and/or Procurement and Property Services* will develop specifications and secure bids as required by the Best Value Procurement ~~Policy~~ *policy* (17.1).

Materials submitted to ~~University Printing Services~~ *the SFA Graphic Shop* or Procurement and Property Services without proper approval will be returned to the originating department. If a department uses its own equipment or an outside vendor to print a publication or produce radio and television advertisements or video presentations, University Marketing Communications must authorize printing, *publication*, or distribution.

The president may authorize individual exemptions to ~~the university publications~~ *this policy*. Such a request must be made in writing to the ~~executive director~~ *chief marketing communications officer of the Division of University Marketing Communications*.

All university publications should clearly reflect the date the publication is produced or initially distributed. —This includes publications sponsored by or purchased for distribution by the university or released by research firms, consulting firms or other private institutions under contract with the university. This does not include correspondence, memos or other routine forms.

Cross Reference: None

Responsible for Implementation: ~~Vice President for University Advancement~~ *Chief Marketing Communications Officer*

Contact for Revision: ~~Executive Director of University~~ *Chief Marketing Communications Officer*

Forms: Approval for Printing (available from ~~University Printing Services~~ *the SFA Graphic Shop*)

Board Committee Assignment: Academic and Student Affairs

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Program <u>Additions</u> (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
College of Business	
Economics	Banking Essentials Certificate
James I. Perkins College of Education	
Human Sciences	Aviation Minor
Human Sciences	Interior Design Certificate
Human Sciences	Composite Certification Concentration Human Sciences BS
Human Sciences	Technology Software Applications for the Built Environment Certificate
College of Fine Arts	
Theatre	Musical Theatre Minor
Theatre	Certificate in Acting
College of Sciences & Mathematics	
Computer Science	Data Analytics, Minor

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Program Modifications (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
Accounting	Accounting, BBA
Bus Com & Legal Studies	General Business, BBA
Bus Com & Legal Studies	Business Communication and Corporate Education, BBA
Economics	Banking , BBA
Economics	Business Economics, BBA
Economics	Economics, BA
Economics	Finance, BBA
Mgt and Marketing	Digital Business Minor
Mgt and Marketing	Entrepreneurship, BBA
Mgt and Marketing	Human Resource Mgt, BBA
Mgt and Marketing	International Business, BBA
Mgt and Marketing	Management, BBA
Mgt and Marketing	Marketing, BBA
Mgt and Marketing	Sports Business, BBA
James I. Perkins College of Education	
Education Studies	Deaf and Hard of Hearing BS
Education Studies	Deaf Studies Minor
Education Studies	Education Studies Concentration, BSIS
Human Sciences	Aviation, BS
Human Sciences	Construction Mgt BS
Human Sciences	Construction Mgt Minor
Human Sciences	Construction Mgt Certificate
Human Sciences	Dietetics and Nutritional Sciences, BS
Human Sciences	Food and Nutrition, BS
Human Sciences	Food and Nutrition Minor
Human Sciences	Nutrition in Healthcare, Minor
Human Sciences	Family and Consumer Sciences Conc, Humans Sciences, BS
Human Sciences	Hospitality Administration, BS
Human Sciences	Interior Design, BS
Human Sciences	Interior Design Minor
Human Services	Public Health, BS
Kinesiology	Public Health Minor
College of Fine Arts	
Music	Jazz Studies, Minor
College of Forestry & Agriculture	
AGS	Sustainability Minor
College of Liberal & Applied Arts	
English and CW	English, BA
Government	Pre-Law Minor
LCC	Leadership Minor

Multidisciplinary Programs	BAAS
Multidisciplinary Programs	Leadership Minor
Psychology	Psychology Major
College of Sciences & Mathematics	
Biology	Biology, BS
Chemistry	Chemistry, BS
Chemistry	Biochemistry, BS
Computer Science	Computer Information Systems, BS
Computer Science	Computer Science, BS
Computer Science	Data Analytics, BS
Computer Science	Information Technology, BA
Math	Mathematics, BS
Physics-Engr	Electrical Engineering, BS
Physics-Engr	Engineering Physics, BS
Physics-Engr	Mechanical Engineering, BS
Physics-Engr	Physics, BS

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)	
Undergraduate Program Deletions	
(Submitted for board approval April 2022)	
College of Fine Arts	
Music	Pre-Certification: Elementary, BM
Music	Music, Teaching: Elementary Music, BM
College of Sciences & Mathematics	
Physics-Engr	Physics-Engineering Dual Degree Conc

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)	
Undergraduate Course Additions	
(Submitted for board approval April 2022)	
Nelson Rusche College of Business	
Bus Com & Legal Studies	BUSI 1000
Economics	ECON 4360
Mgt and Marketing	MGMT 3333
Mgt and Marketing	MGMT 4373
James I. Perkins College of Education	
Education Studies	DFHH 3329
Human Sciences	HMSC 4150
Human Sciences	INDS 1326
Human Sciences	INDS 2370
Kinesiology	HLTH 2360
Kinesiology	HLTH 3360
Kinesiology	HLTH 4320
Kinesiology	HLTH 4350
College of Fine Arts	
Theatre	DRAM 2001
Theatre	DRAM 2301
Theatre	DRAM 3040
Theatre	DRAM 3340
Arthur Temple College of Forestry & Agriculture	
Agriculture	AGED 4353
Forestry	FORS 3000
Forestry	GISC 4002
Forestry	GISC 4302
College of Liberal & Applied Arts	
AGS	SOCI 4360
English and CW	ENGL 4390
Government	GOVT 4320
College of Sciences & Mathematics	
Dean's Office	JTCH 1203
Dean's Office	JTCH 2190
Dean's Office	JTCH 4190
Computer Science	CSCI 1462

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)	
Undergraduate Course Modifications (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
Economics	FINC 4375
Economics	FINC 4379
Economics	FINC 4385
Mgt and Marketing	MGMT 2372
Mgt and Marketing	MGMT 3372
Mgt and Marketing	MGMT 4170
Mgt and Marketing	MGMT 4344
Mgt and Marketing	MGMT 4363
Mgt and Marketing	MGMT 4385
Mgt and Marketing	MKTG 3355
Mgt and Marketing	MKTG 4325
Mgt and Marketing	MKTG 4355
Mgt and Marketing	MKTG 4357
James I. Perkins College of Education	
Education Studies	DFHH 3350
Education Studies	DFHH 3370
Education Studies	DFHH 4301
Education Studies	DFHH 4302
Education Studies	DFHH 4303
Education Studies	MLGE 4111
Education Studies	MLGE 4251
Human Sciences	CMGT 1119
Human Sciences	CMGT 1219
Human Sciences	CMGT 3114
Human Sciences	CMGT 3214
Human Sciences	CMGT 3316
Human Sciences	CMGT 3319
Human Sciences	HAMG 2313
Human Sciences	HAMG 2317
Human Sciences	HMSC 4100
Human Sciences	HMSC 4326
Human Sciences	INDS 1149
Human Sciences	INDS 1249
Human Sciences	INDS 1311
Human Sciences	INDS 1325
Human Sciences	INDS 1370
Human Sciences	INDS 2103
Human Sciences	INDS 2105
Human Sciences	INDS 2108
Human Sciences	INDS 2113

Human Sciences	INDS 2205
Human Sciences	INDS 2208
Human Sciences	INDS 2213
Human Sciences	INDS 2317
Human Sciences	INDS 3116
Human Sciences	INDS 3121
Human Sciences	INDS 3125
Human Sciences	INDS 3216
Human Sciences	INDS 3221
Human Sciences	INDS 3225
Human Sciences	INDS 3311
Human Sciences	INDS 4100
Human Sciences	INDS 4112
Human Sciences	INDS 4113
Human Sciences	INDS 4114
Human Sciences	INDS 4212
Human Sciences	INDS 4214
Human Sciences	INDS 4310
Human Sciences	INDS 4318
Human Sciences	RSTO 3301
Human Sciences	RSTO 3305
Human Sciences	RSTO 3325
Human Sciences	TRVM 4317
Kinesiology	DANC 1241
Kinesiology	DANC 1244
Kinesiology	DANC 1247
Kinesiology	HLTH 4170
Kinesiology	HLTH 4180
Kinesiology	KINE 4117
Arthur Temple College of Forestry & Agriculture	
Agriculture	HORT 2220
College of Liberal & Applied Arts	
English and CW	ENGL 1302
English and CW	ENGL 4374
Government	CRIJ 4342
Mass Communication	MCOM 3342
Mass Communication	MCOM 4330
Psychology	PSYC 3330
Psychology	PSYC 3341
Psychology	PSCY 3380
College of Sciences & Mathematics	
Biology	BIOL 1306
Biology	BIOL 3431
Biology	BIOL 3443

Biology	BIOL 3481
Biology	BIOL 4434
Biology	BIOL 4442
Biology	BIOL 4444
Biology	BIOL 4446
Biology	BIOL 4448
Biology	BIOL 4484
Chemistry	CHEM 1071
Chemistry	CHEM 1371
Computer Science	CSCI 3342
Computer Science	CSCI 3362
Computer Science	CSCI 4260
Computer Science	CSCI 4270
Computer Science	CSCI 4362
Dean's Office	JTCH 3311
Dean's Office	JTCH 4351
Dean's Office	JTCH 4901
Geology	GEOL 4310
Geology	GEOL 4333
Math	MATH 1351
Math	MATH 3180
Math	MATH 3325
Nursing	NURS 3158
Physics-Engr	ASTR 3305
Physics-Engr	ENGR 3301
Physics-Engr	ENGR 4145
Physics-Engr	ENGR 4341
Physics-Engr	ENGR 4342
Physics-Engr	ENGR 4353
Physics-Engr	ENGR 4354
Physics-Engr	ENGR 4355
Physics-Engr	PHYS 3347
Physics-Engr	PHYS 4372
Provost's Office	
Student Success Center	SFAS 1101

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Course Deletions (Submitted for board approval April 2022)	
College of Sciences & Mathematics	
Biology	BIOL 1113
Biology	BIOL 1313
Biology	BIOL 3050
Biology	BIOL 3350
Computer Science	BCIS 1305
Physics-Engr	PHYS 1018
Physics-Engr	PHYS 1318
Physics-Engr	PHYS 4010
Physics-Engr	PHSY 4410
College of Liberal & Applied Arts	
Psychology	PSYC 3041
Psychology	PSYC 3130

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)	
Graduate Program <u>Additions</u>	
(Submitted for board approval April 2022)	
James I. Perkins College of Education	
Education Studies	Curriculum and Instruction, M.Ed.
College of Fine Arts	
Music	Performing Artist Cert
College of Liberal and Applied Arts	
English & CW	Advanced Cert in Professional Writing

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)

Graduate Program Modifications

(Submitted for board approval April 2022)

Nelson Rusche College of Business	
Accounting	Master of Prof Accountancy
James I. Perkins College of Education	
Education Studies	Teaching, MAT
Human Services	School Psychology for the Post-Bac, Ph.D.
Human Services	School Psychology, MA
Human Services	Applied Behavior Analysis Cert
Human Services	Applied Educational Psychology MA
Human Services	Athletic Director Conc
Human Services	Student Affairs and Higher Ed, MA
College of Liberal & Applied Arts	
English &CW	English, MA
English &CW	Adv English Pedagogy Cert
Government	National Security, MA
Government	National Security, MA, Thesis Option
Government	Public Administration, MPA
Psychology	Teaching College Psychology Certificate
College of Sciences & Mathematics	
CoSM Dean's Office	Natural and Applied Sciences, MS
Nursing	Family Nurse Practitioner, MSN
Nursing	Nursing Education, MSN

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)	
Graduate Program <u>Deletions</u>	
(Submitted for board approval April 2022)	
College of Sciences & Mathematics	
Math	School Math Teaching, Middle-Level Conc, MS
Math	School Math Teaching, Secondary-Level Conc, MS

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)	
Graduate Course <u>Additions</u>	
(Submitted for board approval April 2022)	
Nelson Rusche College of Business	
Accounting	ACCT 5320
James I. Perkins College of Education	
Education Studies	CIED 5300
Education Studies	CIED 5301
Education Studies	CIED 5302
Education Studies	CIED 5303
Education Studies	CIED 5304
Education Studies	SEED 5345
Human Sciences	HUSC 5150
Human Services	SPSY 5315
Human Services	SPSY 6317
College of Liberal & Applied Arts	
Government	NISS 5316
Government	PADM 5190
Government	PADM 5389
College of Sciences & Mathematics	
Biology	BIOL 5355
Biology	BIOL 6018
Biology	BIOL 6318
Math	MATH 5378
Math	MATH 5388
Math	STAT 5360
Physics-Engineering	PHYS 5331

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)	
Graduate Course Modifications (Submitted for board approval April 2022)	
James I. Perkins College of Education	
Education Studies	CIED 5305
Education Studies	SPED 5356
Education Studies	SPED 5600
Human Sciences	HDFS 5351
Human Sciences	NUTR 5339
Human Services	SAHE 5356
Human Services	SPSY 5304
Human Services	SPSY 5351
Human Services	SPSY 6334
Human Services	SPSY 6342
College of Fine Arts	
Music	MUTC 5363
Theatre	DRAM 5080
Theatre	DRAM 5380
College of Liberal & Applied Arts	
AGS	SOCI 5351
English &CW	ENGL 5302
English &CW	ENGL 5352
Government	NISS 5304
Psychology	PSYC 5328
College of Sciences & Mathematics	
Biology	BIOL 5189
Computer Science	CSCI 5312
Computer Science	CSCI 5322
Computer Science	CSCI 5345
Computer Science	CSCI 5348
Computer Science	CSCI 5362
Geology	GEOL 5190
Math	MATH 5186
Math	MATH 5187
Math	MATH 5189
Math	MATH 5190
Math	MATH 5375
Math	MTED 5186
Math	MTED 5187
Math	MTED 5189
Math	MTED 5190
Math	MTED 5385
Math	STAT 5186
Math	STAT 5187

Math	STAT 5189
Math	STAT 5190
Math	STAT 5385
Nursing	NURS 5362
Physics-Engineering	PHYS 5189
Physics-Engineering	PHYS 5320
Physics-Engineering	PHYS 5330
Physics-Engineering	PHYS 5332
Physics-Engineering	PHYS 5350
Physics-Engineering	PHYS 5351
Physics-Engineering	PHYS 5381

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)	
Graduate Course <u>Deletions</u>	
(Submitted for board approval April 2022)	
College of Education	
Education Studies	SEED 5391
Education Studies	SEED 5392
College of College of Liberal and Applied Arts	
Government	PADM 5176
Government	PADM 5375
College of Sciences & Mathematics	
Physics-Engineering	PHYS 5433

Report to the Board of Regents – April 2022
Grants¹ awarded between and January 1, 2022 and March 15, 2022

Fiscal Year 2022 – as of March 15, 2022

Amounts allocable to FY22 (detailed in this report)

Federal funds (direct and pass-through)	\$ 94,998
State Funds (direct and pass-through)	\$ 51,000
Private and Local Government	\$ 50,200
TOTAL	\$ 196,198

New awards, FY22 (detailed in this report, all project years) **\$ 152,245**

Cumulative amount allocable to FY22 **\$28,119,930**

Cumulative award total FY22, all project years **\$81,396,542**

Federal Financial Aid Funds (not included in ORGS totals) \$ 9,834,534

New, Additional, or Previously Unreported Awards for FY22

Federal Funds (direct and pass-throughs)

Title ** Continuation of the Attoyac Bayou Watershed Protection Plan Implementation, Phase II*

Sponsor: Texas AgriLife Research (prime: Texas State Soil & Water Conservation Board from US Environmental Protection Agency)

Award Term: November 22, 2021 to November 30, 2024

PI/PD: Dr. Matthew McBroom, Forestry

Total Award: \$67,694 **Amount Allocable to FY22: \$33,847**

New research award to continue the watershed protection plan development for the Attoyac Bayou. Funds provided for graduate student.

Title ** Stephen F. Austin State University Campus and Community Citizens Police Academy*

Sponsor: US Department of Justice

Award Term: September 1, 2021 to August 31, 2022

PI/PD: Whitney Mask, University Police Department

Total Award: \$38,849 **Amount Allocable to FY22: \$38,849**

Funds provided for a citizens' police academy to bring together students, staff, faculty, as well as Nacogdoches County residents. These academies will showcase campus police duties, activities, and policies with speakers and hands-on activities.

**New awards or additional funds added to a current award*

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 non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Report to the Board of Regents – April 2022
Grants¹ awarded between and January 1, 2022 and March 15, 2022

Title * *2021 Relief Grant for Stone Fort Museum*
Sponsor: Humanities Texas (prime: American Rescue Plan - National Endowment for the Humanities)
Award Term: September 1, 2021 to December 31, 2022
PI/PD: Carolyn Spears, Stone Fort Museum
Total Award: \$9,547 **Amount Allocable to FY22:** \$9,547
This grant will help fund student workers at the Stone Fort Museum whose budget was negatively impacted with the university and state budget cuts.

Title * *2021 Relief Grant for East Texas Research Center: Transcribing Historic Records*
Sponsor: Humanities Texas (prime – American Rescue Plan - National Endowment for the Humanities)
Award Term: September 1, 2021 to December 31, 2022
PI/PD: Linda Reynolds, Ralph W. Steen Library
Total Award: \$7,755 **Amount Allocable to FY22:** \$7,755
This grant will fund student workers in the East Texas Research Center who will work on transcribing 19th and 20th century oral histories.

Title * *Open Education Resources (OER) Course Development and Implementation Grant*
Sponsor: Texas Higher Education Coordinating Board (prime: Governor's Emergency Education Relief - US Department of Education)
Award Term: August 13, 2021 to August 31, 2022
PI/PD: Dr. James Van Kley, Biology
Total Award: \$5,000 **Amount Allocable to FY22:** \$5,000
Dr. James Van Kley will receive grant funds for his summer salary to teach a Biology 1308 course integrating the Open Educational Resources textbook. This OER textbook and supplemental materials are provided free to the students.

Subtotal Federal Amounts Allocable to FY22 (this report) = \$ 94,998
Subtotal New Federal Awards (total award) = \$ 128,845

*New awards or additional funds added to a current award

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Federal Financial Aid Funds (not included in ORGS totals)

Agency: Department of Education
Manager: Rachele Garrett, Financial Aid

Additional funds for the below:

PELL Grants	FY22 Funds	\$9,693,070
TEACH, graduate	FY22 Funds	\$ 8,000
TEACH, undergraduate	FY22 Funds	\$ 133,464

State Funds (direct and pass-through)

Previously Described Awards:

Repatriation of Illegally Collected Alligator Snapping Turtles back into Texas Waters

Dr. Chris Schalk, Forestry

Award Total: \$95,000 ***Amount allocable to FY22:** \$50,000

****Peers against Tobacco Program – FY22***

Jessica Waguespack, Campus Recreation

Award Total: \$1,000 **Amount allocable to FY22:** \$1,000

Subtotal State Amounts Allocable to FY22 (this report) = \$51,000

Subtotal New State Awards (total award) = \$96,000

**New awards or additional funds added to a current award*

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Report to the Board of Regents – April 2022
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Private Entity and Local Government Awards

Title * *Assessing Drivers of Long-Term Population Declines I Game and Non-Game Wildlife Species*
Sponsor: Rob and Bessie Welder Wildlife Foundation
Award Term: January 1, 2022 to December 31, 2022
PI/PD: Dr. Jessica Glasscock, Forestry
Total Award: \$14,700 **Amount Allocable to FY22:** \$14,700
Research funds provided for graduate student thesis project.

Title * *American Society for Biochemistry and molecular Biology (ASBMB) Student Chapter Inaugural Scientific Outreach*
Sponsor: American Society for Biochemistry and Molecular Biology
Award Term: November 24, 2021 to August 31, 2022
PI/PD: Dr. Odutayo Odunuga, Chemistry
Total Award: \$500 **Amount Allocable to FY22:** \$500
Funds provided for the ASBMB student chapter to develop a STEM outreach event for high school students to increase their interest in STEM fields.

Previously Described Awards:

Tallow Control on the Greens Bayou Wetlands Mitigation Bank, Phase II

Dr. Jeremy Stovall, Forestry

Award Total: \$60,000 ***Amount allocable to FY22:** \$30,000

Henderson Wildlife Research Institute Support

Dr. Jessica Glasscock, Forestry

Award Total: \$21,099 ***Amount allocable to FY22:** \$5,000

Subtotal Private and Local Amounts Allocable to FY22 (this report) = \$50,200

Subtotal New Private and Local Awards (total award) = \$57,400

Note: Amounts are based on award notices as they are received from the funding entity, not on expenditures or balances in funds/accounts. To reflect the approximate availability of funds in a given fiscal year, some current year awards are estimates based on the total amount awarded spread over the award period.

**New awards or additional funds added to a current award*

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