

# **Stephen F. Austin State University**

## **MINUTES OF THE BOARD OF REGENTS**



**Nacogdoches, Texas  
April 18-20, 2021  
Volume 343**

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**Stephen F. Austin State University  
Minutes of the Meeting of the Board of Regents  
Nacogdoches, Texas  
April 18, 19 and 20, 2021  
Austin Building, Room 307  
Meeting 343**

**Sunday, April 18, 2021**

The meeting of the Board of Regents was called to order in open session at 1:10 p.m. by Chair Alton Frailey.

**PRESENT:**

Board Members:      Mr. Alton Frailey, Chair  
                             Mrs. Karen Gantt, Vice Chair  
                             Mr. Tom Mason, Secretary  
                             Mr. David Alders  
                             Dr. Scott Coleman  
                             Mr. Robert Flores  
                             Mrs. Brigettee Henderson  
                             Mrs. Judy Olson  
                             Mrs. Jennifer Winston  
                             Ms. Ireland Bramhall, Student Member

General Counsel:      Mr. Damon Derrick  
Chief Audit Exec.:      Mrs. Gina Oglesbee  
President:                Dr. Scott Gordon  
Cabinet:                 Mrs. Erma Brecht  
                             Dr. Steve Bullard  
                             Dr. Michara Delaney-Fields  
                             Mr. Anthony Espinoza  
                             Dr. Brandon Frye  
                             Dr. Danny Gallant  
                             Mr. Graham Garner  
                             Mr. Ryan Ivey  
                             Mrs. Jill Still

Other SFA administrators and staff were in attendance.

*The board recessed to committee meetings. The Academic and Student Affairs Committee convened at 1:12 p.m.*

Three food service providers: Compass Group USA, Inc., by and through its Chartwells Division; Sodexo Services of Texas Limited Partnership; and Aramark, provided presentations to the board for consideration of the dining services provider contract.

Chair Frailey called the meeting into executive session at 4:36 p.m. to consider the following items:

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

Report from chief information officer

Follow-up Audit of FY2020 Information Technology Audits

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

Potential Naming Opportunities

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, Ph.D. v. SFASU*, and *Christin Evans v. Sydney Miley, 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 head women's basketball coach, director of athletics, vice presidents and the president. (Texas Government Code, Section 551.074)

The executive session ended at 6:21 p.m. The Board of Regents meeting returned to open session and recessed to Monday, April 19, at 8:30 a.m.

### **Monday, April 19, 2021**

The regular meeting of the Board of Regents was called to order in open session at 8:32 a.m. on Monday, April 19, 2021, by Chair Alton Frailey.

PRESENT:

Board Members:      Mr. Alton Frailey, Chair  
                             Mrs. Karen Gantt, Vice Chair  
                             Mr. Tom Mason, Secretary  
                             Mr. David Alders  
                             Dr. Scott Coleman  
                             Mr. Robert Flores  
                             Mrs. Brigettee Henderson  
                             Mrs. Judy Olson  
                             Mrs. Jennifer Winston  
                             Ms. Ireland Bramhall, Student Member

General Counsel:      Mr. Damon Derrick  
Chief Audit Exec.:      Mrs. Gina Oglesbee  
President:                Dr. Scott Gordon  
Cabinet:                 Mrs. Erma Brecht  
                             Dr. Steve Bullard  
                             Dr. Michara Delaney-Fields

Mr. Anthony Espinoza  
Dr. Brandon Frye  
Dr. Danny Gallant  
Mr. Graham Garner  
Mr. Ryan Ivey  
Mrs. Jill Still

The President's Cabinet provided a report to the board covering the topics of Academic Affairs, Information Technology Services, Enrollment Management, Student Affairs, Diversity, University Marketing Communications, University Advancement, Athletics, and Financial Affairs.

*The board recessed to committee meetings. The Academic and Student Affairs Committee convened at 11:00 a.m.*

Dr. Michara DeLaney-Fields provided the annual Title IX Update Report and University Police Chief John Fields, provided the annual University Police Department Racial Profiling Report.

*The board recessed the Academic and Student Affairs Committee and broke for lunch at 12:00p.m.*

*The Building and Grounds Committee meeting convened at 1:08 p.m.*

Dr. Gallant presented the Construction Report to the board.

*The board recessed the Building and Grounds Committee meeting and convened the Finance and Audit Committee convened at 1:25 p.m.*

Dr. Gallant presented the Contract Monitoring Report.

*The board recessed committee meetings and returned to a Committee of a Whole meeting at 1:58 p.m.*

Regent Scott Coleman provided the Nominating Committee Report on behalf of the committee, which included members Judy Olson and Jennifer Winston. The following officers were nominated to serve during 2021-2022, assuming a new term of office on April 20, 2021.

Karen Gantt, Chair  
Tom Mason, Vice Chair  
Jennifer Winston, Secretary

#### **BOARD ORDER 21-40**

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

#### **ELECTION OF OFFICERS FOR 2021-2022**

The nominating committee nominates the following officers to serve during 2021-2022, assuming a new term of office on April 20, 2021.

Karen Gantt, Chair  
Tom Mason, Vice Chair  
Jennifer Winston, Secretary

Chair Frailey called the meeting into executive session at 2:03 p.m. to consider the following items:

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

Report from chief information officer

Follow-up Audit of FY2020 Information Technology Audits

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

Potential Naming Opportunities

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, Ph.D. v. SFASU*, and *Christin Evans v. Sydney Miley, 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 head women's basketball coach, director of athletics, vice presidents and the president. (Texas Government Code, Section 551.074)

The executive session ended at 4:32 p.m. The Board of Regents meeting returned to open session and recessed to Tuesday, April 20, at 8:30 a.m.

### **Tuesday, April 20, 2021**

The meeting of the Board of Regents reconvened and was called to order in open session at 8:40 a.m. by Chair Alton Frailey.

#### **PRESENT:**

Board Members:      Mr. Alton Frailey, Chair  
                             Mrs. Karen Gantt, Vice Chair  
                             Mr. Tom Mason, Secretary  
                             Mr. David Alders  
                             Dr. Scott Coleman  
                             Mr. Robert Flores  
                             Mrs. Brigettee Henderson  
                             Mrs. Judy Olson  
                             Mrs. Jennifer Winston  
                             Ms. Ireland Bramhall, Student Member

General Counsel:      Mr. Damon Derrick



Chief Audit Exec.: Mrs. Gina Oglesbee  
President: Dr. Scott Gordon  
Cabinet: Mrs. Erma Brecht  
Dr. Steve Bullard  
Dr. Michara Delaney-Fields  
Mr. Anthony Espinoza  
Dr. Brandon Frye  
Dr. Danny Gallant  
Mr. Graham Garner  
Mr. Ryan Ivey  
Mrs. Jill Still

Other SFA administrators and staff were in attendance.

Regent Winston offered the invocation and ROTC Cadet Evan McCord led the pledges to the flags.

### **INSTALLATION OF CHAIR**

Chair Frailey thanked the university and regents for their support and encouragement during his term in office. Mr. Frailey acknowledged the chair-elect, Karen Gantt, who thanked Chair Frailey for his leadership and service. Chair Gantt presided over the remainder of the meeting.

### **RECOGNITIONS**

President Gordon recognize Shirley Luna and Donna Parish for their efforts in creating the children's book *A Day at SFA*. The book was illustrated by student, Tristan Brewster.

Dr. Scott Gordon recognized Regent Robert Flores, Regent Laura Rectenwald, and Regent Nancy Windham for their appointment by the governor to the board for 2021 to 2027. President Gordon also recognize Student Regent Ireland Bramhall by presenting her with her student regent portrait and a commemorative plaque and axe as acknowledgement for her service on the board from 2020-2021.

Athletic Director, Ryan Ivey, recognized the Men's Indoor Track and Field team, the Ladyjack Volleyball Team, Ladyjack Soccer Team and the Ladyjack Basketball Team for their award winning seasons.

Dr. Steve Bullard recognized professors that were promoted to full professor as well as the individuals that were appointed as professor emeritus. The Regents Scholar for 2021-2022, Dr. Mark Ludorf was also introduced to the board. The student chapter of the Wildlife Society was presented to the board. Dr. Gary Wurtz was also recognized for his service to the College of Fine Arts, as the interim role of Dean. Heather Olson Beal, Chrissy Cross and Amanda Rudolph were recognized for their appointment to serve as co-editors of the Action in Teacher Education Journal. Dr. Keith Hubbard was presented to the board for his work with Talented Teachers in Training for Texas and a National Science Foundation grant. Kyle Ainsworth was recognized for his research project, the Lone Star Slavery Project.

In February, there was a major snow and ice storm that hit the SFA campus. President Gordon

recognized the many individuals from a variety of departments across the university that came together to help the students, clean-up the campus and repair the damage caused by the storm. President Gordon also recognized the efforts of the SACSCOC Reaffirmation Team and the university's recent SACS review for reaccreditation.

## **APPROVAL OF MINUTES**

### **BOARD ORDER 21-41**

Upon motion by Regent Frailey, seconded by Regent Mason, with all members voting aye, it was ordered that the minutes of Meeting 341, January 31 – February 2, 2021, regular meeting of the Board of Regents and minutes of Meeting 342, March 4, 2021, special called meeting of the Board of Regents be approved as presented.

## **PERSONNEL**

President Gordon recognize Dr. Steve Bullard for his service to the university and congratulated him on his upcoming retirement scheduled for July 1, 2021.

### **BOARD ORDER 21-42**

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

## **STAFF APPOINTMENTS**

The following staff appointments were approved.

### **ACADEMIC AFFAIRS**

Lorenzo Smith, Provost and Executive Vice President, at an annual salary of \$240,000 for 100-percent time, effective 6/1/2021.

### **AGRICULTURE**

Christopher LaHaye, Broiler Research Center Supervisor, at an annual salary of \$40,300 for 100-percent time, effective 1/29/2021.

### **ATHLETICS**

Jackson Smith, Golf Assistant Coach at an annual salary of \$34,000 for 100-percent time, effective 3/31/2021.

Myles White, Football Assistant Coach at an annual salary of \$43,000 for 100-percent time, effective 4/1/2021.

### **CENTER FOR TEACHING AND LEARNING**

Angela Johnson, Learning Experience Design Specialist II at an annual salary of \$53,954 for 100-percent time, effective 3/15/2021.

### **EARLY CHILDHOOD LAB**

Jade Dehaas, Lead Teacher at an annual salary of \$36,000 for 100-percent time, effective 1/4/2021.

## CHANGES OF STATUS

The following changes of status were approved.

### OFFICE OF THE PRESIDENT

Scott Gordon, President. The Chair of the Board of Regents is authorized to negotiate and execute an amendment to the President Employment Agreement, upon review from legal form and sufficiency by the Office of the General Counsel.

### RESIDENCE LIFE

Jamya Barrett, from Hall Director at an annual salary of \$35,568, 100-percent time, to Interim Area Coordinator at annual salary of \$35,568, with a \$650 monthly stipend for 6-months, for 100-percent time, effective 12/16/2020.

Jamaica Ethington, from Hall Director at an annual salary of \$35,568, 100-percent time, to Interim Area Coordinator at annual salary of \$35,568, with a \$650 monthly stipend for 6-months, for 100-percent time, effective 12/16/2020.

Christopher Ruth, from Hall Director at an annual salary of \$35,568, 100-percent time, to Interim Area Coordinator at annual salary of \$35,568, with a \$650 monthly stipend for 6-months, for 100-percent time, effective 12/16/2020.

### STUDENT AFFAIRS DIVISION

Hollie Smith, from Assistant Dean of Students at an annual salary of \$85,224, 100-percent time, to Interim Dean of Students at annual salary of \$85,224 for 100-percent time, with a \$1,500 stipend for 4 months, effective 2/4/2021.

### STUDENT RIGHTS AND RESPONSIBILITIES

Lacey Folsom, from Director of Student Engagement at an annual salary of \$63,242, 100-percent time, to Interim Director of Student Rights and Responsibilities at annual salary of \$63,242 for 100-percent time, with a \$500 stipend for 2 months, effective 4/1/2021.

### TITLE IX

Michael Walker, from Associate Professor of Psychology at an annual salary of \$65,000, 100-percent time, to Interim Title IX Coordinator at an academic salary of \$65,000, 100-percent time, with a \$1,500 stipend for 4 months, effective 2/4/2021.

## FACULTY PROMOTIONS

The following faculty promotions were approved.

To Assistant Professor, effective fall semester 2021

Sharon Rice                                      Kinesiology and Health Science

To Associate Professor, effective fall semester, 2021

Daniel Anguiano                                      Art

Brian Barngrover                                      Chemistry and Biochemistry

Christopher Ivancic	Computer Science
Angela Jones	Nursing
Dustin Joubert	Kinesiology and Health Science
Leah Kahn	Education Studies
Rebecca Kidd	Forestry
Christopher McKenna	Business Communication and Legal Studies
Inga Meier	Theatre
Jennifer Newquist	Human Sciences
Hector Ochoa	Physics, Engineering and Astronomy
Catherine Pearte	Psychology
Lydia Richardson	Human Services and Educational Leadership
Pamela Rogers	Management and Marketing
Heather Samuelson	Kinesiology and Health Science
Elizabeth Spradley	Languages, Cultures and Communication
Drew Thornley	Business Communication and Legal Studies
Yuhui Weng	Forestry

To Professor, effective fall semester, 2021

Luis Aguerrevere	Human Services and Educational Leadership
Alyx Frantzen	Chemistry and Biochemistry
Stacy Hendricks	Human Services and Educational Leadership
Matthew Lindsey	Management and Marketing
Darla O'Dwyer	Human Sciences
Lee Payne	Government
Raul Prezas	Human Services and Educational Leadership
Jose Netfali Recinos	Languages, Cultures and Communication
Paul Sandul	History
Christopher Sams	Languages, Cultures and Communication
Ty Spradley	Languages, Cultures and Communication
Louise Stoehr	Languages, Cultures and Communication
Tingting Xu	Education Studies

To Librarian IV, effective fall semester, 2021

Kyle Ainsworth	Library
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To Clinical Instructor III, effective fall semester 2021

Todd Barrios	Human Sciences
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To Professor Emeritus, effective fall semester, 2021

Marsha Bayless	Business Communication and Legal Studies
William D. Clark	Mathematics and Statistics
Norman Markworth	Physics, Engineering and Astronomy

## FACULTY TENURE

The following faculty tenure were approved, effective fall semester, 2021.

Daniel Anguiano	Art
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Brian Barngrover	Chemistry & Biochemistry
Rochelle Cade	Human Services & Educational Leadership
James Ewing	Education Studies
Christopher Ivancic	Computer Science
Angela Jones	Nursing
Dustin Joubert	Kinesiology and Health Science
Rebecca Kidd	Forestry
Christopher McKenna	Business Communication & Legal Studies
Inga Meier	Theatre
Mark Montgomery	Education Studies
Michael Murphy	Music
Jennifer Newquist	Human Sciences
Hector Ochoa	Physics, Engineering & Astronomy
Summer Pannell	Human Services & Educational Leadership
Catherine Pearte	Psychology
Pamela Rogers	Management & Marketing
Heather Samuelson	Kinesiology & Health Science
Drew Thornley	Business Communication & Legal Studies
Yuhui Weng	Forestry

#### REGENTS SCHOLAR 2021-2022

The following individual was approved as the 2021-2022 Regents Scholar.

Mark Ludorf                      Professor of Psychology

#### VOLUNTARY SEPARATION INCENTIVE PROGRAM RETIREMENTS

The following Voluntary Separation Incentive Program retirements were approved.

#### INFORMATION TECHNOLOGY SERVICES

Susan Dykes, Accounting Clerk I, 33 years of service to SFA, effective 2/28/2021.

#### PHYSICAL PLANT

Rodney Bryant, Heavy Equipment Operator II, 34 years of service to SFA, effective 2/28/2021.

Mark Holl, Grounds & Community Relations Assistant Manager, 24 years of service to SFA, effective 3/31/2021.

#### RESIDENCE LIFE OPERATIONS

Micky Allen, Residence Life Operation Assistant Manager, 32 years of service to SFA, effective 4/30/2021.

#### **BOARD ORDER 21-43**

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

#### ADMINISTRATOR EMERITUS

WHEREAS, the board members considered: In accordance with university policy 7.10 Emeritus, the title emeritus may be given by the president to a retired administrative official to recognize meritorious service. Privileges and qualifications that accompany the title shall be determined by the president. President Scott Gordon is requesting that Steven Westbrook Ed.D., retired Vice President for University Affairs, be considered for emeritus status.

Dr. Westbrook started his career with Stephen F. Austin State University in 1981 as a Program Advisor in the Student Affairs Division, later known as University Affairs. Dr. Westbrook served in several different roles within University Affairs before assuming the role of Vice President of University Affairs in 2007.

Dr. Westbrook has an unwavering commitment and dedication to this great university. He has been and continues to be an outstanding leader, mentor and inspiration to his colleagues, students and the entire campus community.

THEREFORE, it was ordered that Steven Westbrook be granted the title of Vice President of University Affairs Administrator Emeritus, effective April 20, 2021.

## **ACADEMIC AND STUDENT AFFAIRS COMMITTEE**

### **BOARD ORDER 21-44**

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

### **DINING SERVICES PROVIDER**

WHEREAS, the board members considered: The University seeks to enter into an agreement with a highly qualified food service supplier to operate and manage Stephen F. Austin State University's comprehensive dining services program, including residential, retail, athletic concessions, athlete training tables and event catering. The University engaged food service consultant, *Envision Strategies*, to assist in the request for proposal process, the development of the scope of work, financial analysis, and in the evaluation process. The 12-member evaluation committee reviewed written proposals, conducted site visits, and participated in a two-hour presentation from each of the three respondents.

THEREFORE, it was ordered that the selection of Compass Group USA, Inc., by and through its Chartwells Division be selected as the dining services provider. The president is authorized to sign the contract(s). Should negotiations with the selected provider fail to produce an agreement, the administration is authorized to negotiate with Sodexo Services of Texas Limited Partnership.

### **BOARD ORDER 21-45**

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

### **CURRICULUM CHANGES FOR 2021-2022**

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 that the undergraduate and graduate curriculum changes as presented to be effective fall 2021 as presented as Appendix 1.

#### **BOARD ORDER 21-46**

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

#### **DIVERSITY AND INCLUSION STATEMENT**

WHEREAS, the board members considered: Stephen F. Austin State University understands the commitment needed to promote diversity, equity, and inclusion in the university community and abroad. Specifically, the university's diversity and inclusion statement will affirm to faculty, staff, students, administration, and the community that our campus environment respects, honors, and values diverse experiences and perspectives. Our goal is to create welcoming and belonging learning environments and promote access and opportunity for all.

Following extensive dialogue and review among the Campus Climate Steering Committee, which consists of 46 faculty, staff, and students—the academic deans and the president's cabinet, please see the diversity and inclusion statement.

*At SFA, our commitment to diversity and inclusion is more than words—it is actions. We believe diversity and inclusion are keys to promoting more engaged individuals locally and globally. We at SFA are committed to amplifying a campus culture that nurtures belonging and embraces similarities while celebrating that every Lumberjack will be different. Those differences are valued, acknowledged, and supported purposefully.*

THEREFORE, it was ordered that the diversity and inclusion statement be approved as presented effective April 20, 2021.

#### **BOARD ORDER 21-47**

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

#### **ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS**

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

- Commencement 6.8
- Course Grades 5.5
- Dead Week 7.8
- Digital Millennium Copyright 9.3
- Emergency Operations 13.8
- Export Control 2.15

Extra-Institutional Learning Experiences in the BAAS Degree 5.11  
Mobile Device Applications 15.2  
Nepotism 11.16  
Outside Employment 11.19  
Performance Management Plan 11.20  
Probationary Period of Employment 11.21  
University ID Cards 14.13

## **BUILDING AND GROUNDS COMMITTEE**

### **BOARD ORDER 21-48**

Upon motion by Regent Alders, seconded by Regent Coleman, with all members voting aye, it was ordered that the following buildings and grounds items be approved.

#### **LANANA TRAILS TXDOT GRANT PROJECT**

WHEREAS, the board members considered the following: At the July 23, 2019 meeting, the regents approved the submission of a set of TxDOT grant applications. One was a TxDOT project proposal to reconstruct the LaNana Trail on the university campus. The trail extends from East College Street beyond Starr Avenue. The initiative was initially projected by TxDot to cost nearly \$1.5 million, with an estimated university match of \$348,578. As a result of construction escalation costs, the TxDot project has been revised to \$1,811,274, with a required \$362,255 university match.

In March 2021, TxDOT contacted the university and required confirmation that SFA would commit to the required 20% project match of \$362,255. After consultation with senior board leadership, the university committed to the required \$362,255 match.

THEREFORE, it was ordered that the LaNana Trails campus project at a cost of \$1,811,274, with an institutional match of \$362,255, using the Higher Education Fund, is approved. The president is authorized to sign any necessary contracts or purchase orders.

### **BOARD ORDER 21-49**

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

#### **HOMER BRYCE ARTIFICIAL TURF REPLACEMENT**

WHEREAS, the board members considered the following: The artificial turf football field and track at Homer Bryce Stadium has significant wear and tear issues and needs to be replaced. The university wishes to engage Symmetry Sports Construction, a firm that is available using The Interlocal Purchasing System, a governmental contract pool. The firm has replaced artificial football playing surfaces for Texas A&M University-Commerce, McNeese State University, Texas A&M University-Practice Field, Sam Houston State University, Abilene Christian University, Melissa ISD, Mount Pleasant ISD, Lufkin ISD, and Nederland ISD.

THEREFORE, it was ordered that the that Symmetry Sports Construction be hired to replace the Homer Bryce Stadium football field artificial turf and the Fletcher Garner track using 100-percent private-donated funds, at a cost not to exceed \$1.4 million. The president is authorized to sign all



associated contracts.

#### **BOARD ORDER 21-50**

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

#### **BUILDINGS AND GROUNDS POLICY REVISIONS**

The Board of Regents adopted the following policy revision as presented in Appendix 2:

Security Systems 14.10  
Solicitation on Campus 16.25

#### **BOARD ORDER 21-57**

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

#### **NAMING OF FAN OBSERVATION AREA**

WHEREAS, the board members considered the following: In accordance with Board Rules and Regulations, and university policy 1.5, Naming Guidelines, buildings and other facilities may be named for persons, both living and deceased, who make a significant donation to the university. The board will consider the appropriate naming of the fan observation area in the Loddie Naymola Basketball Performance Center currently under construction at the corner of University Drive and East College Street on the campus of Stephen F. Austin State University.

THEREFORE, it was ordered that the fan observation area in the Loddie Naymola Basketball Performance Center as the Coach Harry and Tillie Miller Fan Observation Area contingent upon complete satisfaction of the executed agreement terms and conditions. It is further recommended that the following resolution be adopted:

WHEREAS, the late Harry Miller served as the head men's basketball coach from 1978 - 1988, compiling a record of 170 - 112, and finished his coaching career with a 534 - 374 record; and

WHEREAS, as coach of the Lumberjacks, the late Harry Miller guided the Lumberjacks to three conference titles along with postseason appearances in three different divisions; and

WHEREAS, the late Harry and the late Tillie Miller devoted their lives to making an impact on student-athletes and others associated with the men's basketball program through their generosity of their time and finances; and

WHEREAS, their sons and daughters-in-law, Bob and Ardan Miller, Tom and Patty Miller, and Gary and Dorota Miller have made a gift commitment to basketball in honor of their late parents, Harry and Tillie Miller;

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for the late Harry and the late Tillie Miller by naming the fan observation area in the Loddie Naymola Basketball Performance Center the Coach Harry and Tillie Miller Fan

Observation Area.

#### **BOARD ORDER 21-58**

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

#### **NAMING OF SPORTS MEDICINE OFFICES**

WHEREAS, the board members considered the following: In accordance with Board Rules and Regulations, and university policy 1.5, Naming Guidelines, buildings and other facilities may be named for persons, both living and deceased, who make a significant donation to the university. The board will consider the appropriate naming of the sports medicine offices in the Loddie Naymola Basketball Performance Center currently under construction at the corner of University Drive and East College Street on the campus of Stephen F. Austin State University.

THEREFORE, it was ordered that the sports medicine offices in the Loddie Naymola Basketball Performance Center as the Dr. Robert and Ruth Carroll Sports Medicine Offices contingent upon complete satisfaction of the executed agreement terms and conditions. It is further recommended that the following resolution be adopted:

WHEREAS, the late Dr. Robert Carroll moved his family to Nacogdoches in 1972 to work in the Student Health Center at Stephen F. Austin State University; and

WHEREAS, the late Dr. Robert Carroll and Ruth Carroll are longstanding supporters of the women's basketball and sports medicine programs through season tickets, private contributions and volunteering their time and services; and

WHEREAS, the late Dr. Robert Carroll, through his generosity of time over the years provided medical support and services to the SFA Athletics Department and the women's basketball program; and

WHEREAS, in their loyal dedication to the university through their gifts of support and standards of excellence, they have set a distinguished example for others;

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for the late Dr. Robert Carroll and Ruth Carroll by naming the sports medicine offices in the Loddie Naymola Basketball Performance Center the Dr. Robert and Ruth Carroll Sports Medicine Offices.

#### **BOARD ORDER 21-59**

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

#### **NAMING OF LOBBY**

WHEREAS, the board members considered the following: In accordance with Board Rules and Regulations, and university policy 1.5, Naming Guidelines, buildings and other facilities may be named for persons, both living and deceased, who make a significant donation to the university.

The board will consider the appropriate naming of the lobby in the Loddie Naymola Basketball Performance Center currently under construction at the corner of University Drive and East College Street on the campus of Stephen F. Austin State University.

THEREFORE, it was ordered that the lobby in the Loddie Naymola Basketball Performance Center as the Joe Max and Jane Green Lobby. It is further recommended that the following resolution be adopted:

WHEREAS, Joe Max is a 1960 graduate of SFA with a degree in business;

WHEREAS, Joe Max served on the SFA Board of Regents 2003 - 2009 and served as chair and secretary; and

WHEREAS, Jane has served on the Stephen F. Austin State University Foundation Board of Trustees since 2013, served as vice chair and currently serving as chair; and

WHEREAS, they were inducted into the Fredonia Society in 2010 for their generous cumulative giving to the university; and

WHEREAS, in their loyal dedication to the university through their gifts of support and standards of excellence, they have set a distinguished example for others;

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Joe Max and Jane Green by naming the lobby in the Loddie Naymola Basketball Performance Center the Joe Max and Jane Green Lobby.

#### **BOARD ORDER 21-60**

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

#### **NAMING OF FOOTBALL FIELD**

WHEREAS, the board members considered the following: In accordance with Board Rules and Regulations, and university policy 1.5, Naming Guidelines, buildings and other facilities may be named for persons, both living and deceased, who make a significant donation to the university. The board will consider the appropriate naming of the football field at the Homer Bryce Stadium on the campus of Stephen F. Austin State University.

THEREFORE, it was ordered that the football field as the Jimmy W. Murphy Field for the usable life of the field surface. It is further recommended that the following resolution be adopted:

WHEREAS, Jimmy is a 1956 graduate of SFA with a degree in education and received the Distinguished Alumni Award in 1987; and

WHEREAS, Jimmy played football for SFA, selected as captain of the team in 1955 and was inducted into the Lumberjack Athletic Hall of Fame in 1979; and

WHEREAS, Jimmy served on the SFA Board of Regents from 1995 - 2001 and served as chair,

vice chair and secretary; and

WHEREAS, Jimmy served as chair of SFA's first capital campaign, Share the Legacy, exceeding the campaign goal of \$30M; and

WHEREAS, he was inducted into the Stephen F. Austin Society in 2015 for his generous cumulative giving to the football program and other areas; and

WHEREAS, in his loyal dedication to the university through his gifts of support and standards of excellence, he has set a distinguished example for others;

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Jimmy by naming the football field the Jimmy W. Murphy Field.

## **FINANCE AND AUDIT COMMITTEE**

### **BOARD ORDER 21-51**

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

### **ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT**

The Board of Regents acknowledged receipt of the audit services report as presented including the following:

- Payroll Expenditures Audit
- Follow-up Audit
- Spirit Programs Departmental Audit
- Follow-up Audit of FY2020 Information Technology Audits
- Risk Assessment
- Update on Audit Plan

### **BOARD ORDER 21-52**

Upon motion by Regent Mason, seconded by Regent Winston, with all members voting aye, it was ordered that the following financial affairs item be approved.

### **RATIFICATION OF NEW STUDENT HOUSING ALLOWANCE PROGRAM**

WHEREAS, the board members considered the following: As a consequence of COVID-19, the university experienced a major decline in student campus residency for the fall 20 and spring 21 semesters. The decline resulted in significant occupancy underutilization in residence halls. To address the residence hall underutilization and support student enrollment efforts, the administration proposes to implement a housing scholarship of up to \$3,000 per semester for up to two years.

If a qualifying student chooses a residence hall whereby the hall's cost is less than the scholarship amount, there will be no residual funds disbursed to the student or credited to the student's account. If a student chooses a residence hall with a cost that exceeds \$3,000 per semester, the entire \$3,000 will be applied to the semester's residence hall cost.

The administration's proposal is to offer five hundred (500) residence hall scholarships that are exclusively targeted to new students who are not currently enrolled, nor have already committed to enroll in the university. The scholarship will have a limited term of two years for each eligible student.

THEREFORE, it was ordered that five hundred New Student Housing Allowance at a level of \$3,000 per semester be approved as presented.

#### **BOARD ORDER 21-53**

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

#### **SUMMER 2021 BUDGET**

WHEREAS, the board members considered the following: The fiscal year 2020-21 summer budget contains multiple parts of term including 4-week, 6-week, 8-week, and 12-week terms. The 2020-21 annual budget includes summer reserve funds of \$3,532,482 that are used to support summer school salaries and benefits. In addition, designated funds that total \$45,277 are needed to support summer budget salaries and initiatives.

THEREFORE, it was ordered that the fiscal year 2020-21 summer budget that totals \$3,577,759 be approved as presented. Funding sources include budgeted summer reserve funds and designated support funds.

#### **BOARD ORDER 21-54**

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

#### **STEM RESEARCH AND LEARNING CENTER QUASI-ENDOWMENT**

WHEREAS, the board members considered the following: According to university policy 3.17, Gifts, Loans, Endowments and Bequests, utilization of unrestricted gifts of \$100,000 or more, as well as setting aside certain institutional funds to be maintained as quasi-endowments, shall be as directed by the Board of Regents. The SFA STEM Research and Learning Center has received funds in the form of payments for goods and services provided and from various gifts and donations. Utilizing funds from these revenue and discretionary accounts, the STEM Center is requesting to move \$500,000 to establish a quasi-endowment.

THEREFORE, it was ordered that the \$500,000 unrestricted funds received be used to establish a quasi-endowment under the name STEM Research and Learning Center. Both the generated revenue and principal are to be used at the discretion of the associate director of the STEM Research and Learning Center and dean of the College of Science and Mathematics, with the approval of the provost. Primarily, these funds will support 1) student scholarships awarded on a discretionary basis to incoming freshmen and returning students majoring in a STEM field within the College of Sciences and Mathematics, and 2) designated college initiatives that reflect the teaching and learning mission of the STEM Research and Learning Center as determined by the associate director and the dean.

**BOARD ORDER 21-55**

Upon motion by Regent Mason, seconded by Regent Henderson, with all members voting aye, it was ordered that the following financial affairs item be approved.

**GRANT AWARDS**

For fiscal year 2021, the multi-year grant award total is currently \$47,238,831. Of this total, grant awards allocable to fiscal year 2021 are currently \$17,144,163, an increase of \$11,296,183 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 ordered that the additional fiscal year 2021 grant awards that total \$11,296,183. The grant awards are detailed as presented in Appendix 3.

**BOARD ORDER 21-56**

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

**FINANCIAL AFFAIRS POLICY REVISIONS**

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

- Best Value Procurement 17.1
- Cellular Telephones and Wireless Communication Devices 3.6
- Delegated Purchasing Authority 17.5
- Direct Pay Disbursements 17.20
- Establishing a New Department Account: Fund-Organization-Program (FOP) 3.12
- Expenditure Authority for Financial Transactions 3.13
- Gramm Leach Bliley Act Required Information Security and Identity
  - Theft Prevention 14.4
- Identity Theft Prevention 14.5
- Insurance and Other Benefits 12.10
- Membership 17.10
- Payment Card Acceptance and Security 14.8
- Purchase Requisition 17.19
- Restrictions on Contracting with and Paying Certain Vendors 17.23
- Travel Card (T-Card) 3.30

**REPORTS**

President, Dr. Scott Gordon

- COVID-19 Update
- Updates on Leadership Searches

Austin Updates  
Updates on Off-Campus Partnerships  
President's Innovation Fund  
SACSCOC Accreditation Visit  
Campus Communication/Shared Governance Updates

Faculty Senate Chair, Dr. Andrew Lannen

Faculty Accomplishments  
Pandemic Year in Review  
Developing a Framework for SFA Shared Governance  
Faculty Senate Constitutional Amendment  
Brein Uriegas, Faculty Senate Chair 2021-2022

Student Government Association President, Mr. Christopher Moore

Introduce new SGA President and Vice President  
Spring semester updates  
Student Organization updates  
Next semester

Chair Gantt announced the appointment of the established Board of Regents Committees for 2021-2022:

#### EXECUTIVE AND LEGISLATIVE COMMITTEE

This committee is comprised of the board officers and shall serve as an advisory committee to review and make recommendations to the full board on any matter related to legislative initiatives and the governance, control and direction of the policies of the university.

Karen Gantt, Chair  
Tom Mason, Vice Chair  
Jennifer Winston, Secretary

#### ACADEMIC AND STUDENT AFFAIRS COMMITTEE

This committee shall consider: (1) the curricula of the various colleges and departments of the University with any other matters dealing with academic programs and the progress thereof; (2) the research programs within the university and their relationship to all graduate education; (3) student affairs within the university; (4) personnel matters within the university; administrative matters not delegated to another committee.

Brigette Henderson, Chair  
Jennifer Winston  
Laura Rectenwald  
Student Regent  
Karen Gantt, ex-officio

#### BUILDING AND GROUNDS COMMITTEE

This committee shall consider: (1) use and occupancy of university property; (2) planning of,

locating of, receiving bids for, awarding contracts for, construction of, and maintenance of buildings, utilities, and other physical facilities of the campus.

David Alders, Chair  
Brigettee Henderson  
Nancy Windham  
Karen Gantt, ex-officio

#### FINANCE AND AUDIT COMMITTEE

This committee shall consider: (1) the budgeting and appropriations request processes; (2) all requests for appropriations and budgets covering expenditures of educational and general funds and auxiliary programs, including, but not limited to, student housing and the athletic department; (3) handling of university funds, depositories, etc., whether from appropriated or contributed funds. (4) the auditing function of the university including, but not limited to, annual audit plan, internal and external audit reports, risk assessment, and audit/compliance.

Tom Mason, Chair  
Robert Flores  
Judy Olson  
Karen Gantt, ex-officio

The meeting was adjourned by Chair Karen Gantt at 11:42 a.m.



GRADUATE CURRICULUM CHANGES 2021/2022 (Effective Fall 2021)	
Graduate Course <u>Deletions</u>	
(Submitted for board approval April 2021)	

James I. Perkins College of Education	
Human Sciences	HUSC 5176
Kinesiology and Health Science	ATTR 5137
Kinesiology and Health Science	ATTR 5237

**GRADUATE CURRICULUM CHANGES 2021/2022 (Effective Fall 2021)**

**Graduate Program Additions**

(Submitted for board approval April 2021)

College of Education	
Education Studies	Curriculum and Instruction, Rural Education, Ed.D
Human Services and Educational Leadership	Applied Educational Psychology, MA
College of Liberal & Applied Arts	
English & Creative Writing	Advanced Cert in Professional Writing
Social Work	Doctorate of Social Work
College of Sciences & Mathematics	
Nursing	Nurse Educator Post Master's Certificate

# GRADUATE CURRICULUM CHANGES 2021/2022 (Effective Fall 2021)

## Graduate Program Modifications

(Submitted for board approval April 2021)

Nelson Rusche College of Business	
College of Business, Dean's Office	MBA
James I. Perkins College of Education	
Education Studies	Master of Arts in Teaching
Education Studies	Orientation & Mobility Concentration
Education Studies	Visual Impairment Concentration
Human Sciences	Executive Hospitality Supervision Certificate
Human Services and Educational Leadership	Professional Counseling, Clinical Rehabilitation Counseling, MA
Human Services and Educational Leadership	Professional Counseling, School Counseling, MA
Human Services and Educational Leadership	Ed Leadership, Higher Ed Leadership Conc, EdD
Human Services and Educational Leadership	Ed Leadership, K-12 Leadership Conc, EdD
Human Services and Educational Leadership	Student Affairs & Higher Education, MA
Human Services and Educational Leadership	School Psychology, Ph.D.
Human Services and Educational Leadership	School Psychology for the Post-Baccalaureate, Ph.D.
Human Services and Educational Leadership	School Psychology, M.A.
Kinesiology and Health Science	Athletic Training, M.S.
College of Fine Arts	
Music	Music Production
Music	Sound Recording Technology
Music	Theory-Composition, Composition Thesis, MM
Music	Theory-Composition, Dual Thesis, MM
Music	Theory-Compsoition, Theory Thesis, MM
Arthur Temple College of Forestry & Agriculture	
Forestry	Forestry MF
Forestry	Resource Communications MS
College of Liberal & Applied Arts	
Anthropology, Geology, Sociology	Grad Cert in Sustainability
English & Creative Writing	Advanced Cert in English Pedagogy
Mass Communication	Mass Communication MA
College of Sciences & Mathematics	
COSM Dean's Office	Natural & Applied Sciences MS
Computer Science	Cyber Security MS
Geology	Geology, MS

**GRADUATE CURRICULUM CHANGES 2021/2022 (Effective Fall 2021)**

**Graduate Program Deletions**

(Submitted for board approval April 2021)

**Arthur Temple College of Forestry & Agriculture**

Environmental Science

Occupational & Environmental Health Grad Certificate

**GRADUATE CURRICULUM CHANGES 2021/2022 (Effective Fall 2021)****Graduate Course Additions**

(Submitted for board approval April 2021)

<b>Nelson Rusche College of Business</b>	
Business Communication & Legal Studies	BUSI 5360
Business Communication & Legal Studies	BUSI 5380
Economics & Finance	ECON 5325
Mgt & Marketing	MGMT 5325
Mgt & Marketing	MGMT 5382
Mgt & Marketing	MKTG 5358
Mgt & Marketing	MKTG 5362
<b>James I. Perkins College of Education</b>	
Education Studies	CIED 6180
Education Studies	CIED 6310
Education Studies	CIED 6312
Education Studies	CIED 6314
Education Studies	CIED 6316
Education Studies	CIED 6318
Education Studies	CIED 6320
Education Studies	CIED 6322
Education Studies	CIED 6324
Education Studies	CIED 6326
Education Studies	CIED 6328
Education Studies	CIED 6330
Education Studies	CIED 6332
Education Studies	CIED 6334
Education Studies	ECED 6360
Education Studies	ECED 6362
Education Studies	ECED 6364
Education Studies	ECED 6366
Education Studies	ECED 6368
Education Studies	ECED 6370
Human Sciences	HUSC 5178
Human Services and Educational Leadership	EDLE 5305
Human Services and Educational Leadership	EDLE 5306
Human Services and Educational Leadership	EDLE 5307
Human Services and Educational Leadership	EDLE 6344
Human Services and Educational Leadership	HEDL 6322
Human Services and Educational Leadership	HEDL 6323
Human Services and Educational Leadership	RSCH 6311
Human Services and Educational Leadership	RSCH 6340
Human Services and Educational Leadership	RSCH 6342
Human Services and Educational Leadership	RSCH 6344
Human Services and Educational Leadership	RSCH 6346

Human Services and Educational Leadership	SPSY 5301
Human Services and Educational Leadership	SPSY 5302
Human Services and Educational Leadership	SPSY 5304
Human Services and Educational Leadership	SPSY 5306
Human Services and Educational Leadership	SPSY 5307
Human Services and Educational Leadership	SPSY 5336
Human Services and Educational Leadership	SPSY 5346
Human Services and Educational Leadership	SPSY 6343
Kinesiology and Health Science	ATTR 5135
Kinesiology and Health Science	ATTR 5138
Kinesiology and Health Science	ATTR 5178
Kinesiology and Health Science	ATTR 5235
Kinesiology and Health Science	ATTR 5239
<b>College of Fine Arts</b>	
Music	MUST 5318
Music	MUST 5319
Music	MUST 5360
Music	MUST 5365
Music	MUST 5370
Music	MUST 5391
Music	MUST 5392
Theatre	DRAM 5315
<b>Arthur Temple College of Forestry &amp; Agriculture</b>	
Agriculture	AGRI6175
Environmental Science	ENVR6371
Forestry	FORS5391
Forestry	FORS6309
Forestry	GISC6364
<b>College of Liberal &amp; Applied Arts</b>	
Anthropology, Geography & Sociology	SUST5375
English & Creative Writing	ENGL5371
English & Creative Writing	ENGL5374
English & Creative Writing	ENGL5375
English & Creative Writing	ENGL5391
English & Creative Writing	ENGL5397
Social Work	SOCW6124
Social Work	SOCW6300
Social Work	SOCW6301
Social Work	SOCW6302
Social Work	SOCW6303
Social Work	SOCW6304
Social Work	SOCW6305
Social Work	SOCW6306
Social Work	SOCW6307
Social Work	SOCW6310

Social Work	SOCW6312
Social Work	SOCW6313
Social Work	SOCW6314
Social Work	SOCW6315
Social Work	SOCW6316
Social Work	SOCW6317
Social Work	SOCW6322
Social Work	SOCW6323
Social Work	SOCW6325
<b>College of Sciences &amp; Mathematics</b>	
Biology	BIOL6317
Chemistry & Biochemistry	CHED5331
Chemistry & Biochemistry	CHED5337
Chemistry & Biochemistry	CHED5343
Chemistry & Biochemistry	CHED5352
Geology	GEOL5338
Geology	GEOL5353
Geology	GEOL5388
Mathematics	STAT6390
Nursing	NURS5071
Nursing	NURS5360
Nursing	NURS5361
Nursing	NURS5362
Nursing	NURS5370

GRADUATE CURRICULUM CHANGES 2021/2022 (Effective Fall 2021)	
Graduate Course Modifications	
(Submitted for board approval April 2021)	

Nelson Rusche College of Business	
Bus Com & Legal Studies	BLAW 5347
James I. Perkins College of Education	
Education Studies	SEED 5343
Education Studies	SPED 5315
Education Studies	SPED 5316
Education Studies	SPED 5318
Education Studies	SPED 5352
Education Studies	SPED 5393
Human Sciences	HUSC 5175
Human Sciences	HUSC 5189
Human Sciences	HUSC 5190
Human Services and Educational Leadership	EDLE 5354
Human Services and Educational Leadership	EDLE 5391
Human Services and Educational Leadership	EDLE 6331
Human Services and Educational Leadership	EDLE 6341
Human Services and Educational Leadership	EDLE 6342
Human Services and Educational Leadership	EDLE 6343
Human Services and Educational Leadership	EDLE 6345
Human Services and Educational Leadership	EDLE 6346
Human Services and Educational Leadership	EDLE 6348
Human Services and Educational Leadership	HEDL 6321
Human Services and Educational Leadership	HEDL 6324
Human Services and Educational Leadership	HEDL 6325
Human Services and Educational Leadership	HEDL 6326
Human Services and Educational Leadership	RSCH 6312
Human Services and Educational Leadership	RSCH 6313
Human Services and Educational Leadership	RSCH 6314
Human Services and Educational Leadership	SPHS 5300
Human Services and Educational Leadership	SPHS 5301
Human Services and Educational Leadership	SPHS 5302
Human Services and Educational Leadership	SPHS 5305
Human Services and Educational Leadership	SPHS 5306
Human Services and Educational Leadership	SPHS 5312
Human Services and Educational Leadership	SPHS 5314
Human Services and Educational Leadership	SPHS 5324
Human Services and Educational Leadership	SPHS 5334
Human Services and Educational Leadership	SPHS 5344
Human Services and Educational Leadership	SPHS 5354



Human Services and Educational Leadership	SPHS 5364
Kinesiology and Health Science	ATTR 5131
Kinesiology and Health Science	ATTR 5331
Arthur Temple College of Forestry and Agriculture	
Enironmental Science	ENVR 5014
Enironmental Science	ENVR 5314
Forestry	FORS5305
Forestry	FORS5365
Forestry	FORS6305
Forestry	FORS6365
College of Liberal & Applied Arts	
English and Creative Writing	ENGL5190
College of Sciences & Mathematics	
Biology	BIOL5442
Chemistry	CHED5311
Chemistry	CHED5312
Computer Science	CSCI5320
Computer Science	CSCI5347
Computer Science	CSCI5360
Geology	GEOL5032
Geology	GEOL5332
Nursing	NURS5301
Nursing	NURS5302
Nursing	NURS5311
Nursing	NURS5322
Nursing	NURS5331
Nursing	NURS5332
Nursing	NURS5342
Nursing	NURS5551
Nursing	NURS5661
Nursing	NURS5670

**UNDERGRADUATE CURRICULUM CHANGES 2021/2022 (Effective Fall 2021)****Undergraduate Program Modifications**

(Submitted for board approval April 2021)

<b>Nelson Rusche College of Business</b>	
Accounting	Accounting, B.B.A.
Business Communication & Legal Studies	Legal Studies Emphasis, Gen Bus
Business Communication & Legal Studies	Bus Com & Corporate Ed, BBA
Business Communication & Legal Studies	Corporate Communicate Emphasis, General Business
Management & Marketing	Management, BBA
Management & Marketing	Human Resource Mgt, BBA
Management & Marketing	Electronic Business Minor
Management & Marketing	Mgt Minor for BBA Candidate
Management & Marketing	Sports Business Major
Management & Marketing	Sports Business Minor
<b>James I. Perkins College of Education</b>	
Education Studies	BSIS Core Subjects EC-3 Concentration
Education Studies	Core Subjects EC-6 w/ Science of Teaching Reading Concentration
Education Studies	Core Subjects 4-8 w/ Science of Teaching Reading Concentration
Education Studies	El Ed, Special Ed, BSIS
Education Studies	English/Language Arts/Reading 4-8 w/ Science of Teaching Reading Concentration
Education Studies	Mathematics 4-8 Concentration
Education Studies	Science 4-8 Concentration
Education Studies	Social Studies 4-8 Concentration
Education Studies	Early Childhood Minor
Human Sciences	Construction Management, BS
Human Sciences	Construction Management, Major
Human Sciences	Dietetics & Nutritional Sci, Pre-Prof Registered Dietician, BS
Human Sciences	Dietetics and Nutritional Sciences, Registered Dietician, BS
Human Sciences	Hospitality, Nutrition and Food Science Certification Concentration
Human Sciences	Human Development and Family Studies Certification Concentration
Human Sciences	Human Development and Family Studies Concentration
Human Sciences	Interior Design, BS
Human Sciences	Merchandising, BS
Human Sciences	Merchandising, Major
Human Sciences	Restaurant Focus
Kinesiology and Health Science	Dance, Performance and Choreography BS
Kinesiology and Health Science	Dance, Teaching BS
<b>College of Fine Arts</b>	
Art	BFA with Teacher Certification
Music	Music Minor
Music	Music Voice for Theatre Minor
Music	Music, Composition, B.M.
Music	Music, Teaching: Choral/Piano, BM
Music	Music, Teaching: Elementary Music, BM
Music	Music, Teaching: Instrumental (Woodwinds/Brass/Percussion), BM
Music	Music, Teaching: Instrumental Strings, BM

Music	Music, Teaching: Instrumental/Piano, BM
Music	Music, Teaching: Choral/Voice, BM
Theatre	Theatre, All-Level (EC-12) Teacher Certification, BA
<b>Arthur Temple College of Forestry &amp; Agriculture</b>	
Agriculture	General Agriculture, Major
Agriculture	Agricultural Communication
Forestry	BSF
<b>College of Liberal &amp; Applied Arts</b>	
Anthropology, Geography & Sociology	Sustainability, BA
Anthropology, Geography & Sociology	Sustainability Minor
Anthropology, Geography & Sociology	Certificate in Sustainability
CLAA Dean's Office	BA in Liberal & Applied Arts
Languages, Cultures & Communication	Modern Languages, French, BA
Languages, Cultures & Communication	Modern Languages, Spanish, BA
Languages, Cultures & Communication	LING 4311
Mass Communication	Mass Com BA
Mass Communication	Mass Com BS
Mass Communication	Broadcast journalism concentration
Multi Disciplinary Programs	BSGS
Multi Disciplinary Programs	Multidisciplinary Studies, BS
Multi Disciplinary Programs	Medical Humanities, BA
Multi Disciplinary Programs	Medical Humanities, BS
Multi Disciplinary Programs	Philosophy Minor
Multi Disciplinary Programs	Religious Studies Minor
<b>College of Sciences &amp; Mathematics</b>	
CoSM Dean's Office	Combined Sciences Minor
Chemistry and Biochemistry	Biochemistry, B.S.
Chemistry and Biochemistry	Biochemical/Pre-Medical Concentration
Chemistry and Biochemistry	Chemistry, B.S.
Chemistry and Biochemistry	Chemistry-Interdisciplinary Conc
Chemistry and Biochemistry	Fermentation Science Concentration
Chemistry and Biochemistry	Chemistry Minor
Computer Science	Computer Science BS
Computer Science	Computer Info System BS
Geology	Geology Minor
Physics Engineering	Engineering Physics, Electrical Engineering Conc, BS
Physics Engineering	Engineering Physics, Mechanical Engineering Conc, BS
Physics Engineering	Engineering Minor
Physics Engineering	Physics, Applied Physics, BS
Physics Engineering	Physics, B.S.

**UNDERGRADUATE CURRICULUM CHANGES 2021/2022 (Effective Fall 2021)****Undergraduate Program Additions**

(Submitted for board approval April 2021)

**Nelson Rusche College of Business**

Business Communication & Legal Studies	Business Law Certificate
Economics and Finance	Business Analytics Minor

**James I. Perkins College of Education**

Human Sciences	Construction Management, Minor
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**College of Fine Arts**

Theatre	Minor in Devised Theatre & Collaboration
Theatre	Minor in Theatrical Costuming
Theatre	Certificate in Theatrical Costuming

**Arthur Temple College of Forestry & Agriculture**

Agriculture	General Agriculture, BSAG
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**College of Liberal & Applied Arts**

Languages, Cultures & Communication	Teaching English to Speakers of Other Languages Certificate
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**College of Sciences & Mathematics**

Pre-Engineering/Engineering	BS Electrical Engineering
Pre-Engineering/Engineering	BS Mechanical Engineering

UNDERGRADUATE CURRICULUM CHANGES 2021/2022 (Effective Fall 2021)

Undergraduate Program Deletions

(Submitted for board approval April 2021)

College Liberal & Applied Arts

Mass Communication

Journalism Concentration

<b>UNDERGRADUATE CURRICULUM CHANGES 2021/2022 (Effective Fall 2021)</b> <b>Undergraduate Course Additions</b> (Submitted for board approval April 2021)	
Nelson Rusche College of Business	
Mgt & Marketing	MGMT 3345
James I. Perkins College of Education	
Education Studies	ECED 3330
Education Studies	ECED 3340
Education Studies	ECED 4310
Human Sciences	AVSC 2240
Human Sciences	AVSC 2250
Human Sciences	AVSC 2340
Human Sciences	CMGT 3346
Human Sciences	CMGT 3347
Human Sciences	INDS 1149
Human Sciences	INDS 1249
Human Sciences	INDS 3105
Human Sciences	INDS 3205
Human Sciences	INDS 4100
Human Sciences	TECA 1311
Kinesiology and Health Science	DANC 2078
College of Fine Arts	
Art	ARTS 3362
Art	ARTS 3363
Music	MUSI 2350
Theatre	DRAM 2300
Theatre	DRAM 3374
Theatre	DRAM 3375
Arthur Temple College of Forestry & Agriculture	
Agriculture	ACOM 2120
Agriculture	ACOM 2220
Agriculture	ACOM 3130
Agriculture	ACOM 3131
Agriculture	ACOM 3230
Agriculture	ACOM 3331
Agriculture	ACOM 4340
Agriculture	ACOM 4341
Agriculture	ACOM 4342
Agriculture	AGRI 2316
Agriculture	ANSC 2350
Environmental Science	ENVR 3020
Environmental Science	ENVR 3320
Forestry	FORS 3109
Forestry	FORS 4042
Forestry	FORS 4342
College of Liberal & Applied Arts	

Anthropology, Geography & Sociology	SUST 4340
Anthropology, Geography & Sociology	SUST 4375
Mass Communication	MCOM 1337
Mass Communication	MCOM 4371
Mass Communication	MCOM 4376
<b>College of Sciences &amp; Mathematics</b>	
Biology	BIOL 3317
Biology	BIOL 3370
Chemistry and Biochemistry	CHEM 3336
Chemistry and Biochemistry	CHEM 4336
Physics Engineering	ENGR 4060
Physics Engineering	ENGR 4070

**UNDERGRADUATE CURRICULUM CHANGES 2021/2022 (Effective Fall 2021)****Undergraduate Course Modifications**  
(Submitted for board approval April 2021)**Nelson Rusche College of Business**

Bus Com & Legal Studies	BCOM 3347
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**James I. Perkins College of Education**

Education Studies	ECED 3300
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Education Studies	ECED 3301
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Education Studies	ECED 3320
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Education Studies	ELED 4330
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Education Studies	ORMO 4303
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Education Studies	ORMO 4304
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Education Studies	ORMO 4342
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Education Studies	SPED 4339
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Education Studies	SPED 4360
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Education Studies	SPED 4366
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Human Sciences	CMGT 1301
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Human Sciences	HDFS 4315
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Human Sciences	HDFS 4319
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Human Sciences	HMSC 4100
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Human Sciences	HMSC 4175
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Human Sciences	HMSC 4178
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Human Sciences	INDS 2208
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Human Sciences	INDS 2325
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Human Sciences	INDS 3125
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Human Sciences	INDS 3225
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Human Sciences	MRCH 1302
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Human Sciences	MRCH 2320
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Human Sciences	MRCH 3304
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Human Sciences	MRCH 3323
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Human Sciences	MRCH 4319
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Human Sciences	MRCH 4352
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Human Sciences	MRCH 4363
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Human Sciences	NUTR 3349
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Human Sciences	NUTR 4329
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Human Sciences	NUTR 4335
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Human Sciences	NUTR 4339
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Human Sciences	RSTO 4207
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Human Services and Educational Leadership	CSDS 4330
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Kinesiology and Health Science	DANC 3143
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Kinesiology and Health Science	KINE 2162
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Kinesiology and Health Science	KINE 3331
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Kinesiology and Health Science	KINE 3333
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Kinesiology and Health Science	KINE 4317
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Kinesiology and Health Science	KINE 4350
<b>College of Fine Arts</b>	
Art	ARTS 3361
Art	ARTS 4361
Art	ARTS 4362
Music	MUSI 4344
Music	MUTC 1116
Music	MUTC 1117
Music	MUTC 1211
Music	MUTC 1212
Music	MUTC 2116
Music	MUTC 2117
Music	MUTC 2211
Music	MUTC 2212
Music	MUTC 4361
Music	MUTC 4362
<b>Arthur Temple College of Forestry &amp; Agriculture</b>	
Agriculture	HORT2220
Agriculture	HORT2120
Agriculture	AGRI 3361
<b>College of Liberal &amp; Applied Arts</b>	
Anthropology, Geography & Sociology	ANTH 2002
Anthropology, Geography & Sociology	ANTH 4382
Anthropology, Geography & Sociology	SOCI 3310
Mass Communication	MCOM 1316
Mass Communication	MCOM 1336
Mass Communication	MCOM 3305
Mass Communication	MCOM 3350
Mass Communication	MCOM 3377
Mass Communication	MCOM 4309
Mass Communication	MCOM 4357
Mass Communication	MCOM 4379
Psychology	PSYC 3380
Languages, Cultures & Communication	LING4311
<b>College of Sciences &amp; Mathematics</b>	
Biology	BIOL 2300
Biology	BIOL 3308
Biology	BIOL 3360
Biology	BIOL 3421
Biology	BIOL 3433
Biology	BIOL 3453
Biology	BIOL 4442
Chemistry and Biochemistry	CHEM 3437
Chemistry and Biochemistry	CHEM 3438

Chemistry and Biochemistry	CHEM 4164
Chemistry and Biochemistry	CHEM 4170
Chemistry and Biochemistry	CHEM 4341
Chemistry and Biochemistry	CHEM 4354
Chemistry and Biochemistry	CHEM 4443
Chemistry and Biochemistry	CHEM 4453
Chemistry and Biochemistry	CHEM 4466
Computer Science	CSCI 3333
Computer Science	CSCI 3362
Computer Science	CSCI 4325
Computer Science	CSCI 4335
Computer Science	CSCI 4347
Computer Science	CSCI 4362
Geology	GEOL 2341
Nursing	NURS 3158
Nursing	NURS 3205
Nursing	NURS 3207
Nursing	NURS 3232
Nursing	NURS 3308
Nursing	NURS 3431
Nursing	NURS 3606
Nursing	NURS 3630
Nursing	NURS 4208
Nursing	NURS 4233
Nursing	NURS 4237
Nursing	NURS 4330
Nursing	NURS 4336
Nursing	NURS 4338
Nursing	NURS 4339
Nursing	NURS 4342
Nursing	NURS 4343
Nursing	NURS 4344
Nursing	NURS 4345
Nursing	NURS 4407
Nursing	NURS 4431
Nursing	NURS 4432
Nursing	NURS 4440
Nursing	NURS 4441
Nursing	NURS 4606
Physics Engineering	ENGR 1010
Physics Engineering	ENGR 1310
Physics Engineering	ENGR 2305
Physics Engineering	ENGR 3316
Physics Engineering	ENGR 3343

Physics Engineering	ENGR 4145
Physics Engineering	ENGR 4260
Physics Engineering	ENGR 4270
Physics Engineering	PHYS 2325
Physics Engineering	PHYS 2401
Physics Engineering	PHYS 3421
Physics Engineering	PHYS 4170
Physics Engineering	PHYS 4371
Physics Engineering	PHYS 4372
Physics Engineering	PHYS 4473

**UNDERGRADUATE CURRICULUM CHANGES 2021/2022 (Effective Fall 2021)****Undergraduate Course Deletions**

(Submitted for board approval April 2021)

**James I. Perkins College of Education**

Kinesiology and Health Science	DANC 3281
Kinesiology and Health Science	KINE 1302
Kinesiology and Health Science	KINE 2214
Kinesiology and Health Science	KINE 4150
Kinesiology and Health Science	KINE 4176
Kinesiology and Health Science	KINE 4324
Kinesiology and Health Science	KINE 4345
Kinesiology and Health Science	KINE 4361
Kinesiology and Health Science	KINE 4376
Kinesiology and Health Science	HLTH 3386

**Arthur Temple College of Forestry & Agriculture**

Forestry	SFA 401
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**College of Liberal & Applied Arts**

Mass Communication	MCOM 4345
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**College of Sciences & Mathematics**

Computer Science	CSCI 2341
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STEPHEN F. AUSTIN  
STATE UNIVERSITY  
Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Best Value Procurement

**Policy Number:** 17.1

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

**Date of last revision, if applicable:** 4/18/2020

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

**Purpose of Policy (what does it do):** This policy affirms that Stephen F. Austin State University (SFA) makes purchases, not otherwise delegated through Delegated Purchasing Authority (17.5), in accordance with Texas Education Code Section 51.9335 and university policy.

**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:** The revision blends in content and allows deletion of Policies 17.10, 17.19, and 17.23.

**Specific rationale for deletion of policy:** N/A

*Additional Comments:*

Minor wording changes.

Reviewers:

Kay Johnson, Director of Procurement and Property Services/HUB Coordinator  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Best Value Procurement

**Original Implementation:** January, 1988

**Last Revision:** ~~April 18, 2020~~ April 20, 2021

### Purpose

This policy affirms that Stephen F. Austin State University (SFA) makes purchases, not otherwise delegated through Delegated Purchasing Authority (17.5), in accordance with Texas Education Code Section 51.9335 and university policy.

### PROCUREMENT ~~METHODS~~ PROCESSES

The university purchases goods or service by the method that provides the best value to the university, including:

- A. programs associated with the purchase of goods or services from persons with disabilities as required under applicable state law;
- B. direct negotiation if the aggregate total is \$15,000 or less (except that the limit for federal funds is \$3,000);
- C. group/cooperative purchasing programs;
- D. contracts awarded by the state comptroller's office, Department of Information Resources, Council on Competitive Government, State Office of Risk Management, or other state of Texas agencies or institutions of higher education;
- E. contracting with other state agencies or political subdivisions in accordance with Interagency and Interlocal Contracts (see additional information below in Additional Procurement Considerations);
- F. purchasing on a proprietary basis in accordance with Proprietary Purchases (see additional information below in Additional Procurement Considerations);
- G. purchase of professional and consulting services in accordance with Texas Government Code Section 2254 (see additional information below in Additional Procurement Considerations);
- H. purchasing from state or federal surplus warehouses in accordance with Purchase of Surplus Property (17.17);
- I. soliciting bids or proposals as follows:
  - a. informal solicitation if the aggregate total is \$50,000 or less; this limit may be increased to \$150,000 if using federal grant funds;
  - b. formal solicitation if the aggregate total is over \$50,000; this limit may be increased to \$150,000 if using federal grant funds;
- J. purchasing on an emergency basis as long as the procurement is necessary to prevent a hazard to life, health, safety, welfare or property, or to avoid undue additional cost to the university;
- K. purchasing on a best value basis without using one of the above processes as long as the supporting justification is approved by the director of procurement and is in compliance with best value considerations outlined in Texas Education Code Section 51.9335.



## ***Purchase Requisition Process***

*A specific request by a department to purchase goods or services begins with the completion of an electronic Purchase Requisition (requisition). Once initiated, the requisition is routed for appropriate approvals based on the amount, commodity, or funding source. This automated approval queue for requisitions is maintained in the university's financial system. Reference Delegated Purchasing Authority (17.5).*

*Electronic requisitions are submitted following the guidelines outlined in the Procurement Requisitions, Approvals and Receiving Manual. Purchase orders may be created without a requisition at the discretion of the procurement office. When a purchase order is created without a requisition, the department may be notified by email that the purchase order has been created.*

*Requisition processing within the procurement office differs depending upon source of funds, dollar value, the type of good or service being acquired, and department need.*

*Exceptions to the use of a requisition, other than those listed above, are detailed in Direct Pay Disbursements (17.20) and Delegated Purchasing Authority (17.5).*

## **ADDITIONAL PROCUREMENT CONSIDERATIONS**

### **General**

The university may not accept a bid or award a contract that includes proposed financial participation by a person who received compensation from the university to participate in preparing the specifications or request for proposals on which the bid or contract is based. This does not prohibit a bidder or contract participant from providing free technical assistance to the university.

In accordance with Gov't Code Ch. 2252, Subchapter A, the university will apply reciprocity when evaluating informal bids and competitive sealed bids. This requirement does not apply to federal funds.

Contracts that generate revenue may be processed through any of the above procurement processes, through direct negotiation, or through any other process that is determined to represent the best value to the university.

All procurements, regardless of the source of funds, shall comply with laws and rules relating to historically underutilized businesses. Reference Historically Underutilized Businesses (17.7).

Some procurements may require Board of Regents approval prior to purchasing. Reference Items Requiring Board of Regents Approval (1.4).

Some procurements have additional restrictions based on the source of funding. Reference the Funds Guidelines and HEF Guidelines published on the procurement and property services website.

## **Contracting Restrictions for Post-Employment and Heads of State Agencies**

Contracting with a former employee or retiree for services is prohibited on state funds within 12 months of the employee's separation date from the university. The use of local funds is allowed within 12 months of the employee's separation date with prior approval of the director of procurement and property services, director of human resources, and general counsel.

If a past employee or retiree is hired as a consultant within 2 years of leaving SFA or any other state agency, the consultant must disclose in ~~his/her~~*their* offer the following information: a) nature of employment at the agency; b) the date employment was terminated; c) the annual rate of compensation at termination. This requirement does not apply to professional services.

Contracting for professional services with a company employing a former employee or retiree within 12 months of the employee's separation date from the university is allowed only if the former or retired employee does not work on a project that is similar to ~~his/her~~*their* duties while employed by SFA.

Contracting with the executive head of a state agency, or with a person who at any time during the four years before the date of the contract was the executive head of a state agency, or with a person who employs a current or former executive head of a state agency is prohibited unless the Board of Regents votes in open meeting to approve the contract, and the Legislative Budget Board is notified no later than the fifth day before the date of the vote, of the terms of the proposed contract.

Pursuant to state law, a former officer or employee who during their period of service or employment participated on behalf of the university in a procurement or contract negotiation involving a person may not accept employment from that person before the second anniversary of the date the contract is signed or the procurement is terminated or withdrawn.

## **Contracting Restrictions with and Paying Certain Vendors**

*The university is required by Tex. Gov't Code § 2252.903 and the United States President's Exec. Order No. 13224, 66 Fed. Reg. 49079 (Sept. 23, 2001) to determine vendor eligibility for contracts and/or payments. The university may contract with any vendor on state warrant hold and follow established procedures for notifying the vendor and holding payment. It is the responsibility of the accounts payable office to ensure that the selected vendor is NOT on warrant hold prior to processing a university payment. However, the university is strictly prohibited from contracting with any vendor listed on the federal government specially designated nationals list (SDN). –The verification process for the SDN involves searching in the federal system for award management website (SAM).*

*It is the responsibility of the university to ensure that the selected vendor is NOT on warrant hold or listed with an active exclusion on the SAM up to 7 days before the contract date, but no later than the contract start date.*

## **Contract Management**

The procurement office shall establish and maintain contract management procedures that provide for consistent contracting policies and practices and contract review procedures, including a risk analysis procedure. The contract review procedures, contract review checklist, and any updates, must be reviewed and approved by the general counsel before implementation.

The procurement office shall establish procedures to identify each contract that requires enhanced contract or performance monitoring. New construction projects over a designated dollar amount shall be included in evaluation for enhanced monitoring. Identified contracts shall be reported to the Board of Regents at regularly scheduled meetings, including the following information:

1. a description of the contract;
2. the vendor awarded the contract;
3. the procurement method by which the vendor was selected;
4. who is managing the contract;
5. any serious issue or risk associated with the contract.

The following types of purchases or contracts are excluded from this reporting requirement: a memorandum of understanding, interagency contract, interlocal agreement, or contract for which there is no cost.

All contracts should be fully executed prior to the effective date and prior to work being performed to the extent possible.

### **Interagency and Interlocal Purchases**

Interagency purchases are for goods and services from another agency of the state of Texas and are allowed by the Interagency Cooperation Act, except that a state agency may not enter into an agreement or contract that requires or permits the agency to exceed its duties and responsibilities or the limitations of its appropriated funds. An agency may purchase goods, equipment, and special or technical services including the services of an employee through an Interagency Cooperation Agreement.

Interlocal purchases are for goods or services from or by a local government such as a city or county government, school district, junior or community college district, or other political subdivision. Such purchases are handled as an Interlocal Agreement, and are allowed so long as neither the agency nor the political subdivision exceeds its duties and responsibilities or the limitations of its appropriated funds or its governing board or commission.

A state agency may not provide services or resources to another agency that are required by Article XVI, Section 21, of the Texas Constitution to be provided under a contract awarded to the lowest responsible bidder. Printing services may not be purchased through an Interagency or Inter-local Agreement.

Interagency contracts shall follow financial approval thresholds allowed in university policy 1.4. All interagency contracts must conform to appropriate procurement procedures and be approved by an

authorized administrator from each agency. An interagency agreement, if required under applicable law, must specify the following:

1. the kind and amount of goods or services to be provided;
2. the basis for computing reimbursable costs; and
3. the maximum cost during the period of the agreement.

Interlocal contracts must contain a formal written agreement signed by the university agency head, or designee, and the local government, regardless of the dollar amount. The written agreement must:

1. state the purpose, terms, rights, and duties of the contracting parties; and
2. specify that each party paying for the performance of governmental functions or services must make those payments from current revenues available to the paying party.

Forms for interagency and interlocal agreements are available on the general counsel's website.

### ***Purchase of Memberships***

*All memberships are held in the name of the university. –Memberships that clearly relate to the university as a whole may be paid from university's institutional membership account, subject to available funding and appropriate approval. –Memberships relating to specific departments or functions are funded from departmental or college accounts.*

*Memberships that will be paid with appropriated funds must be submitted on a purchase requisition and approved at the appropriate level. Memberships in a chamber of commerce may not be purchased with appropriated funds.*

### **Proprietary Purchases**

A proprietary purchasing situation occurs when competition is not available. In addition to the purchase requisition, a written exclusive acquisition justification must be submitted to the Department of Procurement and Property Services when the specification requirement limits consideration to one manufacturer, one product, or one service provider.

A sole product may be available from more than one source and is subject to best value procurement rules. Justification for proprietary purchases must be signed by the director of procurement and property services/HUB coordinator. To assist in proprietary purchase considerations, procedures and guidelines are provided on the procurement and property services website.

### **Purchase of Professional and Consulting Services**

Professional services are services within the scope of practice, as defined by state law, of: accounting, architecture, landscape architecture, land surveying, medicine, optometry, professional engineering, real estate appraising, professional nursing, and interior design or those services provided in connection with the professional employment or practice of a person who is licensed or registered as a certified public accountant, an architect, landscape architect, land surveyor, a

physician (including a surgeon), an optometrist, a professional engineer, a state certified or state licensed real estate appraiser, registered nurse, or a licensed interior designer.

Consulting services are services of studying or advising a state agency under a contract that does not involve the traditional relationship of employer and employee. A consultant may be used only if there is a substantial need for the consulting services with its own personnel or obtain the consulting services through a contract with a state governmental entity.

Major consulting service contracts are contracts for which it is reasonably foreseeable that the value of the contract will exceed \$25,000. The \$25,000 threshold is not a one-time cost, but rather a cumulative amount for on-going consulting services.

A consultant is a person that provides or proposes to provide a consulting service. The term includes a political subdivision but does not include the federal government, a state agency, or a state governmental entity.

Selection of professional or consulting service contracts may require Board of Regents approval. Reference Items Requiring Board of Regents Approval (1.4). Submission of a requisition is required, and other purchasing procedures may apply.

Professional or consulting service solicitations greater than \$50,000 will be posted on the electronic business daily unless Procurement and Property Services determines that no value is added by the posting.

A professional service provider is not to be selected on the basis of competitive bid but rather on the basis of demonstrated competence and qualifications to perform the services; and a fair and reasonable price, as long as professional fees do not exceed any maximum provided by law.

Professional services, including architectural, engineering, land surveying, and other professional services as referenced above, must be procured in the following manner:

1. Select the most highly qualified provider based on demonstrated competence and qualifications as provided in the Request for Qualifications;
2. Attempt to negotiate a contract with the selected provider at a fair and reasonable price;
3. If a satisfactory contract cannot be negotiated with the most highly qualified provider, formally end negotiations with that provider; select the next most highly qualified provider; and attempt to negotiate a contract at a fair and reasonable price.

The selection process for architectural, engineering, or land surveying services shall continue in this manner until a contract is accepted by all parties.

A consulting service provider is to be selected using the procurement method that provides the best value to the university based on demonstrated competence, knowledge, qualifications, and reasonableness of the proposed fees for the services.

## EXEMPT PURCHASES

Purchases that are exempt from best value procurement processes outlined herein but for which submission of a purchase requisition and other rules may apply include:

1. advertising;
2. hotels and meeting rooms for conferences;
3. conference expenses – expenses related to conference room services such as audio/visual/network and food services. (does not include goods purchased for attendees or transportation services);
4. moving expenses (employee) – see Moving Expenses (3.23);
5. student travel – see Student Travel (10.12);
6. library materials and services for Stephen F. Austin State University libraries when such exemption represents the best value to the university;
7. membership dues and associated fees;
8. direct publications only available from a single source as defined in the procurement procedure manual;
9. freight, including shipping, handling, fuel surcharge, hazardous material fee, postage, and other surcharges;
10. intra-agency payments (IDT);
11. rental of exhibit space;
12. items for resale;
13. internal repairs – repairs for which the extent and cost of such cannot be determined until the commodity is disassembled and evaluated; an internal repair must contain labor and may also include parts;
14. purchases from federal agencies;
15. utilities, other than deregulated electricity;
16. organized activity purchases – goods and services for the Early Childhood Lab, Cole Audiology Lab, Beef Farm, Poultry Farm, Equestrian Program, Broiler Houses, and Swine Farm when the purchase directly affects operations and such exemption represents the best value to the university;
17. group travel – expenses related to group travel when such group travel includes non- university persons and/or is funded by payment from individual travelers; i.e., Art Tour;
18. gifts, prizes and awards for students, employees and non-university individuals – See Gifts, Prizes and Awards (3.18);
19. accreditation fees;
20. tournament fees or game guarantees;
21. licensing fees or permits;
22. employee registration or tuition;
23. sponsorships;
24. non-travel-related meals;
25. fees, not otherwise identified herein;
26. notary bonds;
27. guest lecturers, speakers, artists, entertainers, performers, musicians, etc.;
28. educational/training services for university employees;

- 29. veterinary services;
- 30. other professional services as defined by the state comptroller's expenditure codes.

**Cross References:** Items Requiring Board of Regents Approval (1.4); Ethics (2.6); Gifts, Prizes and Awards (3.18); Student Travel (10.12); Nepotism (11.16); Historically Underutilized Businesses (17.7); Delegated Purchasing Authority (17.5); Purchase of Surplus Property (17.17); *Direct Pay Disbursements* ~~Purchase Voucher~~ (17.20); Purchases From Officers or Employees (17.21); Moving Expenses (3.23); ~~Purchase Requisition~~ (17.19); Tex. Educ. Code §§ 51.9335, .9337; Tex. Gov't Code § 572.069; Tex. Gov't Code § 669.003; Tex. Gov't Code § 2261.253; Tex. Gov't Code §§ 2252.001-.004, .901, .903; Tex. Gov't Code Ch. 2254; Tex. Gov't Code Ch. 573; Tex. Gov't Code Ch. 771, 791; Tex. Const. Art. XVI, §21; Tex. Gov't Code §§ 2155.063, .067; 2 CFR §§ 200.317-.326; *Tex. Gov't Code § 2107.008; Tex. Gov't Code § 2113.104; Exec. Order No. 13224, 66 Fed. Reg. 49079 (Sept. 23, 2001); State Comptroller Fiscal Policies and Procedures, FPP P.007; State Comptroller eXpendit, Restricted Expenditures*

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

**Contact for Revision:** Director of Procurement and Property Services/HUB Coordinator

**Forms:** Purchase Requisition, Purchase Voucher, *Exclusive Acquisition Justification Form*

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN  
STATE UNIVERSITY

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Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Cellular Telephones and Wireless Communication Devices

**Policy Number:** 3.6

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

**Date of last revision, if applicable:** 4/24/2018

**Unit(s) Responsible for Policy Implementation:** Chief Information Officer

**Purpose of Policy (what does it do):** Provides guidance on the stipends for wireless communication devices and university cell phones.

**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:*

Edited for clarity and unit responsible for implementation.

Reviewers:

Anthony Espinoza, CIO  
Damon Derrick, General Counsel



# Cellular Telephones and Wireless Communication Devices

**Original Implementation:** October 30, 2007

**Last Revision:** ~~April 24, 2018~~ April 20, 2021

## OVERVIEW

The university recognizes that certain positions require the use of a cellular telephone (cell phone) or other wireless communication devices, ~~including personal digital assistants (PDAs) or smartphones,~~ to conduct official business. This policy provides specific guidelines regarding the use of cell phones and/or wireless communication devices.

## DEFINITIONS

Wireless Communications Device – cellular telephone, ~~telephone/PDA combination,~~ or a smartphone. For purposes of this policy, laptops, tablets, and personal computers are not considered wireless communication devices.

## ELIGIBILITY

Each department is responsible for establishing whether a specific employee needs a cell phone or wireless communication device service. Criteria for establishing this need include:

1. Requirement to travel frequently on university business.
2. Large amounts of time spent away from the office.
3. A need to contact the individual after normal business hours on a frequent basis.
4. A need for others to be in constant communication with the individual.
5. Safety considerations.

If an employee meets one or more of these criteria, a department head/director may approve a request to provide either a university cell phone or wireless communication device or a communication allowance through one of the following options.

1. **University-provided cell phones or wireless communication device:**

The Telecommunications Department will determine the preferred university vendors from which the university will contract cellular services. All university-provided cell phones and plans will be acquired from one of the preferred vendors.

Departments must submit a Cellular Telephone Request and Justification Form. This form is created and maintained by the Office of the Chief Information Officer, and all dollar amounts are coordinated and approved by the university controller.

**2. Communication Allowance:**

The department may elect to provide a communication allowance to reimburse the employee for the projected cost of business related charges. The dollar amount of the cell phone allowance should cover the estimated business-related calls and a pro-rata portion of the monthly cost of the phone plan. Determination of the dollar amount of the allowance is made at the departmental level, but will be within the guidelines and dollar limits defined on the Communication Allowance Request Form. The communication allowance will be paid through payroll and will not be considered taxable income. The allowance does not constitute an increase to base pay and will not be included for percentage based pay increases or for retirement (TRS or ORP) calculations.

**3. Intermittent Use of Cell Phones for Business Purposes:**

Some departments may provide cell phones on an intermittent basis to their employees. Intermittent basis is defined as more than one employee assigned use of the phone during the month.

**4. Infrequent Use of Cell Phones for Business Purposes:**

If infrequent business calls are made by an employee who does not receive a communication allowance or university-provided phone, departmental approval can be given to reimburse the employee for business calls that exceed personal wireless plan minutes.

Reimbursement of these calls will be made through accounts payable through normal procedures for reimbursement of business-related expenses. Appropriate documentation, such as a copy of the wireless plan billing statement and the stated business purpose of the call, should be submitted to support the reimbursement. Any reimbursement of business related calls will not be taxable to the employee.

**Cross Reference:** Telecommunication Services (16.28)

**Responsible for Implementation:** ~~Vice President for University Affairs; Vice President for Finance and Administration;~~ *Chief Information Officer*

**Contact for Revision:** Chief Information Officer

**Forms:** Communications Allowance Request Form, Cellular Telephone Request and Justification Form

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Commencement

**Policy Number:** 6.8

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

**Date of last revision, if applicable:** 4/24/2018

**Unit(s) Responsible for Policy Implementation:** Enrollment Management, Registrar Office

**Purpose of Policy (what does it do):** Defines commencement guidelines

**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 wording changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Lynda Langham, Registrar

Erma Brecht, Executive Director of Enrollment Management

Damon Derrick, General Counsel

## Commencement

**Original Implementation:** February, 1984

**Last Revision:** ~~April 24, 2018~~ April 20, 2021

Stephen F. Austin State University will hold commencement ceremonies at the end of the fall, spring, and summer terms. Arrangements for the ceremonies are the responsibility of the registrar. Selection of and arrangements for a speaker are the responsibility of the president *or his designee*.

Commencement is an important symbol of the university's core function. In order to have adequate faculty representation at commencement, full-time faculty members are obligated to attend at least one commencement each academic year *unless directed otherwise by the provost*. For faculty teaching in the second summer term, attendance at the August ceremony is required. Academic unit heads are responsible for informing faculty members of the provisions of this policy and encouraging them to comply.

Faculty, staff, students and guests are expected to maintain decorum. As a formal ceremony, all attendees are expected to abide by any protocol or guidelines issued by the university. which will, at a minimum, include the following:

- All attendees must follow all written and verbal instructions.
- All attendees must remain seated during the ceremony and remain for the entire ceremony.
- All ~~graduates~~ *commencement participants* are required to wear ~~formal~~ *an official University recognized regalia or dress military uniform as communicated through commencement correspondence.* ~~academic attire.~~
- All cell phones or other electronic devices must be silenced.
- The possession or use of alcohol or illegal substances, air horns and any other artificial noisemaker, fireworks, balloons, flags, or banners is prohibited.

Any attendee who is disruptive during the ceremony or fails to follow written or verbal instructions may be excused from the venue.

Prior to commencement, the Office of the Registrar will provide students with information regarding expected decorum and attire as approved by the provost and vice president for academic affairs. Students will additionally be provided with similar information to provide to their guests.

The Office of the Registrar will post signage at commencement reminding attendees of the prohibition of air horns and other artificial noisemakers and any other information deemed prudent by the provost and vice president for academic affairs.

The student regent, or other individual selected by the provost and vice president for academic

affairs, will give an announcement regarding decorum at the start of the commencement ceremony.

**Cross Reference:** None

**Responsible for Implementation:** Provost and Vice President for Academic Affairs  
*Executive Affairs; Executive Director of Enrollment Management*

**Contact for Revision:** Provost and Vice President for Academic Affairs  
*Executive Affairs; Executive Director of Enrollment Management*

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY  

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Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Course Grades

**Policy Number:** 5.5

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

**Date of last revision, if applicable:**

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

**Purpose of Policy (what does it do):**

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

- |  |   |  |
|--|---|--|
| <input checked="" type="checkbox"/> Scheduled Review | <input type="checkbox"/> Change in law          | <input type="checkbox"/> Response to audit finding |
| <input type="checkbox"/> Internal Review             | <input type="checkbox"/> Other, please explain: |  |

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Updated wording for multiple term options and TCCNS numbering.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee  
Steve Bullad, Provost and Vice President for Academic Affairs  
Damon Derrick, General Counsel

## Course Grades

**Original Implementation:** January 25, 2000

**Last Revision:** ~~April 18, 2020~~ April 20, 2021

Faculty members may use a variety of factors including assignments, oral and written quizzes, examinations, class attendance, and other course activities to determine course grades as listed in their course syllabi.

### Recorded Grades

The following table indicates recorded grades, performance and action descriptions, and the quality points earned that are used to calculate the grade point average (GPA).

GRADES AND GRADE POINTS		
Grade	Description	Grade (Quality) Points
A	Excellent	4 points per semester hour
B	Good	3 points per semester hour
C	Average	2 points per semester hour
D	Below Average	1 point per semester hour
F	Failed	0 points per semester hour
QF	Quit Failing	0 points per semester hour
WF	Withdrew Failing	0 points per semester hour
DC	Dropped: No Grade	No GPA hours or points
K	Study Abroad Grade Posted	No GPA hours or points
KH	Study Abroad Grade Pending	No GPA hours or points
P	Passing	No GPA hours or points
R*	Developmental Class Grade	No GPA hours or points
T*	Transfer Class Grade	No GPA hours or points
W	Withdrew: No Grade	No GPA hours or points
W6	Dropped: No Grade, Counts for 6-drop	No GPA hours or points
WH	Incomplete	No GPA hours or points
WP	Withdrew Passing	No GPA hours or points

### Withheld Grades

At the discretion of the instructor of record and with the approval of the academic unit head, a grade of WH will be assigned only if the student cannot complete the course work because of unavoidable circumstances. Students must complete the work by the deadline set by the instructor of record, not to exceed one calendar year from the end of the semester in which they receive a WH, or the grade

automatically becomes an F, except as allowed through policy [i.e., Military Service Activation (6.14)]. If students register for the same course in future semesters, the WH will automatically become an F and will be counted as a repeated course for the purpose of computing the grade point average.

*If a student has been found guilty of academic dishonesty, a grade of “WP” or “WH” may be changed to “WF” at the discretion of the faculty member. In the case of a grade change to “WF”, the course will not count towards the six course drop limit since the student is incurring an academic penalty.*

## **Grade Point Average**

Only grades earned at Stephen F. Austin State University (SFA) will be used for calculating grade point average (GPA). Grade points are assigned based on the letter grade for each course:

- A = four grade points per semester hour;
- B = three grade points per semester hour;
- C = two grade points per semester hour;
- D = one grade point per semester hour; and
- F, QF, and WF result in zero grade points.

The GPA is determined by dividing the sum of the grade points earned at SFA by the total number of GPA eligible hours recorded on the SFA transcript. In addition, repeating a course may affect the grade point calculation.

## **Repeat Grades**

Students who make an F in a course can get credit only by repeating the course. Undergraduate students who want to repeat courses to improve their GPA at SFA must repeat those courses at SFA. For any course that is repeated at SFA, the grade earned in the most recent enrollment will be used to calculate the GPA. Credit hours for courses taken at other institutions to replace credit hours earned at SFA may be used to meet graduation credit-hour requirements, but not for GPA calculation.

## **Mid-Semester Grades**

Mid-semester grades will be posted for 0000-, 1000- and 2000-level courses during fall and spring semesters. These grades will be posted before the last day to drop courses each semester *or appropriate part of term*. Appropriate academic personnel will provide students with recommendations and options regarding academic performance.

## **Final Grade Reporting**

On the first day of final examinations of each semester or summer term, the Office of the Registrar will make grading available through online services. Instructors must enter student grades into the electronic student records database by the deadline established on the university calendar.



The Office of the Registrar will provide access for electronic verification grade sheets for each class to academic units. It is the responsibility of each instructor to verify accuracy of grade entry and to notify the registrar of any discrepancies.

Course grades may not be posted publicly.

*Students who have not yet graduated from high school will receive a numeric grade from their instructor(s) in order to comply with the parent high school's grade entry guidelines. These numeric grades will be converted to letter grades for official final SFA grades and transcript utilizing the following conversion standards.*

<b><i>Scale for Numeric Equivalent Grade Range</i></b>	<b><i>SFA Letter Grade</i></b>
<i>&gt; = 90</i>	<i>A</i>
<i>80-89</i>	<i>B</i>
<i>70-79</i>	<i>C</i>
<i>60-69</i>	<i>D</i>
<i>0-59</i>	<i>F</i>

### **Grade Changes**

Grade changes within three semesters of the original posting should be entered into the online grade change system. Older grade changes require submission of a Grade Change Form with the appropriate approval signatures. During grading cycles, access to the online grade change system for the current semester is suspended until 19 days after the last day of finals. Grades should only be changed in cases of error or, in the case of WH, when the course requirements have been completed.

**Cross Reference:** General and Graduate Bulletins; Final Course Grade Appeals by Students (6.3); Class Attendance (6.7); Military Service Activation (6.14); Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g;

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

**Contact for Revision:** Provost and Vice President for Academic Affairs; Registrar

**Forms:** WH and Grade Change Form

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY  

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Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Dead Week

**Policy Number:** 7.8

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

**Date of last revision, if applicable:** 7/24/2018

**Unit(s) Responsible for Policy Implementation:** Provost and Vice President for Academic Affairs, Vice President for Student Affairs

**Purpose of Policy (what does it do):** Guidance on additional assignments and activities during the week prior to final exams.

**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:** Update names and minor wording changes.

**Specific rationale for deletion of policy:** n/a

*Additional Comments:*

Reviewers:

Academic Policy Committee  
Steve Bullard, Provost and Vice President for Academic Affairs  
Brandon Frye, Vice President for Student Affairs  
Damon Derrick, General Counsel

## Dead Week

**Original Implementation:** June 16, 1982

**Last Revision:** ~~July 24, 2018~~ April 20, 2021

Dead week is an established tradition in higher education to allow students the necessary time to prepare for final examinations. During the last five class days of each long semester, written examinations (except to cover daily assignments) and themes or assignments beyond normal daily requirements are not to be assigned without written notification to the students prior to the twelfth class day.

The Division of ~~University~~ *Student Affairs* and university sponsored student organizations shall observe dead week by refraining from sponsoring events during this time. All student organizations shall be unable to reserve on-campus facilities *including use of university grounds* for events or for the purpose of advertising events during dead week. Student ~~o~~Organizations may not advertise on or off-campus events through any campus medium during this time period.

**Cross Reference:** Faculty Handbook

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

**Contact For Revision:** Provost and Vice President for Academic Affairs, Vice President for ~~University~~ *Student 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:** Delegated Purchasing Authority

**Policy Number:** 17.5

**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:** Vice President for Finance and Administration

**Purpose of Policy (what does it do):** This policy supports the university's centralized purchasing function but provides for specific delegations outside of the procurement office and also describes the handling of unauthorized purchases.

**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:*

Added a definition for Account Manager to clarify an audit observation, revised the unauthorized purchase category dollar amount, and made minor wording revisions.

**Reviewers:**

Kay Johnson, Director of Procurement and Property Services/HUB Coordinator  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Delegated Purchasing Authority

**Original Implementation:** Unpublished

**Last Revision:** April 20, 2021~~July 23, 2019~~

### Purpose

This policy supports the university's centralized purchasing function but provides for specific delegations outside of the procurement office and also describes the handling of unauthorized purchases.

### Definitions

***Account Manager** is defined as a department head (including department chairs, division heads, and all deans or designees) and/or a financial manager.*

**Centralized purchasing** requires the various departments and operational units of the university to make purchases utilizing the knowledge and experience of the procurement department.

An **unauthorized purchase** occurs when a university employee orders a product or service without an authorized purchase order issued by the procurement department.

### General

The university adheres to a policy of centralized purchasing for the purposes of:

- ensuring compliance with state and federal laws, rules, and regulations;
- protecting the university from unauthorized acquisitions of supplies, equipment, and services;
- providing budgetary control and coordination;
- ensuring fair and ethical business practices;
- providing savings through consolidation of requirements and standardization of products where appropriate;
- providing Best Value Procurement (17.1) through various purchasing methods.

The procurement department, under supervision of the director of procurement and property services/HUB coordinator, has sole authority for the negotiation and purchase of all goods and services for the university with the exception of items listed in Items Requiring Board of Regents Approval (1.4), and the following specific delegations that exist under proper administrative approval:

- The director of the university libraries is authorized to purchase books, periodicals, journals, and other related materials needed to maintain university resource collections; and the curator of the Stone Fort Museum is authorized to purchase general merchandise for resale in the museum gift shop;
- Employees are authorized to make procurement card purchases in accordance with Procurement Card (17.11), and procurement card procedures maintained on the procurement

department website;

- Employees without procurement cards may make purchases and request reimbursement if the purchase is approved by the account manager, follows university procurement policy and procedure, and other purchase options are not possible or available (taxes will not be reimbursed, except as allowed by law);
- Certain payments may be made by completing a voucher for submission to the controller's office. *Direct Pay Disbursements Purchase Voucher* (17.20), provides guidelines for purchase voucher use.

*A memorandum of delegated purchasing authority is authorized by the President pursuant to Contracting Authority (1.3). Account managers may approve purchases of goods and services subject to policies and procedures.*

All other purchases are to be submitted as a formal request for the procurement office to secure a good or service. ~~See Purchase Requisition (17.19).~~

All official correspondence other than that delegated above; i.e., solicitations, purchase orders, change orders, cancellations, etc. shall be issued by the procurement office. The director of procurement and property services/HUB coordinator is delegated authority to sign all titles and associated documents for the purchase, transfer, or sale of vehicles, trailers, or marine equipment.

Purchases will be subject to Contracting Authority (1.3).

### **Unauthorized Purchases Made Outside of Delegated Authority**

Unauthorized purchases will include inappropriate reimbursement requests that fall outside the scope of university procurement policy and procedure. Except as delegated herein, university employees are not authorized to commit to an expenditure of funds on behalf of the university.

Unauthorized purchases over \$5,000~~3000~~ will not be paid by the university unless a justification is submitted to the vice president for finance and administration for review. If approved, the appropriate documentation and payment approval must be submitted to the procurement office to process a purchase order for the unauthorized purchase, and state appropriated funds may not be used to pay for the service or product unless approved by the vice president for finance and administration. If the unauthorized purchase is not approved by the vice president for finance and administration, the employee will be responsible for payment to the vendor unless the order can be cancelled and/or the goods returned. Any freight, shipping costs, or return penalties will be paid by the employee in the event the order is cancelled and/or the goods returned to the vendor.

The following circumstances will not constitute an unauthorized purchase; however, a requisition must be entered in the university's financial system at the earliest practical date so that payment is not delayed resulting in possible late fees:

- emergency purchases as defined by Best Value Procurement (17.1);
- memberships;
- purchases that were to be made with a procurement card that reasonably could have been

expected to be less than \$5,000~~3000~~;

- magazine or book subscriptions;
- other automatically recurring or renewable fees;
- purchases associated with existing contracts negotiated by the procurement office;
- tournament fees or game guarantees;
- ~~contracts for which a pool of contractors may be contacted, but availability is not known until the event is held; i.e., athletics game workers, etc.;~~
- guest lecturers, speakers, artists, entertainers, performers, musicians if the contract is signed by the president *or authorized designee* prior to the event;
- other professional services as defined by state comptroller's expenditure codes, if the contract is signed by the president *or authorized designee* prior to the event; *and*
- service contracts associated with grants as long as the contract is in process with *office of the research and graduate studies*~~sponsored programs office.~~

**Cross Reference:** Contracting Authority (1.3); Items Requiring Board of Regents Approval (1.4); Best Value Procurement (17.1); ~~Purchase Requisition (17.19); Direct Pay Disbursements Purchase Voucher~~ (17.20); Procurement Card (17.11)

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

**Contact for Revision:** Director of Procurement and Property Services/HUB Coordinator

**Forms:** *Memorandum of Delegated Purchasing Authority* ~~None~~

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN  
STATE UNIVERSITY  

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Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Digital Millennium Copyright

**Policy Number:** 9.3

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

**Date of last revision, if applicable:** 4/24/2018

**Unit(s) Responsible for Policy Implementation:** Chief Information Officer

**Purpose of Policy (what does it do):** Defines university policy pertaining to DMCA and 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.

**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:*

Edited for clarity.

Reviewers:

Anthony Espinoza, Chief Information Officer  
Damon Derrick, General Counsel



# Digital Millennium Copyright

**Original Implementation:** July 27, 1999

**Last Revision:** ~~April 24, 2018~~ April 20, 2021

The Digital Millennium Copyright Act (DMCA) creates a liability limitation for Internet service providers (ISP) for certain copyright infringements created on-line. The university serves as an ISP for faculty, staff, and students. 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. Repeat infringers will be subject to termination of Internet service by the university. It is the policy of the university to comply with these safe haven procedures created by the DMCA.

## Definitions

### A. Registered Agent

The university general counsel shall be designated as the registered agent for receipt of DMCA complaints.

### B. Complaint Resolution Team

The complaint resolution team may include the following positions: *chief* information security officer, library director, ~~associate library director for information service~~, university webmaster, director of student rights and responsibilities, director of student activities, and general counsel.

### C. Official Complaint

An Official Complaint consists of the following:

1. Must be signed or contain a digital signature by the owner of the copyright or the authorized agent;
2. Description of works claimed to be infringed;
3. Description of location for alleged infringing works;
4. Sufficient information to contact the complainant;
5. Statement of good faith belief that the use is not authorized by the owner/agent; and
6. Statement that the information in the notice is accurate and, under penalty of perjury, the complainant is authorized to act on behalf of the owner.

## Initial Review of an Official Complaint

Upon receipt of a DMCA complaint, complaint resolution team members shall be responsible for assessing the complaint and determining the exact location of the alleged infringing material. Assessing the complaint would include a determination of whether the complaint contains all

necessary elements, and whether the complaint involves the university in its role as an ISP or the university (and its employees) acting as a content provider. If the complaint is deficient, a notice of deficiency shall be returned to the complainant with a courtesy copy forwarded to the alleged infringer. No complaint will be deemed official, requiring take down procedures, unless all elements of a proper complaint are included.

### **University as Content Provider**

If a determination is made that the DMCA complaint involves the university as a content provider, and not an ISP, careful consideration will be given to fair use exemptions under the Copyright Act. Appropriate university officials will be notified to handle the matter in a way similar to the way any claim of copyright infringement is handled.

The DMCA specifically defines when faculty or graduate students alleged infringement on-line is or is not attributable to the institution as a content provider. Infringing activities shall not be attributed to the institution if:

- A. Such faculty members' or graduate students' infringing activities do not involve the provision of online access to instructional materials that are or were required or recommended, within the preceding three-year period, for a course taught at the institution by such faculty member or graduate student;
- B. The institution has not, within the preceding three-year period, received more than two official DMCA complaints about the alleged infringer; and
- C. The institution provides to all users of its system or network informational or network informational materials that accurately describe, and promote compliance with, the laws of the U.S. relating to copyright. See university policy, Copyrighted Works Reproduction (9.2).

### **University as ISP**

If the university is acting as an ISP, take down procedures will be automatically initiated once an official complaint is received. The complaint resolution team will notify the person responsible for the server to specifically locate the alleged infringing material and identify the individual who may be responsible for the infringing material.

*Faculty/Staff:* The person responsible for the server will forward the complaint and identity of the faculty/staff member to the general counsel. The general counsel will notify the dean or director to whom the faculty/staff member reports. The dean or director shall immediately confer with the alleged infringer and attempt to secure a voluntary take down or deletion of the alleged infringing material. Such voluntary take down must be confirmed by the dean or director. If these procedures

cannot be completed expeditiously or voluntary take down cannot be secured, the dean or director will immediately coordinate with the person responsible for the server to take down the alleged infringing material. The dean or director will notify the general counsel when the alleged infringing materials have been removed, and may impose disciplinary action in accordance with Faculty Code of Conduct (7.11), Discipline and Discharge (11.4), or other applicable university policy.

*Students:* The person responsible for the server will forward the complaint and identity of the student who may be responsible for the infringing material to the Office of Student Rights and Responsibilities. The Office of Student Rights and Responsibilities will attempt to secure the voluntary take down or deletion of the alleged infringing material and may impose disciplinary action pursuant to the Student Code of Conduct (10.4).

### **Counter-Notices**

If the alleged infringer believes the official complaint is in error or that the complainant is not the official copyright holder or agent, he or she can submit a counter-notice containing the following elements:

- A. A physical or electronic signature of the alleged infringer;
- B. Identification of the removed material and the location at which it appeared;
- C. A statement under penalty of perjury that the alleged infringer has a good faith belief that the material was removed because of mistake or misidentification; and
- D. The alleged infringer's name, address, telephone number, consent to the jurisdiction of the federal court in which their address is located, and that they will accept service of process from the official complainant.

Upon receipt of the counter-notice, the university shall immediately forward it to the complainant with an explanation that the university shall restore access to the materials at issue within 10-14 days, unless notice is received that court action is pending.

### **Repeat Infringers**

In addition to any other discipline that may be imposed, the university may terminate internet service to repeat infringers who receive more than two complaints in a three-year period. Repeat infringement shall constitute misuse of university computers and network systems under university policy, Computer and Network Security (14.2). Sanctions procedures under that policy will be followed.

**Cross Reference:** Digital Millennium Copyright Act, Pub. L. No. 105-304, 112 Stat. 2860 (1998); Copyrighted Works Reproduction (9.2); ~~Computer and Network Security~~ *Acceptable Use of Information Technology Resources* (14.2)

**Responsible for Implementation:** ~~General Counsel~~ *Chief Information Officer*

**Contact for Revision:** *Chief Information Officer*, 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:** Emergency Operations

**Policy Number:** 13.8

**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:** Vice President for Finance and Administration

**Purpose of Policy (what does it do):** This policy defines the university's Emergency Operations Plan and commitment to the safety and security of our students, faculty, staff and surrounding communities.

**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:*

Clarify the Emergency Management Committee as the point of contact for emergency management programs. Update Contact for Revision information.

Reviewers:

Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

# Emergency Operations

**Original Implementation:** November 1986

**Last Revision:** ~~April 30, 2019~~ April 20, 2021

## Preamble

Stephen F. Austin State University (SFA) is committed to the safety and security of our students, faculty, staff and surrounding communities. We demonstrate this commitment by preparing for and mitigating risks to the extent possible, establishing multi-hazard preparedness activities, plans and programs. This commitment is operationalized through coordination of efforts and clear communication with local, regional, state, and federal-level stakeholders.

## Definitions

For the purposes of this plan, the following definitions are provided and listed in order of severity:

**Critical Incident** - an incident that does not pose a comprehensive and ongoing threat to the university community, and/or the functioning of the institution. Critical incidents may be handled under the Critical Incident Response Plan (CIRP), which is separate from the Emergency Operations Plan (EOP). When an emergency or disaster occurs, the CIRP will operate as a sub-plan within the EOP. An example would be the report of a missing student.

**Emergency** - a sudden or unexpected occurrence, or combination of occurrences, that may cause injury, loss of life, and/or destruction of property, and creates a disruption of the university's normal operations to such an extent that it poses a threat to the campus community. An example would be a building fire.

**Disaster** - a sudden, unplanned event with a significant scope of impact involving many people, if not the entire community, and is based on the scope of the event, number of lives impacted, and the devastation of property. An example would be a hurricane.

## Emergency Operations Plan

The Texas Education Code (TEC) 51.217 requires institutions of higher education to adopt and implement a multi-hazard EOP for use at the institution. The University Police Department is responsible for maintaining this plan which must address mitigation, preparedness, response and recovery. This plan should be reviewed annually and updated whenever necessary. This plan describes both authorities and practices for managing and coordinating the response to incidents that range from the serious but purely isolated, to large scale incidents and natural disasters.

### **National Incident Management System and Incident Command System (NIMS/ICS)**

The EOP is founded on the principles of the National Incident Management System (NIMS) and Incident Command System (ICS), which provides a national template that enables federal, state, and local governments and private sector nongovernmental organizations to work together effectively and efficiently. Implementation of the plan requires cooperation, collaboration, and information sharing among all university departments, as well as with

external agencies that may assist the university during major emergencies and disasters.

### **Safety and Security Audit**

At least once every three years, the university will conduct a safety and security audit of the institution's facilities. To the extent possible, the university shall follow procedures developed in consultation with the division of emergency management of the Office of the Governor. The university will report the results of the safety and security audit to SFA's Board of Regents and the Division of Emergency Management of the Office of the Governor.

## **Mitigation**

The NIMS defines mitigation as "the capabilities necessary to reduce the loss of life and property from natural and/or manmade disasters by lessening the impacts of disasters." In the pursuit of this objective, the university should develop procedures for hazard analysis as well as for behavioral risk assessment and intervention. The university's (BIT) Behavior Intervention Team, shall serve as an important resource.

## **Hazard Analysis**

The university, as part of its EOP, should complete a hazard analysis of university properties and their surrounding communities to identify potential hazards from natural, technological, and human-caused incidents, including violence and property crime. The university should utilize the results of the hazard analysis to develop specific mitigation and prevention activities and plans as part of their multi-hazard EOP.

## **Behavioral Risk Assessment and Intervention**

The university should have processes in place to identify and appropriately assist/address students, faculty and staff who exhibit early warning signs of violence, harmful and risk-taking behaviors, or a potential threat to life or property.

## **Preparedness**

The NIMS defines preparedness as "the process of identifying the personnel, training and equipment needed for a wide range of potential incidents, and developing jurisdiction-specific plans for delivering capabilities when needed for an incident." In the pursuit of this objective, the university should designate individuals to oversee emergency management on campus, establish coordination with other agencies, train employees, make detailed plans and ensure that the university has the necessary equipment to respond.

## **Emergency Management Committee (EMC)**

The university has an emergency management committee (EMC) and it serves as the point of contact for emergency management programs. The university police chief serves as the emergency operations coordinator and chair of the emergency management committee. ~~should establish an EMC. This committee is the point of contact for emergency management programs and is responsible for the development and oversight of emergency management programs.~~ The responsibilities of the EMC include ensuring that all state and federal mandates for emergency planning, review and updates are implemented. Members of the Emergency Management

Committee (EMC) must be trained on NIMS and ICS at least every three years.

### **Coordination with Other Agencies**

The university should engage in interagency collaboration and adopt mutual-aid agreements, memoranda of understanding, inter-jurisdictional/ inter-local agreements, and other collaborative documents. The university's multi-hazard EOP should include procedures for interoperability with all stakeholders. According to NIMS, interoperability refers to the ability to communicate across jurisdictions and disciplines to support incident management when needed and as authorized.

### **Mandatory Drills**

The university multi-hazard EOP should include the development and implementation of a comprehensive multi-hazard exercise/drill program and schedule. At least one table-top program must be conducted each year, and one full-scale drill should be conducted every five years.

### **Employee Training**

The university's multi-hazard EOP should establish a program and schedule of training to educate stakeholders about safety and emergency management programs. The plan should establish how often training should be conducted.

### **Program Liaisons**

The university should ensure that each facility has a designated emergency management program liaison.

### **Equipment**

The university multi-hazard EOP should address equipment needed to respond to an emergency.

### **Access to Facilities**

The university should have policies and procedures that govern access to its facilities.

### **Public Information**

The university should establish public information procedures and processes to gather, verify, coordinate and disseminate information during an incident.

### **Individuals with Special Needs**

The university multi-hazard EOP should address assistance to individuals with special needs during an incident.

### **Pandemic and Public Health Issues**

The university multi-hazard EOP should include policies and procedures to address pandemic and public health issues.

### **Maps and Floor Plans**

The university multi-hazard EOP should include maps and floor plans that show evacuation options, utility shut-offs, and other relevant locations and information.



## **Response**

The NIMS defines response as “the capabilities necessary to save lives, protect property and the environment, and meet basic human needs after an incident has occurred.” In pursuit of this objective, the university should identify the appropriate personnel to initiate established response protocols.

### **Emergency Operation Plan Annexes**

The university’s EOP should include functional and situational annexes, which are detailed plans for how to manage specific emergencies that can be anticipated. These annexes should be consistent with the NIMS.

#### **Functional Annexes**

Support function annexes are based on models developed in the National Response Framework and adapted for the specific functions necessary at Stephen F. Austin State University. These annexes provide direction for specific functions during preparedness, response, and recovery phases of an emergency incident or disaster. These annexes do not address specific incidents or disasters, but rather provide a general framework that may be adapted for emergency operations during any type of incident. Functional Annexes may also be continuously adapted based upon the current risks and vulnerabilities of the university.

#### **Situational Annexes**

Certain hazards or situations present a greater risk to, or vulnerability for, the university. Situational annexes are specific plans for such incidents. Examples of these situations include a hurricane, a hostile intruder, or a fire. Situational annexes provide additional guidance for responding to specific situations. Situational annexes may also be continuously adapted based upon the current risks and vulnerabilities of the university.

## **Notification and Communications**

The university multi-hazard EOP should establish communications protocols for both internal and external notification. Specific strategies for notifying and communicating with students, faculty and staff should be addressed.

### **Early Alert**

Section 51.218 of the Texas Education Code requires that each institution of higher education and private or independent institution of higher education shall establish an emergency alert system for the institution's students and staff, including faculty. The emergency alert system must use e-mail or telephone notifications in addition to any other alert method the institution considers appropriate to provide timely notification of emergencies affecting the institution or its students and staff. Any faculty, staff or student may elect not to participate in an emergency alert system established under this section of the code.

### **Timely Warnings**

In accordance with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, the university will issue a timely warning if there is a serious or continuing threat to the safety of the campus community.

## **Recovery**

The NIMS defines recovery as, “the capabilities necessary to assist communities affected by an incident to recover effectively.” The university should implement adopted policies, plans and procedures for continuity of operations as well as addressing the emotional and physical health of students and employees after an incident.

### **Continuity of Operations**

The university should implement adopted policies, plans and procedures for Continuity of Operations to resume essential functions during and after an incident.

### **Emotional and Physical Health**

The university should implement adopted policies, plans and procedures for emotional and physical health recovery needs for students/faculty/staff during and after an incident.

### **After Action Review**

The university should implement adopted policies, plans and procedures for after-action reviews and corrective action plans following an exercise/drill or incident.

**Cross Reference:** Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, 20 U.S.C. § 1092; Stafford Act, Pub. L. 93-288, as amended, 42 U.S.C. §§ 5121-5207; Homeland Security Presidential Directive 5, HSPD-5; Texas Disaster Act of 1975, Tex. Gov’t Code §§ 418.001-.191, Ch. 433; Executive Order by the Governor, Exec. Order RP32 or current version; Tex. Att’y Gen. Op. No. MW-140 (1980); Hazard Communication Act, Tex. Health & Safety Code §§ 502.001-.019; Texas Hazardous Substances Spill Prevention and Control Act, Tex. Water Code §§ 26.261-.267; Solid Waste Disposal Act, Tex. Health & Safety Code Ch. 361; Tex. Educ. Code § 51.201-.211; The Texas Emergency Management Plan, Governor’s Division of Emergency Management; Employee Safety Manual / Emergency Management Plan; Students Displaying Serious Psychological Problems (10.13)

**Responsible for Implementation:** President

**Contact for Revision:** ~~Executive Director of Public Safety~~/Chief of Police; Vice President for ~~University Affairs~~ *Finance and Administration*

**Forms:** None

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

STEPHEN F. AUSTIN

STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Establishing a New Departmental Account: Fund-Organization-Program (FOP)

**Policy Number:** 3.12

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

**Date of last revision, if applicable:** 4/24/2018

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

**Purpose of Policy (what does it do):** This policy identifies requirements to request a new departmental account.

**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:*

Clarified information.

Reviewers:

Dannette Sales, Controller

Danny Gallant, Vice President for Finance and Administration

Pauline Sampson, Dean of Research and Graduate Studies

Damon Derrick, General Counsel

## Establishing a New Departmental Account: Fund-Organization-Program (FOP)

**Original Implementation:** Unpublished

**Last Revision:** April 24, 201820, 2021

### **Purpose**

*This policy identifies requirements to be followed to request a new departmental account.*

### **General**

The university's financial reporting system, Banner, allows departments and administrative staff to track revenues and expenditures by source of funding (fund), by individual departments (organization), and by function (*program*) (i.e. instruction, research, etc.) (~~program~~). In Banner, these accounts are referred to as a FOP (fund – organization – program). Requests to establish a new account are used to track the intent of why and when an account was established. For this reason, the controller's office will require completion of ~~a one of two~~ forms to process ~~a~~ requests to establish an account. For grants, the form *Establishing a New Banner Fund – External Grants and Contracts* is used. For non-grants, the form *Request to Establish a New Departmental Account (Fund-Org-Program) for Non-Grant Accounts* is used. ~~This~~ applicable form, ~~along with~~ and any required supporting documentation are to be used by the controller's office, the ~~office of research and sponsored programs~~ graduate studies office, and the ~~office of development~~ office to determine if revenues and expenditures are made in compliance with the intent to establish the account.

These ~~two~~ forms and procedures for submitting them are available on the controller's office website and the ~~office of research and sponsored programs~~ graduate studies office website. "Guidelines on How to Establish a New Departmental Account: Fund-Organization-Program (FOP)," found on the controller's office website, contains detailed instructions for completing the form for ~~establishing~~ non-grant accounts. ~~The office of research and graduate studies office website contains instructions for completing the form and to establishing~~ grant (sponsored project) accounts.

**Cross Reference:** Guidelines on How to Establish a New Departmental Account: Fund-Organization-Program (FOP)

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

**Contact for Revision:** Controller

**Forms:** *Establishing a New Banner Fund – External Grants and Contracts*; Request to Establish a New Departmental Account (Fund-Org-Program) for Non-Grant Accounts. ~~and Request to Establish a New Banner Fund – External Awards and Contracts.~~ Both forms are available online on the *SFA Business Fforms webpage*. link: <http://www.sfasu.edu/3386.asp>

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN

STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Expenditure Authority for Financial Transactions

**Policy Number:** 3.13

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

**Date of last revision, if applicable:** 4/24/2018

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

**Purpose of Policy (what does it do):** This policy establishes university employees who have authority to approve payments and expenditures.

**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 wording changes.

Reviewers:

Dannette Sales, Controller

Danny Gallant, Vice President Finance and Administration

Damon Derrick, General Counsel

# **Expenditure Authority for Financial Transactions**

**Original Implementation:** April 13, 2006

**Last Revision:** April 24, 201820, 2021

## ***Purpose***

*This policy establishes university employees who have authority to approve the university's expenditures.*

## ***General***

The Stephen F. Austin State University board of regents authorizes the president of the university to designate individuals to approve payments on banks and financial institutions and expenditures paid through the Uniform State Accounting System (USAS). Only individuals who are properly designated by the president are allowed to approve payments of the university's expenditures. Only university employees may be designated to approve the university's expenditures.

For the purpose of this policy, this designation will apply to those persons who have the authority to sign checks; authorize electronic payments, wire transfers, certified checks, and Automated Clearing House (ACH) transactions; and approve transactions in USAS for payment.

Individuals designated to approve payments must submit documentation as required by the relevant state agency or financial institution showing they are properly designated to approve the university's expenditures.

The Stephen F. Austin State University board of regents authorizes the vice president for finance and administration to designate a USAS security coordinator and assistant security coordinator. The Office of the Vice President for Finance and Administration is responsible for removing expenditure authority when an individual is no longer authorized to approve expenditures or is terminated. The security coordinator or assistant security coordinator is responsible for removing expenditure authority in USAS when an individual is no longer authorized to approve expenditures or is terminated.

**Cross Reference:** 34 Tex. Admin. Code § 5.61

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

**Contact for Revision:** Vice President for Finance and Administration; Controller

**Forms:** None

**Board Committee Assignment:** Finance and Audit



STEPHEN F. AUSTIN  
STATE UNIVERSITY  

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Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Export Control

**Policy Number:** 2.15

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

**Date of last revision, if applicable:**

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

**Purpose of Policy (what does it do):**

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

- |  |   |  |
|--|---|--|
| <input checked="" type="checkbox"/> Scheduled Review | <input type="checkbox"/> Change in law          | <input type="checkbox"/> Response to audit finding |
| <input type="checkbox"/> Internal Review             | <input type="checkbox"/> 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 Policy Committee  
Steve Bullard, Provost and Vice President for Academic Affairs  
Damon Derrick, General Counsel

## Export Control

**Original Implementation:** July 24, 2018

**Last Revision:** ~~None~~ April 20, 2021

Federal regulations govern how certain information, technologies, and commodities can be transmitted overseas or to a foreign national on U.S. soil. The scope of the regulations is broad: they cover exports in virtually all fields of science, engineering, and technology and apply to research activities regardless of the source of funding. Failure to comply with these laws can have serious consequences, both for the university and the individual researcher. The potential penalties include fines and imprisonment. These laws are collectively referred to as export control laws.

Stephen F. Austin State University (SFA) is committed to compliance with federal export control laws and regulations, including those implemented by the U.S. Department of Commerce through its Export Administration Regulations (EAR), the U.S. Department of State through its International Traffic in Arms Regulations (ITAR), as well as embargo regulations imposed by the U.S. Treasury Department through its Office of Foreign Assets Control (OFAC).

SFA encourages and supports open research and the free exchange of ideas. Although most university activities and research are exempt from export control laws, SFA engages in activities, research, and the development of new technologies that are subject to these export restrictions. SFA has established the procedures necessary to ensure the university and its employees remain in full compliance.

The Office of Research and Graduate Studies is charged with compliance oversight of the U.S. export control requirements for the university. Other university departments, including Human Resources, Controller, Environmental Health, Safety and Risk Management, Information Technology Services, Procurement and Property Services, and International Programs have administrative oversight of compliance activities in their respective areas. The compliance coordinating committee reviews export control compliance activities as it may affect the broader university community.

Individuals acting on behalf of the university, including faculty, staff, and students, are responsible for the proper handling, transfer, access, storage, control, and dissemination of export controlled hardware, software, information, technology, and technical data to destinations and persons outside of the United States and to foreign nationals at the university engaging in instruction, conducting research, or providing service activities.

The civil and criminal penalties associated with violating export control regulations can be severe, ranging from administrative sanctions including loss of research funding, to monetary penalties, and imprisonment. Anyone found to have engaged in conduct contrary to this policy is subject to disciplinary action by the university up to and including dismissal or expulsion and civil or criminal prosecution.

**Cross Reference:** Export Administration Regulations, 15 CFR 730-774; International Traffic in Arms Regulations, 22 CFR 120-130; 31 CFR 501-598; Office of Foreign Assets Control Sanctions List

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

**Contact for Revision:** Compliance Coordinator, Office of Research and Graduate Studies

**Forms:** See respective departments

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY  

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Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Extra-institutional Learning Experiences in the BAAS Degree

**Policy Number:** 5.11

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

**Date of last revision, if applicable:** 4/24/2018

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

**Purpose of Policy (what does it do):** Define a procedure to award credit for extra-institutional learning experiences in the Bachelor of Applied Arts and Sciences degree.

**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 wording changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee  
Steve Bullard, Provost and Vice President for Academic Affairs  
Damon Derrick, General Counsel

## Extra-Institutional Learning Experiences in the BAAS Degree

**Original Implementation:** October 26, 1999

**Last Revision:** ~~April 24, 2018~~ April 20, 2021

The purpose of this policy is to define a procedure to award credit for extra-institutional learning experiences in the Bachelor of Applied Arts and Sciences (BAAS) degree.

### Rationale

Academic credit for extra-institutional learning experience is awarded for educational attainment that is comparable to a university-level course. Such credit is granted in a variety of ways that include, but are not limited to, credit by examination, Advanced Placement (AP) credit, College Level Examination Program (CLEP) credit, occupational portfolio review, and examination by a Stephen F. Austin State University (SFA) academic unit. The credit awarded must be appropriate to a student's BAAS degree program.

### Authority and Oversight

The Texas Higher Education Coordinating Board (THECB) authorized SFA to offer the BAAS under the following conditions: "Semester hour credit for experience and/or exhibited competency is permissible in both Academic Foundations (up to 12 hours) and Academic Specialization (up to 24 hours). An expanded innovative program of advising and counseling will be necessary to administer the program."

The College of Liberal and Applied Arts will maintain oversight of the BAAS degree and administer the extra-institutional learning credit program. The dean of the college will develop procedures to implement all aspects of the BAAS degree.

### Definitions

- **BAAS Degree** - The Bachelor of Applied Arts and Sciences degree is designed to offer students an opportunity to receive college credit for extra-institutional learning experiences and to apply these credits toward a baccalaureate degree. The degree is designed to provide both academic and professional depth to individuals who have recognized competency in occupational or technical fields.
- **Extra-institutional Learning** - Documented learning experience that accrues to the student outside the sponsorship of an accredited institution of higher education. Such experience may include learning sponsored by non-accredited associations, business, industry, or

military units that develop knowledge, skills, and values. If the learning experience occurred outside of a training program related to professional licensure or certification, the student must submit an occupational portfolio.

- Occupational Portfolio - A compilation of pertinent documents and third party verification that develops a history and basis for the levels of competency submitted for evaluation. Documentation must verify that skill levels and occupational competencies are equivalent to college work.

### **Procedure for Credit Awards**

The evaluation of extra-institutional learning experience is based on an examination process. The measure of credit equivalency is determined by three factors:

1. The Curriculum of the Learning Experience - The learning experience must meet the standard of currency and relevance of contemporary institutions of higher education.
2. The Qualifications of the Instructor/Supervisor - Instruction and supervision must be provided by an individual or individuals whose credentials have been reviewed and accepted by authorized peers, an appropriate sponsoring professional organization or corporation, or an institution of higher education.
3. Evaluation of Student Achievement - The validation process must use a means of evaluating the learning process that is appropriate to the subject matter and the manner of transmission.

All requests for extra-institutional credit must be submitted by the student at the time of application to the BAAS degree program. Requests must be accompanied by documentation of the learning experiences, including an occupational portfolio (if required). The director of the ~~division~~ *Division* of ~~multidisciplinary~~ *Multidisciplinary programs* ~~programs~~, or a designee, will review the documentation and make a ~~final~~ determination on the amount of credit to award. Credit awarded will be submitted to the Office of the Registrar. Credit awarded for extra-institutional experiences is only applicable to the BAAS degree.

### **Appeals**

Appeals of credit awards must be *made* in writing to the dean of the College of Liberal and Applied Arts. The dean may either affirm the decision ~~of the BAAS program director~~ or make a different credit recommendation. This determination is final.

**Cross Reference:** SFA General Bulletin/Advanced Placement & Credit by Examination  
**Responsible for Implementation:** Provost and Vice President of Academic Affairs

**Contact for Revision:** Dean of the College Liberal and Applied Arts

**Forms:** None

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

STEPHEN F. AUSTIN

STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Gramm Leach Bliley Act Required Information Security

**Policy Number:** 14.4

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

**Date of last revision, if applicable:** 4/24/2018

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

**Purpose of Policy (what does it do):** This policy affirms that Stephen F. Austin State University (university) is committed to an information security program (program) that addresses the Standards for Safeguarding Customer Information (Safeguards Rule) as mandated in 16 CFR 314 of the Gramm-Leach-Bliley Act (GLBA). As required by the GLBA, this program applies to customer financial information (covered data) that the university receives in the course of business.

**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:*

Policy 14.5 Identity Theft is being combined into this policy.

Reviewers:

Brandon Stringfield, Information Security

Danny Gallant, Vice President for Finance and Administration

Anthony Espinoza, Chief Information Officer

Damon Derrick, General Counsel



# Gramm Leach Bliley Act Required Information Security *and Identity Theft Prevention*

**Original Implementation:** April 21, 2009

**Last Revision:** April 20, 2021, 2018

## ***Purpose***~~Overview~~

*This policy affirms that In conjunction with university policy 14.1 Information Security Management, Stephen F. Austin State University (university) is committed to preventing identity theft through anadopts this information security program (program) that addresses the Standards for Safeguarding Customer Information (Safeguards Rule) as mandated in 16 CFR 314 of the Gramm-Leach-Bliley Act (GLBA). This policy is in addition to any other information security policies currently at Stephen F. Austin State University.*

~~As required by the GLBA, this program applies to customer financial information (covered data) that the university receives in the course of business.~~

## ***Program Objectives***

- ~~• Ensure the security and confidentiality of customer information,~~
- ~~• Protect against any anticipated threats or hazards to the security of customer information,~~
- ~~• Protect against unauthorized access or use of such data or information in ways that could result in substantial harm or inconvenience to students, faculty, staff, and the university community.~~

## ***Definitions***

**Covered Data** means all *financial information received in the course of business that is* required to be protected under the GLBA.

**Customer information** means any record containing nonpublic personal information as defined in 16 CFR 313.3(n), about a customer (student, prospective student, parent, guardian, faculty, or staff), whether in paper, electronic, or other form, that is handled or maintained by or on behalf of the university.

**Identity Theft** means *fraud committed or attempted using the identifying information of another person without authority.*

**Information security program** means the administrative, technical, or physical safeguards the university uses to access, collect, distribute, process, protect, store, use, transmit, dispose of, or otherwise handle customer information.

**Non-public financial information** means any information that meets any of the following criteria:

- Information a student or other third party provides in order to obtain a financial service from the university;
- Information about a student or other third party resulting from any transaction with the university involving a financial service; or
- Information obtained about a student or other third party in connection with offering a financial service to that person.

**Offering a financial service** includes offering student loans, receiving information from a current or prospective student's parents as a part of a financial aid application, and other miscellaneous financial services as defined in 12 CFR 225.28.

***Red Flag** means a pattern, practice, or specific activity that indicates the possible existence of identity theft.*

***Red Flag Rules** are rules issued by the Federal Trade Commission (FTC) on November 7, 2007 regarding identity theft. These rules implement Sections 114 and 115 of the Fair and Accurate Credit Transactions Act and require certain policies and procedures be developed that are designed to detect, prevent and mitigate identity theft.*

**Service provider** means any person or entity that receives, maintains, processes or otherwise is permitted access to customer information through its provision of services.

## **General**

*The program's objectives are to ensure the security and confidentiality of customer information, and protect against any anticipated threats or hazards to the security of customer information.*

### ~~Scope of the Program~~

The program applies to any record containing non-public financial information about a student or other third party who has a relationship with the university, whether in paper, electronic or other form that is handled or maintained by or on behalf of the university.

### **Elements of the Program**

#### ~~Designate a Program Administration Officer(s)~~

Oversight of the program will lie with the vice president for finance and administration. The vice president for finance and administration will designate a program officer with responsibility for overseeing the university's customer information security program and may designate other representatives of the university to assist in the coordination of the program. *The program officer is also responsible for evaluating and adjusting the program based on the risk assessment activities or on the results of testing and monitoring, as well as material changes in the university's operations or other circumstances that may have a material impact on the program.* ~~Any questions regarding the implementation of the program or the interpretation of this document should be directed to the~~

~~vice president for finance and administration.~~

## **Identifying and Assessing Risk**

The university intends, as part of the program, to undertake to identify and assess reasonably foreseeable internal and external risks to the security, confidentiality, and integrity of nonpublic financial information that could result in the unauthorized disclosure, misuse, alteration, destruction, or other compromise of such information. In implementing the program, the program officer will establish procedures for identifying *and detecting relevant red flags*, and assessing ~~such~~ risks in each relevant area of the university's operations including:

- Employee training and management;
- Information systems, including network and software design, information processing, storage, transmission and disposal; and
- Detecting, preventing and responding to attacks, intrusions, or system failures.

## **Designing and Implementing Safeguards**

The risk assessment and analysis described above shall apply to all methods of handling or disposing of nonpublic financial information, whether in paper, electronic, or other form. The program officer will, on a regular basis, implement safeguards to control the risks identified through such assessments and to regularly test or otherwise monitor the effectiveness of such safeguards. Such testing and monitoring may be accomplished through existing network monitoring and problem escalation procedures.

## **Responding to Fraudulent Activity**

*Once potentially fraudulent activity is detected, a rapid appropriate response can protect employees, students, and the university from damages and loss.*

*An employee should gather all documentation related to the suspicious activity and ~~present this information to his/her immediate supervisor. The supervisor will complete additional authentication to determine whether the attempted transaction was fraudulent or authentic, and will respond appropriately. If the activity is deemed fraudulent, procedures report as outlined in the university Fraud Policy (2.7) will be followed.~~*

## **Overseeing Service Providers**

*It is the responsibility of the university to ensure that the activities of all service providers are conducted in accordance with reasonable policies and procedures designed to detect, prevent, and mitigate the risk of identity theft and to provide adequate safeguards for customer information. The program officer will work with the Office of the General Counsel to develop and incorporate standard contractual protections applicable to third party service providers, which will require*

*such providers to implement and maintain appropriate safeguards.*

~~The university will select appropriate service providers that are given access to customer information in the normal course of business and will contract with them to provide adequate safeguards. The program officer will work with the Office of the General Counsel to develop and incorporate standard contractual protections applicable to third party service providers, which will require such providers to implement and maintain appropriate safeguards.~~

#### **Program Review and Revision**

~~The program officer is responsible for evaluating and adjusting the program based on the risk assessment activities or on the results of testing and monitoring, as well as material changes in the university's operations or other circumstances that may have a material impact on the program.~~

#### **Reporting Requirements**

The program officer, in coordination with the university information security officer, will report any data breach including unauthorized disclosure, misuse, alteration, destruction, or other compromise of *student* information to the Department of Education on the day of detecting or suspecting an incident.

**Cross Reference:** *Fair and Accurate Credit Transactions Act of 2003*; 12 CFR 225.28; 16 CFR 314; 16 CFR 313.3(n); 16 CFR 681; *Fraud* (2.7); Use of Electronic Information Resources (16.32); ~~Computer & Network Security~~ *Information Security Management* (14.12); Student Records (2.10); ~~Information Security Management~~ (14.1)

**Responsible for Implementation:** Vice President for Finance and Administration; *Chief Information Officer*

**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:** Identity Theft Prevention

**Policy Number:** 14.5

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

**Date of last revision, if applicable:** 4/24/2018

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

**Purpose of Policy (what does it do):** The purpose of this policy affirms that Stephen F. Austin State University (university) is committed to is to establish an Identity Theft Program (program) designed to detect, prevent and mitigate identity theft in connection with covered accounts and to provide continued administration of the program in compliance with applicable 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:** N/A

**Specific rationale for each substantive revision:** N/A

**Specific rationale for deletion of policy:** This policy is being combined with 14.4 Gramm Leach Bliley

*Additional Comments:*

Reviewers:

Brandon Stringfield, Information Security  
Danny Gallant, Vice President for Finance and Administration  
Anthony Espinoza, Chief Information Officer  
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# **Identity Theft Prevention**

**Original Implementation:** April 21, 2009

**Last Revision:** April 24, 2018

## **Purpose**

The purpose of this policy is to establish an Identity Theft Program (program) designed to detect, prevent and mitigate identity theft in connection with covered accounts and to provide continued administration of the program in compliance with applicable regulations. The program will include reasonable procedures to:

- Identify risks that signify potentially fraudulent activity within new or existing covered accounts;
- Detect risks when they occur in covered accounts;
- Respond to risks if fraudulent activity has occurred and act if fraud has been attempted or committed; and
- Update the program periodically to reflect changes in risks to students, covered accounts and previous experience with identity theft.

This policy is in addition to any other information security policies currently at Stephen F. Austin State University.

## **Definitions**

*Identity Theft* means fraud committed or attempted using the identifying information of another person without authority.

*Covered account* means:

- An account that the university offers or maintains, primarily for personal, family, or household purposes, that involves or is designed to permit multiple payments or transactions; and
- Any other account that the university offers or maintains for which there is a reasonably foreseeable risk to customers or to the safety and soundness of the financial institution or creditor from identity theft, including financial, operational, compliance, reputation, or litigation risks.

*Red Flag* means a pattern, practice, or specific activity that indicates the possible existence of identity theft.

*Red Flag Rules* are rules issued by the Federal Trade Commission (FTC) on November 7, 2007 regarding identity theft. These rules implement Sections 114 and 115 of the Fair and Accurate

Credit Transactions Act and require certain policies and procedures be developed that are designed to detect, prevent and mitigate identity theft.

*Service Provider* means a person that provides a service directly to the university.

## **Elements of the Program**

### ***Identification of Red Flags***

The program includes relevant red flags from the following categories as appropriate:

- Alerts, notifications, or warnings from credit reporting agencies;
- The presentation of suspicious documents;
- The presentation of suspicious personal identifying information;
- Unusual use of, or suspicious activity related to, the covered account.

### ***Detecting Red Flags***

The program addresses the detection of red flags in connection with the opening of covered accounts and existing covered accounts by:

- Obtaining identifying information about, and verifying the identity of a person opening a covered account; and
- Authenticating customers, monitoring transactions, and verifying the validity of change of address requests in the case of existing covered accounts.

### ***Responding to Fraudulent Activity***

Once potentially fraudulent activity is detected, an employee must act quickly, as a rapid appropriate response can protect employees, students, and the university from damages and loss.

- The employee will gather all related documentation and present this information to his/her immediate supervisor.
- The supervisor will complete additional authentication to determine whether the attempted transaction was fraudulent or authentic, and will respond appropriately.
- If the activity is deemed fraudulent, procedures as outlined in the university Fraud Policy (2.7) will be followed.

### ***Periodic Updates to Program***

At periodic intervals established in the program, or as required, the program will be re-evaluated to determine whether all aspects of the program are up to date and applicable in the current

business environment. Periodic reviews may include an assessment of:

- The types of covered accounts offered or maintained;
- The methods provided to open covered accounts;
- The methods provided to access covered accounts;
- Previous experience with identity theft;
- Red flags as identified above and the need to define new red flags; and
- Response procedures defined above and their efficacy to reduce damage to the university and its customers.

## **Program Administration**

### ***Oversight of the Program***

Oversight of the program will lie with the vice president for finance and administration. The vice president for finance and administration will be responsible for appointing a program officer with the specific responsibility for the program's development, implementation, and administration; reviewing reports prepared by staff regarding compliance with red flag rules; and approving material changes to the program as necessary to address changing identity theft risks.

### ***Reports***

The program officer responsible for the development, implementation, and administration of the program will report, in writing, to the vice president for finance and administration at least annually on program compliance. The report should address such issues as: the effectiveness of the policy and procedures in addressing the risk of identity theft in connection with covered accounts; service provider arrangements; significant incidents involving identity theft and management's response and recommendations for material changes to the program.

### ***Staff Training***

Staff, officials, and contractors who may come into contact with covered accounts or personally identifiable information that may constitute a risk to the university or its customers must complete the red flag training to ensure compliance with the identity theft prevention policy.

### ***Oversight of Service Provider Arrangements***

It is the responsibility of the university to ensure that the activities of all service providers are conducted in accordance with reasonable policies and procedures designed to detect, prevent, and mitigate the risk of identity theft. Contractual arrangements with service providers should specifically require the service provider to maintain its own identity theft prevention program



consistent with the guidance of the red flag rules.

**Cross Reference:** Fair and Accurate Credit Transactions Act of 2003; 16 CFR 681; Fraud (2.7)

**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:** Insurance and Other Benefits

**Policy Number:** 12.10

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

**Date of last revision, if applicable:** 4/24/2018

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

**Purpose of Policy (what does it do):** This policy describes the benefits program available to eligible employees and any requirements for participation.

**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 updates

Reviewers:

John Wyatt, Interim Director of Human Resources

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

## Insurance and Other Benefits

**Original Implementation:** Unpublished

**Last Revision:** April 24, 201820, 2021

### *Purpose*

*This policy describes the benefits program available to eligible employees and any requirements for participation.*

### *General*

The Human Resources Department coordinates the employee benefits program. Benefit-eligible employees are offered a basic insurance plan. This plan is fully funded by the state for full-time benefit-eligible employees who are employed 75% FTE or higher and is funded at one-half of the premium for part-time employees working between 50-74% FTE. The basic plan includes health insurance, \$5,000 term life insurance and \$5,000 accidental death and dismemberment insurance. Enrollment in health insurance coverage may be subject to a 60-day waiting period. The 60-day health coverage waiting period does not apply to:

- Employees enrolled in the Consolidated Omnibus Budget Reconciliation Act (COBRA) health coverage under the Texas Employee's Group Benefit Program at the time they are hired, if there is no break in coverage,
- Direct transfers from one agency to another (employees rehired without a break in coverage), including direct transfers from University of Texas or Texas A&M University system campuses, if there is no break in coverage, or
- An employee who has health insurance as a dependent of another Group Benefit Plan member when hired.

Each employee must elect to enroll or waive the health insurance plan within the first 60 days of employment. During the first 31 days of employment, the employee can elect to participate in additional options to the basic health plan. An employee does not have to participate in the basic health plan to apply for optional coverage(s). If no election is made, the full-time benefit-eligible employee will be enrolled in the basic plan, and may be subject to the 60-day waiting period. Part-time employees and graduate assistants are not eligible for automatic enrollment. Part-time employees and graduate assistants who do not make an election during the first 60 days of employment can only enroll in open enrollment periods or based upon a qualifying life event.

### Group Health Insurance Plan

A major medical health/hospitalization plan is provided, based on residency or work zip code, and/or a choice of HMO (when available). Employees may select from the following health coverage categories:

- ~~Coverage Category~~ Employee,
- Employee & Child/Children,
- Employee & Spouse,
- Employee & Family

Details on coverage and rates are available in ~~Human Resources~~ and on the ERS website at [www.ers.texas.gov](http://www.ers.texas.gov).

Application for coverage for employees and their dependents must be made in the first 60 days of employment. Employees may change their health coverage selection at any time during the 60-day waiting period.

Continuation of coverage upon termination of employment is allowed by COBRA with specific limitations. All separating employees will be informed of their right to continue coverage during their exit interview in ~~Human Resources~~. Covered dependents are also eligible for continued coverage following certain qualifying events such as divorce, death of the employee, attainment of maximum age of coverage for children, etc. An employee or the covered dependent must notify ~~Human Resources~~ within thirty (30) days of the qualifying event.

#### High Deductible Health Plan

Employees may elect to participate in a high deductible health plan instead of the basic health insurance plan. The high deductible health plan includes a health savings account (HSA) to which the State of Texas contributes \$45 for employee only coverage and \$90 for employee and any dependents. The employee can elect to contribute additional funds to their HSA.

The deductible is the amount a participant must pay for covered health services and/or prescriptions before the plan begins to pay for anything except preventive services. The annual deductible is based on a calendar year (January through December).

Until the deductible is met, the employee is responsible for the full cost of non-preventive services and prescriptions. Preventive services such as annual check-ups, screenings, and vaccines will be covered at 100% and are not subject to a deductible. Prior to meeting the deductible, employees can utilize funds from their HSA to cover medical expenses.

Once the deductible is met, the plan pays 80% for eligible, in-network costs, and 60% for eligible, out-of-network costs.

#### Group Term Life Insurance

Coverage of up to twice the annual salary may be selected without evidence of insurability within thirty-one (31) days of employment. Evidence of insurability must be provided for Election III or Election IV, or for any election made beyond the first thirty-one (31) days of employment.

#### Coverage Amount:

Election I - 1 times annual salary

Election II - 2 times annual salary

Election III - 3 times annual salary

Election IV - 4 times annual salary

Coverage is reduced at age 70 and every five years thereafter for active employees based on the carrier's standard reduction schedule. The monthly premium cost is based on age and salary on September 1 of the current fiscal year.

#### Dependent Life Insurance

Coverage is available to all employees insured under the Texas Employee's Group Benefit Program. Coverage includes the spouse of the employee and each unmarried child from the date of birth to 26 years in the amount of \$5,000 life and \$5,000 accidental death and dismemberment (AD&D) coverage. Application for coverage must be made within thirty-one (31) days of employment or the dependent's eligibility date; otherwise evidence of insurability is required during summer enrollment or after a qualifying life event.

#### Long-Term Disability

Long-term disability insurance is available to benefit-eligible employees. The monthly benefit will be integrated with Workers Compensation, Social Security Disability, Teacher Retirement Disability, and/or any disability benefit. Maximum benefit is the lesser of 60% of monthly salary or \$6,000. The minimum amount is not less than 10% of an employee's income, if integration is used. Application for this coverage must be made within thirty-one (31) days of employment; otherwise evidence of insurability is required during summer enrollment or after a qualifying life event.

To receive long-term disability, employees must use their sick leave balance (includes sick leave pool and donated sick leave) or finish a 180-day waiting period, whichever option is longest. In addition, the following age and time limits apply for maximum duration of benefits:

Age When Disability Starts	Maximum Duration of Benefits
Under age 60	Age 65
Age 60, but less than age 64	60 months
Age 65 - 69	Age 70
Age 70 and older	12 months

#### Short-Term Disability

Short-term disability is available to benefit-eligible employees. After a thirty (30) day waiting

period, this benefit pays 66% of the employee's monthly salary or a maximum of \$6,600 for up to five months in the event the employee is disabled because of injury or illness. Employees must use their sick leave balance (including donated sick leave and sick leave pool) or finish a 30-day waiting period, whichever option is longest. Sick leave use and the waiting period run concurrently. The monthly premium cost is based on the current rate per \$100 of monthly salary. Application for this coverage must be made within thirty-one (31) days of employment; otherwise evidence of insurability is required during summer enrollment or after a qualifying life event.

#### Accidental Death and Dismemberment Benefits (AD&D)

Benefit-eligible employees have the option of participating in the AD&D program. This coverage is available starting at \$10,000 in increments of \$5,000 up to \$200,000. After age 70, minimum and maximum coverages are reduced. The monthly premium is based on current rate per \$1,000 of coverage. Application for this coverage must be made within thirty-one (31) days of employment or added during the summer enrollment period or after a qualifying life event.

#### Dental Insurance

Benefit-eligible employees may elect to participate in either of the two group dental insurance programs or one post-tax dental discount plan. Application for coverage must be made within thirty-one (31) days of employment, otherwise dental plan benefits can be added during the summer enrollment period or after qualifying life event.

#### Vision Insurance

Benefit-eligible employees may elect to participate in a vision insurance program. Application for coverage must be made within thirty-one (31) days of employment, otherwise vision plan benefits can be added during the summer enrollment period or after a qualifying life event.

#### Retiree Insurance Coverage

University employees may continue their health insurance coverage providing they have 10 or more years of creditable service, have been covered under the Texas Employee's Group Benefit Program for at least three years prior to September 1, 2001, or 10 years, after September 1, 2001, and meet the criteria for retirement benefits. Beginning September 1, 2003, the qualification for retiree insurance is age 65, or meeting the rule of 80 (age plus years of service equals 80). Employees who become totally disabled are entitled to participate in retiree insurance coverage. The state will continue to fund the amount funded prior to retirement toward retiree and dependent coverage.

A thirty(30) day enrollment period is provided for persons retiring or qualifying for retiree insurance coverage. If employed at the time of retirement, and eligible for insurance benefits, there will be no waiting period for enrollment in the health plan. However, if the retiring member is not in an active status at the time of reaching eligibility for retiree insurance, (age 65 or age plus years of service equal to 80), there will be a sixty-day (60) waiting period for participation in the health

plan, unless changed by the Texas legislature. Complete information will be made available to all qualified retirees by Human Resources prior to their date of retirement.

### Social Security

All employees of the university are covered by the Federal Insurance Contribution Act (FICA). Employee contributions are withheld based on federal rules.

### Flexible Benefit Plan

Benefit-eligible employees may participate in the Flexible Benefit Plan established in accordance with Section 125 of the Internal Revenue Code. The plan permits employees to pay for certain eligible expenses with pre-tax money. *Refer to the Human Resources website for restrictions and details.* Eligible employees may enroll during their first 31 days of employment or during the summer enrollment period prior to the next plan year. To continue to participate, employees may make changes or stop participating each year during the summer enrollment period.

Through this plan, the employee may choose to participate in either a Medical Reimbursement Account or a Limited Flexible Spending Account (for high deductible health plan) and/or a Dependent Care Reimbursement Account:

- Medical Reimbursement Account – If participating in the Group Health Insurance Plan, the participant may specify an amount of pre-tax money to be deposited in a medical reimbursement account. The participant can then apply for reimbursement when certain allowable out-of-pocket health care expenses are incurred.
- Limited Flexible Spending Account -- If participating in the High Deductible Health Plan, the participant may specify an amount of pre-tax money to be deposited into a limited spending account. The participant can then apply for reimbursement for out-of-pocket expense for eligible vision and dental expenses.
- Dependent Care Reimbursement Account - The participant may specify an amount of pre-tax money to be deposited in a dependent care reimbursement account. The participant can then apply for reimbursement when dependent care expenses are incurred.

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

- ~~▪ Amounts designated to be tax sheltered cannot be changed during a plan year unless there is a qualifying life event. Changes must be completed within thirty (30) days of the qualifying life event; otherwise no changes may be made until the next summer enrollment period.~~
- ~~▪ Amounts in reimbursement accounts must be used during the plan year. Amounts greater than \$500 that are not reimbursed for expenses incurred during a plan year revert to the insurer. A maximum of \$500 can be carried forward to the subsequent plan year.~~

### State Deferred Compensation Plan/TEXAS AVER

This plan is available to all employees and allows employees to allocate a specified amount of their earnings to a tax-sheltered 457 plan purchased by the state of Texas. The employee must complete a written agreement authorizing the deduction from their monthly salary.

The authorization initiating a State Deferred Compensation Plan/TEXAS AVER should be executed before the 20<sup>th</sup> of the month to be effective the next pay period. This agreement will remain in effect until the employee initiates a change of authorization or the maximum amount has been contributed. An employee may terminate an authorized reduction in salary by completing the proper forms in Human Resources.

### Tax Sheltered Annuities

All faculty and staff members are eligible to purchase a supplemental tax sheltered annuity. Individuals electing to participate in the Tax Sheltered Annuity Plan should contact an authorized company for information and request to complete the proper forms. The employee must complete a written agreement authorizing the deduction from their monthly salary.

The authorization initiating a tax sheltered annuity should be executed before the 20<sup>th</sup> of the month to be effective the next pay period. This agreement will remain in effect until the employee initiates a change of authorization or the maximum amount has been contributed. Changes to the salary reduction authorization are permitted. Employees may change carriers at any time. An employee may terminate an authorized reduction in salary by completing the proper forms in Human Resources.

**Cross Reference:** Tex. Const. art. 16, § 67; Tex. Gov't Code Ch. 821-825; Tex. Gov't Code Ch. 606; Tex. Ins. Code Ch. 1131; Tex. Ins. Code art 3.51-5 (not codified); I.R.C. §§ 102, 106; 29 U.S.C. §§ 1101-1191(c)

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

**Contact for Revision:** Director of Human Resources

**Forms:** None

**Board Committee Assignment:** Finance and Audit



STEPHEN F. AUSTIN

STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Memberships

**Policy Number:** 17.10

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

**Date of last revision, if applicable:** 7/24/2018

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

**Purpose of Policy (what does it do):** This policy provides specific guidance relating to purchasing memberships.

**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:** This policy is proposed to be blended into Policy 17.1.

*Additional Comments:*

Reviewers:

Kay Johnson, Director of Procurement and Property Services/HUB Coordinator  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## **Memberships**

**Original Implementation:** September 1, 1982

**Last Revision:** July 24, 2018

### **Purpose**

This policy provides specific guidance relating to purchasing memberships.

### **General**

All memberships are held in the name of the university. Memberships that clearly relate to the university as a whole may be paid from the university's institutional membership account, subject to available funding and president's approval. Memberships relating to specific departments or functions are funded from departmental or college accounts.

Memberships that will be paid with appropriated funds must be submitted on a purchase requisition and approved at the president or vice president level. This approval may not be delegated. Memberships in a chamber of commerce may not be purchased with appropriated funds.

**Cross Reference:** Tex. Gov't Code § 2113.104; State Comptroller eXpendit, Restricted Expenditures

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

**Contact for Revision:** Director of Procurement and Property Services/HUB Coordinator

**Forms:** None

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN  
STATE UNIVERSITY  

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Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Mobile Device Applications

**Policy Number:** 15.2

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

**Date of last revision, if applicable:** 4/24/2018

**Unit(s) Responsible for Policy Implementation:** University Marketing Communications

**Purpose of Policy (what does it do):** This policy establishes standards and procedures for reviewing mobile device applications to ensure apps provide consistent, effective, and efficient user experiences.

**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:*

Minor updates.

Reviewers:

Shirley Luna, Executive Director of Marketing Communication  
Graham Garner, Chief Marketing Communications Officer  
Damon Derrick, General Counsel

# Mobile Device Applications

**Original Implementation:** April 14, 2015

**Last Revision:** ~~April 24, 2018~~ April 20, 2021

## Overview

Mobile devices are used to access and provide information about Stephen F. Austin State University—(SFA). Established standards and procedures for developing mobile device applications (commonly called apps) will be regularly reviewed to ensure consistent, effective, and efficient user experiences.

A working group with representatives from the Web Development Office (WDO), Steen Library, Center for Teaching and Learning (CTL), Information Technology Services (ITS), and the Office of Student Affairs (OSA) is responsible for delivery platform(s) selection, content collection, and technical development.

The WDO maintains oversight and provides documentation that explains guidelines and procedures for developing mobile applications at SFA. These guidelines and procedures are updated by the working group as necessary and are available on the WDO website ([www.sfasu.edu/web-dev/](http://www.sfasu.edu/web-dev/)).

## Definitions

SFA-related standalone app: a mobile device application that represents SFA or one of its colleges, departments, offices or other units. These applications are subject to guidelines established in the official university Identity Standards Manual.

## Procedures

1. Requests for new apps must be submitted using the Standalone Mobile Application Request form. The WDO will review the proposal, determine whether a standalone app is appropriate, and contact the requesting unit. Requests for SFA-related standalone apps must be approved by the appropriate vice president.
2. To ensure consistency, SFA-related standalone apps must be distributed under SFA's official developer account in the appropriate mobile application delivery platform, e.g., iOS App Store, or Google Play Store. No other accounts may be created to develop or distribute SFA-related standalone apps.

**Cross Reference:** None

**Responsible for Implementation:** *Chief Marketing Communications Officer*~~Vice President for University Advancement~~

**Contact For Revision:** Executive Director of Marketing Communications

**Forms:** Standalone Mobile Application Request

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

STEPHEN F. AUSTIN

STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Nepotism

**Policy Number:** 11.16

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

**Date of last revision, if applicable:** 7/24/2018

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

**Purpose of Policy (what does it do):** This policy explains nepotism and the related employment requirements for employees of Stephen F. Austin State 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:** N/A

**Specific rationale for deletion of policy:** N/A

*Additional Comments:*

No substantive updates needed

Reviewers:

John Wyatt, Interim Director of Human Resources

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

# Nepotism

**Original Implementation:** Unpublished

**Last Revision:** April 20, 2021~~July 24, 2018~~

## Purpose

This policy explains nepotism and the related employment requirements for employees of Stephen F. Austin State University.

## Definitions

**Nepotism** involves showing favor to relatives when hiring or promoting or making decisions about salary or supervision. For this policy, the term **relative** shall mean those individuals within the second degree of affinity (marriage) or third degree of consanguinity (blood), defined in Appendix A. An **adopted child** is treated as the natural child of the adoptive parents.

## General

The rules concerning nepotism apply to all employees of the university including students, whether employed full or part-time. Employees are required to annually disclose, in a manner determined by the university, the existence of any relationship that may be or cause a violation of this policy.

A university employee may not hire, appoint, or confirm the appointment of a relative for a university position of employment or take any action with regard to the relative's promotion, salary or supervision. If an appointment, reappointment, reclassification, promotion or other action places a person under the supervision of a relative, all subsequent actions with regard to the terms and conditions of employment, including the annual performance evaluation, is the responsibility of the next highest administrative supervisor. This shall further apply in situations where two employees marry and one spouse is the administrative supervisor of the other.

No relative of a member of the board of regents may be employed for any position with the university. However, an exception to this rule will be made in cases where the relative has been continuously employed in the position for a period of thirty (30) days prior to the appointment of the related regent. When a relative is allowed to continue in a position because of the operation of this exception, the regent who is related to such person in the prohibited degree shall not participate in the deliberation or voting upon the appointment, reappointment, employment, confirmation, reemployment, change in status, compensation, or dismissal of the relative, if such action applies only to the relative and is not taken with respect to a bona fide class or category of employees.

An individual who violates this policy may be subject to criminal penalties and/or dismissal from employment.

**Cross Reference:** Tex. Gov't Code Ch. 573; ~~Non-Academic Employee Handbook~~

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

**Contact for Revision:** Director of Human Resources and General Counsel

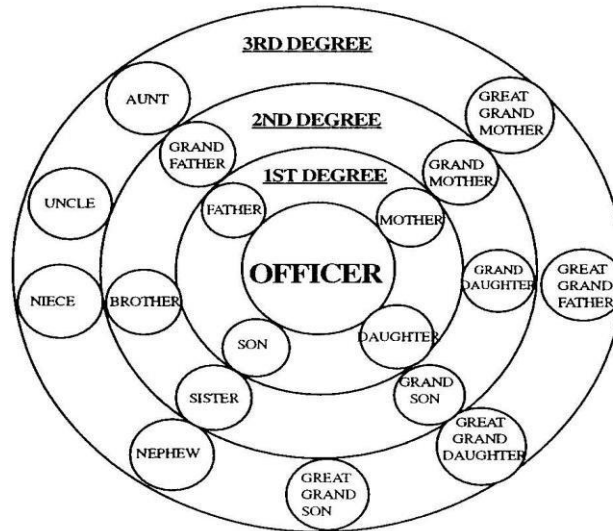
**Forms:** None

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



## Appendix A

### Consanguinity Kinship Chart (Relationship by Blood)



### Affinity Kinship Chart (Relationship by Marriage)



STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Outside Employment

**Policy Number:** 11.19

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

**Date of last revision, if applicable:** 10/29/2018

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

**Purpose of Policy (what does it do):** This policy outlines the requirements of Stephen F. Austin State University (SFA) employees in reporting outside employment that is in addition to their employment at SFA. This policy applies to all employees of SFA except positions that require enrollment as a student.

**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:*

No changes.

Reviewers:

John Wyatt, Interim Director of Human Resources  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Outside Employment

**Original Implementation:** April 21, 1981

**Last Revision:** April 20, 2021 ~~October 29, 2018~~

### Purpose

This policy outlines the requirements of Stephen F. Austin State University (SFA) employees in reporting outside employment that is in addition to their employment at SFA. This policy applies to all employees of SFA except positions that require enrollment as a student.

### Definitions

**Outside employment** is engagement in any activity for a fee, salary, wages, or other financial arrangement other than for SFA. Examples include dual employment with another entity in Texas government, establishing or joining a firm, private business, or engaging in the private practice of some professional skill, or working at another job.

**Dual employment** is engagement in any activity for a fee, salary or wage at another state agency or institution of higher education other than SFA.

### General

University employees who propose to engage in outside employment activities must adhere to the following guidelines and any applicable laws:

1. An individual desiring permission to engage in outside employment must complete the Request for Approval of Outside Employment form and route it through administrative channels to the appropriate ~~vice-president~~ *division head* (or president if no ~~vice president~~ *division head* oversees the office) for approval, prior to beginning outside employment. After initial approval of the outside employment, the employee will annually disclose or update such outside employment in the Employee Annual Conflict of Interest Disclosures.
2. Proper performance of the employee's university assignment is paramount and outside work will assume a position secondary to university duties.
3. The employee may not use any materials or facilities of SFA in the course of outside employment.
4. The employee will make a reasonable effort to assure that his/her outside employment is not identified with SFA.
5. The employee cannot perform any outside employment within the hours in which they are also being compensated for employment with SFA.

In addition, the following guidelines and constraints are applied for dual employment:

1. Separate leave records will be maintained for each employment.
2. Time worked in one position may not be used as additional tenure credit for purposes of longevity or annual leave accrual for the other position.
3. Upon termination of one employment, the leave balances accrued under that employment may not be transferred to the remaining employment.
4. The state's contribution towards the taxes imposed on the employee by the Federal Insurance Contributions Act may not exceed the overall limit specified in the General Appropriations Act. The comptroller shall prescribe such uniform accounting and reporting procedures as necessary to ensure that expenditures for this purpose do not exceed this limit.
5. The total state contribution toward the employee's group insurance will be limited to no more than the amount specified in the General Appropriations Act for one full time active employee.
6. The employee will be entitled to receive longevity payment for no more than one employment.
7. Overtime compensation will accrue for each employment totally independent of the other, except that when an employee works in a dual employment capacity where the employee is subject to the overtime provisions of the Fair Labor Standards Act (FLSA) of 1938, 29 U.S.C., sec. 201 et seq., in either employment, the employing agency or agencies must consider all combined time worked in excess of 40 hours per week as overtime and compensate the employee in accordance with the FLSA provisions applicable to joint employment relationships. In cases where the dual employment is with two separate agencies, the two agencies shall coordinate in order to determine which agency shall have the responsibility to assure that the employee is properly compensated in accordance with such provisions.

Each ~~vice president~~ *division head* will provide a summary report to the president of individuals in their division approved for outside employment by October 31 of each year.

**Cross Reference:** Faculty Handbook, Tex. Const. art. XVI, §§ 33, 40; Tex. Gov't Code §§ 667.001-007; General Appropriations Act; Fair Labor Standards Act, 29 U.S.C. §§ 201-219

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

**Contact for Revision:** Director of Human Resources

**Forms:** Request for Approval of Outside Employment form is available on the human resources

website; Employee Annual Conflict of Interest Disclosures.

**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:** 4/18/2020

**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 at SFA and 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:** N/A

**Specific rationale for deletion of policy:** N/A

*Additional Comments:*

Minor changes for clarification.

Reviewers:

Michaelyn Greene, Director of Administrative Services

Brandon Stringfield, Information Security

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

# Payment Card Acceptance and Security

**Original Implementation:** July 21, 2009

**Last Revision:** April 1820, 20210

## 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/~~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.

## 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*~~SFA~~. This policy also applies to any employee who contracts with a ~~third party~~*third-party* vendor to handle and/or process payment card data on behalf of *the university*~~SFA~~. 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*~~SFA~~ 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 14.14, Information Security Incident Response and ~~Planning~~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); ~~Payment Card Security Handbook~~; 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:** Performance Management Plan

**Policy Number:** 11.20

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

**Date of last revision, if applicable:** 1/30/2018

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

**Purpose of Policy (what does it do):** This policy establishes that the university will utilize a Performance Management Plan to evaluate employee work efforts annually.

**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 wording changes.

Reviewers:

John Wyatt, Interim Director of Human Resources

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

# Performance Management Plan

**Original Implementation:** July 14, 1998

**Last Revision:** April 20, 2021~~January 30, 2018~~

## ***Purpose***

*This policy establishes that the university will utilize a purpose of the performance management plan to evaluate employee work efforts annually.*

*This policy applies to all non-faculty employees at Stephen F. Austin State University that have completed their initial employment probation prior to the beginning of the annual evaluation period. Positions that are excluded include academic department chairs, deans, library director, charter school teachers, and all coaches. However, all categories listed as an exemption shall have some form of evaluation system, but are not governed by this policy. This policy also does not apply to positions which require student status, casual employees, or employees working less than 50% FTE.*

## ***General***

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

~~This policy applies to all non-faculty employees, excluding academic department chairs, deans, library director, charter school teachers, and all coaches at Stephen F. Austin State University that have completed their initial employment probation prior to the beginning of the annual evaluation period. However, all categories listed as an exemption shall have some form of evaluation system, but are not governed by this policy. This policy also does not apply to positions which require student status, casual employees, or employees working less than 50% FTE. Employees must be evaluated to be eligible for merit increases.~~

Human Resources (HR) oversees the performance management plan to include development of applicable forms, retention of completed evaluation plans and establishing guidelines for evaluating employees' performance.

## **Documentation**

The review plan for each employee should be free from discrimination including ~~race, color, religion, sex, age, national origin, disability, genetic information, citizenship or disabled veteran status according with Equal Employment Opportunity (EEO) law. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression~~ race, color, religion, national origin, sex, sexual orientation, gender identity, gender

| *expression, age, disability, genetic information, citizenship, or veteran status.* Supervisors may not consider the employee's use of federally protected leaves, such as Family Medical Leave, against the employee during the evaluation. For further clarification, please contact human resources. Each supervisor will be held responsible for ensuring the review is fair, objective, accurate, and honest and discussed with the employee. Supervisors are also responsible for ensuring consistency of application within their departments. Reviewing supervisors are responsible for ensuring compliance with EEO law.

### **Compensation Actions**

| *Employees must be evaluated to be eligible for merit increases.* Merit pay increases, general pay increases, and all other compensation actions are to be consistent with the level of an employee's actual job performance. Merit increases are to be withheld for employees who had an overall rating of ~~"needs improvement"~~ or ~~"unsatisfactory"~~ *less than acceptable* and therefore are not fully effective in their job performance. Administrative leave is to be withheld for employees who receive a rating of less than acceptable in any evaluation factor.

**Cross Reference:** None

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

**Contact for Revision:** Director of Human Resources

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

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

STEPHEN F. AUSTIN

STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Probationary Period of Employment

**Policy Number:** 11.21

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

**Date of last revision, if applicable:** 4/24/2018

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

**Purpose of Policy (what does it do):** This policy defines the probationary period of employment and describes the evaluation to be completed during this period.

**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 wording changes.

Reviewers:

John Wyatt, Interim Director of Human Resources  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Probationary Period of Employment

**Original Implementation:** Unpublished

**Last Revision:** April 20, 2021-24, 2018

### *Purpose*

*This policy defines the probationary period of employment and describes the evaluation to be completed during this period.*

### *General*

The first 180 calendar days of employment are a probationary period for all non-academic employees. Additionally, employees who apply for a posted, vacant position and who transfer to the new position will begin a new probationary period of 180 calendar days. This does not apply to employees who are reclassified or promoted during the reclassification process.

Human Resources will ~~mail~~*provide* a Probationary Employee Evaluation form to supervisors prior to the completion of the 180-day period. Supervisors will use the form to objectively indicate if employment should be continued or terminated before the 180-day period has expired. The evaluation form is returned to Human Resources and a copy retained in the department file. The employee can be notified immediately of the supervisor's decision if employment is to continue.

During an employee's probationary period, the university is free to terminate an employee at any time with the approval from the director of human resources. The approval must be obtained prior to notifying the employee of the termination. When employment is to be terminated, an Electronic Personnel Action Form (EPAF) should be completed.

**Cross Reference:** None

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

**Contact for Revision:** Director of Human Resources

**Forms:** Probationary Employee Evaluation Form; Electronic Personnel Action Form

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

STEPHEN F. AUSTIN

STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Purchase Requisitions

**Policy Number:** 17.19

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

**Date of last revision, if applicable:** 1/30/2018

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

**Purpose of Policy (what does it do):** This policy provides specific guidance relating to purchase requisitions.

**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:** This policy is proposed to be blended into Policy 17.1.

*Additional Comments:*

Reviewers:

Kay Johnson, Director of Procurement and Property Services/HUB Coordinator  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## **Purchase Requisition**

**Original Implementation:** Unpublished

**Last Revision:** January 30, 2018

A specific request by a department to purchase goods or services begins with the completion of an electronic Purchase Requisition (requisition). Once initiated, the requisition is routed for appropriate approvals based on the commodity or funding source. This automated approval queue for requisitions is maintained in the university's financial system by the procurement office.

Electronic requisitions are submitted following the guidelines outlined in the Procurement Requisitions, Approvals and Receiving Manual. Purchase orders may be created without a requisition at the discretion of the procurement office. When a purchase order is created without a requisition, the department may be notified by email that the purchase order has been created on its account.

Requisition processing within the procurement office differs depending upon source of funds, dollar value, the type of good or service being acquired, and department need. See Best Value Procurement (17.1).

Exceptions to the use of a requisition, other than those listed above, are detailed in Purchase Voucher (17.20) and Delegated Purchasing Authority (17.5).

**Cross Reference:** Best Value Procurement (17.1); Purchase Voucher (17.20); Delegated Purchasing Authority (17.5).

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

**Contact for Revision:** Director of Procurement and Property Services/HUB Coordinator

**Forms:** None

**Board Committee Assignment:** Finance and Audit



STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Purchase Voucher

**Policy Number:** 17.20

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

**Date of last revision, if applicable:** 1/30/2018

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

**Purpose of Policy (what does it do):** This policy establishes the guidelines for using the direct pay disbursement process to purchase certain goods and services for 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:** Changed name of policy, added definitions and addressed an audit observation, minor wording revisions, provided a detail list of direct pay disbursements that may be allowed (indicating which require a payment voucher form and which do not)

**Specific rationale for deletion of policy:** N/A

*Additional Comments:*

Reviewers:

Kay Johnson, Director of Procurement and Property Services/HUB Coordinator  
Dannette Sales, Controller  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

# ***Direct Pay Disbursements***~~Purchase Voucher~~

**Original Implementation:** September 1990

**Last Revision:** April 20, 2021 ~~January 30, 2018~~

## ***Purpose***

*This policy ~~describes~~ establishes the guidelines and requirements ~~related to~~ for using the direct pay disbursement process to purchase certain goods and services for the university. ~~a purchase voucher for university purchases.~~*

## ***Definitions***

*Direct Pay is the process of paying for certain university goods and services without the use of a purchase requisition or procurement card (P-Card). Direct pay disbursements are subject to all applicable policies and procedures that apply to the disbursement type that is being paid.*

*Purchase Voucher is a form required for certain types of direct pays.*

## ***General***

~~Purchases for goods or services are required to be processed in accordance with Delegated Purchasing Authority (17.5). The procurement department, under supervision of the director of procurement and property services/HUB coordinator, has sole authority for the negotiation and purchase of goods and services for the university with the exception of items listed in Items Requiring Board of Regents Approval (1.4), and exceptions listed in Delegated Purchasing Authority (17.5). Most university purchases, other than those related to travel and employee reimbursements, are initiated through the Purchase Requisition (17.19) or Procurement Card (17.11) (P-Card) process. However, in some instances where neither of these methods is appropriate,, payments may be initiated as on a direct pay disbursement. purchase voucher.~~

*There are two direct pay disbursement methods. One method requires the ~~The~~ use of a purchase voucher, which is available on the SFA business forms webpage.~~site~~. The other method does not require a form, yet certain procedures and documentation may be required to be submitted to the accounts payable office. Regardless of which method is used, direct pay disbursements will be reviewed to ensure that payments comply with university policies and procedures and have appropriate supporting documentation and approvals. Reference Delegated Purchasing Authority (17.5).*

*The following types of direct pay disbursements may be allowed and ~~payme~~ require a purchase voucher ~~formats may be made on a purchase voucher instead of a purchase requisition:~~*

- ~~1. Overnight mail services (no purchase voucher required if using the procurement office preferred vendor contract)~~
- 2.1. Licensing fees (except software licensing fees)
- 3.2. Notary bonds

- 4.3. *Student and non-student refunds of monies paid to SFA*
- 5.4. *Student tuition rebates in accordance with Tuition Rebate (6.21)*
- 6.5. *Postage (with president's approval in accordance with Mail Services (16.16))*
- 7.6. *Prepayment of registration fees for business conferences, workshops and seminars (these may also be paid with the Travel Card (T Card) (3.30) or Procurement Card (17.11))*
- 8.7. *Legal settlements*
- 9.8. *Purchases from agency funds in accordance with Agency Funds (3.1) (processed on a Request for Disbursement from an Agency Account, available on the SFA business forms website)*
- ~~10.1. Employee payroll deductions and employee benefits-related expenses~~
- 11.9. *Audit costs charged by a state or federal government agency*
- ~~12.1. Employee call-back mileage reimbursements~~
- ~~13.1. Employee mileage reimbursements not processed through the travel office~~
- 14.10. *Athletic meal money for players while in Nacogdoches when SFA student dining facilities are closed*
- 15.11. *Cash advances for official visits of potential student-athletes in accordance with National Collegiate Athletic Association (NCAA) guidelines for recruiting*
- 16.12. *University's bookseller vendor charges for student scholarships*
- ~~Establishment or replenishment of a change fund (with prior approval from the controller's office)~~
13. *Athletic ticket revenue share settlements*
14. *Athletic contest officials*
15. *University Interscholastic League (UIL) academic contest officials*
16. *Student related medical expenses*
17. *Purchases of books, periodicals, journals, and other related materials needed to maintain university resource collections for the library*
18. *Purchases of general merchandise for resale in the Stone Fort Museum gift shop*
19. *Standard Services Agreements approved by Office of General Counsel (OGC) for services that cost \$500 or less*

*The following types of direct pay disbursements may be allowed and do not require a purchase voucher form:*

1. Overnight mail services (no purchase voucher required if using the procurement office preferred vendor contract)
2. Employee payroll deductions and employee benefits-related expenses
3. Employee call-back mileage reimbursements
4. Employee mileage reimbursements not processed through the travel office
5. Establishment or replenishment of a change fund (with prior approval from the controller's office)
6. *Copier lease and copier maintenance*
7. *Employee reimbursements*
8. *Visa petition service fees paid on behalf of employees*
9. *University credit card statement payments (excluding fuel card payments)*

Any addition to the above lists must be approved in writing by both the controller and the director of

procurement and property services/*HUB coordinator* or his/her designees, and with an explanation justifying the decision.

~~Employee reimbursements for non-travel related expenses should be processed as a purchase requisition to ensure that the purchase has the appropriate approvals and meets other procurement guidelines.~~

~~Payments that are inappropriately initiated on a purchase voucher will be returned to the originating department for proper processing through the procurement office.~~

**Cross Reference:** *Best Value Procurement (17.1); Delegated Purchasing Authority (17.5); Items Requiring Board of Regents Approval (1.4);* ~~Purchase Requisition (17.19);~~ Procurement Card (17.11); Tuition Rebate (6.21); Mail Services (16.16); Travel Card (T-Card) (3.30); Agency Funds (3.1); ~~Items Requiring Board of Regents Approval (1.4)~~

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

**Contact for Revision:** Controller; Director of Procurement and Property Services/HUB Coordinator

**Forms:** Purchase Voucher; ~~Request for Disbursement from an Agency Account~~

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN

STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Restrictions on Contracting with and Paying Certain Vendors

**Policy Number:** 17.23

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

**Date of last revision, if applicable:** 4/24/2018

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

**Purpose of Policy (what does it do):** This policy provides specific guidance relating to restrictions on contracting with and paying certain vendors.

**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:** This policy is proposed to be blended into Policy 17.1.

*Additional Comments:*

Reviewers:

Kay Johnson, Director of Procurement and Property Services/HUB Coordinator  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## **~~Restrictions on Contracting with and Paying Certain Vendors~~**

**~~Original Implementation:~~** January 25, 2000

**~~Last Revision:~~** April 24, 2018

~~The university is required by Tex. Gov't Code § 2252.903 and the United States President's Exec. Order No. 13224, 66 Fed. Reg. 49079 (Sept. 23, 2001) to determine vendor eligibility for contracts and/or payments. The university may contract with any vendor on state warrant hold and follow established procedures for notifying the vendor and holding payment. The university is strictly prohibited from contracting with any vendor listed on the federal government specially designated nationals list (SDN).~~

### **~~DEFINITIONS~~**

~~*Warrant Hold* is a status identifying vendors who are delinquent in payments to the state of Texas and prohibiting the state comptroller and state agencies from issuing payment to the vendor. Warrant hold information is maintained in the state comptroller's Texas Identification Number System (TINS).~~

~~*SDN* is a federal government specially designated nationals list identifying vendors with whom the United States President's Executive Order 13224 prohibits any government entity from doing business.~~

~~*SAM* is a federal system for award management that encompasses all federal restrictions related to doing business with excluded vendors.~~

### **~~RESPONSIBILITY FOR DETERMINATION~~**

~~It is the responsibility of the department placing the order to ensure that the selected vendor is NOT on warrant hold or listed with an active exclusion on the federal system for award management (SAM) up to 7 days before the contract date, but no later than the contract start date. Refer to Delegated Purchasing Authority (17.5) to determine departmental responsibility. It is the responsibility of the accounts payable office to ensure that the selected vendor is NOT on warrant hold prior to processing a university payment.~~

### **~~HOW TO MAKE A DETERMINATION~~**

#### **~~State Comptroller Warrant Hold Status Determination~~**

~~The university's financial system will terminate and prevent the use of any vendor in the financial system that is on warrant hold. For vendors not in the university's financial system, vendor warrant hold status must be searched on the state comptroller's Vendor Hold Search website. Contact accounts payable or the procurement office for assistance. If a vendor is found~~

to be on warrant hold, the following applies:

- a. ~~Purchase orders~~ — the purchase order or contract may be issued but must include a clause on the purchase order or contract relating to the warrant hold status.
- b. ~~P Card~~ — expenditures over \$500 are not allowed from a vendor on warrant hold.
- c. ~~Accounts Payable~~ — accounts payable may make a payment to an entity on warrant hold using local funds if the hold source agency or agencies consent to the payment. Such payment can only be made after securing documentation of the consent. Otherwise payment must be made to the hold source agency or agencies.

**Federal Government Specially Designated Nationals List (SDN) Determination**

The verification process involves searching for the vendor by vendor name on the SAM website. Contact the procurement office for assistance. If a match is found, contact the director of procurement. Purchase Orders and contracts may not be issued to any vendor with an active exclusion on the SAM website.

**Cross Reference:** ~~Tex. Gov't Code § 2107.008; Tex. Gov't Code § 2252.903; Exec. Order No. 13224, 66 Fed. Reg. 49079 (Sept. 23, 2001); State Comptroller Fiscal Policies and Procedures, FPP P.007; Delegated Purchasing Authority (17.5)~~

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

**Contact for Revision:** ~~Director of Procurement and Property Services/HUB Coordinator~~

**Forms:** None

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Security Systems

**Policy Number:** 14.10

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

**Date of last revision, if applicable:** 4/24/2018

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

**Purpose of Policy (what does it do):** Stephen F. Austin State University is committed to the security and safety of our students, employees and visitors. This policy contributes to the fulfillment of that commitment and outlines how security systems are requested and maintained with the goal of standardizing components and processes.

**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 updates

Reviewers:

John Fields, Executive Director/Chief of Police  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel



# Security Systems

**Original Implementation:** July 20, 2010

**Last Revision:** ~~April 24, 2018~~ April 20, 2021

## Purpose

Stephen F. Austin State University ~~is has a committedment~~ to the security and safety of our students, employees and visitors. This policy contributes to the fulfillment of that commitment and outlines how security systems are requested and maintained with the goal of standardizing security system components and processes as much as possible. Stephen F. Austin State University adopts the university information security program along with other applicable governing regulations pertaining to the protection of the information collected as part of this policy.

## Definitions

### Access Controls

**Access control systems** enable the monitoring and control of access to facilities and resources. In the context of physical security, these systems record the request for and subsequently allow or deny access to the requested area or resources. These systems may include but are not limited to: access card, numeric code, biometric identification or proximity device for access.

### Hold-up and Panic Alarms

~~These systems~~ are devices that signal the ~~Department of Public Safety~~ University Police Department (UPD/DPS) of an event in which the personal safety of a member of the university community is in jeopardy. No on-site audible or visual signal is present in such applications. Locations where such systems could be installed include but are not limited to locations an armed robbery could be a threat or where staff may be subject to personal jeopardy.

### Physical Intrusion Detection Systems

~~These are systems~~ commonly referred to as “burglar alarms” and generally consist of door contacts, motion detectors, and glass breakage sensors. When these devices are triggered they signal a control panel to activate both an on-site audible alarm as well as register an alarm at the ~~UPD-DPS dispatch communication~~ central monitoring center station.

### Security Camera Systems

~~These systems~~ are devices designed to transmit video and/or audio signals to a monitoring station

or recording device. The use of security cameras is generally for purposes of monitoring property subject to theft and supervising sensitive access points or offices/areas subject to disruptive behavior. No department is permitted to install any type of security cameras with the exception of *UPDDPS*. These systems must be configured to be continuously monitored or recorded. "Dummy" security cameras are not permitted.

## **Security Systems**

~~The term "security systems"~~ as used in this policy is defined as any singular system or any combination of the systems defined above.

## **~~General~~ APPROVAL AUTHORITY**

All security systems must be approved by the executive director ~~of public safety~~/chief of police, or his/her designee and the appropriate vice president, or president's designee, prior to purchase and installation. Necessary approvals must be provided to Procurement and Property Services prior to orders being placed.

In facility construction and/or renovation planning, all included security systems must be approved by the executive director ~~of public safety~~/chief of police or his/her designee prior to approval of final plans.

## **SYSTEM MONITORING**

Upon installation of a security system, *UPDDPS* will monitor the system for functionality at no cost to the installing department. Stand-alone security systems (those not monitored by *UPDDPS*) are prohibited.

## **PROCEDURE FOR REMOVAL OR MODIFICATION OF A SYSTEM**

Security systems are installed for the protection of our students, employees and visitors. Therefore, security systems may not be removed, relocated, or modified without approval of the executive director ~~of public safety~~/chief of police, or his/her designee

## **~~Protection of Recordings~~ PROTECTION OF RECORDINGS**

For the purposes of security and potential evidence gathering, it is important that any audio or video recorded from security systems be protected.

Any department that has video and/or audio surveillance equipment installed shall provide the ~~University Police Department~~ Department of Public Safety with the appropriate authorization to

view, download, capture, monitor, and control this equipment. This enables the ~~UPDDPS~~ to maintain a chain of custody regarding evidence recovered from the recording device.

While the ~~UPDDPS~~ will be responsible for the administration of all security system equipment, departmental directors and/or other authorized employees within each department with video and/or audio surveillance equipment installed may have authorization to view footage for non-security purposes.

An individual that accesses suspected criminal or suspicious activity should contact the ~~Department of Public Safety~~ *University Police Department* immediately.

### ***Retention of Security Camera Recordings*** ~~ETENTION OF SECURITY CAMERA RECORDINGS~~

Security camera recordings should be retained for a period of no less than 14 days. If existing systems do not provide for a storage period of that length, the maximum storage period possible should be utilized.

**Cross Reference:** Information Security Management (14.1)

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

**Contact For Revision:** Executive *Director* ~~Director of Public Safety~~/Chief of Police

**Forms:** Work Request form available on the ~~DPS-UPD~~ website

**Board Committee Assignment:** Building and Grounds Committee

STEPHEN F. AUSTIN  
STATE UNIVERSITY  

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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:** 4/24/2018

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

**Purpose of Policy (what does it do):** Guidelines for solicitation on campus.

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

- |  |   |  |
|--|---|--|
| <input checked="" type="checkbox"/> Scheduled Review | <input type="checkbox"/> Change in law          | <input type="checkbox"/> Response to audit finding |
| <input type="checkbox"/> Internal Review             | <input type="checkbox"/> Other, please explain: |  |

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor word edits and title changes

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Brandon Frye, Vice President for Student Affairs  
Damon Derrick, General Counsel

# Solicitation on Campus

**Original Implementation:** July, 1980

**Last Revision:** ~~April 24, 2018~~ April 20, 2021

## 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* ~~his/her~~ 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.

## Application

- ~~1. University functions shall be governed by other policy.~~
- ~~2. Religious groups not affiliated with the university shall be governed by the section on religious groups of this policy.~~
- ~~3. Offers to buy complimentary copies of textbooks are specifically prohibited anywhere on the campus or in any building.~~

## 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* ~~cafeteria~~, 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* ~~bulletin boards~~ designated for such purposes by the appropriate university official, provided that such ads and notices posted on bulletin boards conform to the ~~university Signs and Exhibits~~ *Expressive Activities* (16.24) 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.*
- 3.4. Only university departments and the SFA Alumni Association may be approved to solicit as agents of a commercial organization.
- 4.5. 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.
- 5.6. If an individual or group violates the provisions of this policy, the appropriate university official, with the approval of the vice president to whom *that individual* ~~he/she~~ reports, may prohibit the offender from engaging in any solicitation on the university campus for a specified period

of time not to exceed one (1) year. In the case of a repeated violation of these rules, the following sanctions shall apply:

- a. The appropriate university official with the approval of the vice president to whom *the individual* ~~he/she~~ reports, may suspend or cancel the recognition status of an offending student organization.
- b. The appropriate university official, with the approval of the vice president to whom *the individual* ~~he/she~~ 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 (2) 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*. ~~The tickets for the raffle may not be sold or offered for sale 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 \$25,000. 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 for Student Affairs or designee* ~~dean of student affairs~~ may request a financial statement of any student organization at any time. The requirements of the financial statement shall be established by the 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); ~~Signs and Exhibits~~ *Expressive Activities* (16.24)

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

**Contact for Revision:** *Vice President for Student Affairs* ~~Dean of Student Affairs~~

**Forms:** Fundraising Approval

**Board Committee Assignment:** Building and Grounds



STEPHEN F. AUSTIN  
STATE UNIVERSITY  
Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Travel Card (T-Card)

**Policy Number:** 3.30

**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 the guidelines and issuance for using the travel card. Establishes responsibility, who qualifies for a travel card, training requirement and authority.

**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 wording revisions

Reviewers:

Dannette Sales, Controller  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## **Travel Card (T-Card)**

**Original Implementation:** October 27, 2014

**Last Revision:** April 20, 2021

### **Purpose**

This policy establishes guidelines and requirements for the issuance and use of a travel card (T-Card) for university business travel expenses.

### **Definition**

**Travel Card (T-Card)** provides a payment method for official university business travel and travel related expenses and may not be used for any personal transactions.

### **General**

The T-Card will be issued in the name of the employee or officers of Stephen F. Austin State University with the state of Texas seal and the wording 'For Official Use Only' clearly indicated on the card. Approved university employees or officers of Stephen F. Austin State University may use the T-Card in accordance with the T-Card Program Guide and Travel Guidelines to pay for travel related expenses. The terms and conditions of the state travel card contract are specified and awarded by the Texas Comptroller of Public Accounts for the state of Texas. In addition to internal policies and procedures, SFA will comply with the terms and conditions of the state contract.

### **Responsibilities**

The cardholder is responsible and accountable for the security and documentation associated with the use of the T-Card and for complying with all policies and procedures related to the T-Card program. Department heads are responsible for ensuring that all employees or officers issued a T-Card understand the departmental budget constraints under which they are to use the T-Card and the individual transaction and monthly limits of the T-Card. Documentation shall follow procedural requirements in the T-Card Program Guide.

The department head or his/her designee is responsible for: 1) designating departmental cardholders; 2) determining spending limits; 3) approving monthly reconciliations of T-Card cardholder statements; and 4) verifying charges and reviewing supporting documentation to ensure T-Card charges are within SFA policies and procedures and departmental budgets.

### **T-Card Use by another Employee or Student**

The only person authorized to use the T-Card is the cardholder whose name appears on the card, unless the cardholder and department head have completed a T-Card Use form to allow other employees to use the card on behalf of the cardholder. The T-Card Program Guide provides detailed information regarding the use of the card by other employees or students.

### **Training and Issuing Cards**

All department heads will be required to attend training and sign the Travel Cardholder Application/Approval Form before any cards will be issued to employees within the department. All employees who are issued a T-Card will be required to attend training and sign a Travel Card (T-Card) Holder/Banner User Agreement before issuance. All cardholders will be required to comply with training requirements as outlined in the T-Card Program Guide.

### **Travel Card Documentation**

The documentation identified in the T-Card Program Guide must be kept for the time retention period prescribed in the State of Texas Records Retention Schedule. These are the official university records and must be included as attachments when the expense reports are submitted. The receipts for T-Card charges will be required for processing the payment and for periodic audits.

### **Card Termination**

T-Card rule violations may result in immediate deactivation or cancellation of the cardholder's T-Card(s). The T-Card Program Guide lists violations and associated penalties. T-Cards will also be deactivated upon termination or transfer of the cardholder.

### **Administrative Authority**

The department head or supervising dean, vice president, or president has the authority to request that the travel office deactivate or cancel an employee's card at any time if fraud or misuse is suspected. Any card so deactivated or cancelled may be reactivated or a new card issued only with approval by the position that originally requested the deactivation or cancellation. Audit services and the general counsel's office have the authority to request that the travel office deactivate an employee's card while transactions are being researched or investigated, or an audit is being conducted. At the conclusion of the research, investigation, or audit, the card will be reactivated and/or appropriate action taken as specified herein and in the T-Card Program Guide.

### **Fees**

A foreign transaction fee may be assessed by the credit card company in addition to all charges assessed by the bankcard associations. These fees may be paid by the university if the foreign travel

is approved in advance of the charge. Fees associated with inappropriate card use, such as cash advances and convenience checks, will be the responsibility of the person making the charge.

**Cross Reference:** T-Card Program Guide; Travel Guidelines

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

**Contact for Revision:** Controller

**Forms:** Travel Cardholder Application/Approval Form; Travel Card (T-Card) Holder/Banner User Agreement; T-Card Use Form

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN  
STATE UNIVERSITY  

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Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** University ID Cards

**Policy Number:** 14.13

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

**Date of last revision, if applicable:** 4/24/2018

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

**Purpose of Policy (what does it do):** Guidelines for issuance of University ID Cards for access to programs and 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:** ID Cards do not need to be validated annually.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Carrie Charley, Director of Auxiliary Services  
Brandon Frye, Vice President for Student Affairs  
Damon Derrick, General Counsel

## University ID Cards

**Original Implementation:** April 24, 2018

**Last Revision:** ~~April 18, 2020~~ April 20, 2021

The university utilizes an identification (ID) card system to provide access to a variety of university programs and services for ~~students and employees~~ *students, employees, and approved affiliates*.

*Stephen F. Austin (SFA)* ID cards are the property of the university and must be shown and/or surrendered to any university official upon request. SFA IDs are not transferrable. Use of an ID to gain, or attempt to gain, unauthorized access to university buildings, facilities, or services may result in disciplinary action, confiscation of the ID and/or removal from university owned or controlled property. Possession, alteration, use or attempted use of an ID by anyone other than the person to whom the card is issued shall be considered unauthorized use.

### Faculty/ Staff

Employees who are benefits-eligible are entitled to a faculty/staff identification card. Employees wishing to use certain university facilities and/or services may be required to present a current faculty/staff identification card.

~~Faculty/Staff ID cards should be validated annually in the Graphic Shop in the Student Center.~~  
Separating employees are required to return ID cards during the checkout process.

Retired faculty/staff are also entitled to an ID card.

### Students

Student ID cards are produced upon the enrollment of a new student. ~~Student ID cards should be validated annually at the SFA Business Office in the Austin Building.~~

### Affiliated Individuals

Individuals who are sponsored by a campus department as a term-limited affiliate may receive an ID card for the purpose of accessing facilities and services. Affiliate group ID cards must be renewed on an annual basis and must be surrendered when the approved affiliation concludes.

**Cross Reference:** None

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

**Contact for Revision:** Director of ~~Student~~ Auxiliary Services

**Forms:** None

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

**Report to the Board of Regents – April 2021**  
Grants<sup>1</sup> awarded between January 1, 2021 and March 31, 2021

**Fiscal Year 2021 – as of March 31, 2021**

**Amounts allocable to FY21** (detailed in this report)

Federal funds (direct and pass-through)	\$ 11,066,020
State Funds (direct and pass-through)	\$ 224,868
Private and Local Government	\$ 5,295
<b>TOTAL</b>	<b>\$ 11,296,183</b>

<b>New awards, FY21</b> (detailed in this report, all project years)	<b>\$ 11,259,400</b>
<b>Cumulative amount allocable to FY21</b>	<b>\$ 17,144,163</b>
<b>Cumulative award total FY21, all project years</b>	<b>\$ 47,238,831</b>

*New, Additional, or Previously Unreported Awards for FY 2021*

**Federal Funds (direct and pass-throughs)**

**Title** \* *Texas Reskilling Support Fund Grant Program FY21*  
**Sponsor:** TX Higher Education Coordinating Board (prime - US Dept of Education)  
Award # 24118  
**Award Term:** January 4, 2021 to December 31, 2021  
**PI/PD:** Dr. Marc Guidry, Academic Affairs  
**Total Award:** \$112,500 **Amount Allocable to FY 2021:** \$112,500  
*Scholarship funds for students who will pursue high value workforce credential programs and/or undergraduate degrees.*

**Title** \* *La Nana Bayou Watershed Protection Plan (WPP) Development*  
**Sponsor:** Texas A&M AgriLife Extension Service (prime - US Environmental  
Protection Agency)  
Award # M2101278  
**Award Term:** January 14, 2021 to January 31, 2023  
**PI/PD:** Dr. Matthew McBroom, Forestry  
**Total Award:** \$33,127 **Amount Allocable to FY 2021:** \$11,042  
*This research grant will develop a watershed protection plan for La Nana Creek that will enable local decision making for the planning process, and to provide educational programs and a media outreach plan.*

<sup>\*</sup>New awards or additional funds added to a current award

<sup>1</sup>For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.



**Report to the Board of Regents – April 2021**  
 Grants<sup>1</sup> awarded between January 1, 2021 and March 31, 2021

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*Previously Described Awards:*

***CARES Act: Stephen F. Austin State University Higher Education Emergency Relief – Institutional Aid***

Dr. Danny Gallant, Finance and Administration

**Total Award:** \$17,133,422 **Amount Allocable to FY 2021:** \$5,935,442\*

***CARES Act: Stephen F. Austin State University Higher Education Emergency Relief – Students***

Erma Nieto-Brecht, Admissions

**Total Award:** \$10,525,078 **Amount Allocable to FY 2021:** \$5,000,000\*

***CARES ACT: Higher Education Emergency Relief Fund-Strengthening Institutions Program (SIP)***

Dr. Danny Gallant, Finance and Administration

**Total Award:** \$519,411 **Amount Allocable to FY 2021:** \$5,986\*

***Special Education Consolidated Grant FY21 (IDEA-B)***

Lysa Hagan, Charter School

**Award Total:** \$35,380 **Amount allocable to FY 2021:** \$1,050\*

***Subtotal Federal Amounts Allocable to FY 2021 (this report) = \$11,066,020***  
***Subtotal New Federal Awards (total award) = \$11,088,105***

\*New awards or additional funds added to a current award

<sup>1</sup>For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

**Report to the Board of Regents – April 2021**  
Grants<sup>1</sup> awarded between January 1, 2021 and March 31, 2021

**State Funds (direct and pass-through)**

**Title** \* *STEM Summer Program FY21 - Governor's Summer Merit Program*  
**Sponsor:** Texas Workforce Commission  
**Award Term:** March 23, 2021 to August 31, 2021  
**PI/PD:** Dr. Jana Redfield, STEM Research and Learning Center  
**Total Award:** \$100,000 **Amount Allocable to FY 2021:** \$100,000  
*Funds will provide two week-long summer camps with hands-on learning activities, field work opportunities, and industry field trips. The goal is to help increase the number of students interested in STEM careers.*

**Title** \* *Repatriation of Illegally Collected Alligator Snapping Turtles Back into Texas Waters*  
**Sponsor:** Texas Parks and Wildlife Department  
**Award Term:** February 24, 2021 to August 31, 2021  
**PI/PD:** Dr. Christopher Schalk, Forestry  
**Total Award:** \$45,000 **Amount Allocable to FY 2021:** \$45,000  
*Research funds will be used to return approximately 40 Alligator Snapping Turtles to Texas waters. These turtles were illegally smuggled into Louisiana several years ago, but law enforcement successfully intervened.*

Previously Described Awards:

***SFA Charter School Instructional Materials Allotment, FY13-FY21***

Lysa Hagan, Charter School

**Award Total:** \$222,647 **Amount allocable to FY 2021:** \$47,900\*

***Disability Services – Interpreter Services 16-18***

Tiffany Rivers, Disability Services

**Award Total:** \$206,759 **Amount allocable to FY 2021:** \$10,968

***\*JAMP Special Projects: JAMP Camp 2021***

Dr. Kevin Langford, Biology

**Award Total:** \$20,000 **Amount allocable to FY 2021:** \$20,000

***\*Peers Against Tobacco Program – FY21***

Jessica Waguespack, Campus Recreation

**Award Total:** \$1,000 **Amount allocable to FY 2021:** \$1,000

***Subtotal State Amounts Allocable to FY 2021 (this report) = \$224,868***

***Subtotal New State Awards (total award) = \$166,000***

\*New awards or additional funds added to a current award

<sup>1</sup>For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

**Report to the Board of Regents – April 2021**  
Grants<sup>1</sup> awarded between January 1, 2021 and March 31, 2021

**Private Entity and Local Government Awards**

**Title** \* *Clinic Fee Support for Low Income Clients and Career Planning Laboratory Services*  
**Sponsor:** T.L.L. Temple Foundation  
**Award Term:** January 29, 2021 to May 31, 2022  
**PI/PD:** Dr. Bill Weber, Human Services and Educational Leadership  
**Total Award:** \$5,295 **Amount Allocable to FY 2021:** \$5,295  
*Grant funding will provide counseling sessions for up to 25 clients through the Human Services and Educational Leadership Graduate Counseling Clinic.*

**Title** \* *Hamilton Syringe Grant*  
**Sponsor:** Hamilton Company  
**Award Term:** December 2, 2020 to February 28, 2021  
**PI/PD:** Dr. Lindsay Porter, Biology  
**Total Award:** no funds awarded - award is solely a credit for purchase.  
*This product credit will assist a project-based lab for an immunology course by providing students with experience using RNAi as part of their research programs.*

***Subtotal Private and Local Amounts Allocable to FY2021 (this report) = \$5,295***  
***Subtotal New Private and Local Awards (total award) = \$5,295***

**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

<sup>1</sup>For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.