



REPORT TO THE BOARD OF REGENTS

January 26-28, 2020
Meeting 333

**STEPHEN F. AUSTIN
STATE UNIVERSITY**

Report to the Board of Regents (January 26-28, 2020)

Meeting 333

Table of Contents:

Board Agenda	7
Tour the Walter Todd Agricultural Research Center Schedule	16
Recess to Executive Session	
Deliberations Regarding the Deployment, or Specific Occasions for Implementation, of Security Personnel or Devices (Texas Government Code, Section 551.076)	17
Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations (Texas Government Code, Section 551.073)	18
Deliberations Regarding the Purchase, Exchange, Lease, Sale or Value of Real Property (Texas Government Code, Section 551.072)	19
Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to... (Texas Government Code, Section 551.071)	20
Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the director of athletics, vice presidents and the president (Texas Government Code, Section 551.074)	21
<u>Monday, January 27, 2020</u>	
Reconvene Board Meeting in Open Session	
Report from Chief Information Officer and Executive Director of Enrollment Management	22
Report from Vice President for Finance and Administration	23
Meeting of Building and Ground Committee	
Beef Farm Facility Construction Project	24
Basketball Practice Facility Project Budget	25
Building and Grounds Policy Revisions	26
Austin Building Conference Rooms 16.5	27
Homer Bryce Stadium and William R. Johnson Coliseum 16.13	29
Report: Planned Maintenance Report	32
Report: Construction Report	43
Meeting of the Finance and Audit Committee	
Report: Investment Report – Texas A&M University Investment Officer	
Acknowledge Receipt of Audit Services Report	65
Military Science Departmental Audit	
Business Communication and Legal Studies Departmental Audit	
FERPA Audit	
Medical Billing Audit	
NCAA 08/31/19 Financial Statement Agreed Upon Procedures Report	
Bursar Cash Count	
Follow-Up Audit of External Information Technology Audits	
Internal Projects	
Update on Audit Plan	
SFA Charter School 2018-19 Audited Financial Statements	66
Environmental Service Fee	145

Increase the Recreational Sports Fee	146
Undergraduate and Graduate Tuition Differential Fee	147
Texas Resident Undergraduate FY2021 Fixed-rate Tuition and Fee Plan	149
Fixed-rate Tuition and Fee Guaranteed Price Plan	153
Tuition and Fees for Registered Nurse to Bachelor of Science Degree in Nursing	156
Changes in Course Fees	157
Resolution to Acknowledge Review of the Investment Strategy and Policy	159
Resolution Approving Financial Institutions and Brokers for Investment Transactions	161
Resolution Amending Authorized Texpool Representatives	163
Aramark Contract Amendment	167
FY2020-21 Board Rates	175
Financial Affairs Policy Revisions	177
Central Receiving 17.2	178
Fair Labor Standards 11.14	182
Gifts, Loans, Endowments and Bequests 3.17	187
Investments 3.21	194
Investments – Endowment Funds 3.20	204
Prompt Payment to Vendors 17.13	214
Property Liability 16.22	218
Proprietary Purchases 17.15	221
Purchase of Surplus Property 17.17	224
Safe and Vault Combinations 14.9	228
Student Fiscal Appeals 6.19	230
Grant Awards	233
Report: Grants Update Report	234
Report: Contract Monitoring Report	237
Recess to Committee of the Whole	
Action Item 1: Approval of the SFA Charter School 2018-19 Audited Financial Statements	245
Reconvene as Meeting of the Academic and Student Affairs Committee	
James I. Perkins College of Education Unit Naming	324
Academic and Student Affairs Policy Revisions	326
Administrative Evaluation of Adjunct Faculty Performance 7.5	328
Aids and HIV 13.1	330
Animals on University Property 13.2	337
Annual Disclosure of Crime Statistics 13.3	344
Curriculum Reviews, Modifications and Approval 5.7	349
Disposition of Abandoned Personal Property 13.6	352
Distinguished Guests 2.16	355
Doctoral Students: Allowable Credit Hours and Completion Times 6.11	357
Faculty Development Leaves 12.7	359
Faculty Disagreements 7.25	362
Faculty Merit Pay 7.6	365
Library Faculty 7.17	367
Part-time Faculty 7.21	370
Performance Review of Officers Reporting to the Provost and Vice President of Academic Affairs 4.8	372
Professional Educators Council 5.16	374
Purchased Instructor-Generated Materials 7.16	376

Student Academic Dishonesty 4.1	378
Student Evaluation of Instruction 7.27	381
Student Media 10.8	383
Student Organization Risk Management Training 10.10	387
Student Service Fee Allocations 10.11	390
Student Travel 10.12	393
Substantive Change 4.10	396
Recess to Executive Session	
Deliberations Regarding the Deployment, or Specific Occasions for Implementation, of Security Personnel or Devices (Texas Government Code, Section 551.076)	400
Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations (Texas Government Code, Section 551.073)	401
Deliberations Regarding the Purchase, Exchange, Lease, Sale or Value of Real Property (Texas Government Code, Section 551.072)	402
Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to... (Texas Government Code, Section 551.071)	403
Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the director of athletics, vice presidents and the president (Texas Government Code, Section 551.074)	404
<u>TUESDAY, January 28, 2020</u>	
Reconvene Board Meeting in Open Session	
Call to Order	
Pledge to the Flags – Cadet Biography	405
Special Recognitions	
Action Item 2: Approval of Minutes for October 27-28, 2019 (Meeting 331) and November 22, 2019 (Meeting 332)	406
Action Item 3: Staff Appointments	426
Action Item 4: Faculty Appointments	428
Action Item 5: Changes of Status	429
Action Item 6: Retirements	433
Committee Reports and Board Action:	
Academic and Student Affairs Committee (Report and Board Action on Agenda Items 7-8)	
Action Item 7: Approval of James I. Perkins College of Education Unit Naming	434
Action Item 8: Approval of Academic and Student Affairs Policy Revisions	436
Administrative Evaluation of Adjunct Faculty Performance 7.5	438
Aids and HIV 13.1	440
Animals on University Property 13.2	447
Annual Disclosure of Crime Statistics 13.3	454
Curriculum Reviews, Modifications and Approval 5.7	459
Disposition of Abandoned Personal Property 13.6	462
Distinguished Guests 2.16	465
Doctoral Students: Allowable Credit Hours and Completion Times 6.11	467
Faculty Development Leaves 12.7	469
Faculty Disagreements 7.25	472
Faculty Merit Pay 7.6	475
Library Faculty 7.17	477

Part-time Faculty 7.21	480
Performance Review of Officers Reporting to the Provost and Vice President of Academic Affairs 4.8	482
Professional Educators Council 5.16	484
Purchased Instructor-Generated Materials 7.16	486
Student Academic Dishonesty 4.1	488
Student Evaluation of Instruction 7.27	491
Student Media 10.8	493
Student Organization Risk Management Training 10.10	497
Student Service Fee Allocations 10.11	500
Student Travel 10.12	503
Substantive Change 4.10	506
Building and Grounds Committee (Report and Board Action on Agenda Items 9-11, 28-31)	
Action Item 9: Approval of the Beef Farm Facility Project	510
Action Item 10: Approval of the Basketball Practice Facility Project Budget	511
Action Item 11: Approval of Building and Grounds Policy Revisions	512
Austin Building Conference Rooms 16.5	513
Homer Bryce Stadium and William R. Johnson Coliseum 16.13	515
Action Item 28: Potential Naming Item – Pending Executive Session	518
Action Item 29: Potential Naming Item – Pending Executive Session	520
Action Item 30: Potential Naming Item – Pending Executive Session	521
Action Item 31: Potential Naming Item – Pending Executive Session	522
Finance and Audit Committee (Report and Board Action on Agenda Items 12-27)	
Action Item 12: Approval of Acknowledge Receipt of Audit Services Report	523
Military Science Departmental Audit	
Business Communication and Legal Studies Departmental Audit	
FERPA Audit	
Medical Billing Audit	
NCAA 08/31/19 Financial Statement Agreed Upon Procedures Report	
Bursar Cash Count	
Follow-Up Audit of External Information Technology Audits	
Internal Projects	
Action Item 13: Approval of the 2018-19 Annual Financial Report	524
Action Item 14: Approval of the Environmental Service Fee	525
Action Item 15: Approval to Increase the Recreational Sports Fee	526
Action Item 16: Approval of an Undergraduate and Graduate Tuition Differential Fee	527
Action Item 17: Approval of the Texas Resident Undergraduate FY2021 Fixed-rate Tuition and Fee Plan	529
Action Item 18: Approval of the Fixed-rate Tuition and Fees Guaranteed Price Plan	533
Action Item 19: Approval of the Tuition and Fees for Registered Nurse to Bachelor of Science Degree in Nursing	536
Action Item 20: Approval of Changes in Course Fees	537
Action Item 21: Approval of the Resolution to Acknowledge Review of the Investment Strategy and Policy	539
Action Item 22: Approval of the Resolution Approving Financial Institutions and Brokers for Investment Transactions	541
Action Item 23: Approval of the Resolution Amending Authorized Texpool Representatives	543

Action Item 24: Approval of Aramark Contract Amendment	547
Action Item 25: Approval of FY2020-21 Board Rates	550
Action Item 26: Approval of Financial Affairs Policy Revisions	552
Central Receiving 17.2	553
Fair Labor Standards 11.14	557
Gifts, Loans, Endowments and Bequests 3.17	562
Investments 3.21	569
Investments – Endowment Funds 3.20	579
Prompt Payment to Vendors 17.13	589
Property Liability 16.22	593
Proprietary Purchases 17.15	596
Purchase of Surplus Property 17.17	599
Safe and Vault Combinations 14.9	603
Student Fiscal Appeals 6.19	605
Action Item 27: Approval of Grant Awards	608
President’s Report	612
Faculty Senate Report	628
Student Government Association	650

Where appropriate and permitted by law, Executive Sessions may be held for the above listed subjects (Section 551.071). Possible action may be taken in Open Session on matters considered in Executive Session. Further details regarding the posted agenda are available for public review in the Office of the Board of Regents, Austin Building 308, Telephone (936) 468-4048.

AGENDA

SFA Board of Regents

Date January 26 – 28, 2020

Board members

Brigettee Henderson, Chair | Alton Frailey, Vice Chair |

David Alders | Scott Coleman | Karen Gantt | Tom Mason | Judy Olson | Jenn Winston | Zoé Smiley

Estimated Item Time	Presenter
SUNDAY, January 26, 2020	
2:00 p.m. Call to Order in Open Session	B. Henderson
Welcome and Introductions	B. Henderson
2:10 p.m. Tour of Walter Todd Agriculture Research Center	S. Gordon/ S. Bullard
3:30 p.m. Return from Tour, BREAK	
3:45 p.m. RECESS TO EXECUTIVE SESSION	B. Henderson
Deliberations Regarding Security Devices or Security Audits	
Report from Chief Information Officer	A. Espinoza
Audit Report: External Information Technology Audits	G. Oglesbee
Audit Report: FERPA	G. Oglesbee
Deliberations Regarding Contracts for Gifts or Donations	J. Still
Possible Naming Opportunities	
Deliberations Regarding Real Property	D. Gallant
Consultation with Attorney	D. Derrick
Reported Complaints	
EEOC Charges	
Open Meetings Act	

Estimated Time	Item	Presenter
	Health Insurance Billing	
	NCAA Compliance	
	<i>Pamela Clasquin v. SFASU</i>	
	<i>Jane SFA-CM Doe v. SFASU</i>	
	Consideration of Personnel Matters	S. Gordon
	Director of Athletics, Vice Presidents and President	
6:30 p.m.	Return to Open Session	B. Henderson
	Recess Board of Regents Meeting to Monday, January 27, at 8:00 a.m.	B. Henderson
7:00 p.m.	Regent Dinner	

Estimated Time	Item	Presenter
	MONDAY, January 27, 2020	
8:00 a.m.	Call to Order in Open Session	B. Henderson
	Welcome and Introductions	B. Henderson
8:05 a.m.	Report Introduction	S. Gordon
	Report from Chief Information Officer and Executive Director of Enrollment Management	A. Espinoza/ E. Brecht
	Tiger Team Report <ul style="list-style-type: none"> ▪ Recap of Tiger team completed work ▪ Tiger team current focus ▪ Enrollment update ▪ ITS projects 	
	Report from Provost and Vice President for Academic Affairs	S. Bullard
	LAN-CAT Report	
	Report from Vice President for Finance and Administration	D. Gallant
	Tuition Models/Incentives <ul style="list-style-type: none"> ▪ Tuition and Fee Background Information ▪ Tuition and Fee Proposals <ul style="list-style-type: none"> ○ Annual Fixed Tuition and Fee Plan ○ Four year Guaranteed Tuition and Fee Plan ▪ Tuition and Fee – Peer Comparison 	
9:45 a.m.	BREAK	
	Report from Vice President for University Affairs	S. Westbrook
	Student Housing Programs	
	Report from Vice President for University Advancement and Director of Athletics	J. Still/R. Ivey
	SFA Recognition and Marketing - Duke	
	Report on SFA Envisioned Strategic Plan Survey	S. Westbrook
11:30 a.m.	RECESS TO LUNCH	B. Henderson
	Lunch will be at Campus Recreation Center, Room 1206	
1:00 p.m.	Reconvene Board Meeting in Open Session	B. Henderson
	BUILDING AND GROUNDS COMMITTEE	

Estimated Time	Item	Presenter
	Call to Order	D. Alders
	Agenda Item 9: Beef Farm Facility Construction Project	D. Gallant
	Agenda Item 10: Basketball Practice Facility Project Budget	D. Gallant
	Agenda Item 11: Approval of Building and Grounds Policy Revisions	D. Derrick
	Report: Planned Maintenance Report	D. Gallant
	Report: Construction Report	D. Gallant
	Adjourn Building and Grounds Committee	D. Alders
2:00 p.m.	FINANCE AND AUDIT COMMITTEE	
	Call to Order	T. Mason
	Investment Report – Texas A&M University Investment Officer	D. Gallant
	Agenda Item 12: Acknowledge Receipt of Audit Services Report	G. Oglesbee
	Military Science Departmental Audit	
	Business Communication and Legal Studies Departmental Audit	
	FERPA Audit	
	Medical Billing Audit	
	NCAA 08/31/19 Financial Statement Agreed Upon Procedures Report	
	Bursar Cash Count	
	Follow-Up Audit of External Information Technology Audits	
	Internal Projects	
	Update on Audit Plan	
	Agenda Item 13: 2018-19 Annual Financial Report	D. Gallant
	Agenda Item 1: SFA Charter School 2018-19 Audited Financial Statements	D. Gallant
	Agenda Item 14: Environmental Service Fee	D. Gallant
	Agenda Item 15: Increase Recreational Sports Fee	D. Gallant

Estimated Time	Item	Presenter
	Agenda Item 16: Undergraduate and Graduate Tuition Differential Fee	D. Gallant
	Agenda Item 17: Texas Resident Undergraduate FY2021 Tuition and Fee Plan	D. Gallant
	Agenda Item 18: Fixed-rate Tuition and Fee Guaranteed Price Plan	D. Gallant
	Agenda Item 19: Tuition and Fees for Registered Nurse to Bachelor of Science Degree in Nursing	S. Bullard
	Agenda Item 20: Changes in Course Fees	S. Bullard
	Agenda Item 21: Resolution to Acknowledge Review of the Investment Strategy and Policy	D. Gallant
	Agenda Item 22: Resolution Approving Financial Institutions and Brokers for Investment Transactions	D. Gallant
	Agenda Item 23: Resolution Amending Authorized Texpool Representatives	D. Gallant
	Agenda Item 24: Aramark Contract Amendment	S. Westbrook
	Agenda Item 25: FY2020-21 Board Rates	S. Westbrook
	Agenda Item 26: Financial Affairs Policy Revisions	D. Derrick
	Agenda Item 27: Grant Awards	D. Gallant
	Report: Grants Update	D. Gallant
	Report: Contract Monitoring	D. Gallant
	RECESS TO COMMITTEE OF THE WHOLE	B. Henderson
	Agenda Item 1: SFA Charter School 2018-19 Audited Financial Statements	T. Mason
3:15 p.m.	BREAK	
3:30 p.m.	RECONVENE AS MEETING OF THE ACADEMIC AND STUDENT AFFAIRS COMMITTEE	
	Call to Order	K. Gantt
	Agenda Item 6: James I. Perkins College of Education Unit Naming	S. Bullard
	Agenda Item 7: Academic and Student Affairs Policy Revisions	D. Derrick

Estimated Time	Item	Presenter
4:00 p.m.	RECESS TO EXECUTIVE SESSION	B. Henderson
	Deliberations Regarding Security Devices or Security Audits	
	Report from Chief Information Officer	A. Espinoza
	Audit Report: External Information Technology Audits	G. Oglesbee
	Audit Report: FERPA	G. Oglesbee
	Deliberations Regarding Contracts for Gifts or Donations	J. Still
	Possible Naming Opportunities	
	Deliberations Regarding Real Property	D. Gallant
	Consultation with Attorney	D. Derrick
	Reported Complaints	
	EEOC Charges	
	Open Meetings Act	
	Health Insurance Billing	
	NCAA Compliance	
	<i>Pamela Clasquin v. SFASU</i>	
	<i>Jane SFA-CM Doe v. SFASU</i>	
	Consideration of Personnel Matters	S. Gordon
	Director of Athletics, Vice Presidents and President	
6:00 p.m.	Return to Open Session	B. Henderson
	Recess Board of Regents Meeting to Tuesday, January 28, at 9:00 a.m.	B. Henderson
7:00 p.m.	Dinner	

Estimated Time	Item	Presenter
9:00 a.m.	Call to Order in Open Session	B. Henderson
	Recognition for Nelda Blair	
	Pledge to the Flags	Cadet Sparkman
	Invocation	Regent
	Special Recognitions	S. Gordon
	Academic Affairs	
	Ranger Challenge Team - Military Science	
	Dr. Kevin Stafford - Geology	
	Dr. Dan Unger, Dr. Brian Oswald, Dr. David Kulhavy – Forestry	
	Dr. Mark Sanders – English	
	Athletics	
	Ladyjack Volleyball Team	
	University Affairs	
	University Police Department - Storm Ready Campus	
	University Police Department –	
	Texas Law Enforcement Recognition Program	
	Action Item 2: Approval of Minutes	B. Henderson
	Action Item 3: Staff Appointments	S. Bullard
	Action Item 4: Faculty Appointments	S. Bullard
	Action Item 5: Changes of Status	S. Bullard
	Action Item 6: Retirements	S. Bullard
	REPORT FROM ACADEMIC AND STUDENT AFFAIRS COMMITTEE	K. Gantt
	Action Item 7: James I. Perkins College of Education Unit Naming	
	Action Item 8: Academic and Student Affairs Policy Revisions	
	REPORT FROM BUILDINGS AND GROUNDS COMMITTEE	D. Alders
	Action Item 9: Beef Farm Facility Construction Project	
	Action Item 10: Basketball Practice Facility Project Budget	
	Action Item 11: Approval of Building and Grounds Policy Revisions	

**Estimated Item
Time**

Presenter

Action Item 28: Naming of Basketball Performance Center
Loddie Naymola Basketball Performance Center

Action Item 29: Naming of Basketball Performance Center Weight
Room
Hank and Suzy Crouse Weight Room

Action Item 30: Naming of Office of Men’s Head Basketball Coach
Bob Sitton Head Men’s Basketball Coach Office

Action Item 31: Naming of Resource Room in Cole STEM Building
Harry D. Downing Physics Resource Room

REPORT FROM FINANCE AND AUDIT COMMITTEE

T. Mason

Action Item 12: Acknowledge Receipt of Audit Services Report

Action Item 13: 2018-19 Annual Financial Report

Action Item 14: Environmental Service Fee

Action Item 15: Increase of Recreational Sports Fee

Action Item 16: Undergraduate and Graduate Tuition Differential Fee

Action Item 17: Fixed-rate Tuition and Fees for FY2020-21

Action Item 18: Fixed-rate Tuition and Fee Guaranteed Price Plan

Action Item 19: Tuition and Fees for Registered Nurse to Bachelor of
Science Degree in Nursing

Action Item 20: Changes in Course Fees

Action Item 21: Resolution to Acknowledge Review of the Investment
Strategy and Policy

Action Item 22: Resolution Approving Financial Institutions and
Brokers for Investment Transactions

Action Item 23: Resolution Amending Authorized Texpool
Representatives

Action Item 24: Aramark Contract Amendment

Action Item 25: FY2020-21 Board Rates

Action Item 26: Financial Affairs Policy Revisions

Estimated Time	Item	Presenter
	Action Item 27: Grant Awards	
	REPORTS	
	President	S. Gordon
	<ul style="list-style-type: none"> ▪ Change in reporting lines ▪ Financial Aid Leveraging ▪ Community College tour ▪ Recent Presentations 	
	Faculty Salary Study	
	Faculty Senate	J. Stovall
	<ul style="list-style-type: none"> ▪ Faculty Senate updated on SFA Budget ▪ Faculty accomplishments since October board meeting ▪ Upcoming non-tenure track amendment to Faculty Senate Constitution 	
	Investigating no-test option	
	Student Government Association	S. Lopez
	<ul style="list-style-type: none"> ▪ Fall Accomplishments ▪ Spring Goals 	
	Environmental Services Fee	
	Intercollegiate Athletic Advisory Committee	S. Coleman
	<ul style="list-style-type: none"> ▪ Nominating Committee and Election of Board Officers 2020-2021 	S. Coleman
11:00 a.m.	<ul style="list-style-type: none"> ▪ Adjourn Meeting of the Board of Regents 	B. Henderson

Stephen F. Austin State University
Walter Todd Agricultural Research Center Tour
Sunday, January 26, 2020

Schedule

- 2:10 p.m. Travel from Austin Building to Beef Farm
- Start at Beef Port
 - Travel to Equine Center
 - Travel to Poultry Center

3:20 p.m. Travel to Austin Building

3:45 p.m. Meeting Commences

Transportation for group to be provided by Physical Plant via shuttle.

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 External Information Technology Audits
- FERPA Audit - Security

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

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, Open Meetings Act, Health Insurance Billing, NCAA Compliance, *Pamela Clasquin v. SFASU*, and *Jane SFA-CM Doe v. SFASU* (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 director of athletics, vice presidents and the president (Texas Government Code, Section 551.074)

Report from Chief Information Officer and Executive Director of Enrollment Management:

- Recap of Tiger team completed work
- Tiger team current focus
- Enrollment update
- ITS projects

Report from Vice President for Finance and Administration:

Tuition Models/Incentives

- Tuition and Fee Background Information
- Tuition and Fee Proposals
 - Annual Fixed Tuition and Fee Plan
 - Four year Guaranteed Tuition and Fee Plan
- Tuition and Fee – Peer Comparison

APPROVAL OF THE BEEF FARM FACILITY CONSTRUCTION PROJECT

Explanation:

On the morning of November 14, 2018, the 6,000 square foot beef livestock barn at the SFA Walter C. Todd Agricultural Research Center facility and contents were completely destroyed by a fire. The beef barn was used for teaching agriculture laboratory classes, hosting community and agricultural awareness events, elementary school tours, and college recruitment events.

The barn and contents lost in the fire were insured. However, the deductible for the claim is \$250,000. The university has received insurance proceeds of \$335,301 and expects to receive an additional \$107,538.

The university engaged the architectural firm Goodwin, Lassiter and Strong to design a new facility. The plan is to construct an approximate 20,000 square foot facility to help support the needs of the SFA Agriculture program.

Recommendation:

The administration recommends the construction of a new beef farm barn and support facilities, and provide equipment at a total project cost not to exceed \$900,000. The sources of funds may include insurance reimbursement proceeds, donations, the Higher Education Fund (HEF) and other institutional funds. The administration further recommends presidential authorization to sign associated contracts and purchase orders.

BASKETBALL FACILITY PROJECT BUDGET

Explanation:

On February 6, 2019, the university sold a bond issue that included a project to construct a basketball practice facility. The basketball practice facility's portion of the issue was \$26,000,000. During facility design, enhancements were added that included more functional space for athletic training, nutrition and performance.

The design and subsequent construction enhancements require additional funds to deliver the project as needed. During fiscal year 2019, the university received a donation specifically for the basketball program.

SFA Policy 1.4 requires construction budget approval by the university regents. The administration proposes approval of the Basketball Facility Project budget that includes bond proceeds, investment earnings, and donations.

Recommendation:

The administration recommends approval of a \$28,500,000 Basketball Practice Facility project budget that includes bond proceeds, investment earnings and donations.

APPROVAL OF BUILDING AND GROUNDS POLICY REVISIONS:

Explanation:

The *Board Rules and Regulations* state that the Building and Grounds Committee will consider:

- use and occupancy of university property; and
- planning of, locating of, receiving bids for, awarding contracts for, construction of, and maintenance of buildings, utilities, and other physical facilities of the campus.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented:

Austin Building Conference Rooms 16.5

Homer Bruce Stadium and William R. Johnson Coliseum 16.13

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Austin Building Conference Rooms

Policy Number: 16.5

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

Date of last revision, if applicable: January 31, 2017

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Govern the use of Austin Building Rooms 305 and 307

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: Reviewed with no changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Scott Gordon, President
Damon Derrick, General Counsel

Austin Building Conference Rooms

Original Implementation: June 10, 1986

Last Revision: ~~January 31, 2017~~ January 28, 2020

The provisions of the policy on the Use of University Facilities (16.33) govern the use of all buildings, facilities, equipment, and grounds, hereafter referred to as facilities, under the control of Stephen F. Austin State University. That policy provides that the university may establish additional procedures for the reservation and use of specific facilities; therefore, the following provisions apply to Room 305 and Room 307 in the Austin Building.

These conference rooms will be primarily for the use of the Board of Regents and the president of the university in their conduct of the governance and administration of the university, as well as for visits of dignitaries and official university guests.

Beverages and food are prohibited in conference rooms 305 and 307, except as approved by the president or the chair of the Board of Regents.

Cross Reference: Use of University Facilities (16.33)

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Homer Bryce Stadium and William R. Johnson Coliseum

Policy Number: 16.13

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

Date of last revision, if applicable: 11/7/2016

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Governs facility use for Homer Bryce Stadium and William R. Johnson Coliseum

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: An audit was conducted and concluded that outside individuals were using Homer Bryce stadium and William R. Johnson for financial and personal gain. It was advised that more stringent policies and procedures needed to be adopted to control this issue.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ryan Ivey, Director of Athletics
Scott Gordon, President
Damon Derrick, General Counsel

Homer Bryce Stadium and William R. Johnson Coliseum

Original Implementation: 1972

Last Revision: ~~November 7, 2016~~ January 28, 2020

The provisions of the policy on the Use of University Facilities (16.33) govern the use of all buildings, facilities, equipment, and grounds, hereafter referred to as facilities, under the control of Stephen F. Austin State University. That policy provides that the university may establish additional procedures for the reservation and use of specific facilities; therefore, the following provisions apply to Homer Bryce Stadium and William R. Johnson Coliseum.

Use of Homer Bryce Stadium or William R. Johnson Coliseum by persons other than the university athletic department will be arranged through the coordinator of athletic operations and approved by the director of athletics. Such usage will be limited to events sponsored by university departments or recognized student organizations conducting activities within their established role and scope. Some events may be sponsored by the university, such as high school and University Interscholastic League events as well as other athletic events, which are sanctioned by an official governing organization. Persons or groups wishing to use either of these facilities should contact the coordinator of athletic operations (in person or by phone) concerning the availability of the facility. Questions regarding the use of these facilities for camp/conference participants should be directed to the camps and conferences coordinator, located in the *Baker Pattillo Student Center*. (See Camps and Conferences, policy 16.7.)

1. *Intercollegiate athletic teams have first priority of access to all intercollegiate competition surfaces.*
- ~~1.~~2. The coordinator of athletic operations will complete a facility use application.
- ~~2.~~3. The coordinator of athletic operations will assist university departments and student organizations with coordination of university police department and university physical plant services for upcoming events.
- ~~3.~~4. A contract will be completed before the date of the event.
5. The William R. Johnson Coliseum marquee will be used to advertise only official university events. Requests for messages on the marquee should be made to the coordinator of athletic operations.
6. *Homer Bryce Stadium and William R. Johnson Coliseum competition surfaces (i.e. football field, track surface and basketball court) shall be permitted only through approval through the facility use process. General public use of competition surfaces is strictly prohibited.*
- ~~4.~~7. *Grandstands located in Homer Bryce Stadium and William R. Johnson Coliseum shall be opened for general public use at their own risk, between 6am-10pm. Both facilities shall be closed for general public use between 10pm-6am. Those individuals caught using the facilities during unpermitted timeframes may be subject to disciplinary action, including prosecution by the extent allowed by law.*

Cross Reference: Use of University Facilities (16.33); Camps and Conferences (16.7)

Responsible for Implementation: President

Contact for Revision: ~~President~~ *Director of Intercollegiate Athletics*

Forms: None

Board Committee Assignment: Building and Grounds



Stephen F. Austin State University

Planned Maintenance Report

Finance & Administration

January 6, 2020

Completed Planned Maintenance & New Construction

Description	FY2015	FY2016	FY2017	FY2018	FY2019	Totals
Planned Project Maintenance	9,168,147	9,082,075	3,393,879	6,453,149	6,459,866	34,557,117
Planned Project Maintenance - TRB Funded	515,839	-	-	-	-	515,839
New Construction	268,740	4,507,787	11,444,951	30,687,458	7,675,851	54,584,787
Grand Total	9,952,726	13,589,862	14,838,830	37,140,607	14,135,717	89,657,742

Planned Project Maintenance: A systematic approach to repairing or replacing major building subsystems including, but not limited to roofs, HVAC, electrical and plumbing systems, which have predictable life-cycles, to maintain and extend the life of the facility. This category is sometime referred to as a renewal or capital repair. Planned maintenance is normally funded by an institution's capital budget and excludes ongoing and regular maintenance.

New Construction Projects Include:

- New Residence Hall
- New Dining Hall
- Griffith Fine Arts Expansion
- Fezell & Starr Street Parking Lots
- Basketball Performance Complex
- Ed & Gwen Cole STEM Building
- Native Plant Center Greenhouse
- Welcome Center & One Stop Shop
- Clark Blvd. Sign
- Beach Volleyball Courts



5-Year Planned Maintenance Summary

Planned Maintenance by Year and Type							
	FY2020	FY2021	FY2022	FY2023	FY2024	FY2025	Totals
E&G	1,055,000	5,605,000	2,781,000	2,702,000	63,132,000	105,000	75,380,000
Administrative	0	0	0	0	26,300,000	0	26,300,000
Architectural	830,000	1,557,000	1,066,000	132,000	1,440,000	75,000	5,100,000
HVAC	0	2,053,000	995,000	200,000	1,185,000	0	4,433,000
Other	225,000	1,695,000	125,000	2,125,000	5,477,000	30,000	9,677,000
Plumbing and Electrical	0	100,000	555,000	65,000	21,230,000	0	21,950,000
Safety	0	200,000	40,000	180,000	3,200,000	0	3,620,000
Technology	0	0	0	0	4,300,000	0	4,300,000
							0
Auxiliary	0	2,320,000	2,105,000	1,275,000	6,105,000	0	11,805,000
Architectural	0	310,000	0	1,020,000	2,160,000	0	3,490,000
HVAC	0	750,000	865,000	30,000	670,000	0	2,315,000
Legal and Mandatory	0	30,000	0	0	0	0	30,000
Other	0	160,000	160,000	0	2,000,000	0	2,320,000
Plumbing and Electrical	0	1,020,000	1,000,000	225,000	1,275,000	0	3,520,000
Safety	0	50,000	0	0	0	0	50,000
Technology	0	0	80,000	0	0	0	80,000
Infrastructure	3,500,000	1,190,000	390,000	1,450,000	21,665,000	51,500,000	79,695,000
Administrative	0	0	0	0	500,000	0	500,000
Architectural	0	0	0	0	1,500,000	50,000,000	51,500,000
HVAC	3,500,000	50,000	0	1,000,000	0	0	4,550,000
Other	0	840,000	0	450,000	16,190,000	1,500,000	18,980,000
Plumbing and Electrical	0	0	390,000	0	3,475,000	0	3,865,000
Equipment - Transportation	0	300,000	0	0	0	0	300,000
Totals	4,555,000	9,115,000	5,276,000	5,427,000	90,902,000	51,605,000	166,880,000



Planned Maintenance by Building & Type

Page 1 of 7	FY2020	FY2021	FY2022	FY2023	FY2024	FY2025	Totals by Maint. Type	Totals by Building
E&G	1,055,000	4,780,000	2,781,000	2,702,000	63,132,000	105,000	74,555,000	74,555,000
Art			220,000		150,000			370,000
HVAC			90,000				90,000	
Other					150,000		150,000	
Plumbing and Electrical			130,000				130,000	
Art Studio			155,000					155,000
HVAC			75,000				75,000	
Plumbing and Electrical			80,000				80,000	
Austin Bldg		30,000		230,000				260,000
HVAC				150,000			150,000	
Other		30,000					30,000	
Safety				80,000			80,000	
Beef Livestock Barn	800,000							800,000
Architectural	800,000						800,000	
Boynton Building			180,000	100,000				280,000
HVAC			180,000				180,000	
Safety				100,000			100,000	
COE Annex		150,000			75,000			225,000
Architectural					75,000		75,000	
Other		150,000					150,000	
ECRC		15,000						15,000
Other		15,000					15,000	
Ed And Gwen Cole Art Center		175,000	175,000					350,000
Architectural			175,000				175,000	
HVAC		175,000					175,000	



Planned Maintenance by Building & Type

Page 2 of 7	FY2020	FY2021	FY2022	FY2023	FY2024	FY2025	Totals by Maint. Type	Totals by Building
E&G (continued)	1,055,000	4,780,000	2,781,000	2,702,000	63,132,000	105,000	74,555,000	74,555,000
Ferguson		170,000	125,000					295,000
Architectural			125,000				125,000	
HVAC		75,000					75,000	
Other		95,000					95,000	
Forestry Building		480,000		125,000	150,000	30,000		785,000
Architectural				125,000			125,000	
HVAC		450,000					450,000	
Other		30,000				30,000	60,000	
Plumbing and Electrical					150,000		150,000	
HPE Complex		2,100,000	150,000					2,250,000
Architectural		900,000					900,000	
HVAC		1,200,000					1,200,000	
Plumbing and Electrical			150,000				150,000	
Human Sciences - North			135,000					135,000
Architectural			95,000				95,000	
Safety			40,000				40,000	
Infrastructure		250,000			110,000			360,000
Architectural					110,000		110,000	
Other		250,000					250,000	
Intramural Restroom		10,000						10,000
Architectural		10,000					10,000	
Kennedy Auditorium					145,000			145,000
Other					65,000		65,000	
Plumbing and Electrical					80,000		80,000	
Large Dome	30,000							30,000
Architectural	30,000						30,000	



Planned Maintenance by Building & Type

Page 3 of 7	FY2020	FY2021	FY2022	FY2023	FY2024	FY2025	Totals by Maint. Type	Totals by Building
E&G (continued)	1,055,000	4,780,000	2,781,000	2,702,000	63,132,000	105,000	74,555,000	74,555,000
Liberal Arts North		190,000		530,000	45,000			765,000
Architectural					45,000		45,000	
HVAC		95,000					95,000	
Other		95,000		525,000			620,000	
Plumbing and Electrical				5,000			5,000	
Math Building			186,000					186,000
Architectural			126,000				126,000	
Other			60,000				60,000	
McGee Business			350,000	60,000		75,000		485,000
Architectural			250,000			75,000	325,000	
Plumbing and Electrical			100,000	60,000			160,000	
McKibben Education	225,000	350,000	250,000					825,000
Architectural			250,000				250,000	
Other	225,000	50,000					275,000	
Plumbing and Electrical		100,000					100,000	
Safety		200,000					200,000	
Miller Science					62,200,000			62,200,000
Architectural					1,150,000		1,150,000	
HVAC					1,000,000		1,000,000	
Other					5,250,000		5,250,000	
Plumbing and Electrical					21,000,000		21,000,000	
Safety					3,200,000		3,200,000	
Administrative					26,300,000		26,300,000	
Technology					4,300,000		4,300,000	



Planned Maintenance by Building & Type

Page 4 of 7	FY2020	FY2021	FY2022	FY2023	FY2024	FY2025	Totals by Maint. Type	Totals by Building
E&G (continued)	1,055,000	4,780,000	2,781,000	2,702,000	63,132,000	105,000	74,555,000	74,555,000
Music		95,000	485,000					580,000
HVAC			450,000				450,000	
Other		95,000	35,000				130,000	
Poultry Feed Mill		58,000						58,000
HVAC		58,000					58,000	
Purchasing/Central Stores				7,000				7,000
Architectural				7,000			7,000	
Rusk Bldg			30,000		197,000			227,000
HVAC					185,000		185,000	
Other			30,000		12,000		42,000	
SFA Theater			45,000					45,000
Architectural			45,000				45,000	
Shelton Gym			295,000					295,000
HVAC			200,000				200,000	
Plumbing and Electrical			95,000				95,000	
Social Work		60,000			60,000			120,000
Architectural					60,000		60,000	
Other		60,000					60,000	
SRC		96,000						96,000
Architectural		96,000					96,000	
Steen Library		450,000		1,600,000				2,050,000
Architectural		450,000					450,000	
Other				1,600,000			1,600,000	



Planned Maintenance by Building & Type

Page 5 of 7	FY2020	FY2021	FY2022	FY2023	FY2024	FY2025	Totals by Maint. Type	Totals by Building
E&G (continued)	1,055,000	4,780,000	2,781,000	2,702,000	63,132,000	105,000	74,555,000	74,555,000
Stone Fort		35,000		50,000				85,000
Architectural		35,000					35,000	
HVAC				50,000			50,000	
UPD		66,000						66,000
Architectural		66,000					66,000	
Athletics		155,000	95,000	70,000				320,000
Stadium Fieldhouse		125,000		70,000				195,000
Architectural		125,000					125,000	
Plumbing and Electrical				70,000			70,000	
Stadium Press Box		30,000	95,000					125,000
HVAC			95,000				95,000	
Legal and Mandatory		30,000					30,000	
Campus Recreation		30,000						30,000
Student Recreation Center		30,000						30,000
Other		30,000					30,000	
Health Services		50,000						50,000
Health Services		50,000						50,000
Safety		50,000					50,000	
Parking		85,000						85,000
Infrastructure		75,000						75,000
Other		75,000					75,000	
Lumberjack Village Garage		10,000						10,000
Architectural		10,000					10,000	



Planned Maintenance by Building & Type

Page 6 of 7	FY2020	FY2021	FY2022	FY2023	FY2024	FY2025	Totals by Maint. Type	Totals by Building
Residence Life		1,445,000	1,160,000	1,205,000	6,105,000			9,915,000
Griffith Hall		100,000		275,000	285,000			660,000
Architectural				275,000			275,000	
HVAC		100,000					100,000	
Plumbing and Electrical					285,000		285,000	
Hall 10			160,000		110,000			270,000
Other			160,000				160,000	
Plumbing and Electrical					110,000		110,000	
Hall 14		150,000	1,000,000	70,000				1,220,000
Plumbing and Electrical		150,000	1,000,000	70,000			1,220,000	
Hall 20		75,000		40,000	175,000			290,000
Architectural		75,000					75,000	
Plumbing and Electrical				40,000	175,000		215,000	
Kerr Hall		750,000		275,000	275,000			1,300,000
Architectural				275,000			275,000	
HVAC		100,000					100,000	
Plumbing and Electrical		650,000			275,000		925,000	
Mays Hall					1,130,000			1,130,000
Architectural					160,000		160,000	
HVAC					670,000		670,000	
Plumbing and Electrical					300,000		300,000	
Mechanical For Griffith/Kerr		250,000						250,000
HVAC		250,000					250,000	
Mechanical For Steen		120,000						120,000
Plumbing and Electrical		120,000					120,000	



Planned Maintenance by Building & Type

Page 7 of 7	FY2020	FY2021	FY2022	FY2023	FY2024	FY2025	Totals by Maint. Type	Totals by Building
Residence Life (continued)		1,445,000	1,160,000	1,205,000	6,105,000			9,915,000
North Hall					2,000,000			2,000,000
Architectural					2,000,000		2,000,000	
South Hall					2,000,000			2,000,000
Other					2,000,000		2,000,000	
Steen Hall				400,000				400,000
Architectural				400,000			400,000	
Wisely Hall				145,000	130,000			275,000
Architectural				70,000			70,000	
HVAC				30,000			30,000	
Plumbing and Electrical				45,000	130,000		175,000	
Student Services		555,000	850,000					1,405,000
BP Student Center		255,000	850,000					1,105,000
Architectural		100,000					100,000	
HVAC			770,000				770,000	
Other		55,000					55,000	
Plumbing and Electrical		100,000					100,000	
Technology			80,000				80,000	
Mechanical For Student Center		300,000						300,000
HVAC		300,000					300,000	
Infrastructure	3,500,000	2,015,000	390,000	1,450,000	21,665,000	51,500,000		80,520,000
Infrastructure	3,500,000	2,015,000	390,000	1,450,000	21,665,000	51,500,000		80,520,000
Architectural					1,500,000	50,000,000	51,500,000	
HVAC	3,500,000	50,000		1,000,000			4,550,000	
Other		1,665,000		450,000	16,190,000	1,500,000	19,805,000	
Plumbing and Electrical			390,000		3,475,000		3,865,000	
PPD Equipment - Transportation		300,000					300,000	
Administrative					500,000		500,000	
Grand Total	4,555,000	9,115,000	5,276,000	5,427,000	90,902,000	51,605,000	166,880,000	166,880,000



FY2019 Planned Capital Projects

Building/Area	Deficiency Description	Budget	Category	Maint. Type
Infrastructure	Power Plant I - Utility Infrastructure Upgrade	\$ 3,500,000	Facility Adaptation	HVAC
1401 Mound St. - KBH House	Culinary Café Renovation	\$ 1,500,000	Facility Adaptation	Architectural
UPD	Radio System	\$ 350,000	Planned Maintenance	Equipment
Library	Renovation Phase I	\$ 250,000	Planned Maintenance	Other
Hall 14	Furniture Replacement	\$ 220,000	Planned Maintenance	Other
Various Buildings	Fire Safety	\$ 200,000	Planned Maintenance	Safety
Various Buildings	Building Access Card System	\$ 184,000	Planned Maintenance	Safety
Various Buildings	Wireless Network Upgrades	\$ 151,000	Planned Maintenance	Other
Health Services	HVAC and Duct Replacement	\$ 107,600	Planned Maintenance	HVAC
Total		\$ 6,462,600		



**Stephen F. Austin State University
Board of Regents – Building and Grounds Committee
Construction Update
January 26, 2020 – January 28, 2020**



Table of Contents

Description	Page
Construction Project Summary	3
Project 1 - STEM Facility	4
Project 2 - Classroom and Building Safety and Security Upgrades	5
Project 3 - Ferguson, Dugas, and Math Building Exterior Renovations	6
Project 4 - Basketball Strength & Conditioning Room	7
Project 5 - Campus Space Realignment and Renovations	8
Project 6 - Beach Volleyball Courts	9
Project 7 - McKibben Education Building 1 st Floor Lobby Renovations	10
Project 8 - Boynton Building Restroom Remodel	11
Project 9 - Fine Arts Expansion	12
Project 10 - Basketball Practice Facility	13
Project 11 - Student Residential and Dining Facilities	14
Project 12 - Welcome Center and Student Support Service/One Stop Shop	15
Project 13 - Parking Lot Construction	16
Project 14 - Ferguson Electrical Panel Replacement	17
Project 15 - Health Services HVAC and Duct Replacement	18
Project 16 - Power Plant 1 Upgrade	19
Project 17 - Culinary Café Relocation and Renovation	20
Project 18 - Steen Library Renovations Phase 1	21
Project 19 - Student Center Dining Hall Renovation	22

**Stephen F. Austin State University
Construction Project Summary
Presented to the Building and Grounds Committee of the Board of Regents
January 26, 2020 - January 28, 2020**

Construction Projects In Progress - as of January 2, 2020 (Projects greater than or equal to \$500,000)

No.	Project Title	Start Date	Fund Source	Project Budget	Expenditures To Date	Encumbered	Total To Date	Budget Variance	Estimated % Complete	Completion Date
1	STEM Facility	Aug-15	Tuition Rev. Bond	\$ 47,250,000	\$ 45,969,452	\$ 730,777	\$ 46,700,229	\$ 549,771	98%	TBD
2	Classroom & Building Safety & Security Upgrades	May-17	HEF	\$ 870,000	\$ 792,648	\$ 56,318	\$ 848,966	\$ 21,034	85%	TBD
3	Ferguson, Dugas, Math Exterior Renovations	Jun-18	HEF	\$ 1,210,000	\$ 710,163	\$ -	\$ 710,163	\$ 499,837	100%	Oct-19
4	Basketball Strength & Conditioning Room	May-18	Designated Fund Balance	\$ 750,000	\$ 27,369	\$ -	\$ 27,369	\$ 722,631	5%	Project Paused
5	Campus Space Realignment and Renovation	Sep-18	HEF	\$ 3,000,000	\$ 4,260	\$ -	\$ 4,260	\$ 2,995,740	5%	TBD
6	Beach Volleyball Courts	Jul-18	Designated Fund Balance	\$ 750,000	\$ 698,641	\$ 53,228	\$ 751,869	\$ (1,869)	99%	Oct-19
7	McKibben Education Building 1st Floor Lobby Renovations	Sep-18	HEF	\$ 150,000	\$ 14,092	\$ -	\$ 14,092	\$ 135,908	30%	TBD
8	Boynton Building Restroom Remodel	Sep-18	HEF	\$ 275,000	\$ 234,335	\$ 22,741	\$ 257,076	\$ 17,924	99%	Nov-19
9	Fine Arts Expansion	Dec-18	Revenue Financing Bonds	\$ 50,000,000	\$ 600,677	\$ 2,294,257	\$ 2,894,934	\$ 47,105,066	10%	May-23
10	Basketball Practice Facility	Dec-18	Revenue Financing Bonds	\$ 26,000,000	\$ 3,161,796	\$ 23,897,325	\$ 27,059,121	\$ (1,059,121)	18%	May-21
11	Student Resident Hall	Dec-18	Revenue Financing Bonds	\$ 24,500,000	\$ 349,580	\$ 1,037,808	\$ 1,387,388	\$ 23,112,612	10%	Aug-21
	Dining Facility		\$ 15,000,000	\$ 173,134	\$ 1,062,371	\$ 1,235,505	\$ 13,764,495	5%	Jan-23	
12	Welcome Center and Student Support Services / One Stop Shop	Dec-18	Revenue Financing Bonds	\$ 13,000,000	\$ 123,539	\$ 915,003	\$ 1,038,542	\$ 11,961,458	5%	Jun-22
13	Parking Lot Construction	Jun-19	Auxiliary Fund Balance	\$ 786,010	\$ 163,705	\$ 527,292	\$ 690,997	\$ 95,013	70%	Jan-20
14	Ferguson Electrical Panel Replacement	Jul-19	HEF	\$ 120,000	\$ 267	\$ 31,133	\$ 31,400	\$ 88,600	100%	Dec-19
15	Health Services HVAC and Duct Replacement	Dec-19	Auxiliary Fund Balance	\$ 107,600	\$ -	\$ 101,490	\$ 101,490	\$ 6,110	75%	Feb-20
16	Power Plant 1 Upgrade	Sep-19	HEF	\$ 3,500,000	\$ 2,451	\$ 160,000	\$ 162,451	\$ 3,337,549	10%	TBD
17	Culinary Café Relocation and Renovation	Jun-20	HEF	\$ 1,500,000	\$ -	\$ -	\$ -	\$ 1,500,000	30%	Aug-21
18	Steen Library Renovation Phase 1	Nov-19	HEF	\$ 250,000	\$ -	\$ -	\$ -	\$ 250,000	10%	Aug-20
19	Student Center Dining Hall Renovation	Nov-19	Aramark	\$ 4,000,000	\$ -	\$ -	\$ -	\$ 4,000,000	2%	Aug-20
Totals				\$ 193,018,610	\$ 53,026,108	\$ 30,889,743	\$ 83,915,851	\$ 109,102,759		

January 26, 2020 – January 28, 2020 Construction Update Project Profiles

Report to the Board of Regents - Meeting of the Building and Grounds Committee

Project # 1

STEM Facility

Project Manager – Physical Plant
 Architect – Kirksey Architecture
 Construction Manager – J.E. Kingham Construction Co., Inc.

Scope of Work:

The university was authorized by the 84th Texas Legislature to construct and equip a Science, Technology, Engineering, and Mathematics (STEM) Building to be funded through the issuance of tuition revenue bonds. The building houses the new engineering physics program, department of computer science, and a STEM Center liaison. It meets the needs of other STEM disciplines by adding space for faculty members and for instructional facilities, including laboratories.

Funding Source: Tuition Revenue Bonds

Key Milestones:

Start Date: August 2015
 Project Budget of \$46,400,000 approved by the Regents on July 28, 2015
 Increased by \$850,000 to \$47,250,000 in October 2018

Construction Manager Guaranteed Maximum Price: \$40,952,315

Project Status:

- SFA logo roundabout monument sign is complete
- Repair and restoration of pedestrian way at Raguet and Sesquicentennial Plaza is under construction
- Contractor is KDW and Engineer is Two Fifteen Consulting

Project Budget	Expenditure	Encumbered	Total to Date	Variance
47,250,000	45,969,452	730,777	46,700,229	549,771

Project # 2

Classroom and Building Safety and Security Upgrades

Project Manager – Public Safety/ITS
 Contractor – Various

Scope of Work:

The university is continuing to upgrade classrooms with additional technology and instructional delivery support. Therefore, it is necessary to upgrade life safety components in both campus classrooms and buildings. Selected exterior and interior doors will have security devices installed. The project was expanded to include selected non-academic buildings in fiscal year 2018.

Funding Source: HEF

Key Milestones:

Start Date: May 2017

Project Budget of \$600,000 approved by the Regents on July 26, 2016

Additional funds of \$270,000 were approved by the Regents on July 25, 2017 for Fiscal Year 2018.

Project Status:

- Hardware installation on exterior doors in process
- Classrooms have been completed
- Rekeying in progress

Project Budget	Expenditure	Encumbered	Total to Date	Variance
870,000	792,648	56,318	848,966	21,034

Project # 3

Ferguson, Dugas, and Math Buildings Exterior Renovations

Project Manager – Physical Plant

Contractor – Paco (Ferguson and Dugas); Mid-Continental Restoration Co (Math)

Scope of Work:

This project includes the Ferguson, Vera Dugas, and Math buildings and consists of cleaning, repairing and water proofing the exterior brick veneer, parapet stone work, expansion joints, windows, and adjoining concrete.

Funding Source: HEF

Key Milestones:

Start Date: June 2018

Completion Date: October 2019

Project Budget of \$1,210,000 approved by the Regents on July 23, 2017

Project Status:

- Project is complete.

Project Budget	Expenditure	Encumbered	Total to Date	Variance
1,210,000	710,163	0	710,163	499,837

Project # 4

Basketball Strength & Conditioning Room

Project Manager – Physical Plant
 Architect – Goodwin-Lasiter-Strong
 Contractor – TBD

Scope of Work:

The university men’s and women’s basketball programs need a strength and conditioning room that supports physical training and conditioning. In addition to training preparation, an enhanced physical training program will support rehabilitation for both programs. With limited space within Johnson Coliseum, the only viable space option is the old rifle range on the southwest corner of the lower level, which is currently being used to store items for graduation ceremonies and other events.

Funding Source: Designated Fund Balance

Key Milestones:

Start Date: TBD
 Expected Completion: TBD
 Project Budget of \$750,000 approved by the Regents on April 23, 2018

Project Status:

- Paused

Project Budget	Expenditure	Encumbered	Total to Date	Variance
750,000	27,369	0	27,369	722,631

Project # 5

Campus Space Realignment and Renovation

Project Manager – Physical Plant
 Architect – Various, as needed
 Contractor – TBD

Scope of Work:

At the April 12, 2016 meeting the Board of Regents approved Facility Programming and Consulting (FP&C) to assess campus building space and utilization, and develop a comprehensive space utilization plan. FP&C has concluded the space assessment recommendations on education and general (E&G) buildings. Using the FP&C space assessment as a guide, the university wishes to implement a space realignment, utilization, and renovation process. The process will involve departmental and functional moves and any necessary E&G space reconfiguration and/or renovation. The space implementation plan will begin in fiscal year 2018 and will be prioritized based on institutional need and available resources. Specific initiatives that require Board of Regents’ approval will be submitted as needs are prioritized and costs are fully developed.

Funding Source: HEF

Key Milestones:

Start Date: September 2018
 Expected Completion: TBD

Project Budget of \$4,500,000 approved by the Regents on July 23, 2018
 Allocation for Culinary Café Relocation \$1,500,000 approved by the Regents on July 22, 2019 reducing the project budget to \$3,000,000

Project Status:

- Prioritized needs with stakeholders
- Pending institutional decision making

Project Budget	Expenditure	Encumbered	Total to Date	Variance
3,000,000	4,260	0	4,260	2,995,740

Project # 6

Beach Volleyball Courts

Project Manager – Physical Plant
 Engineer – Two Fifteen Consulting
 Contractor – Cox Contractors, Inc.

Scope of Work:

The university wishes to increase the number of sports available to female students with the addition of a beach volleyball program. This sport is very popular with other Division I athletic programs. To offer the sport and compete with other Division I programs, a minimum of three courts must be created. To facilitate practices and scheduling, construction of a fourth court is also planned.

Funding Source: Designated Fund Balance

Key Milestones:

Start Date: July 2018
 Expected Completion: Substantially Complete
 Project Budget of \$750,000 approved by the Regents on April 23, 2018

Project Status:

- Project was substantially complete on September 10th, 2019
- Contractor completed punch list
- SFA furnished items currently near completed

Project Budget	Expenditure	Encumbered	Total to Date	Variance
750,000	698,641	53,228	751,869	-1,869

Project # 7

Mckibben Education Building 1st Floor Lobby Renovations

Project Manager – Physical Plant
 Architect – Goodwin-Lasiter-Strong
 Contractor – TBD

Scope of Work:

The McKibben Education building was built in 1974. Both entry lobbies are old and need to be refurbished. Note that the SFA Admissions tour with prospective students and parents goes directly through the building; entering the east lobby and exiting the west.

Funding Source: HEF

Key Milestones:

Start Date: September 2018
 Expected Completion: TBD
 Project Budget of \$150,000 approved by the Regents on July 23, 2018

Project Status:

- Working with Vaughn Construction for this project
- Reviewing cost saving options

Project Budget	Expenditure	Encumbered	Total to Date	Variance
150,000	14,092	0	14,092	135,908

Project # 8

Boynton Building Restroom Remodel

Project Manager – Physical Plant
 Architect – Goodwin-Lasiter-Strong
 Contractor – Casey Sloan Construction LLC

Scope of Work:

The Boynton Building was originally built in 1957 and an addition was constructed in 1975. The restrooms are all old and dated and have experienced plumbing failures which have caused consequential damage. All restrooms are in need of refurbishment.

Funding Source: HEF

Key Milestones:

Start Date: June 2019
 Expected Completion: Substantially complete
 Project Budget of \$275,000 approved by the Regents on July 23, 2018

Project Status:

- Punch list complete
- Completing closeout process

Project Budget	Expenditure	Encumbered	Total to Date	Variance
275,000	234,335	22,741	257,076	17,924

Project # 9

Fine Arts Expansion

Project Manager – Physical Plant
 Architect – Kirksey Architecture
 Contractor – KDW, Ltd.

Scope of Work:

Renovate and construct an addition to the Griffith Fine Arts building consistent with the SFA master plan, FP&C space assessment study, and Kirksey Architecture programming assessment.

Funding Source: Revenue Financing Bond Proceeds

Key Milestones:

Start Date: December 2018
 Expected Completion: May 2023
 Project Budget of \$37,000,000
 Increased total project budget cost to not exceed \$50,000,000 in October 2019

Project Status:

- KDW completed a 100% Schematic Design estimate on 9/19/19
- Design Development phase is 30% complete

Project Budget	Expenditure	Encumbered	Total to Date	Variance
50,000,000	600,677	2,294,257	2,894,934	47,105,066

Project # 10

Basketball Practice Facility

Project Manager – Physical Plant
 Architect – Populous
 Contractor – KDW, Ltd.

Scope of Work:

Construct an addition to the William R Johnson Coliseum that will include a basketball practice facility and house men’s and women’s basketball operations and associated support facilities.

Funding Source: Revenue Financing Bond Proceeds

Key Milestones:

Start Date: December 2018

Expected Completion: March 2021

Project Budget of \$26,000,000

Phase I – Tunnel \$1,369,388 GMP presented on May 18, 2019

Phase II – Main Building \$23,818,986 GMP

Total Project GMP - \$25,188,374

Project Status:

- Tunnel site work is 100% complete
- Building site work is 100% complete
- Installation of drill piers is 75% complete
- Total rain delay days stands at 14 days, project maintaining completion date of March 2021

Project Budget	Expenditure	Encumbered	Total to Date	Variance
26,000,000	3,161,796	23,897,325	27,059,121	-1,059,121

Project # 11

Student Residential and Dining Facilities

Project Manager – Physical Plant
 Architect – Kirksey Architecture
 Contractor – KDW, Ltd.

Scope of Work:

The university’s campus master plan includes the development of a new first-year student residence hall and the renovation of existing residential facilities to enhance student life and increase the attractiveness of these facilities for prospective students. In addition, the replacement or renovation of the current East College Cafeteria and renovations to other existing dining facilities will more efficiently provide the flexibility needed to meet the demand for contemporary food service options.

Funding Source: Revenue Financing Bond Proceeds

Key Milestones:

Start Date: December 2018
 Expected Completion: January 2023
 Project Budget of \$39,500,000 (combined)

Project Status:

- Kirksey has issued construction drawings for SFA review of the residence hall – Lumberjack Crossing
- Kirksey has issued schematic design drawing phase for the dining hall
- KDW has provided project design estimate – Kirksey is in the process of reviewing the estimate and making recommendations for budget adjustments

Residence Hall

Project Budget	Expenditure	Encumbered	Total to Date	Variance
24,500,000	349,580	1,037,808	1,387,388	23,112,612

Dining Hall

Project Budget	Expenditure	Encumbered	Total to Date	Variance
15,000,000	173,134	1,062,371	1,235,505	13,764,495

Project # 12

Welcome Center and Student Support Service/One Stop Shop

Project Manager – Physical Plant
 Architect – Kirksey Architecture
 Contractor – KDW, Ltd.

Scope of Work:

Re-purpose Kennedy Auditorium to create a welcome center to serve prospective students, families and visitors. In that capacity, the welcome center would house university employees who could provide information about admission, advising, billing and payments, campus life and housing, and financial aid. As a complement to the welcome center for prospective students and visitors, the student support services one stop shop initiative would enhance student support services for current students with the consolidation of admissions, advising, business office, financial aid, and residence hall operations. Using the FP&C study as a guide, the administration will renovate and repurpose Kennedy Auditorium and the Rusk building to support current and prospective students.

Funding Source: Revenue Financing Bond Proceeds

Key Milestones:

Start Date: December 2018
 Expected Completion: N/A
 Project Budget of \$13,000,000

Project Status:

- Funding transferred to Griffith Fine Arts Expansion per October 2019 Board Meeting
- Currently reviewing other options

Project Budget	Expenditure	Encumbered	Total to Date	Variance
13,000,000	123,539	915,003	1,038,542	11,961,458

Project # 14

Ferguson Electrical Panel Replacement

Project Manager – Physical Plant
 Architect/Engineer – N/A
 Contractor – White Electric

Scope of Work:

Works includes replacing all electrical lighting and distribution panels in the building in order to provide power for future expansion.

Funding Source: HEF

Key Milestones:

Start Date: July 2019
 Completion Date: December 2019
 Project Budget of \$120,000 approved by the regents on July 23, 2018

Project Status:

- Project is complete.

Project Budget	Expenditure	Encumbered	Total to Date	Variance
120,000	267	31,133	31,400	88,600

Project # 15

Health Services HVAC and Duct Replacement

Project Manager – Physical Plant
 Architect/Engineer – N/A
 Contractor – Arklatex Mechanical

Scope of Work:

Replace existing rooftop unit and duct work for lab, with new chilled water rooftop unit with outside air makeup and all new ductwork. Chilled water lines will be added to existing system to feed new unit.

Funding Source: Auxiliary Fund Balance

Key Milestones:

Start Date: December 2019
 Expected Completion: February 2020
 Project Budget of \$107,600 approved by the regents on July 22, 2019

Project Status:

- Started duct work on December 21, 2019.
- Roof top unit will not be available until late January
- After the new unit arrives the old unit will be replaced and the new tied into the chilled water and electricity

Project Budget	Expenditure	Encumbered	Total to Date	Variance
107,600	0	101,490	101,490	6,110

Project # 16

Power Plant 1 Upgrade

Project Manager – Physical Plant
 Engineer – Estes McClure and Associates
 Contractor – Arklatex Mechanical

Scope of Work:

Work includes upgrades to the utility distribution system with additional lines and HVAC equipment Power Plant 1 to support the fine arts project and provide additional utility support capacity.

Funding Source: HEF

Key Milestones:

Start Date: September 2019
 Expected Completion: TBD
 Project Budget of \$3,500,000 approved by the regents on July 22, 2019

Project Status:

- Engineer is still working on design

Project Budget	Expenditure	Encumbered	Total to Date	Variance
3,500,000	2,451	160,000	162,451	3,337,549

Project # 17

Culinary Café Relocation and Renovation

Project Manager – Physical Plant
 Architect– Goodwin-Lasiter-Strong
 Contractor – TBD

Scope of Work:

Work includes renovation of the residence located at 1401 Mound Street and relocation the Culinary Café from its current location in the College of Education Annex.

Funding Source: HEF

Key Milestones:

Start Date: Summer 2020
 Expected Completion: Summer 2021
 Project Budget of \$1,500,000 approved by the regents on July 22, 2010

Project Status:

- Working with Vaughn Construction on this project
- Reviewing cost saving options

Project Budget	Expenditure	Encumbered	Total to Date	Variance
1,500,000	0	0	0	1,500,000

Project # 18

Steen Library Renovation Phase 1

Project Manager – Physical Plant
 Architect– Goodwin-Lasiter-Strong
 Contractor – TBD

Scope of Work:

This is Phase one of the Library Renovation.

Funding Source: HEF

Key Milestones:

Start Date: November 2019

Expected Completion: August 2020

Project Budget of \$250,000 approved by the regents on July 22, 2019

Project Status:

- Collecting project cost quotes

Project Budget	Expenditure	Encumbered	Total to Date	Variance
250,000	0	0	0	250,000

Project # 19

Student Center Dining Hall Renovation

Project Manager – Physical Plant
 Architect–Tipton Architects
 Contractor – TBD

Scope of Work:

Aramark has agreed to increase their financial commitment by \$4,000,000 to fund the renovation of the Student Center Dining Hall. An amendment to our current agreement is necessary to account for this addition and the long-term disposition of the investment.

Funding Source: Aramark

Key Milestones:

Start Date: November 2019
 Expected Completion: August 2020
 Project Budget of \$4,000,000 approved by the regents on October 27, 2019

Project Status:

- Stakeholder group meetings ongoing
- Scope of work being established
- Architect is in the process of design development project

Project Budget	Expenditure	Encumbered	Total to Date	Variance
4,000,000	0	0	0	4,000,000

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

Explanation:

The *Board Rules and Regulations* state that the chief audit executive shall assist the board in carrying out its oversight responsibilities as they relate to the university's a) financial and other reporting practices, b) internal control, and c) compliance with laws, regulations and ethics. The chief audit executive reports to the Board of Regents on the status of the annual audit plan, internal and external reports, risk assessment and audit/compliance issues.

The audit services report as presented includes the following:

- Military Science Department Audit
- Business Communication and Legal Studies Departmental Audit
- FERPA Audit
- Medical Billing Audit
- NCAA 08/31/19 Financial Statement Agreed Upon Procedures Report
- Bursar Cash Count
- Follow-Up Audit of External Information Technology Audits
- Internal Projects
- Update on Audit Plan

Recommendation:

Acknowledge receipt of the audit services report pending consideration by the Finance and Audit Committee.

APPROVAL OF THE SFA CHARTER SCHOOL 2018-19 AUDITED FINANCIAL STATEMENTS

Explanation:

The Texas Education Agency (TEA) requires an audit for the SFA Charter School that is separate from the university. The SFA Charter School financial statements have been audited for the fiscal year that ended August 31, 2019, and will be submitted to the Texas Education Agency as required.

Recommendation:

The administration recommends approval of the August 31, 2019 SFA Charter School audited financial statements.

**STEPHEN F. AUSTIN STATE UNIVERSITY
CHARTER SCHOOL**

ANNUAL FINANCIAL REPORT

FOR THE YEAR ENDED AUGUST 31, 2019

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
Annual Financial Report for
the Year Ended August 31, 2019**

Table of Contents

Exhibit	Page
CERTIFICATE OF BOARD	1
 FINANCIAL SECTION	
Independent Auditor’s Report	2-4
Management’s Discussion and Analysis	5-10
Basic Financial Statements	
Government-wide Financial Statements	
A-1 Statement of Net Position	11
B-1 Statement of Activities	12-13
Governmental Fund Financial Statements	
C-1 Balance Sheet	14
C-2 Reconciliation for C-1	15
C-3 Statement of Revenues, Expenditures, and Changes in Fund Balance	16
C-4 Reconciliation for C-3	17
Fiduciary Fund Financial Statements	
E-1 Statement of Fiduciary Net Position	18
Notes to the Financial Statements	19-37
 Required Supplementary Information	
G-1 Budgetary Comparison Schedule - General Fund	38
G-2 Schedule of the School’s Proportionate Share of the Net Pension Liability - Teachers Retirement System	39
G-3 Schedule of School’s Pension Contributions - Teachers Retirement System	40
G-4 Schedule of Changes in the Net OPEB Liability - Employee Retirement System of Texas	41
G-5 Schedule of School’s OPEB Contributions - Employee Retirement System of Texas	42
Notes to Required Supplementary Information	43-45
 Combining Schedules	
H-1 Combining Balance Sheet - Nonmajor Governmental Funds	46
H-2 Combining Statement of Revenues, Expenditures, and Changes in Fund Balances - Nonmajor Governmental Funds	47

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
Annual Financial Report for
the Year Ended August 31, 2019

Exhibit	Page
FEDERAL AWARDS SECTION	
Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with <u>Government Auditing Standards</u>	48-49
Schedule of Findings	50
Schedule of Status of Prior Findings	51
Corrective Action Plan	52

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
CERTIFICATE OF BOARD**

Stephen F. Austin State University Charter School	Nacogdoches	174-801
Name of District	County	District Number

We, the undersigned, certify that the attached annual financial reports of the above named school were reviewed and (check one) _____ approved _____ disapproved for the year ended August 31, 2019, at a meeting of the Board of Regents of Stephen F. Austin State University on the ___ day of January, 2020.

Signature of Secretary

Signature of Chairman

If the Board disapproved of the auditor's report, the reason(s) for disapproving it is(are): (attach list as necessary)

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FINANCIAL SECTION



Certified Public Accountants

G o f f & H e r r i n g t o n , P . C .

P.O. Box 153320 • Lufkin, TX. 75915-3320 • (936) 634-2345 • Fax:(936) 622-6823

A.J. Goff, CPA
Ronnie Herrington, CPA
Daniel Raney, CPA

Independent Auditor's Report

Stephen F. Austin State University Charter School
Nacogdoches, Texas

Members of the Board of Regents:

Report on the Financial Statements

We have audited the accompanying financial statements of the governmental activities, each major fund, and the aggregate remaining fund information of Stephen F. Austin State University Charter School (School) as of and for the year ended August 31, 2019, which collectively comprise the School's basic financial statements as listed in the table of contents. These financial statements are the responsibility of the School's management. Our responsibility is to express opinions on these financial statements based on our audit.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express opinions on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion.

Independent Auditor's Report

Members of the Board of Regents

January 1, 2020

Page 2

An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

Opinions

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, each major fund, and the aggregate remaining fund information of the Stephen F. Austin State University Charter School as of August 31, 2019, and the respective changes in financial position, and, where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matters

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis on pages 5 through 10, budgetary comparison information on page 38, the Teacher's Retirement System pension schedules on pages 39-40, the Employees Retirement System of Texas OPEB schedules on pages 41-42, and the related notes on pages 43-45, be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Information

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the School's basic financial statements taken as a whole. The combining schedules and required TEA schedules, are presented for purposes of additional analysis and are not a required part of the basic financial statements.

Independent Auditor's Report

Members of the Board of Regents

January 1, 2020

Page 3

The combining schedules and required TEA schedules are the responsibility of management and were derived from and relate directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Other Reporting Required by Government Auditing Standards

In accordance with Government Auditing Standards, we have also issued our report dated January 1, 2020, on our consideration of the School's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with Government Auditing Standards in considering School's internal control over financial reporting and compliance.

Goff & Herrington, P.C.

GOFF & HERRINGTON, P.C.

Certified Public Accountants

January 1, 2020

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STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

MANAGEMENT'S DISCUSSION AND ANALYSIS

This section of the annual financial report presents management's discussion and analysis of the School's financial performance during the year ended August 31, 2019. Please read it in conjunction with the School's financial statements, which immediately follow this section.

FINANCIAL HIGHLIGHTS

- ▶ The School's total combined net position was \$1,967,618 as of August 31, 2019.
- ▶ During the year ended August 31, 2019, the School's net position increased by \$98,049.
- ▶ The School generated \$2,442,995 in revenues from local and governmental activities, and the total cost of the School's programs was \$2,344,946.
- ▶ The general fund reported a total fund balance this year of \$2,109,111, of which \$1,114,076 is unassigned.

OVERVIEW OF THE FINANCIAL STATEMENTS

The School is considered a governmental organization for accounting, financial reporting, and auditing purposes. Organizations other than public corporations and bodies corporate and politic are classified as governmental organizations if they have one or more of the following characteristics:

- ▶ Popular election of officers or appointment (or approval) of a controlling majority of the members of the organization's governing body by officials of one or more state or local governments;
- ▶ The potential for unilateral dissolution by a government with the net position reverting to a government; or
- ▶ The power to enact and enforce a tax levy.

The School has the potential for unilateral dissolution by the Stephen F. Austin State University Board of Regents and the Regents appointed the initial members of the School's board. Therefore, the School exhibits two of the characteristics and is considered to be a governmental organization for accounting, financial reporting, and auditing purposes.

This annual financial report consists of three parts - **management's discussion and analysis** (this section), the **basic financial statements**, and **required supplementary information**. The basic financial statements include: (1) government-wide financial statements, (2) fund financial statements, and (3) notes to the financial statements. The required supplementary information further explains and supports the information in the financial statements.

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

Government-wide Financial Statements

The School's annual financial report includes two government-wide financial statements. These statements provide both long-term and short-term information about the School's finances. Financial reporting at this level uses a perspective similar to that found in the private sector.

The first of these government-wide financial statements is the **Statement of Net Position**. This is the School wide statement of financial position presenting information that includes all of the School's assets and liabilities, with the difference reported as net position. Over time, increases or decreases in net position may serve as a useful indicator of whether the financial position of the School as a whole is improving or deteriorating. Evaluation of the overall health of the School would extend to other non financial factors.

The second government-wide financial statement is the **Statement of Activities**, which reports how the School's net position changed during the current year. All current revenues and expenses are included regardless of when the cash is received or paid.

The government-wide financial statements of the School include the governmental activities of the School. These are the basic services such as instruction, curriculum and staff development, health services, and administration. State aid and federal grants finance most of these activities.

Fund Financial Statements

The fund financial statements focus on individual parts of the government, reporting the School's operations in more detail than the government-wide statements. The governmental funds statements tell how general government services were financed in the short term as well as what remains for future spending.

The fund financial statements provide more detailed information about the School's most significant funds - not the School as a whole. Funds are accounting devices that the School uses to keep track of specific sources of funding and spending for particular purposes. Laws and contracts require the School to establish some funds. The School's administration establishes other funds to help it control and manage money for particular purposes.

Governmental funds - Most of the School's basic services are included in governmental funds, which focus on (1) how cash and other financial assets that can be converted to cash flow in and out and (2) the balances left at year-end that are available for spending. Consequently, the governmental fund statements provide a detailed short term view that helps you determine whether there are more or fewer financial resources that can be spent in the near future to finance the School's programs. Because this information does not encompass the additional long term focus of the government-wide statements, we provide additional information at the bottom of the governmental fund statement, or on the subsequent page, that explains the relationship (or differences) between them.

The accompanying notes to the financial statements provide essential information to a full understanding of the government-wide and fund financial statements.

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

FINANCIAL ANALYSIS OF THE SCHOOL AS A WHOLE

Net Position. The School's combined net position was \$1,967,618 as of August 31, 2019. The following table provides a summary of the School's net position.

The School's Net Position

	Governmental Activities		
	2019	2018	% Change
Current and Other Assets	2,204,123	2,067,398	6.6%
Capital and Non-Current Asset	-	-	-
Total Assets	2,204,123	2,067,398	6.6%
Deferred outflows - TRS	57,870	14,824	290.4%
Total Deferred Outflows of Resources	57,870	14,824	290.4%
Other Liabilities	75,018	73,332	2.3%
Long Term Liabilities	133,775	107,520	24.4%
Total Liabilities	208,793	180,852	15.5%
Deferred inflows - TRS	85,582	31,801	169.1%
Total Deferred Inflows of Resources	85,582	31,801	169.1%
Net Position:			
Restricted	19,994	22,351	(10.5)%
Unrestricted	1,947,624	1,847,218	5.4%
Total Net Position	<u>1,967,618</u>	<u>1,869,569</u>	<u>(5.1)%</u>

Restricted net position consists of \$19,994 restricted for campus activities.

Changes in net position. The School's total revenues were \$2,442,995. A significant portion, 84.81 percent, of the School's revenue comes from state aid grants. The rest of the School's revenue comes from federal operating grants, charges for services, and other local sources.

The total cost to the School of all programs and services was \$2,344,946; 76.10 percent of these costs are for instructional and student services.

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

Governmental Activities

The following table provides a summary of the School's changes in net position.

Changes in the School's Net Position

	<u>Governmental Activities</u>		
	<u>2019</u>	<u>2018</u>	<u>% Change</u>
Revenues:			
Program Revenues:			
Charges for services	158,361	157,287	0.7%
Operating grants and contributions	64,390	84,319	(23.6)%
General Revenues:			
State Foundation Program	2,072,002	1,969,233	5.2%
Miscellaneous	148,242	21,102	602.5%
Total revenues	2,442,995	2,231,941	9.5%
Expenses:			
Instructional and instructional related	1,539,394	1,311,056	17.4%
Curriculum and instructional staff development	44,419	39,042	13.8%
Instructional and school leadership	43,923	38,951	12.8%
Counseling	75,191	23,113	225.3%
Food services	170,000	170,000	0.0%
Health services	8,942	10,816	(17.3)%
General administration	170,501	155,133	9.9%
Plant maintenance	221,363	199,663	10.9%
Data processing services	71,213	63,542	12.1%
Total expenses	2,344,946	2,011,316	16.6%
Increase (Decrease) in Net Position	98,049	220,625	(55.6)%
Beginning Net Position	1,869,569	1,729,833	8.1%
Prior Period Adjustment	-	(80,889)	100.0%
Ending Net Position	<u>1,967,618</u>	<u>1,869,569</u>	<u>5.2%</u>

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

The following table presents the cost of each of the School’s largest functions as well as each functions net cost (total cost less fees generated by activities and intergovernmental aid). The net cost reflects what was funded by state revenues as well as local dollars.

	Net Cost of Selected School Functions					
	<u>Total cost of services</u>			<u>Net cost of services</u>		
	<u>2019</u>	<u>2018</u>	<u>% Change</u>	<u>2019</u>	<u>2018</u>	<u>% Change</u>
Instruction	1,539,394	1,311,056	17.4%	1,475,004	1,238,307	19.1%
Food service	170,000	170,000	0.0%	11,639	12,713	(8.4)%
General administration	170,501	155,133	9.9%	170,501	147,567	15.5%
Maintenance & operations	221,363	199,663	10.9%	221,363	199,663	10.9%
Data processing services	71,213	63,542	12.1%	71,213	63,542	12.1%

FINANCIAL ANALYSIS OF THE SCHOOL’S FUNDS

Revenues from governmental fund types totaled \$2,427,300, an increase of 7.88 percent from the preceding year. The increase in revenues is primarily attributable to increased local and intermediate sources and state program revenues.

The School’s governmental funds ended the year with a reported combined fund balance of \$2,129,105, which is \$135,039 more than last year’s ending balance of \$1,994,066, mainly due to increased local and intermediate sources and state program revenues.

General Fund Budgetary Highlights

Over the course of the year the School revised its budget as actual results were analyzed. Actual expenditures were \$166,005 below budget amounts. The most significant positive variance was in instructional function as actual expenditures were less than anticipated.

Reported revenues were \$57,025 above the final budgeted amount, as local and intermediate sources and state program revenues were higher than expected.

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

ECONOMIC FACTORS AND NEXT YEAR'S BUDGETS

For the 2019-2020 fiscal year, the School's average daily attendance was budgeted conservatively at 245 students; Actual number of students enrolled is 255.

Amounts available for expenditure in the general fund budget for 2020 are \$2,321,501 an increase of 3.14 percent from the 2019 final budgeted revenues of \$2,250,853. Expenditures are budgeted to decrease 0.64 percent to \$2,321,501. If these estimates are realized, the School's budgetary general fund balance is expected to remain the same at the close of 2020.

CONTACTING THE SCHOOL'S FINANCIAL MANAGEMENT

This financial report is designed to provide a general overview of the School's finances and to show the School's accountability for the money it receives. If you have any questions about this report or need additional financial information, contact the controller's office at Stephen F. Austin State University in Nacogdoches, Texas.

Government-Wide Financial Statements

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
STATEMENT OF NET POSITION
AUGUST 31, 2019

Data Control Codes		Primary Government		
		Governmental Activities	Business-type Activities	Total
	ASSETS			
1110	Cash and cash equivalents	2,196,582	-	2,196,582
1241	Due from other governments	7,541	-	7,541
1000	Total assets	2,204,123	-	2,204,123
	DEFERRED OUTFLOWS OF RESOURCES			
1705	Deferred outflow related to TRS Pension	57,782	-	57,782
1706	Deferred outflow related to ERS OPEB	88	-	88
1700	Total deferred outflows of resources	57,870	-	57,870
	LIABILITIES			
2160	Accrued wages payable	75,018	-	75,018
	Long Term Liabilities:			
2540	Net pension liability	91,909	-	91,909
2545	Net OPEB Liability	41,866	-	41,866
2000	Total liabilities	208,793	-	208,793
	DEFERRED INFLOWS OF RESOURCES			
2605	Deferred inflow related to TRS Pension	13,416	-	13,416
2606	Deferred inflow related to ERS OPEB	72,166	-	72,166
2600	Total deferred inflows of resources	85,582	-	85,582
	NET POSITION			
3870	Restricted for campus activity	19,994	-	19,994
3900	Unrestricted net position	1,947,624	-	1,947,624
3000	Total net position	1,967,618	-	1,967,618

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED AUGUST 31, 2019**

Data Control Codes	1	Program Revenues	
		3	4
	Expenses	Charges for Services	Operating Grants and Contributions
Governmental activities:			
11	Instruction	1,539,394	64,390
13	Curriculum and staff development	44,419	-
23	School leadership	43,923	-
31	Guidance, counseling and evaluation services	75,191	-
33	Health services	8,942	-
35	Food service	170,000	158,361
41	General administration	170,501	-
51	Plant maintenance and operations	221,363	-
53	Data processing services	71,213	-
TP	Total primary government	2,344,946	64,390

Data Control Codes	General revenues:
SF	State aid formula grants
GC	Grants and contributions, not restricted to specific programs
MI	Miscellaneous
TR	Total general revenues
CN	Change in net position
NB	Net position, beginning
NE	Net position, ending

The accompanying notes are an integral part of this statement

Program Revenues	Net (Expense) Revenue and Changes in Net Position		
	Governmental Activities	Business Activities	Total
5			
Capital Grants and Contributions			
-	(1,475,004)	-	(1,475,004)
-	(44,419)	-	(44,419)
-	(43,923)	-	(43,923)
-	(75,191)	-	(75,191)
-	(8,942)	-	(8,942)
-	(11,639)	-	(11,639)
-	(170,501)	-	(170,501)
-	(221,363)	-	(221,363)
-	(71,213)	-	(71,213)
-	(2,122,195)	-	(2,122,195)
	2,072,002	-	2,072,002
	93,210	-	93,210
	55,032	-	55,032
	2,220,244	-	2,220,244
	98,049	-	98,049
	1,869,569	-	1,869,569
	1,967,618	-	1,967,618

The accompanying notes are an integral part of this statement

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Governmental Fund Financial Statements

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
BALANCE SHEET
GOVERNMENTAL FUNDS
AUGUST 31, 2019**

Data Control Codes	10 General Fund	Other Governmental Funds	98 Total Governmental Funds	
ASSETS				
1110	Cash and cash equivalents	2,176,588	19,994	2,196,582
1241	Due from other governments	7,541	-	7,541
1000	Total Assets	<u>2,184,129</u>	19,994	<u>2,204,123</u>
LIABILITIES				
2160	Accrued wages payable	75,018	-	75,018
2000	Total Liabilities	<u>75,018</u>	-	<u>75,018</u>
FUND BALANCES				
Assigned Fund Balance:				
3590	Other assigned fund balance	995,035	19,994	1,015,029
3600	Unassigned fund balance	1,114,076	-	1,114,076
3000	Total Fund Balances	<u>2,109,111</u>	19,994	<u>2,129,105</u>
4000	Total Liabilities, Deferred Inflows and Fund Balances	<u>2,184,129</u>	19,994	<u>2,204,123</u>

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
RECONCILIATION OF THE GOVERNMENTAL FUNDS BALANCE SHEET
TO THE STATEMENT OF NET POSITION
AUGUST 31, 2019**

Total fund balances - governmental funds	2,129,105
1 Included in the items related to debt is the recognition of the School's proportionate share of the net pension liability required by GASB 68 in the amount of \$91,909, a deferred resource inflow related to TRS in the amount of \$13,416, and a deferred resource outflow related to TRS in the amount of \$57,782. This amounted to a decrease in net position in the amount of \$47,543.	(47,543)
2 Included in the items related to debt is the recognition of the School's proportionate share of the net OPEB liability required by GASB 75 in the amount of \$41,866, a deferred resource inflow related to ERS in the amount of \$72,166, and a deferred resource outflow related to ERS in the amount of \$88. This amounted to a decrease in net position in the amount of \$113,944.	<u>(113,944)</u>
19 Net Position of governmental activities	<u><u>1,967,618</u></u>

The accompanying notes are an integral part of this statement

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
STATEMENT OF REVENUES, EXPENDITURES, AND CHANGES IN FUND BALANCE
GOVERNMENTAL FUNDS
FOR THE YEAR ENDED AUGUST 31, 2019

Data Control Codes		General Fund	Other Governmental Funds	Total Governmental Funds
REVENUES				
5700	Total local and intermediate sources	158,361	55,032	213,393
5800	State program revenues	2,149,517	32,155	2,181,672
5900	Federal program revenues	-	32,235	32,235
5020	Total revenues	<u>2,307,878</u>	<u>119,422</u>	<u>2,427,300</u>
EXPENDITURES				
0011	Instruction	1,368,069	121,779	1,489,848
0013	Curriculum and staff development	43,948	-	43,948
0023	School leadership	43,452	-	43,452
0031	Guidance, counseling and evaluation services	74,563	-	74,563
0033	Health services	8,942	-	8,942
0035	Food service	170,000	-	170,000
0041	General administration	168,932	-	168,932
0051	Plant maintenance and operations	221,363	-	221,363
0053	Data processing services	71,213	-	71,213
6030	Total expenditures	<u>2,170,482</u>	<u>121,779</u>	<u>2,292,261</u>
1100	Excess (deficiency) of revenues over expenditures	137,396	(2,357)	135,039
OTHER FINANCING SOURCES (USES)				
7915	Transfers in	-	-	-
8911	Transfers out	-	-	-
7080	Total other financing sources and uses	<u>-</u>	<u>-</u>	<u>-</u>
1200	Net change in fund balances	137,396	(2,357)	135,039
0100	Fund balance - September 1 (beginning)	<u>1,971,715</u>	<u>22,351</u>	<u>1,994,066</u>
3000	Fund balance - August 31 (ending)	<u><u>2,109,111</u></u>	<u><u>19,994</u></u>	<u><u>2,129,105</u></u>

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
RECONCILIATION OF THE GOVERNMENTAL FUNDS STATEMENT OF REVENUES,
EXPENDITURES, AND CHANGES IN FUND BALANCES
TO THE STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED AUGUST 31, 2019**

Net change in fund balances - governmental funds	135,039
Current year changes in amounts related to GASB 68 increased revenues in the amount of \$15,695, but also increased expenditures in the amount of \$23,913. The net effect on the change in the ending net position was a decrease in the amount of \$8,218.	(8,218)
Current year changes in amounts related to GASB 75 increased expenses in the amount of \$28,772. The effect on the change in the ending net position was a decrease in the amount of \$28,772.	<u>(28,772)</u>
Change in net position of governmental activities	<u><u>98,049</u></u>

The accompanying notes are an integral part of this statement

Fiduciary Fund Financial Statements

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
STATEMENT OF FIDUCIARY NET POSITION
FIDUCIARY FUNDS
AUGUST 31, 2019**

	Agency Funds
ASSETS	
Cash and cash equivalents	<u>2,910</u>
Total Assets	<u><u>2,910</u></u>
LIABILITIES	
Due to student groups	<u>2,910</u>
Total Liabilities	<u><u>2,910</u></u>

The accompanying notes are an integral part of this statement

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**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The basic financial statements of the Stephen F. Austin State University Charter School (School) are prepared in conformity with generally accepted accounting principles promulgated by the Governmental Accounting Standards Board and complies with the requirements of the appropriate version of Texas Education Agency's Financial Accountability System Resource Guide (Resource Guide) and the requirements of contracts and grants of agencies from which it receives funds. The Governmental Accounting Standards Board (GASB) is the accepted standard setting body for establishing accounting and financial reporting principles.

1. Reporting Entity

The School is chartered by the State Board of Education and accredited by the Texas Education Agency. The charter is held by the Stephen F. Austin State University (SFASU). The School operates within the Department of Elementary Education. SFASU is accredited with the Southern Association of Colleges and Schools. The School's administrators and staff are degreed and certified for the positions to which they are assigned.

As approved in the charter application, the Chief Administrative Officer of the School is the Chief Executive Officer (CEO) of the School. The CEO reports to the Charter Board, which reports to the President of SFASU. The School also secondarily reports to the Chair of the Elementary Education Department, who reports to the Dean of the James I. Perkins College of Education, who reports to the Provost, who reports to the President of SFASU. The President is ultimately responsible to the SFASU Board of Regents, appointed by the Governor and confirmed by the State Senate. This reporting structure effectively outlines the governing body of the School, with the Dean, the Provost, the President, and the Board of Regents retaining final oversight.

The Charter Board meets quarterly and works to ensure effective management of the School. The Charter Board consists of community and parent representatives, and School staff, the Chair of the Elementary Education Department and the Dean of the James I. Perkins College of Education.

The School is an open enrollment charter and provides K-5 education to students in the Nacogdoches and Central Heights districts. Due to high demand, students are selected by lottery.

2. Basis of Presentation and Basis of Accounting

Basis of Presentation

Government-wide Financial Statements: The statement of net position and the statement of activities include the financial activities of the overall government. Governmental activities generally are financed through intergovernmental revenues, and other nonexchange transactions.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

The statement of activities presents a comparison between direct expenses and program revenues for each function of the School's governmental activities. Direct expenses are those that are specifically associated with a program or function and, therefore, are clearly identifiable to a particular function. The School does not allocate indirect expenses in the statement of activities. Program revenues include grants and contributions that are restricted to meeting the operational or capital requirements of a particular program. Revenues that are not classified as program revenues, are presented as general revenues.

Fund Financial Statements: The fund financial statements provide information about the School's funds, with separate statements presented for each fund category. The emphasis of fund financial statements is on major governmental funds, each displayed in a separate column. All remaining governmental funds are aggregated and reported as nonmajor funds.

The School accounts are organized on the basis of funds, each of which is considered a separate accounting entity. The School has established several individual funds that are organized within a separate set of self-balancing accounts comprised of assets, liabilities, fund balance, revenues, and expenditures or expenses as appropriate. Governmental resources allocated to individual funds are recorded for the purpose of carrying on specific activities in accordance with laws, regulations, or other appropriate requirements.

The School reports the following major governmental fund:

General Fund: This is the School's primary operating fund. It accounts for all financial resources of the School except those required to be accounted for in another fund.

In addition, the School reports the following fund types:

Special Revenue Funds: These funds are used to account for the proceeds of specific revenue sources that are legally restricted to expenditure for specified purposes. All Federal and some State financial assistance is accounted for in a special revenue fund. Sometimes any unused balances must be returned to the grantor at the close of the specified project periods.

Agency Fund: These funds are used for assets held by the School in a custodial capacity as an agent on behalf of others. The School uses an agency fund to account for the activities of parent, teacher and student groups.

Measurement Focus, Basis of Accounting

The financial statements of the School are prepared in accordance with generally accepted accounting principles (GAAP). The School applies all relevant Governmental Accounting Standards Board (GASB) pronouncements.

The government-wide financial statements report using the economic resources measurement focus and the accrual basis of accounting generally including the reclassification or elimination of internal activity (between or within funds). Fiduciary fund financial statements also report using this same

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

focus and basis of accounting. Revenues are recorded when earned and expenses are recorded when the liability is incurred, regardless of the timing of related cash flows. Grant revenues are recognized when allowable expenditures are made under the provisions of the grant.

The statement of activities reports the expenses of the School's functions offset by program revenues directly connected with the function. A function is a general operational area in the School that groups together similar activities and may include portions of a fund or summarize more than one fund to capture the expenses and program revenues associated with the function. Program revenues include: (1) charges for services which report charges to users of the School's services such as school lunch charges; and (2) operating grants and contributions which finance annual operating activities of the School such as federal and state grants. State aid formula grants, and other revenue sources not properly included with program revenues are reported as general revenues.

Governmental funds are reported using the current financial resources measurement focus and the modified accrual basis of accounting. Under this method, revenues are recognized when measurable and available. Available means collectible within the current period or soon enough thereafter to pay current liabilities. The School considers all revenues reported in the governmental funds to be available. Revenues received from the State are recognized under the susceptible-to-accrual concept. Miscellaneous revenues are recorded as revenue when received in cash because they are generally not measurable until actually received. Expenditures are recorded when the related fund liability is incurred. General capital asset acquisitions are reported as expenditures in governmental funds.

When both restricted and unrestricted resources are available for use, it is the School's policy to use restricted resources first, then unrestricted resources as needed.

The School does not allocate general administration or support services expenses to other functions.

Fund Balance Policy

The School reports fund balances for governmental funds in classifications based primarily on the extent to which the entity is bound to honor constraints on the specific purposes for which amounts in those funds can be spent. The nonspendable classification represents assets that will be consumed or maintained intact; and, therefore will never convert to cash, such as inventories of supplies and endowments. Provisions of laws, contracts, and grants specify how fund resources can be used in the restricted classification. The nature of these two classifications precludes a need for a policy from the Charter Board. However, the Charter Board has adopted fund balance policies for the three unrestricted classifications-committed, assigned, and unassigned.

The School's assigned fund balances represent amounts campus activities.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

When the School incurs expenditures that can be made from either restricted or unrestricted balances, the expenditures are charged to restricted balances. When the entity incurs expenditures that can be made from either committed, assigned, or unassigned balances, the expenditures are charged to committed, assigned and then unassigned.

3. Financial Statement Amounts

Cash and cash equivalents - Cash and cash equivalents consist of amounts available in the SFASU treasury.

Receivable and Payable Balances - The School believes that sufficient detail of receivable and payable balances is provided in the financial statements to avoid the obscuring of significant components by aggregation. Therefore, no disclosure is provided which disaggregates those balances. There are no significant receivables which are not scheduled for collection within one year of year end.

Capital Assets - Purchased or constructed capital assets are reported at cost or estimated historical cost. The cost of normal maintenance and repairs that do not add to the value of the asset or materially extend assets' lives are not capitalized. A capitalization threshold of \$5,000 is used.

All assets acquired in excess of the \$5,000 threshold were purchased by SFASU, who retains title and ownership of those assets. These assets include the building and land improvements that constitute the physical plant of the School, as well as, furniture and fixtures.

Since title and ownership of all capital assets are retained by SFASU, no capital assets are reported in the accompanying financial statements.

Deferred Outflows/Inflows of Resources - In addition to assets, the statement of financial position will sometimes report a separate section for deferred outflows of resources. This separate financial statement element, *deferred outflows of resources*, represents a consumption of net position that applies to a future period and so will not be recognized as an outflow of resources (expense/expenditure) until then.

In addition to liabilities, the statement of financial position will sometimes report a separate section for deferred inflows of resources. The separate financial statement element, *deferred inflows of resources*, represents an acquisition of net position that applies to a future period and so will not be recognized as an inflow of resources (revenue) until then.

Pensions - The fiduciary net position of the Teachers Retirement System of Texas (TRS) has been determined using the flow of economic resources measurement focus and full accrual basis of accounting. This includes, for the purposes of measuring the net pension liability, deferred outflows of resources and deferred inflows of resources related to pensions, pension expense, and information about assets, liabilities, and additions to/deductions from TRS's fiduciary net position. Benefit payments (including refunds of employee contributions) are recognized when due and payable in

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

accordance with the benefit terms. Investments are reported at fair value. The net pension liability related to the School is included in the net pension liability allocated to SFASU by TRS. SFASU's share of the liability based on total TRS contributions made by SFASU in the measurement year ended August 31, 2019. The School's share of the net pension liability allocated to SFASU was calculated by dividing the School's 2019 covered payroll by total SFASU covered payroll for the measurement period.

Other Post-Employment Benefits (OPEB) - The fiduciary net position of the Employees Retirement System of Texas (ERS) healthcare, life, and dental insurance benefit plan has been determined using the flow of economic resources measurement focus and full accrual basis of accounting. This includes for purposes of measuring the net OPEB liability, deferred outflows of resources and deferred inflows of resources related to other post-employment benefits, OPEB expense, and information about assets, liabilities and additions to/deductions from the ERS healthcare, life, and dental insurance benefit plan's fiduciary net position. Benefit payments are recognized when due and payable in accordance with the benefit terms. The School's share of the net OPEB liability allocated to SFASU was calculated by dividing the School's 2019 covered payroll by total SFASU covered payroll for the measurement period.

Compensated Absences - State employees are entitled to be paid for all unused vacation time (annual leave) accrued in the event of the employee's resignation, dismissal or separation from state employment, provided the employee has had continuous employment with the State for six months. The School does not record a liability for sick pay or vacation benefits. SFASU does record a liability for compensable absences.

Use of Estimates - The preparation of financial statements in conformity with GAAP requires the use of management's estimates.

Data Control Codes - These codes refer to the account code structure prescribed by the Texas Education Agency (TEA) in the Resource Guide. TEA requires the display of these codes in the financial statements filed with the Agency in order to ensure accuracy in building a Statewide data base for policy development and funding plans.

DETAILED NOTES ON ALL FUNDS

A. DEPOSITS AND INVESTMENTS

The School's funds are initially deposited in a School bank account, then swept to the SFASU bank accounts. The School bank account is required by TEA for electronic deposits.

Periodically, SFASU provides the School with statement of account showing all fund activities for the month and ending monthly balances which is then reconciled to the accounts of the School. Such deposits are insured or collateralized under SFASU agreements with their depositories. As of August 31, 2019, the carrying amount and bank balances of deposits was \$2,196,582.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

Custodial credit risk for deposits is the risk that in the event of the failure of a depository financial institution, SFASU will not be able to recover deposits or will not be able to recover collateral securities that are in the possession of an outside party. SFASU is authorized by statute to make investments following the "prudent person rule." The Stephen F. Austin State University Board Policy 3.21, Investments, states that all deposits shall be secured by a pledge or collateral with a market value equal to no less than 100% of the deposits plus accrued interest less any amount insured by the FDIC pursuant to Chapter 2257 of the Government Code, - Collateral for Public Funds. Evidence of the pledged collateral associated with bank demand accounts shall be reviewed monthly by the SFASU Controller and director of financial services to assure the market value of the pledged securities exceeds the depository bank balances. There were no violations of legal provisions during the fiscal year.

B. DUE FROM OTHER GOVERNMENTS

The School participates in a variety of federal and state programs from which it receives grants to partially or fully finance certain activities. In addition, the School receives entitlements from the State through the School Foundation and Per Capita Programs. These amounts are reported on the governmental fund financial statements as Due from Other Governments.

Amounts due from federal and state governments as of August 31, 2019 are summarized as follows:

Fund	State Entitlements	Federal and State Grants	Total
General Fund	7,541	-	7,541

C. RISK MANAGEMENT

The School is exposed to various risks of loss related to torts, theft, damage or destruction of assets, errors and omissions, injuries to employees, and natural disasters. During fiscal year 2019, the School, through SFASU, was covered by commercial insurance. There were no significant reductions in coverage in the past fiscal year and there were no settlements exceeding insurance coverage for each of the past three fiscal years.

D. PENSION PLAN

Defined Benefit Pension Plan

Plan Description. The School participates in a cost-sharing multiple-employer defined benefit pension that has a special funding situation. The plan is administered by the Teacher Retirement System of Texas (TRS). TRS's defined benefit pension plan is established and administered in accordance with the Texas Constitution, Article XVI, Section 67 and Texas Government Code, Title 8, Subtitle C. The pension trust fund is a qualified pension trust under Section 401(a) of the Internal Revenue Code. The Texas Legislature establishes benefits and contribution rates within the guidelines

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

of the Texas Constitution. The pension's Board of Trustees does not have the authority to establish or amend benefit terms.

All employees of public, state-supported educational institutions in Texas who are employed for one-half or more of the standard work load and who are not exempted from membership under Texas Government Code, Title 8, Section 822.002 are covered by the system.

Pension Plan Fiduciary Net Position. Detailed information about the Teacher Retirement System's fiduciary net position is available in a separately-issued Comprehensive Annual Financial Report that includes financial statements and required supplementary information. That report may be obtained on the Internet at <http://www.trs.state.tx.us/about/documents/cafr.pdf#CAFR>; by writing to TRS at 1000 Red River Street, Austin, TX, 78701-2698; or by calling (512) 542-6592.

Benefits Provided. TRS provides service and disability retirement, as well as death and survivor benefits, to eligible employees (and their beneficiaries) of public and higher education in Texas. The pension formula is calculated using 2.3 percent (multiplier) times the average of the five highest annual creditable salaries times years of credited service to arrive at the annual standard annuity except for members who are grandfathered, the three highest annual salaries are used. The normal service retirement is at age 65 with 5 years of credited service or when the sum of the member's age and years of credited service equals 80 or more years. Early retirement is at age 55 with 5 years of service credit or earlier than 55 with 30 years of service credit. There are additional provisions for early retirement if the sum of the member's age and years of service credit total at least 80, but the member is less than age 60 or 62 depending on date of employment, or if the member was grandfathered in under a previous rule. There are no automatic post-employment benefit changes; including automatic COLAs. Ad hoc post-employment benefit changes, including ad hoc COLAs can be granted by the Texas Legislature as noted in the Plan description above.

Contributions. Contribution requirements are established or amended pursuant to Article 16, section 67 of the Texas Constitution which requires the Texas legislature to establish a member contribution rate of not less than 6% of the member's annual compensation and a state contribution rate of not less than 6% and not more than 10% of the aggregate annual compensation paid to members of the system during the fiscal year. Texas Government Code section 821.006 prohibits benefit improvements, if as a result of the particular action, the time required to amortize TRS's unfunded actuarial liabilities would be increased to a period that exceeds 31 years, or, if the amortization period already exceeds 31 years, the period would be increased by such action.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

Employee contribution rates are set in state statute, Texas Government Code 825.402. Senate Bill 1458 of the 83rd Texas Legislature amended Texas Government Code 825.402 for member contributions and established employee contribution rates for fiscal years 2014 through 2017. The 84th Texas Legislature, GAA established the employer contribution rates for fiscal years 2016 and 2017.

	2019	2018
Member	7.70%	7.70%
Non-Employer Contribution Rate (State)	6.80%	6.80%
Employers	6.80%	6.80%
School's 2019 Employer Contributions	\$	-
School's 2019 Member Contributions	\$	85,570
School's 2019 NECE On-Behalf Contributions	\$	77,386

Contributors to the plan include members, employers and the State of Texas as the only non-employer contributing entity. The State contributes to the plan in accordance with state statutes and the General Appropriations Act (GAA).

As the non-employer contributing entity for public education, the State of Texas contributes to the retirement system an amount equal to the current employer contribution rate times the aggregate annual compensation of all participating members of the pension trust fund during that fiscal year reduced by the amounts described below which are paid by the employers.

Employers including public schools are required to pay the employer contribution rate in the following instances:

On the portion of the member's salary that exceeds the statutory minimum for members entitled to the statutory minimum under Section 21.402 of the Texas Education Code.

During a new member's first 90 days of employment.

When any part or all of an employee's salary is paid by federal funding sources, a privately sponsored source.

When the employing district is a public junior college or junior college district, the employer shall contribute to the retirement system an amount equal to 50% of the state contribution rate for certain instructional or administrative employees; and 100% of the state contribution rate for all other employees.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

In addition to the employer contributions listed above, there are two additional surcharges an employer is subject to.

When employing a retiree of the Teacher Retirement System the employer shall pay both the member contribution and the state contribution as an employment after retirement surcharge.

When a school district does not contribute to the Federal Old-age, Survivors and Disability Insurance (OASDI) Program for certain employees, they must contribute 1.5% of the state contributions rate for certain instructional or administrative employees; and 100% of the state contribution rate for all other employees.

Actuarial Assumptions. The total pension liability in the August 31, 2017 actuarial valuation rolled forward to August 31, 2018 was determined using the following actuarial assumptions:

Valuation Date	August 31, 2017 rolled forward to August 31, 2018
Actuarial Cost Method	Individual Entry Age Normal
Asset Valuation Method	Market Value
Single Discount Rate	6.907%*
Long-term expected Investment Rate of Return	7.250%
Municipal Bond Rate	3.690%*
Inflation	2.300%
Salary Increases	3.50% to 9.50%, including inflation
Last Year Ending 8/31 in Projection Period	2116 (100 years)
Ad hoc Post Employment Benefit Changes	None

* - Sourced from fixed income municipal bonds with 20 years to maturity that include only federal, tax-exempt municipal bonds as reported in Fidelity Index's "20-year Municipal GO AA Index" as of August 31, 2018

The actuarial methods and assumptions are primarily based on a study of actual experience for the three year period ending August 31, 2017 and adopted in July 2018.

Discount Rate. The discount rate used to measure the total pension liability was 6.907%. The single discount rate was based on the expected rate of return on pension plan investments of 7.25 percent and a municipal bond rate of 3.69 percent. The projection of cash flows used to determine the discount rate assumed that contributions from plan members and those of the contributing employers and the non-employer contributing entity are made at the statutorily required rates. Based on those assumptions, the pension plan's fiduciary net position was sufficient to finance the benefit payments until the year 2069. As a result, the long-term expected rate of return on pension plan investments was applied to projected benefit payments through the year 2069, and the municipal bond rate was applied to all benefit payments after that date. The long-term expected rate of return on pension plan investments was determined using a building-block method in which best-estimates ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019

long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding expected inflation. Best estimates of arithmetic real rates of return for each major asset class included in the Systems target asset allocation as of August 31, 2018 are summarized below:

Asset Class	Target Allocation*	Long-Term Expected Arithmetic Real Rate of Return**	Expected Contribution to Long-term Portfolio Returns
Global Equity			
U.S.	18%	5.7%	1.0%
Non-U.S. Developed	13%	6.9%	0.9%
Emerging Markets	9%	8.9%	0.8%
Directional Hedge Funds	4%	3.5%	0.1%
Private Equity	13%	10.2%	1.3%
Stable Value			
U.S. Treasuries	11%	1.1%	0.1%
Absolute Return	0%	-	-
Stable Value Hedge Funds	4%	3.1%	0.1%
Cash	1%	-0.3%	0.0%
Real Return			
Global Inflation Linked Bonds	3%	0.7%	0.0%
Real Assets	16%	5.2%	0.7%
Energy and Natural Resources	3%	7.5%	0.4%
Commodities	0%	-	-
Risk Parity			
Risk Parity	5%	3.7%	0.2%
Inflation Expectations			2.3%
Volatility Drag***			-0.8%
Total	100%		7.2%

* Target allocations are based on the FY 2016 model

** Capital Market assumptions come from Aon Hewitt (2017 Q4)

*** The volatility drag results from the conversion between arithmetic and geometric mean returns

Discount Rate Sensitivity Analysis. The following schedule shows the impact of the Net Pension Liability if the discount rate used was 1% less than and 1% greater than the discount rate that was used (6.907%) in measuring the Net Pension Liability.

	1% Decrease in Discount Rate (5.907%)	Discount Rate (6.907%)	1% Increase in Discount Rate (7.907%)
School's proportionate share of the net pension liability:	\$138,713	\$91,909	\$54,019

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

Pension Liabilities, Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions. At August 31, 2019, the School reported a liability of \$91,909 for its proportionate share of the TRS's net pension liability. This liability reflects a reduction for State pension support provided to the School.

The amount recognized by the School as its proportionate share of the net pension liability, the related State support, and the total portion of the net pension liability that was associated with the School were as follows:

School's Proportionate share of the collective net pension liability	\$91,909
State's proportionate share that is associated with the School	922,102
Total	\$1,014,011

The net pension liability was measured as of August 31, 2017 and rolled forward to August 31, 2018 and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of August 31, 2017 and rolled forward to August 31, 2018. The employer's proportion of the net pension liability was based on the employer's contributions to the pension plan relative to the contributions of all employers to the plan for the period September 1, 2017 through August 31, 2018.

At August 31, 2018 the employer's proportion of the collective net pension liability was .000167%, which was an increase of 41.39% from its proportion measured as of August 31, 2017.

Changes Since the Prior Actuarial Valuation - The following were changes to the actuarial assumptions or other inputs that affected measurement of the total pension liability since the prior measurement period.

- The Total Pension Liability as of August 31, 2018 was developed using a roll-forward method from the August 31, 2017 valuation.
- Demographic assumptions including post-retirement mortality, termination rates, and rates of retirement were updated based on the experience study performed for TRS for the period ending August 31, 2017.
- Economic assumptions including rates of salary increase for individual participants was updated based on the same experience study.
- The discount rate changed from 8.0 percent as of August 31, 2017 to 6.907 percent as of August 31, 2018.
- The long-term assumed rate of return changed from 8.0 percent to 7.25 percent.
- The change in the long-term assumed rate of return combined with the change in the single discount rate was the primary reason for the increase in the Net Pension Liability.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

There were no changes of benefit terms that affected measurement of the total pension liability during the measurement period

For the year ended August 31, 2019, the School recognized pension expense of \$91,263 and revenue of \$77,386 for support provided by the State in the Government-wide Statement of Activities.

At August 31, 2019, the School reported its proportionate share of the TRS's deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
Differences between expected and actual economic experience	\$573	\$2,255
Changes in actuarial assumptions	33,138	1,036
Difference between projected and actual investment earnings	-	1,744
Changes in proportion and difference between the employer's contribution and the proportionate share of contributions	24,071	8,381
Contributions paid to TRS subsequent to the measurement date	-	-
Total	\$57,782	\$13,416

The net amounts of the employer's balances of deferred outflows and inflows of resources related to the pension will be recognized in the pension expense as follows:

Year Ended August 31:	Pension Expense Amount
2020	\$10,633
2021	6,963
2022	5,919
2023	7,070
2024	8,466
Thereafter	5,315

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

E. DEFINED OTHER POST-EMPLOYMENT BENEFIT PLANS

Other Post -Employment Benefit Plan (OPEB)

Plan Description. Retirees are provided with postemployment healthcare, life and dental insurance benefits through the State Retiree Health Plan (SRHP). The Employees Retirement System of Texas (ERS) is the administrator of SRHP, which is a cost sharing multiple-employer postemployment healthcare plan with a special funding situation. This plan covers retired employees of the state, and other entities as specified by the State Legislature. The benefit and contribution provisions of the SRHP are authorized by state law and may be amended by the Legislature. Benefits are provided to retirees through the Texas Employees Group Benefits Program as authorized by Texas Insurance Code, Chapter 1551. Retirees must meet certain age and service requirements and have at least 10 years of service at retirement to participate in the plan.

Surviving spouses and dependents of retirees are also covered by SRHP. The plan does not provide automatic cost of living adjustments (COLAs).

Contributions. During the measurement period of 2018 for fiscal 2019 reporting, the amount of contributions recognized by the OPEB plan was \$3,782. The School does not contribute toward dental or optional life insurance. Surviving spouses and their dependents do not receive any employer contribution. The contribution requirements for the state and the members in the measurement period are presented in the table below:

Employer Contribution Rates Retiree Health and Basic Life Premium For the Fiscal Year Ended August 31, 2018	
Retiree only	\$625
Retiree and spouse	\$983
Retiree and children	\$865
Retiree and family	\$1,223

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

Actuarial Assumptions. The total OPEB liability is determined by the contribution rates and an annual actuarial valuation. The table below presents the actuarial methods and assumptions used to measure the total OPEB liability as of the August 31, 2018 measurement date.

Valuation Date	August 31, 2018
Actuarial Cost Method	Entry Age
Amortization Method	Level Percent of Payroll, Open
Remaining Amortization Period	30 Years
Asset Valuation Method	Not Applicable
Actuarial Assumptions:	
Inflation	2.50%
Discount Rate	3.96%
Aggregate Payroll Growth Rate	3.00%
Projected Annual Salary Increases	2.50% to 9.50%, including inflation
Annual Healthcare Trend Rates	7.30% for FY 2020, 7.40% for FY 2021, 7.00% for FY 2022, decreasing 0.50% per year to 4.50% for FY 2027 and later years
Retirement Age	Experience-based tables of rates that are specific to the class of employee
Mortality-State Agency Members	<u>Service Retirees, Survivors and Other Members</u> - Tables based on TRS experience with Ultimate MP Projection scale form the year 2018. <u>Disabled Retirees</u> - Tables based on TRS experience with Ultimate MP Projection scale form the year 2018 using a 3-year set forward and minimum mortality rates of four per 100 male members and two per 100 female members. <u>Active Members</u> - Sex Distinct RP-2014 Employee Mortality multiplied by 90% with Ultimate MP Projection Scale projected from year 2014.
Ad hoc Post-Employment Benefit Changes	None

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

The many actuarial assumptions used in the valuation were primarily based on the result of actuarial experience studies performed by the ERS retirement plan actuaries for the period Sept. 1, 2011 to Aug. 31, 2016. The mortality rates were based on the tables identified in the table above titled *Actuarial Methods and Assumptions*.

The following assumptions have been changed since the previous valuation:

Demographic Assumptions:

Since the last valuation was prepared for this plan, demographic assumptions (including rates of retirement, disability, termination, and mortality, and assumed salary increases) for Higher Education members have been updated to reflect assumptions recently adopted by the TRS Trustees. These new assumptions were adopted to reflect an experience study on the TRS retirement plan performed by the TRS retirement plan actuary. In addition, the following assumptions have been updated since the previous valuation to reflect recent plan experience and expected trends:

Percentage of current retirees and retiree spouses not yet eligible to participate in the HealthSelect Medicare Advantage Plan and future retirees and retiree spouses who will elect to participate in the plan at the earliest date at which coverage can commence.

Percentage of future retirees assumed to be married and electing coverage for their spouse.

Economic Assumptions:

Assumptions for Expenses, Assumed Per Capita Health Benefit Costs and Health Benefit Cost and Retiree Contribution and Expense trends have been updated since the previous valuation to reflect recent health plan experience and its effects on our short-term expectations.

The discount rate was changed from 3.51% to 3.96% as a result of requirements by GASB No. 74 to utilize the yield or index rate for 20-year, tax-exempt general obligation bonds rated AA/Aa (or equivalent) or higher in effect on the measurement date.

Minor benefit changes described below have been reflected in the FY 2019 Assumed Per Capita Health Benefits Costs.

Benefit revisions have been adopted since the prior valuation. The only benefit change for HealthSelect retirees and dependents for whom Medicare is not primary is an increase in the out-of-pocket maximum for both HealthSelect and Consumer Directed HealthSelect (CDHP) from \$6,550 to \$6,650 for individuals and from \$13,100 to \$13,300 for families in order to remain consistent with Internal Revenue Service maximums. This minor benefit change is provided for in the FY 2019 Assumed Per Capita Health Benefit Costs. There are no benefit changes for HealthSelect retirees and dependents for whom Medicare is Primary.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

Discount Rate

The discount rate used to measure the total OPEB liability was the municipal bond rate of 3.96 percent as of the end of the measurement year and 3.51 percent as of the beginning of the measurement year. Projected cash flows into the plan are equal to projected benefit payments out of the plan. Since the plan operates on a pay-as-you-go basis and is not intended to accumulate assets, there is no long-term expected rate of return.

Discount Rate Sensitivity Analysis. Sensitivity analysis was performed on the impact of changes in the discount rate on the proportionate share of the Schools’s net OPEB liability. The result of the analysis is presented in the table below:

	1% Decrease in Discount Rate (2.96%)	Discount Rate (3.96%)	1% Increase in Discount Rate (4.96%)
School’s proportionate share of the OPEB liability:	\$49,705	\$41,866	\$35,933

Healthcare Cost Trend Rates Sensitivity Analysis - The following presents the net OPEB liability of the plan using the assumed healthcare cost trend rate, as well as what the net OPEB liability would be if it were calculated using a trend rate that is one-percentage point lower or one-percentage point higher than the assumed healthcare cost trend rate.

	1% Decrease in Health Care Cost Trend Rate	Current Health Care Cost Trend Rate	1% Increase in Health Care Cost Trend Rate
School’s proportionate share of the OPEB liability:	\$35,455	\$41,866	\$50,136

The OPEB plan’s fiduciary net position is determined using the economic resources measurement focus and the accrual basis of accounting, which is the same basis used by ERS. Benefits and refunds of contributions are recognized when due and payable in accordance with the terms of the plan. Investments of the Other Employee Benefit Trust Fund are reported at fair value in accordance with GASB Statement No. 72. The fair value of investments is based on published market prices and quotations from major investment brokers at available current exchange rates. However, corporate bonds in general are valued based on currently available yields of comparable securities by issuers with similar credit ratings. More detailed information of the plan’s investment valuation, investment policy, assets, and fiduciary net position may be obtained from ERS’s fiscal 2018 CAFR:

Employees Retirement System of Texas
P.O. Box 13207
Austin, Texas 78711-3207

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019

At August 31, 2019, the School reported a liability of \$41,866 for its proportionate share of the collective net OPEB liability. The collective OPEB liability was measured as of August 31, 2018, and the total OPEB liability used to calculate the net liability was determined by an actuarial valuation as of that date. The School's proportional percentage at August 31, 2018 was 0.00014126 percent. The School's proportion of the collective net OPEB liability was based on its contributions to the OPEB plan relative to the contributions of all the employers and non-employer contributing entities to the plan for the period September 1, 2017 through August 31, 2018.

The schedule of changes in the School's net OPEB liability for the fiscal year ending August 31, 2019, is presented below:

	Increase (Decrease)		
	Total OPEB Liability (a)	Plan Fiduciary Net Position (b)	Net OPEB Liability (a)-(b)
Balance 9/1/2018	71,221	1,454	69,767
Changes for the year			
Service cost	9,411	-	9,411
Interest	7,938	-	7,938
Difference between expected and actual experience	(5,886)	-	(5,886)
Changes in assumptions	(37,267)	-	(37,267)
Contributions - Employer	-	1,931	(1,931)
Contributions - NECE	-	104	(104)
Contributions - Employee	-	1,278	(1,278)
Contributions - Other	-	489	(489)
Net investment income	-	69	(69)
Benefit payments, including refunds of contributions	(2,432)	(2,432)	0
Administrative expenses	-	(37)	37
Other	-	(1,737)	1,737
Net Changes	(28,236)	(335)	(27,901)
Balance 8/31/2019	42,985	1,119	41,866

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

At August 31, 2019, the School reported its proportionate share of the TRS's deferred outflows of resources and deferred inflows of resources related to other post-employment benefits from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
Differences between expected and actual economic experience	-	\$6,831
Changes in actuarial assumptions	-	65,335
Difference between projected and actual investment earnings	88	-
Changes in proportion and difference between the employer's contribution and the proportionate share of contributions	-	-
Contributions paid to TRS subsequent to the measurement date	-	-
Total	\$88	\$72,166

The net amounts of the employer's balances of deferred outflows and inflows of resources related to the pension will be recognized in the pension expense as follows:

Year Ended August 31:	Pension Expense Amount
2018	(\$18,354)
2019	(18,354)
2020	(18,354)
2021	(12,392)
2022	(4,624)
Thereafter	-

F. DEFERRED COMPENSATION

SFASU employees may elect to defer a portion of their earnings for income tax and investment purposes pursuant to authority granted in the TEX. GOV'T. CODE ANN., Sec 609.001. Two plans are available for employees: the 403 (b) Tax Sheltered Annuity (TSA) plan and the Texasaver 457(b) plan. The TSA is administered by Stephen F. Austin State University. The 457(b) plan is administered by the Employees Retirement System of Texas.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

G. HEALTH CARE COVERAGE

SFASU provides health care benefits to all School employees who meet SFASU employment qualifications and requirements. Contributions are required for coverage of dependents. During the year SFASU deducted amounts from the School's cash accounts to cover their portion of health care coverage.

H. COMMITMENTS AND CONTINGENCIES

The School participates in grant programs which are governed by various rules and regulations of the grantor agencies. Costs charged to the respective grant programs are subject to audit and adjustment by the grantor agencies; therefore, to the extent that the School has not complied with the rules and regulations governing the grants, refunds of any money received may be required and the collectibility of any related receivable may be impaired. In the opinion of the School, there are no significant contingent liabilities relating to compliance with the rules and regulations governing the respective grants; therefore, no provision has been recorded in the accompanying basic financial statements for such contingencies.

I. UNIVERSITY SUPPORT

Stephen F. Austin State University (SFASU) provides support to the SFASU Charter School. In fiscal year 2006, the Texas Legislature approved tuition revenue bond funding for SFASU totaling \$30,178,000 for SFASU projects. These projects included the Early Childhood Research Center (ECRC) and deferred maintenance projects. SFASU issued tuition revenue bonds of \$20,175,000 in March 2008 to finance a portion of the ECRC. An additional \$10,200,000 of Higher Education Fund (HEF) general obligation bonds were issued in December 2008 to complete the facility. Thus, SFASU incurred \$30,375,000 in debt for the ECRC. During the fiscal year 2017, SFASU issued a 2016 Series tuition revenue bond that included \$10,375,000 that was used to refund a significant portion of 2008 series tuition revenue bonds. The ECRC houses the SFASU Charter School, Early Childhood Laboratory, and Department of Elementary Education. SFASU paid \$2,366,838 in debt service for ECRC in fiscal year 2019.

SFASU provides space, utilities, and indirect services to the School. The SFASU Charter School serves as a university laboratory setting sharing 47,929 square feet of the ECRC building square footage of 123,231. The School reimbursed SFASU a negotiated amount of \$188,600 for administrative and operational costs during fiscal year 2019.

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Required Supplementary Schedules

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
BUDGETARY COMPARISON SCHEDULE
GENERAL FUND
FOR THE YEAR ENDED AUGUST 31, 2019**

Data Control Codes	Budgeted Amounts		Actual Amounts (Budgetary Basis)	Variance With Final Budget Positive (Negative)	
	Original	Final			
REVENUES:					
5700	Local and intermediate sources	154,305	154,305	158,361	4,056
5800	State program revenues	2,096,548	2,096,548	2,149,517	52,969
5900	Federal program revenues	-	-	-	-
5020	Total revenues	2,250,853	2,250,853	2,307,878	57,025
EXPENDITURES:					
0011	Instruction	1,516,686	1,516,686	1,368,069	148,617
0013	Curriculum and staff development	43,498	43,498	43,948	(450)
0023	School leadership	42,758	42,758	43,452	(694)
0031	Guidance, counseling and evaluation services	84,829	84,829	74,563	10,266
0033	Health services	10,331	10,331	8,942	1,389
0035	Food service	170,000	170,000	170,000	-
0041	General administration	173,488	173,488	168,932	4,556
0051	Plant maintenance and operations	222,100	222,100	221,363	737
0053	Data processing services	72,797	72,797	71,213	1,584
6030	Total expenditures	2,336,487	2,336,487	2,170,482	166,005
1100	Excess (deficiency) of revenues over expenditures	(85,634)	(85,634)	137,396	223,030
OTHER FINANCING SOURCES (USES):					
7915	Transfers in	-	-	-	-
8911	Transfers out (use)	-	-	-	-
7080	Total other financing sources (uses)	-	-	-	-
1200	Net change in fund balances	(85,634)	(85,634)	137,396	223,030
0100	Fund balance - September 1 (beginning)	1,971,715	1,971,715	1,971,715	-
3000	Fund balance - August 31 (ending)	1,886,081	1,886,081	2,109,111	223,030

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF THE SCHOOL'S PROPORTIONATE SHARE OF THE NET PENSION LIABILITY
TEACHERS RETIREMENT SYSTEM
FOR THE YEAR ENDED AUGUST 31, 2019**

	FY 2019 <u>Plan Year 2018</u>	FY 2018 <u>Plan Year 2017</u>	FY 2017 <u>Plan Year 2016</u>	FY 2016 <u>Plan Year 2015</u>	FY 2015 <u>Plan Year 2014</u>
School's Proportion of the Net Pension Liability (Asset)	0.00000167	0.00000118	0.00000150	0.00000224	0.00000137
School's Proportionate share of the Net Pension Liability (Asset)	\$ 91,909	\$ 37,753	56,678	\$ 79,088	\$ 36,549
State's Proportionate share of the Net Pension Liability (Asset) associated with the School	<u>922,102</u>	<u>674,792</u>	<u>825,120</u>	<u>785,630</u>	<u>696,294</u>
TOTAL	\$ <u>1,014,011</u>	\$ <u>712,545</u>	<u>881,798</u>	\$ <u>864,718</u>	\$ <u>732,843</u>
School's Covered Payroll	\$ 1,003,424	\$ 974,070	\$ 1,022,269	\$ 973,960	\$ 971,480
School's Proportionate Share of the Net Pension Liability (Asset) as a percentage of its Covered Payroll	9.16%	3.88%	5.54%	8.12%	3.76%
Plan Fiduciary Net Position as a Percentage of the Total Pension Liability	73.74%	82.17%	76.23%	78.43%	83.25%

NOTE: GASB 68, Paragraph 81 requires that the data in this schedule be data from the period corresponding with the periods covered as of the measurement dates of August 31, 2018 for fiscal year 2019, August 31, 2017 for fiscal year 2018, August 31, 2016 for fiscal year 2017, August 31, 2015 for the fiscal year 2016, and August 31, 2014 for the fiscal year 2015.

NOTE: In accordance with GASB 68, Paragraph 138, only five years of data are presented this reporting period. "The information for all periods for the 10-year schedules that are required to be presented as required supplementary information may not be available initially. In these cases, during the transition period, that information should be presented for as many years as are available. The schedules should not include information that is not measured in accordance with the requirements of this Statement."

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF SCHOOL'S PENSION CONTRIBUTIONS FOR PENSIONS
TEACHERS RETIREMENT SYSTEM
FOR FISCAL YEAR 2019**

	<u>2019</u>	<u>2018</u>	<u>2017</u>	<u>2016</u>	<u>2015</u>
Contractually Required Contribution	\$ -	\$ -	\$ -	\$ -	\$ 470
Contribution in Relation to Contractually Required Contribution	-	-	-	-	(470)
Contribution Deficiency (Excess)	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
School's Covered Payroll	\$ 1,111,294	\$ 1,003,424	\$ 974,070	\$ 1,022,269	\$ 973,960
Contributions as a Percentage of Covered Payroll	0.00%	0.00%	0.00%	0.00%	0.05%

NOTE: GASB 68, Paragraph 81 requires that the data in this schedule be presented as of the School's respective fiscal years as opposed to the time periods covered by the measurement dates ending August 31 for the respective fiscal years.

NOTE: In accordance with GASB 68, Paragraph 138, the years of data presented this reporting period are those for which data is available. "The information for all periods for the 10-year schedules that are required to be presented as required supplementary information may not be available initially. In these cases, during the transition period, information should be presented for as many years as are available. The schedules should not include information that is not measured in accordance with the requirements of this Statement."

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF CHANGES IN NET OPEB LIABILITY AND RELATED RATIOS
EMPLOYEES RETIREMENT SYSTEM OF TEXAS**

	FY 2019	FY 2018
	<u>Plan Yr 2018</u>	<u>Plan Yr 2017</u>
TOTAL OPEB LIABILITY		
Service cost	\$ 9,411	\$ 4,718
Interest (on the Total OPEB Liability)	7,938	2,509
Changes of benefit terms	-	-
Difference between expected and actual experience	(5,886)	(1,027)
Changes in assumptions	(37,267)	(17,873)
Benefit payments, including refunds of employee contributions	(2,432)	(1,492)
Net Change in Total OPEB Liability	<u>(28,236)</u>	<u>(13,165)</u>
Total OPEB Liability - Beginning	71,221	84,386
Total OPEB Liability - Ending (a)	<u>\$ 42,985</u>	<u>\$ 71,221</u>
PLAN FIDUCIARY NET POSITION		
Contributions:		
Employer	\$ 1,931	\$ 1,824
NECE	104	95
Employee	1,278	401
Other	489	147
Net investment income	69	9
Benefit payments, including refund of employee contributions	(2,432)	(1,492)
Administrative expense	(37)	(12)
Other	(1,737)	(546)
Net Change in Plan Fiduciary Net Position	<u>(335)</u>	<u>426</u>
Plan Fiduciary Net Position- Beginning	1,454	1,028
Plan Fiduciary Net Position- Ending (b)	<u>\$ 1,119</u>	<u>\$ 1,454</u>
Net OPEB (Asset)Liability - Ending (a) - (b)	\$ 41,866	\$ 69,767
Plan Fiduciary Net Position as a Percentage of Total OPEB Asset/Liability	2.60%	2.04%
Covered Payroll	\$ 1,003,424	\$ 974,070
Net OPEB Asset/Liability as a Percentage of Covered Payroll	4.17%	7.16%

NOTE: This schedule is intended to present 10 years of information. Currently, only one year of information is available. Information for future years will be added as it becomes available.

NOTE: The data in this schedule is data from the plan year corresponding with the periods covered as of the measurement dates of August 31, 2018 for fiscal year 2019 and August 31, 2017 for fiscal year 2018.

NOTE: Benefit payments are net of member contributions and Federal Revenues.

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF SCHOOL'S OPEB CONTRIBUTIONS
EMPLOYEE RETIREMENT SYSTEM OF TEXAS
FOR THE YEAR ENDED AUGUST 31,**

	2019	2018
Actuarial Determined Contributions	-	-
Contributions in relation to the actuarially determined contribution	-	-
Contribution Deficiency (Excess)	-	-
Covered Payroll	1,111,294	1,003,424
Contributions as a Percentage of Covered Payroll	0.00%	0.00%

NOTE: This schedule is intended to present 10 years of information. Currently, only one year of information is available. Information for future years will be added as it becomes available.

The accompanying notes are an integral part of this statement

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**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO REQUIRED SUPPLEMENTARY INFORMATION
YEAR ENDED AUGUST 31, 2019**

A. Notes to Schedules for the TRS Pension

Changes of Benefit terms.

There were no changes of benefit terms that affected measurement of the total pension liability during the measurement period.

Changes of Assumptions.

Assumptions, methods, and plan changes which are specific to the Pension Trust Fund were updated from the prior year's report. The Net Pension Liability increased significantly since the prior measurement date due to a change in the following actuarial assumptions:

- The total pension liability as of August 31, 2018 was developed using a roll-forward method from the August 31, 2017.
- Demographic assumptions including post-retirement mortality, termination rates, and rates of retirement were updated based on the experience study performed for TRS for the period ending August 31, 2017.
- Economic assumptions including rates of salary increase for individual participants were updated based on the same experience study.
- The discount rate changed from 8.0 percent as of August 31, 2017 to 6.907 percent as of August 31, 2018.
- The long term assumed rate of return changed from 8.0 percent to 7.25 percent.
- The change in the long-term assumed rate of return combined with the change in the single discount rate was the primary reason for the increase in the net pension liability.

B. Notes to Schedules for the ERS OPEB Plan

Significant Assumptions and Methods

Valuation Date	August 31, 2018
Actuarial Cost Method	Entry Age
Amortization Method	Level Percent of Pay, Open
Remaining Amortization Period	30 Years
Asset Valuation Method	Not Applicable
Inflation	2.50%
Discount Rate	3.96%
Aggregate Payroll Growth Rate	3.00%
Projected Annual Salary Increases	2.50% to 9.50%, including inflation

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO REQUIRED SUPPLEMENTARY INFORMATION
YEAR ENDED AUGUST 31, 2019**

Annual Healthcare Trend Rates	7.30% for FY 2020, 7.40% for FY 2021, 7.00% for FY 2022, decreasing 0.50% per year to 4.50% for FY 2027 and later years
Retirement Age	Experience-based tables of rates that are specific to the class of employee
Mortality-State Agency Members	<p><u>Service Retirees, Survivors and Other Members</u> -Tables based on TRS experience with Ultimate MP Projection scale form the year 2018.</p> <p><u>Disabled Retirees</u> -Tables based on TRS experience with Ultimate MP Projection scale form the year 2018 using a 3-year set forward and minimum mortality rates of four per 100 male members and two per 100 female members.</p> <p><u>Active Members</u> - Sex Distinct RP-2014 Employee Mortality multiplied by 90% with Ultimate MP Projection Scale projected from year 2014.</p>

Factors that Significantly Affect Trends in Amounts Reported

The following assumptions have been changed since the previous valuation:

Demographic Assumptions - Since the last valuation was prepared for this plan, demographic assumptions (including rates of retirement, disability, termination, and mortality, and assumed salary increases) for Higher Education members have been updated to reflect assumptions recently adopted by the TRS Trustees. These new assumptions were adopted to reflect an experience study on the TRS retirement plan performed by the TRS retirement plan actuary. In addition, the following assumptions have been updated since the previous valuation to reflect recent plan experience and expected trends:

Percentage of current retirees and retiree spouses not yet eligible to participate in the HealthSelect Medicare Advantage Plan and future retirees and retiree spouses who will elect to participate in the plan at the earliest date at which coverage can commence.

Percentage of future retirees assumed to be married and electing coverage for their spouse.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO REQUIRED SUPPLEMENTARY INFORMATION
YEAR ENDED AUGUST 31, 2019**

Economic Assumptions - Assumptions for Expenses, Assumed Per Capita Health Benefit Costs and Health Benefit Cost and Retiree Contribution and Expense trends have been updated since the previous valuation to reflect recent health plan experience and its effects on our short-term expectations.

The discount rate was changed from 3.51% to 3.96% as a result of requirements by GASB No. 74 to utilize the yield or index rate for 20-year, tax-exempt general obligation bonds rated AA/Aa (or equivalent) or higher in effect on the measurement date.

Minor benefit changes described below have been reflected in the FY 2019 Assumed Per Capita Health Benefits Costs.

Benefit revisions have been adopted since the prior valuation. The only benefit change for HealthSelect retirees and dependents for whom Medicare is not primary is an increase in the out-of-pocket maximum for both HealthSelect and Consumer Directed HealthSelect (CDHP) from \$6,550 to \$6,650 for individuals and from \$13,100 to \$13,300 for families in order to remain consistent with Internal Revenue Service maximums. This minor benefit change is provided for in the FY 2019 Assumed Per Capita Health Benefit Costs. There are no benefit changes for HealthSelect retirees and dependents for whom Medicare is Primary.

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Combining Schedules

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
COMBINING BALANCE SHEET
NONMAJOR GOVERNMENTAL FUNDS
AUGUST 31, 2019**

Data Control Codes		<u>Special Revenue Funds</u>			Total Nonmajor Governmental Funds
		224 IDEA Part B, Formula	410 State Textbook Fund	461 Campus Activity Funds	
	ASSETS				
1110	Cash and temporary investments	-	-	19,994	19,994
1000	Total Assets	-	-	19,994	19,994
	FUND BALANCES				
	Assigned Fund Balance:				
3590	Other assigned fund balance	-	-	19,994	19,994
3000	Total Fund Balances	-	-	19,994	19,994
4000	Total Liabilities, Deferred Inflows and Fund Balances	-	-	19,994	19,994

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
COMBINING STATEMENT OF REVENUES, EXPENDITURES
AND CHANGES IN FUND BALANCE - NONMAJOR GOVERNMENTAL FUNDS
FOR THE YEAR ENDED AUGUST 31, 2019**

Data Control Codes		Special Revenue Funds			Total Nonmajor Governmental Funds
		224 IDEA Part B, Formula	410 State Textbook Fund	461 Campus Activity Funds	
	REVENUES				
5700	Total local and intermediate sources	-	-	55,032	55,032
5800	State program revenues	-	32,155	-	32,155
5900	Federal program revenues	32,235	-	-	32,235
5020	Total Revenues	32,235	32,155	55,032	119,422
	EXPENDITURES				
0011	Instruction	32,235	32,155	57,389	121,779
6030	Total Expenditures	32,235	32,155	57,389	121,779
1100	Excess (Deficiency) of Revenues Over Expenditures	-	-	(2,357)	(2,357)
	OTHER FINANCING SOURCES (USES)				
7915	Transfers in	-	-	-	-
8911	Transfers out	-	-	-	-
7080	Total other financing sources and uses	-	-	-	-
1200	Net change in fund balances	-	-	(2,357)	(2,357)
0100	Fund balances, beginning	-	-	22,351	22,351
3000	Fund balances, ending	-	-	19,994	19,994

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FEDERAL AWARDS SECTION



Certified Public Accountants

Goff & Herrington, P. C.

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A.J. Goff, CPA
Ronnie Herrington, CPA
Daniel Raney, CPA

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Stephen F. Austin State University Charter School
Nacogdoches, Texas

Members of the Board of Regents:

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States, the financial statements of the governmental activities, each major fund, and the aggregate remaining fund information of Stephen F. Austin State University Charter School (School), as of and for the year ended August 31, 2019, and the related notes to the financial statements, which collectively comprise the School's basic financial statements, and have issued our report thereon dated January 1, 2020.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the School's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the School's internal control. Accordingly, we do not express an opinion on the effectiveness of the School's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. *A material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. *A significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Members of the Board of Regents

January 1, 2020

Page 2

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or, significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the School's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Goff & Herrington, P.C.

GOFF & HERRINGTON, P.C.

Certified Public Accountants

January 1, 2020

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF FINDINGS
FOR THE YEAR ENDED AUGUST 31, 2019**

None

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF STATUS OF PRIOR FINDINGS
FOR THE YEAR ENDED AUGUST 31, 2019**

There were no prior audit findings reported.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
CORRECTIVE ACTION PLAN
FOR THE YEAR ENDED AUGUST 31, 2019**

None required.

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APPROVAL OF THE ENVIRONMENTAL SERVICE FEE

Explanation:

Texas Education Code Sec. 54.5041 authorizes "...the governing board of an institution of higher education to charge each student enrolled at the institution an environmental service fee if the fee has been approved by a majority vote of the students enrolled at the institution who participate in a general student election called for that purpose." On Wednesday, October 9, 2019, Student Government Association unanimously voted to call a referendum to allow students to approve or disapprove of the creation of this new fee. The referendum was held on October 29th and 30th. The final results of the referendum were 1,260 for and 372 against. By law, students would need to reauthorize the fee every five years.

By statute, revenue from this fee may only be used to provide environmental improvements at the institution through services related to recycling, energy efficiency and renewable energy, transportation, employment, product purchasing, planning and maintenance, or irrigation; or provide matching funds for grants to obtain environmental improvements. An institution that imposes the environmental service fee may not use the revenue generated by the fee to reduce or replace other money allocated by the institution for environmental projects.

Recommendation:

The administration recommends the creation of an Environmental Services Fee of \$5 per long semester and \$5 for the entire summer semester (any combination of enrollment in Maymester, Summer I or Summer II) effective fall 2020, contingent upon adoption of a university policy that prescribes the manner in which projects will be reviewed and approved.

APPROVAL TO INCREASE THE RECREATIONAL SPORTS FEE

Explanation:

Pursuant to Texas Education Code (TEC) 54.5201, the university is authorized to collect a recreational sports fee. TEC 54.5201 specifically states that, "the board of regents of Stephen F. Austin State University may charge each student enrolled at the university a recreational sports fee not to exceed \$120 per semester or summer session of longer than six weeks or \$60 per summer session of six weeks or less." Unless the fee is exempted or waived by statute or board of regents' order, the current charge is a flat \$50 for students who take from one to six semester credit hours, and a flat \$120 for students who take seven or more semester credit hours.

In association with tuition and fee plan restructuring, the administration proposes a recreational sports fee increase to \$60 for students who take from one to six semester credit hour loads.

Recommendation:

The administration recommends approval of an increase in the recreational sports fee to \$60 for students who take from one to six semester credit hours, effective with the Fall 2020 semester.

APPROVAL OF AN UNDERGRADUATE AND GRADUATE DESIGNATED TUITION DIFFERENTIAL CHARGE

Explanation:

For many years, the university has charged academic course and lab fees to support specific course delivery costs. The statutory authority used for the course and lab fees is Texas Education Code (TEC) 54.504 and 54.501, respectively. The revenue from both fees is restricted to very specific academic costs. With respect to course fees, TEC 54.504, the incidental fee statute, states that "the rate of an incidental fee must reasonably reflect the actual cost to the university of the materials or services for which the fee is collected." Similarly, TEC 54.501, the lab fee statute, states that "an institution of higher education shall set and collect a laboratory fee in an amount sufficient to cover the general cost of laboratory materials and supplies used by a student." The statutory fee restrictions do not allow the use of course and lab fee revenue for other appropriate instructional costs.

The designated tuition statute, TEC 54.0513, , states that "the governing board, under the terms the governing board considers appropriate, may charge any student an amount designated as tuition that the governing board considers necessary for the effective operation of the institution." Designated tuition provides academic flexibility to support appropriate instructional costs.

Over time, the number of course and lab fees has grown significantly. Course fees in particular, have experienced considerable growth. Currently, course and lab fees must be added to base tuition and fee costs to determine a total academic cost.

A course and lab fee assessment was conducted to determine an average total cost for each university college. A tuition differential cost was calculated to replace all course and lab fees for undergraduate and graduate students, and provide the same average level of income each college had received from both fees. The adoption of the designated tuition differential will simplify the student billing process, provide greater transparency for students and families, and provide greater academic course delivery flexibility.

Recommendation:

The administration recommends approval of a flat \$100 per semester designated tuition differential charge for all undergraduate students that will replace all undergraduate course and lab fees. The administration further recommends a flat \$75 per semester designated tuition differential charge for all graduate students that will replace all graduate course and lab fees. The administration also recommends the deletion of all undergraduate and graduate course and lab fees. It is recommended that the fee deletions and differential tuition charges be effective for fiscal year 2020-21.

APPROVAL OF THE TEXAS RESIDENT UNDERGRADUATE FY2021 FIXED-RATE TUITION AND FEE PLAN

Explanation:

The administration has developed a fiscal year 2021 proposed tuition and fee annual plan that contains variable tuition and fee rates from one to eleven semester credit hours. Tuition and fee costs are fixed at the twelve-semester credit hour load level, and students may take any number of semester credit hours above the twelve-semester credit hour level at no additional charge.

The fixed annual tuition and fee plan is designed to provide greater cost transparency for students and families, simplify the billing process, replace a substantial number of fees, incentivize students to take additional semester credit hours, help lower student debt levels, lower the time to graduation, and provide greater academic flexibility.

To develop a fixed tuition and fee plan at a twelve-semester credit hour level, designated tuition rates were modified from the fiscal year 2019-20 rate of \$204 per semester credit hour with a range from \$91 to a maximum of \$269 per semester credit hour, depending on the number of semester credit hours taken, and other associated mandatory fees.

With the inclusion of a designated tuition differential charge of \$100, total mandatory tuition and fees at a twelve semester credit hour level and above for undergraduate Texas resident students are fixed at a cost of \$5,300. Currently, the fiscal year 2019-20 tuition and fee rate at fifteen semester credit hours is \$5,473.50. In addition, any schedule-related course and lab fees currently increase that total.

Appendix B presents the tuition and fee schedule for Texas resident undergraduate students who take face-to-face classes. Appendix C presents the fee schedule for Texas resident students who take online only classes.

Recommendation:

The administration recommends approval of the designated tuition per semester credit hour rate with a range from \$91 to a maximum of \$269 for the annual fixed-price plan, depending on the number of semester hours taken. The administration also recommends approval of Appendices B and C at the respective semester credit hour charges and the \$5,300 fixed-rate

tuition and fee cost for twelve semester credit hours and above, beginning with the fall 2020 semester.

Tuition and Fees Rate Table													
Fiscal Year 2020-2021													
Texas Resident Undergraduate Annual Fixed-Price Plan													
Num. of Hrs.	Tx Res Statutory	Designated Tuition	Univ Svc Fee	Stud. Svc.	Stud. Cntr.	Int'l Ed. Fee	Reg Records	Env Fee	Rec Sports Fee		Total Base	Differential Tuition	Total Mandatory Tuition & Fees
1	\$ 50.00	\$ 204.00	\$ 83.00	\$ 13.50	\$ 35.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00		\$ 461.50	\$ 100.00	\$ 561.50
2	\$ 100.00	\$ 408.00	\$ 166.00	\$ 27.00	\$ 35.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00		\$ 812.00	\$ 100.00	\$ 912.00
3	\$ 150.00	\$ 762.00	\$ 249.00	\$ 40.50	\$ 35.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00		\$ 1,312.50	\$ 100.00	\$ 1,412.50
4	\$ 200.00	\$ 614.50	\$ 332.00	\$ 54.00	\$ 36.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00		\$ 1,312.50	\$ 100.00	\$ 1,412.50
5	\$ 250.00	\$ 459.00	\$ 415.00	\$ 67.50	\$ 45.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00		\$ 1,312.50	\$ 100.00	\$ 1,412.50
6	\$ 300.00	\$ 1,524.00	\$ 498.00	\$ 81.00	\$ 54.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00		\$ 2,533.00	\$ 100.00	\$ 2,633.00
7	\$ 350.00	\$ 1,308.50	\$ 581.00	\$ 94.50	\$ 63.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 2,533.00	\$ 100.00	\$ 2,633.00
8	\$ 400.00	\$ 1,153.00	\$ 664.00	\$ 108.00	\$ 72.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 2,533.00	\$ 100.00	\$ 2,633.00
9	\$ 450.00	\$ 1,836.00	\$ 747.00	\$ 121.50	\$ 81.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 3,371.50	\$ 100.00	\$ 3,471.50
10	\$ 500.00	\$ 2,040.00	\$ 830.00	\$ 135.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 3,726.00	\$ 100.00	\$ 3,826.00
11	\$ 550.00	\$ 2,244.00	\$ 913.00	\$ 148.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 4,076.50	\$ 100.00	\$ 4,176.50
12	\$ 600.00	\$ 3,221.00	\$ 996.00	\$ 162.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
13	\$ 650.00	\$ 3,074.50	\$ 1,079.00	\$ 175.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
14	\$ 700.00	\$ 3,074.00	\$ 1,016.00	\$ 189.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
15	\$ 750.00	\$ 3,074.00	\$ 952.50	\$ 202.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
16	\$ 800.00	\$ 3,074.00	\$ 889.00	\$ 216.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
17	\$ 850.00	\$ 3,074.00	\$ 825.50	\$ 229.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
18	\$ 900.00	\$ 3,074.00	\$ 762.00	\$ 243.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
19	\$ 950.00	\$ 3,074.00	\$ 705.00	\$ 250.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
20	\$ 1,000.00	\$ 3,074.00	\$ 655.00	\$ 250.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
21	\$ 1,050.00	\$ 3,074.00	\$ 605.00	\$ 250.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00

Tuition and Fees Rate Table											
Fiscal Year 2020-2021											
Texas Resident Undergraduate Annual Fixed-Price Plan Online											
Num. of Hrs.	Tx Res Statutory	Designated Tuition	Univ Svc Fee	Stud. Svc.	Int'l Ed. Fee	Reg Records	Env Fee	Distance Ed Fee			
									Total Base	Differential Tuition	Total Online Mandatory Tuition and Fees
1	\$ 50.00	\$ 204.00	\$ 83.00	\$ 13.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 33.00	\$ 399.50	\$ 100.00	\$ 499.50
2	\$ 100.00	\$ 408.00	\$ 166.00	\$ 27.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 66.00	\$ 783.00	\$ 100.00	\$ 883.00
3	\$ 150.00	\$ 762.00	\$ 249.00	\$ 40.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 99.00	\$ 1,316.50	\$ 100.00	\$ 1,416.50
4	\$ 200.00	\$ 614.50	\$ 332.00	\$ 54.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 132.00	\$ 1,348.50	\$ 100.00	\$ 1,448.50
5	\$ 250.00	\$ 459.00	\$ 415.00	\$ 67.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 165.00	\$ 1,372.50	\$ 100.00	\$ 1,472.50
6	\$ 300.00	\$ 1,524.00	\$ 498.00	\$ 81.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 198.00	\$ 2,617.00	\$ 100.00	\$ 2,717.00
7	\$ 350.00	\$ 1,308.50	\$ 581.00	\$ 94.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 231.00	\$ 2,581.00	\$ 100.00	\$ 2,681.00
8	\$ 400.00	\$ 1,153.00	\$ 664.00	\$ 108.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 264.00	\$ 2,605.00	\$ 100.00	\$ 2,705.00
9	\$ 450.00	\$ 1,836.00	\$ 747.00	\$ 121.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 297.00	\$ 3,467.50	\$ 100.00	\$ 3,567.50
10	\$ 500.00	\$ 2,040.00	\$ 830.00	\$ 135.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 330.00	\$ 3,851.00	\$ 100.00	\$ 3,951.00
11	\$ 550.00	\$ 2,244.00	\$ 913.00	\$ 148.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 363.00	\$ 4,234.50	\$ 100.00	\$ 4,334.50
12	\$ 600.00	\$ 3,030.00	\$ 996.00	\$ 162.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 396.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
13	\$ 650.00	\$ 3,030.00	\$ 899.50	\$ 175.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 429.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
14	\$ 700.00	\$ 3,030.00	\$ 803.00	\$ 189.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 462.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
15	\$ 750.00	\$ 3,030.00	\$ 706.50	\$ 202.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 495.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
16	\$ 800.00	\$ 3,030.00	\$ 610.00	\$ 216.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 528.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
17	\$ 850.00	\$ 3,030.00	\$ 513.50	\$ 229.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 561.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
18	\$ 900.00	\$ 3,030.00	\$ 417.00	\$ 243.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 594.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
19	\$ 950.00	\$ 3,030.00	\$ 327.00	\$ 250.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 627.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
20	\$ 1,000.00	\$ 3,030.00	\$ 244.00	\$ 250.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 660.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
21	\$ 1,050.00	\$ 3,030.00	\$ 161.00	\$ 250.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 693.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00

APPROVAL OF THE FIXED-RATE TUITION AND FEES GUARANTEED PRICE PLAN

Explanation:

Pursuant to the Texas Education Code (TEC) 54.017, the governing board of an institution shall offer entering undergraduate students, including undergraduate transfer students, the opportunity to participate in a fixed-tuition price plan whereby the institution does not increase tuition charges for at least the first twelve consecutive semesters that occur after the date of a student's initial enrollment at any public or private institution of higher education. The university complies with this statutory requirement, and a number of currently enrolled students are on the fixed-rate tuition plan.

To provide a greater opportunity for Texas resident undergraduate students, the administration proposes a guaranteed price plan (GPP), that freezes total tuition and mandatory fees at a twelve-semester credit hour load level and above for a period of four years. Total semester credit hour costs vary at levels below twelve semester credit hours, but are fixed at a twelve-semester credit hour load level.

To develop a fixed tuition and fee plan at a twelve-semester credit hour level, designated tuition rates were modified from the fiscal year 2019-20 rate of \$204 per semester credit hour to include a range from \$164, to a maximum of \$300 per semester credit hour, depending on the number of semester credit hours taken, and other associated mandatory fees.

With the inclusion of a designated tuition differential charge of \$100, total mandatory tuition and fees at a twelve semester credit hour level and above for undergraduate Texas resident students are fixed at a cost of \$5,675 for a period of four years.

Each beginning fiscal year semester, new entering students will be offered the opportunity to participate in the GPP offered for the respective fiscal year. In addition, current students on an existing tuition plan may choose to enter the GPP at the respective rate based on the student's initial higher education enrollment eligibility as outlined in TEC 54.017.

Recommendation:

For the GPP presented in Appendix D, the administration recommends approval of the designated tuition per semester credit hour rate with a range

from \$164 to a maximum of \$300, depending on the number of semester hours taken. The administration also recommends approval of the tuition and fee guaranteed price plan as presented in Appendix D, fixed at a twelve-semester credit hour load, beginning with the Fall 2020 semester, for a maximum period of four years. The administration further recommends that students who are eligible for tuition and fee exemptions and waivers be excluded from the tuition and fee guaranteed price plan.

Tuition and Fees Rate Table Fiscal Year 2020-2021 Texas Resident Undergraduate Guaranteed Price Plan												
Num. of Hrs.	Tx Res Statutory	Proposed Designated	Univ Svc Fee	Stud Svc Fee	Stud Cntr. Fee	Int'l Ed. Fee	Reg Records Fee	Env Fee Fee	Rec Sports Fee	Total Base	Differential Tuition	Total GPP Mandatory Tuition and Fees
1	\$ 50.00	\$ 255.00	\$ 83.00	\$ 13.50	\$ 35.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00	\$ 512.50	\$ 100.00	\$ 612.50
2	\$ 100.00	\$ 510.00	\$ 166.00	\$ 27.00	\$ 35.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00	\$ 914.00	\$ 100.00	\$ 1,014.00
3	\$ 150.00	\$ 765.00	\$ 249.00	\$ 40.50	\$ 35.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00	\$ 1,315.50	\$ 100.00	\$ 1,415.50
4	\$ 200.00	\$ 1,020.00	\$ 332.00	\$ 54.00	\$ 36.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00	\$ 1,718.00	\$ 100.00	\$ 1,818.00
5	\$ 250.00	\$ 1,275.00	\$ 415.00	\$ 67.50	\$ 45.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00	\$ 2,128.50	\$ 100.00	\$ 2,228.50
6	\$ 300.00	\$ 1,530.00	\$ 498.00	\$ 81.00	\$ 54.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00	\$ 2,539.00	\$ 100.00	\$ 2,639.00
7	\$ 350.00	\$ 1,785.00	\$ 581.00	\$ 94.50	\$ 63.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 3,009.50	\$ 100.00	\$ 3,109.50
8	\$ 400.00	\$ 2,040.00	\$ 664.00	\$ 108.00	\$ 72.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 3,420.00	\$ 100.00	\$ 3,520.00
9	\$ 450.00	\$ 2,295.00	\$ 747.00	\$ 121.50	\$ 81.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 3,830.50	\$ 100.00	\$ 3,930.50
10	\$ 500.00	\$ 2,550.00	\$ 830.00	\$ 135.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 4,236.00	\$ 100.00	\$ 4,336.00
11	\$ 550.00	\$ 2,805.00	\$ 913.00	\$ 148.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 4,637.50	\$ 100.00	\$ 4,737.50
12	\$ 600.00	\$ 3,596.00	\$ 996.00	\$ 162.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
13	\$ 650.00	\$ 3,449.50	\$ 1,079.00	\$ 175.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
14	\$ 700.00	\$ 3,449.00	\$ 1,016.00	\$ 189.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
15	\$ 750.00	\$ 3,449.00	\$ 952.50	\$ 202.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
16	\$ 800.00	\$ 3,449.00	\$ 889.00	\$ 216.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
17	\$ 850.00	\$ 3,449.00	\$ 825.50	\$ 229.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
18	\$ 900.00	\$ 3,449.00	\$ 762.00	\$ 243.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
19	\$ 950.00	\$ 3,449.00	\$ 705.00	\$ 250.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
20	\$ 1,000.00	\$ 3,449.00	\$ 655.00	\$ 250.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
21	\$ 1,050.00	\$ 3,449.00	\$ 605.00	\$ 250.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00

APPROVAL OF TUITION AND FEES FOR REGISTERED NURSE TO BACHELOR OF SCIENCE DEGREE IN NURSING

Explanation:

The Nursing RN-BSN program is a thirty-one semester credit hour online program that allows registered nurses to complete necessary course work needed to obtain a BSN. To stimulate enrollment and program growth, The Richard & Lucille DeWitt School of Nursing proposes a cost reduction from the current RN-BSN rates to a reduced total program cost of \$8,300. Any hours taken in excess of the thirty-one hours will be charged in addition to the flat cost at the discounted rate per credit hour. In order to maintain the discounted rate, each cohort must complete the program within four years, otherwise the cost is subject to change. In order to offer a tuition package of \$8,300, certain mandatory fees must be eliminated or decreased. Those include, the distance education, student center, recreation center, student service, international, university services, registration fees and other course delivery fees.

Recommendation:

The administration recommends approval of the RN-BSN program fee exemptions that will allow a total program cost of \$8,300. It is further recommended the cost reductions begin with the summer 2020 semester(s).

CHANGES IN COURSE FEES

Explanation:

Course and lab fees provide instructional departments with funds to support the actual cost of consumable supplies, service, and travel related to specific courses. Course and lab fees are allocated to instructional departments for expenditures that are necessary for course delivery. Course delivery expenditures are re-evaluated annually in order to make necessary changes to fees.

Recommendation:

The administration recommends acceptance of course and lab fee deletions, approved at the president level, to be effective spring 2020. All deletions are listed in the accompanying spreadsheet in Appendix E.

Course and Lab Fee Deletions - Spring 2020							
College of Education							
Department	Current Course	Current Course #	Section	Description	Present Amount	Proposed Amount	Status
Human Sciences	HMS	137	.505 only	Principles of Human Sciences	\$45	\$0	DELETE
Human Sciences	HMS	137L	.500-599	Principles of Human Sciences Lab	\$10	\$0	DELETE
Human Services	RHB	495	.600-609	Internship I	\$150	\$0	DELETE
Human Services	SPE	594	All	Advanced Clinical Practicum in O&M	\$50	\$0	DELETE
Human Services	SPE	570	All	Special Studies in Special Education	\$50	\$0	DELETE
Human Services	SPE	556	All	Research and Practice Infants/Children	\$50	\$0	DELETE
Human Services	SPE	552	All	Instructional Strategies for Individuals with Multiple Disabilities and Visual Impairment	\$50	\$0	DELETE
Human Services	SPE	551	All	Working with Academic Students who Have Visual Impairments	\$50	\$0	DELETE
Human Services	SPE	519	All	Low Vision	\$50	\$0	DELETE
Human Services	SPE	517	All	Communication Skills for Visual Impairment	\$294	\$0	DELETE
Human Services	SPE	515	All	Programs and Services of Individuals with Visual Impairment	\$50	\$0	DELETE
Human Services	RHB	445	All	Basic Orientation & Mobility	\$30	\$0	DELETE
Human Services	COU	534	All	School Counseling Programs	\$50	\$0	DELETE
Human Services	COU	521	All	Seminar in Alcohol and Drug Abuse	\$50	\$0	DELETE
Human Services	SPE	521	All	Expanded Core in Visual Impairments	\$50	\$0	DELETE
College of Science & Math							
Department	Current Course	Current Course #	Section	Description	Present Amount	Proposed Amount	Status
Geology	GOL	542	All	Exploration of ORE Resources	\$250	\$0	DELETE

APPROVAL OF RESOLUTION TO ACKNOWLEDGE REVIEW OF INVESTMENT POLICY AND STRATEGY

Explanation:

In accordance with Chapter 2256 of the Texas Government Code, the university's investment policy and strategy must be annually reviewed by the governing board of the institution. In addition, the law requires the governing body to adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and strategy. The resolution presented in Appendix X. acknowledges the board's annual review of Policy 3.21, Investments. Policy 3.21 is included in the policy revisions.

Recommendation:

The administration recommends approval of the Resolution to Acknowledge Review of the Investment Policy and Strategy presented in Appendix F.

BOARD OF REGENTS
OF
STEPHEN F. AUSTIN STATE UNIVERSITY
Nacogdoches, Texas
RESOLUTION TO ACKNOWLEDGE
REVIEW OF INVESTMENT POLICY AND STRATEGY

WHEREAS, The Texas Public Funds Investment Act requires that each university's investment policy and strategy must be annually reviewed by the governing board of the institution; and

WHEREAS, the law also requires the governing body to adopt a written instrument stating that is has reviewed the investment policy and strategy;

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on January 28, 2020, and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 28, 2020 meeting of the board.

Attest:

Signature of Secretary

Signature of Chairman

APPROVAL OF THE RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS

Explanation:

Chapter 2256 of the Texas Government Code requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The following financial institutions and brokers/investment managers are listed in the resolution, submitted in Appendix G: Texas A&M University System, Bank of America, Hilltop Securities, Citizens 1st Bank, Austin Bank, BancorpSouth Bank, Bank of America, Commercial Bank of Texas NA, Southside Bank, Regions Bank, UBank,(formerly Huntington State Bank), Wells Fargo Bank, US Bank, Texas Bank, Texpool, TexSTAR, Texas CLASS, TexasTERM, JPMorgan Chase & Co., Wilmington Trust, N.A., UBS Financial Services Inc., FTN Financial Capital Markets, Stephens Inc., Citigroup Global Markets, Inc., LOGIC, Water Walker Investment, and Prosperity Bank.

Recommendation:

The administration recommends approval of the financial institutions, investment managers and brokers presented in Appendix G.

BOARD OF REGENTS
OF
STEPHEN F, AUSTIN STATE UNIVERSITY
Nacogdoches, Texas

RESOLUTION APPROVING
FINANCIAL INSTITUTIONS AND BROKERS FOR INVESTMENT TRANSACTIONS

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

WHEREAS, the following firms are approved investment brokers:

- Texas A&M University State System
- Bank of America
- Hilltop Securities

WHEREAS, the following firms are approved financial institutions:

- | | |
|--|--------------------------------|
| Citizens 1st Bank | TexSTAR |
| Austin Bank | Texas CLASS |
| BancorpSouth Bank | TexasTERM |
| Bank of America | JPMorgan Chase & Co |
| Commercial Bank of Texas NA | Wilmington Trust, N.A. |
| Southside Bank | UBS Financial Services Inc. |
| Regions Bank | FTN Financial Capital Markets |
| UBank (formerly Huntington State Bank) | Stephens Inc. |
| Wells Fargo Bank | Citigroup Global Markets, Inc. |
| US Bank | LOGIC |
| Texas Bank | Water Walker Investment |
| TexPool | Prosperity Bank |

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the above listed firms for investment transactions by Stephen F. Austin State University; and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 28, 2020 meeting of the board.

Attest:

Chair of the Board of Regents

Secretary of the Board of Regents

Date _____

APPROVAL OF THE RESOLUTION AMENDING AUTHORIZED TEXPOOL REPRESENTATIVES

Explanation:

The university uses TexPool as an investment entity for public fund investments. As a result of university administrative changes, a resolution is necessary to amend authorized institutional representatives. A resolution is presented in Appendix H that revises university authorized investment signatories.

Recommendation:

The administration recommends approval of the TexPool Resolution Amending Authorized Representatives presented in Appendix H.



Resolution Amending Authorized Representatives

Please use this form to amend or designate Authorized Representatives.

This document supersedes all prior Authorized Representative forms.

* Required Fields

1. Resolution

WHEREAS,

Stephen F. Austin State University

Participant Name*

7 | 8 | 0 | 5 | 0

Location Number*

("Participant") is a local government of the State of Texas and is empowered to delegate to a public funds investment pool the authority to invest funds and to act as custodian of investments purchased with local investment funds; and

WHEREAS, it is in the best interest of the Participant to invest local funds in investments that provide for the preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act; and

WHEREAS, the Texas Local Government Investment Pool ("TexPool/ Texpool Prime"), a public funds investment pool, were created on behalf of entities whose investment objective in order of priority are preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act.

NOW THEREFORE, be it resolved as follows:

- A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.
- B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and
- C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

List the Authorized Representative(s) of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

1. Scott Gordon | President

Name

Title

9 | 3 | 6 | 4 | 6 | 8 | 2 | 2 | 0 | 1

Phone

9 | 3 | 6 | 4 | 6 | 8 | 2 | 2 | 0 | 2

Fax

scott.gordon@sfasu.edu

Email

Signature

2. Danny R. Gallant | Vice President of Finance and Administration

Name

Title

9 | 3 | 6 | 4 | 6 | 8 | 2 | 3 | 5 | 0

Phone

9 | 3 | 6 | 4 | 6 | 8 | 7 | 0 | 2 | 7

Fax

dgallant@sfasu.edu

Email

Signature

3. Dannette Sales | Controller

Name

Title

9 | 3 | 6 | 4 | 6 | 8 | 2 | 3 | 5 | 4

Phone

9 | 3 | 6 | 4 | 6 | 8 | 2 | 2 | 0 | 7

Fax

salesdl@sfasu.edu

Email

Signature



Resolution Amending Authorized Representatives

Please use this form to amend or designate Authorized Representatives.

This document supersedes all prior Authorized Representative forms.

* Required Fields

1. Resolution

WHEREAS,

Stephen F. Austin State University

Participant Name*

78050

Location Number*

("Participant") is a local government of the State of Texas and is empowered to delegate to a public funds investment pool the authority to invest funds and to act as custodian of investments purchased with local investment funds; and

WHEREAS, it is in the best interest of the Participant to invest local funds in investments that provide for the preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act; and

WHEREAS, the Texas Local Government Investment Pool ("TexPool/ Texpool Prime"), a public funds investment pool, were created on behalf of entities whose investment objective in order of priority are preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act.

NOW THEREFORE, be it resolved as follows:

- A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.
- B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and
- C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

List the Authorized Representative(s) of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

1. Judith Kruwell | Director of Financial Services
Name | Title

9364684541 | 9364687027 | kruwelljf@sfasu.edu
Phone | Fax | Email

Signature

2. Jessica Barrett | Budget Director
Name | Title

9364682116 | 9364687027 | jbarrett@sfasu.edu
Phone | Fax | Email

Signature

3. Eric Ashworth | Assistant Controller
Name | Title

9364682218 | 9364682207 | ashworther@sfasu.edu
Phone | Fax | Email

Signature

1. Resolution (continued)

4. Michaelyn Greene | Director of Administrative Services
 Name | Title
9 3 6 4 6 8 3 0 0 5 | 9 3 6 4 6 8 7 0 2 7 | greenemf@sfasu.edu
 Phone | Fax | Email

 Signature

List the name of the Authorized Representative listed above that will have primary responsibility for performing transactions and receiving confirmations and monthly statements under the Participation Agreement.

Danny R. Gallant
 Name

In addition and at the option of the Participant, one additional Authorized Representative can be designated to perform only inquiry of selected information. This limited representative cannot perform transactions. If the Participant desires to designate a representative with inquiry rights only, complete the following information.

Pamela Corman | Bursar
 Name | Title
9 3 6 4 6 8 3 9 9 2 | 9 3 6 4 6 8 7 2 1 3 | pcorman@sfasu.edu
 Phone | Fax | Email

D. That this Resolution and its authorization shall continue in full force and effect until amended or revoked by the Participant, and until TexPool Participant Services receives a copy of any such amendment or revocation. This Resolution is hereby introduced and adopted by the Participant at its regular/special meeting held on the 28 day of January, 2020.

Note: Document is to be signed by your Board President, Mayor or County Judge and attested by your Board Secretary, City Secretary or County Clerk.

 Name of Participant*

SIGNED

 Signature*
Brigettee C. Henderson
 Printed Name*
Board of Regents Chair
 Title*

ATTEST

 Signature*
Alton L. Frailey
 Printed Name*
Board of Regents Secretary
 Title*

2. Mailing Instructions

The completed Resolution Amending Authorized Representatives can be faxed to TexPool Participant Services at 1-866-839-3291, and mailed to:

TexPool Participant Services
 1001 Texas Avenue, Suite 1150
 Houston, TX 77002

ORIGINAL SIGNATURE AND DOCUMENT REQUIRED

TEX-REP

TexPool Participant Services
 1001 Texas Avenue, Suite 1150 • Houston, TX 77002
 Phone: 1-866-TEXPOOL (839-7665) • Fax: 1-866-839-3291 • www.texpool.com

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APPROVAL OF ARAMARK CONTRACT AMENDMENT

Explanation:

The university's agreement with Aramark to provide food service on campus contains provisions for a financial commitment to support infrastructure investments over the term of the agreement. Prior to the end of the term of this agreement, an increase in the amount of this financial commitment is necessary to fund a relocation of the Einstein's Bros. in the Steen Library. This renovation should be completed prior to the end of the fall 2020 semester to maintain the high quality food service program our students seek and will provide a key anchor to the renovation of the first floor of the library.

Aramark has agreed to increase their financial commitment by \$1,000,000 to fund this project. An amendment to our current agreement is necessary to account for this addition and the long-term disposition of the investment.

Recommendation:

The administration recommends that the president be authorized to sign an amendment to the existing food service agreement with Aramark, increasing Aramark's financial commitment for food service program renovations by \$1,000,000. The amendment follows, Appendix I.



2400 Market Street
Philadelphia, PA 19103

[DATE], 2020

Dr. Steve Westbrook
Vice President of University Affairs
Stephen F. Austin State University
Box 6101
SFA Station
Nacogdoches, TX 75962

Dear Dr. Westbrook:

This Letter Amendment shall confirm the understanding between you and our representatives that, effective as of _____, 2020, the University Food Service Agreement between **STEPHEN F. AUSTIN STATE UNIVERSITY** (“University”) and **ARAMARK EDUCATIONAL SERVICES OF TEXAS, LLC** (assignee of Aramark Educational Services, LLC) (“Aramark”) effective as of September 1, 2006, as amended (the “Agreement”), shall be further amended as follows:

1. The parties agree that Aramark will provide an additional financial commitment in an amount up to One Million Dollars (\$1,000,000) for the relocation and expansion of the Einstein Bros. Bagels. In accordance with the foregoing, Paragraph 7, Financial Commitment, shall be modified by increasing the “Aggregate New Financial Commitment” from Five Million Five Hundred Five Thousand Dollars (\$5,505,000) to Six Million Five Hundred Five Thousand Dollars (\$6,505,000). Furthermore, a new Financial Commitment Segment line shall be added to the table at Paragraph 7.1 as follows:

Period of Operation	Amount of Financial Commitment Segment	Amortization Period
April 1, 2020 – August 31, 2020 (construction period)	\$1,000,000	10 years

Notwithstanding anything to the contrary in the last sentence of Paragraph 7.1, amortization of the Financial Commitment Segment above shall commence upon the complete expenditure of such Financial Commitment Segment or August 31, 2020, whichever occurs first.

Lastly, Appendix E, USE OF FINANCIAL COMMITMENT OUTLINED IN SECTION 7, shall be modified with the following addition:

Period: April 1, 2020 – August 31, 2020 (anticipated opening date in late August 2020)

Financial Commitment: \$1,000,000

Amortization Period: 10 Years

Interest Rate Charged During Amortization Period: 0%

Disposition of funds not expended during this time period: Will be maintained by Aramark and applied to the next mutually agreed upon project.

Use: The Contractor and the University will mutually agree upon how these funds will be used to relocate and expand the Einstein Bros. Bagels.

ZA-558884

[DATE], 2020

Page 2

In all other respects the Agreement shall remain in full force and effect.

If the foregoing is in accordance with your understanding, please sign and date a copy of this Letter Amendment and return it to Aramark at your convenience.

Very truly yours,

ARAMARK EDUCATIONAL SERVICES OF TEXAS, LLC
("Aramark")

By: _____

Christian Dirx
Vice President

The above is accepted and agreed to this _____ day of _____, 2020.

STEPHEN F. AUSTIN STATE UNIVERSITY ("University")

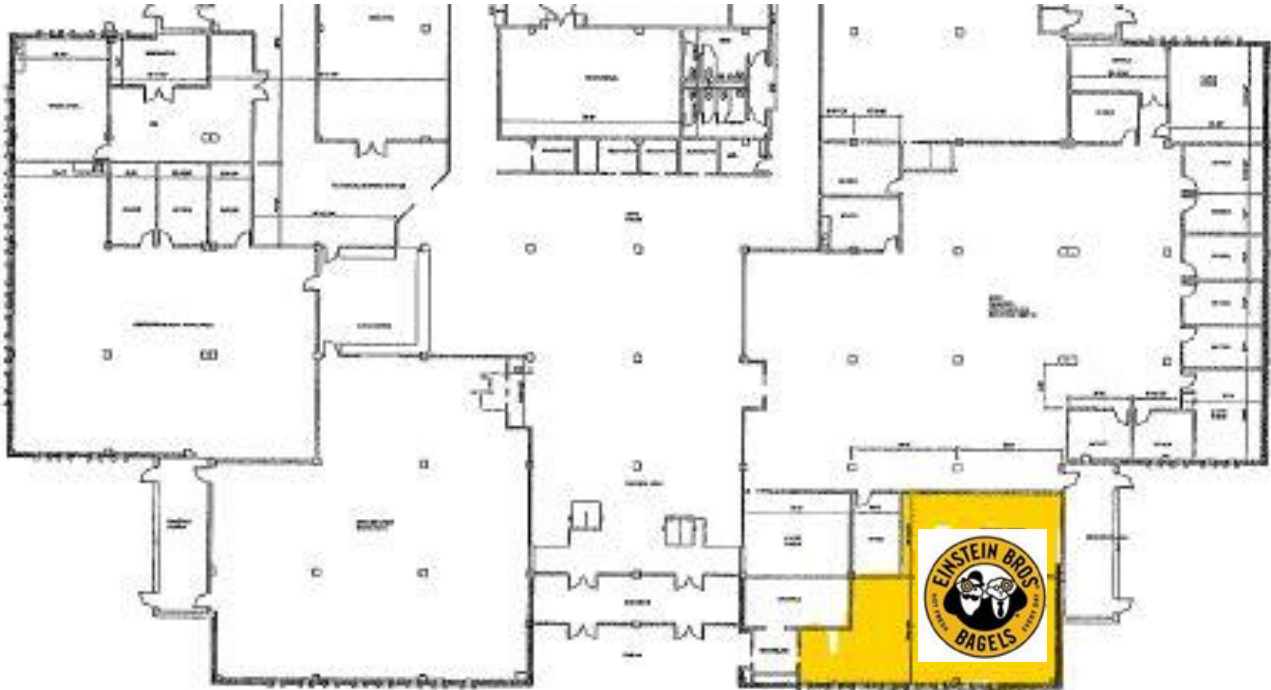
By: _____

Name:
Title:

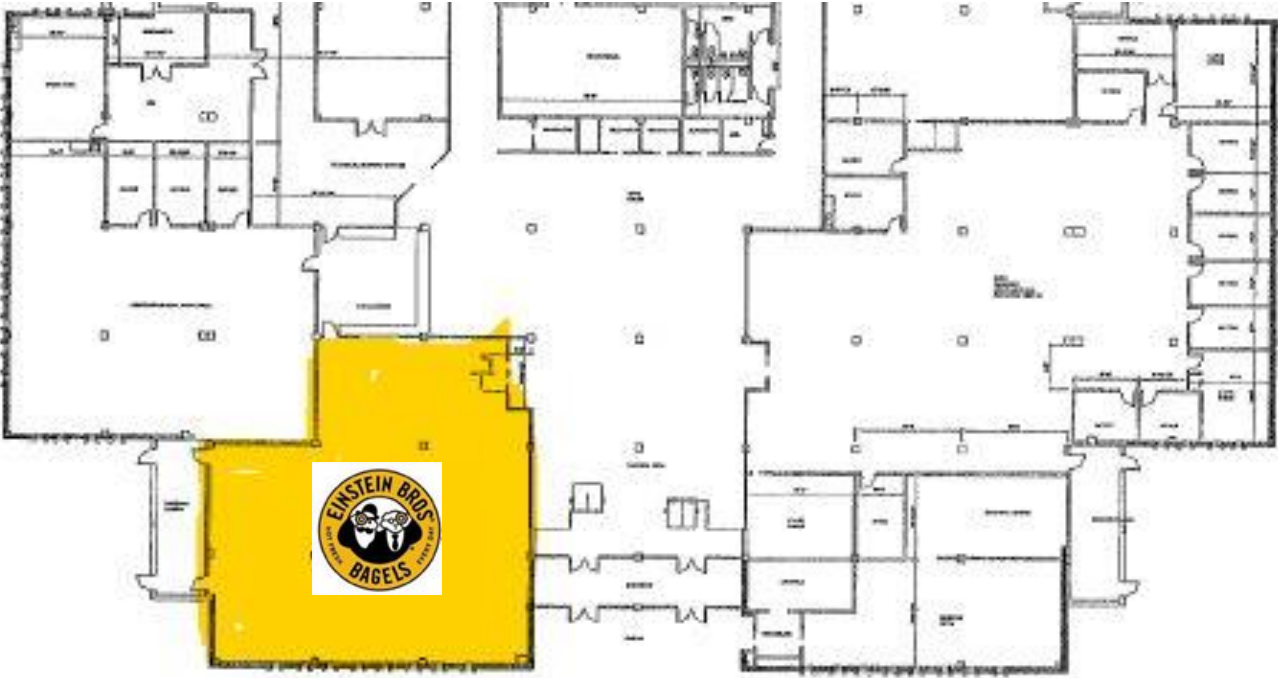
Ralph W. Steen Library

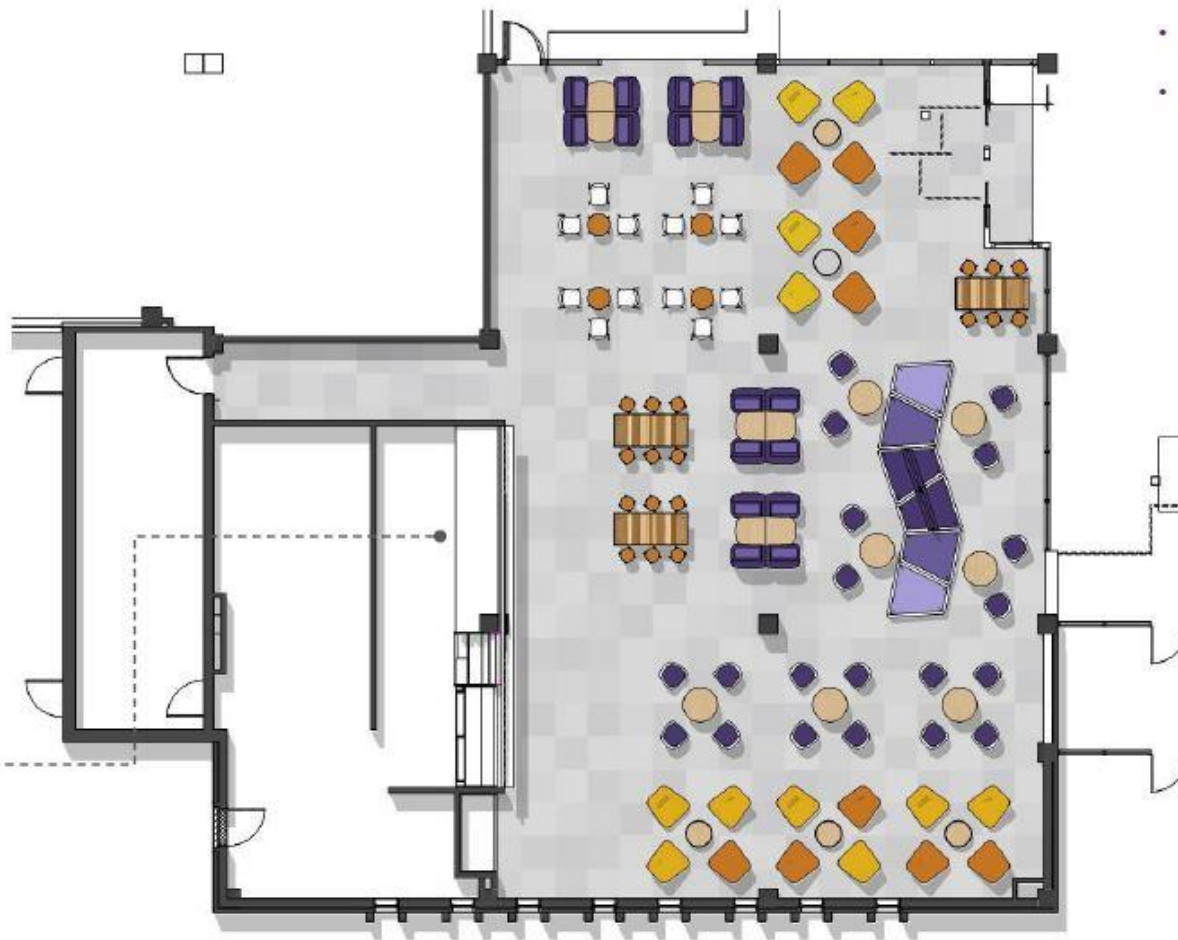


Ralph W. Steen Library



Ralph W. Steen Library





- CREATION OF NEW EINSTEIN'S BROS. BAGEL
- VARIETY OF LOUNGE AND COLLABORATION SEATING

SEAT COUNT
INTERIOR = 92



STEPHEN F AUSTIN UNIVERSITY
EINSTEIN'S BROS. BAGEL PLAN





**STEPHEN F AUSTIN UNIVERSITY
EINSTEIN'S BROS. BAGEL PERSPECTIVE**



APPROVAL OF FY2020-21 BOARD RATES

Explanation:

Projected food service operating costs support the need for revised board rates for the 2021 fiscal year.

Pursuant to the relevant provisions of our food service contract, the administration and ARAMARK annually negotiate necessary rate increases for the upcoming fiscal year. Our contract uses the percentage increase in the Food and Beverage element of the Consumer Price Index (CPI) published by the Bureau of Labor Statistics, U. S. Department of Labor, for urban consumers ("CPI-U") in the South as a benchmark for any rate increase considered.

The proposed board rates for fiscal year 2021 are presented in the following appendix and reflect a 3.3% increase in the board plans.

These revised rates will become effective for the fall semester of 2020.

Recommendation:

The administration recommends approval of a 3.3% increase for ARAMARK services for FY2021 as presented in Appendix J.

Stephen F. Austin State University
Board Rates for 2020-2021

Meal plans (rates include sales tax)

Resident	All Access Premium w/\$275 \$2,059	All Access w/\$50 \$1,858	7/14 Premium w/\$350 \$2,008	Basic 7/14 w/\$125 \$1,807
Summer Resident	7/14 w/\$75 \$663	7/20 w/\$50 \$830		

APPROVAL OF FINANCIAL AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Finance and Audit Committee will consider: budgeting and appropriations request processes; 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; handling of university funds, depositories, etc., whether from appropriated or contributed funds; and the auditing function of the university including, but not limited to, annual audit plan, internal and external audit reports, risk assessment, and audit/compliance issues.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented:

Central Receiving 17.2
Fair Labor Standards 11.14
Gifts, Loans, Endowments and Bequests 3.17
Investments 3.21
Investments – Endowment Funds 3.20
Prompt Payment to Vendors 17.13
Property Liability 16.22
Proprietary Purchases 17.15
Purchase of Surplus Property 17.17
Safe and Vault Combinations 14.9
Student Fiscal Appeals 6.19

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Central Receiving

Policy Number: 17.2

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): The policy establishes guidelines and responsibilities when receiving supplies and equipment purchased 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:

Specific rationale for each substantive revision: Penalties clarified for failure to complete procedures. Other minor wording changes and clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Central Receiving

Original Implementation: Unpublished

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy establishes guidelines and responsibilities when receiving supplies and equipment purchased for the university.

General

All supplies and equipment purchased for the university are to be delivered through central receiving to ensure uniform handling of freight claims, accurate entry of receiving information, and necessary elements of institutional control. The following purchases are excluded from this requirement: -

1. items being delivered under delegated purchase authority to the library, Stone Fort Museum, or departments using p-cards or rush orders;
2. items that require installation by the contractor *or vendor*; and
3. items specifically authorized by the Department of Procurement and Property Services

It is the responsibility of the department taking receipt of goods or services to immediately complete a Receiving Form for Purchase Orders online for all deliveries of goods or services *purchased through a purchase order*. See the ~~Purchase Order Receiving Manual~~ manual for detailed instructions for receiving purchase orders. Timely entry of receiving information is essential to avoid late payment penalties, and to effectively handle freight claims, shortages, or discrepancies.

Failure to promptly complete a Receiving Form for Purchase Orders or notify central receiving of damages or shortages may result in the inability to return goods, higher restocking fees, or liability for late payment penalties. The payment of any such penalties will be made from the account(s) that funded the original purchase.

Delivery of Vehicles

All vehicles *must be delivered to central receiving to verify that specifications have been met, and to complete required documentation and tagging by the property manager. Vehicles will be delivered to the transportation manager for identification as a state vehicle and recording state vehicle fleet management plan information.* ~~will be checked for meeting specifications, tagged by the property manager, and delivered to the transportation manager for identification as a state vehicle and recording state vehicle fleet management plan information.~~

Delivery of Other Goods

Other goods delivered to central receiving will be examined for damages and the contents of the shipment compared against the purchase order. Damages or discrepancies will be noted on the bill of lading. Central receiving will handle the filing of claims with the freight company for any freight

damages or quantity discrepancies. Central receiving will create a receiver document and delivery log in the university's financial system and schedule delivery to the requisitioning department, with the exception of computers which will be delivered to the appropriate tech shop for deployment.

Other goods delivered to the requisitioning department will be examined for damages and the contents of the shipment compared against the purchase order or procurement card (p-card) receipt. Damages or discrepancies should be reported immediately to central receiving for claims processing.

~~Upon receipt of goods, central receiving will:~~

- ~~1. count and examine all cartons for visible damage, create a receiver document and delivery log in the university's financial system, and note any discrepancies on the bill of lading;~~
- ~~2. deliver all packages, boxes, crates, etc., (except those requiring property tagging, special equipment or manpower for moving) within 24-48 hours to the requisitioning department; and~~
- ~~3. handle the filing of claims with the freight company for any freight damages or shortages.~~

~~Upon receipt of goods from central receiving, the department will:~~

- ~~1. check contents of shipment against original purchase order and complete a Receiving Form for Purchase Orders online; and~~
- ~~2. notify central receiving immediately of any damages or shortages that could not be identified by central receiving.~~

~~Upon receipt of goods or services directly from the vendor, the department will:~~

- ~~1. count and examine all cartons for visible damage and note any discrepancies on the bill of lading;~~
- ~~2. check contents of shipment against original purchase order and complete a Receiving Form for Purchase Orders online; and~~
- ~~3. notify central receiving immediately of any damages or shortages.~~

~~Failure to promptly complete a Receiving Form for Purchase Orders online or notify central receiving of damages or shortages may result in:~~

- ~~1. the inability to return goods,~~
- ~~2. higher restocking fees, or~~
- ~~3. payment for the goods or services and a liability for late payment penalties. The payment of any such penalties will be made from the account(s) that funded the original purchase.~~

Outgoing Freight

Outgoing freight may be dispatched through central receiving to ensure proper documentation, packing, and labeling. Clear indication of shipment value should always be made on the package or on the accompanying documentation. A special notation should be made when insurance is desired. Contact central receiving for additional instructions or assistance in handling outgoing freight.

Cross Reference: Purchase Order Receiving Manual

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: [Receiving Form for Purchase Orders](#)

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Fair Labor Standards

Policy Number: 11.14

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): Policy outlines the requirements of complying with the Fair Labor Standards Act (FLSA)

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 word change.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta C. Doty, Director of Human Resources
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Fair Labor Standards

Original Implementation: February 3, 2005

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy affirms Stephen F. Austin State University's intent to comply with the Fair Labor Standards Act (FLSA) and related federal and state laws.

Definitions

Nonexempt Employees - Nonexempt employees ~~are will be~~ paid only for actual hours worked unless they receive benefits under the university's leave policies.

Exempt Employees - Exempt employees are paid on a salary basis and, in general, must be paid their full salary for any week in which they perform work. Their pay may be reduced only under the circumstances described below.

General

All faculty, staff, and student employees of SFA are covered by the FLSA, although certain classes of employees are exempt from its overtime pay and minimum wage requirements. An employee's rights under the FLSA may not be waived. No employee may agree, even voluntarily, to work in violation of the FLSA. SFA pays all employees, including student workers, at least the federal minimum wage prescribed by the FLSA.

Determination of Exemption Status of Employees

Each employee's overtime pay and minimum wage coverage under the FLSA (exempt, nonexempt) must be determined on an individual basis in accordance with the terms of the federal regulations. The director of human resources should be consulted when questions arise concerning an employee's status under the FLSA.

Graduate students who are simultaneously performing research under grants and contracts, are teaching as their primary duty, and are fulfilling the requirements of an advanced degree are exempt from overtime pay and minimum wage requirements.

Overtime

The FLSA and state law govern the handling of overtime work. See SFA policy Overtime and Compensatory Time (12.14) for more information.

Deductions to Pay for Exempt Employees

Exempt employees are paid on a salary basis and, in general, must be paid their full salary for any week in which they perform work. Their pay may be reduced only in the following circumstances:

1. Employees who are absent from work at least one or more full days for sickness or disability will not be paid for that day unless they have accrued benefits under SFA's leave policy or disability policy. Their pay will not be reduced if they are absent for less than a full day because of sickness or disability.
2. Employees who take leave under the Family and Medical Leave Act will not be paid for that time unless they have accrued benefits under the university's leave policies. Their pay will be reduced by the hours missed even if it is less than a full day.
3. Employees who are absent from work for at least a full day for personal reasons other than sickness or disability will not be paid for that day unless they have accrued leave available. If an employee is absent for less than a full day for personal reasons, his or her pay will not be reduced.
4. Employees who are absent from work for jury duty, attendance as a witness at a trial or temporary military leave will have their pay reduced by the amount of payment they receive in the form of jury fees, witness fees, or military pay. Their pay will not be reduced by the number of hours or days they are absent from work unless they perform no work in a given week.
5. If an employee violates a safety rule of major significance, their pay may be reduced in an amount to be determined by the director of human resources as a penalty for that violation.
6. Employees may be suspended without pay for other types of workplace misconduct, but only in full-day increments. Their pay will be reduced in an amount that is proportionate to the number of days suspended. See the university's policy 11.4, Discipline and Discharge.
7. Employees who work less than 40 hours during their first or last week of employment will be paid a proportionate part of their full salary for the time actually worked.

Improper Deductions from Pay

It is SFA's policy to comply with the salary basis requirements of the FLSA. Therefore, the university prohibits all supervisors from making improper deductions from salaries of exempt employees. SFA wants employees to be aware of this policy and that the university does not allow deductions that violate the FLSA.

Equal Pay for Equal Work under the FLSA

SFA employees are covered by the Equal Pay Act, an amendment to the FLSA, that prohibits gender-based wage differentials between persons employed in the same location on jobs that require equal skill, effort, and responsibility and that are performed under similar working conditions. Jobs need only be substantially equal, not identical, for comparison purposes. The law permits differences in pay based on factors other than gender such as bona fide seniority or merit systems or systems that reward productivity.

Employment of Minors

The FLSA prescribes at what age and in which types of occupations minors can be employed. Federal regulations also limit hours of work for certain age groups. A list of prohibited occupations and other restrictions on employment of minors is available from the director of human resources.

To protect SFA from an unwitting violation of the age restrictions, human resources must obtain and keep on file a Minor's Employment Release form (HR-200) if the person being employed is younger than 18 years of age. In addition, human resources must obtain and keep on file a Federal Certificate of Age issued by the U. S. Department of Labor (*DOL*), a state Certificate of Age issued by the Texas Workforce Commission or other proof of age acceptable to the director of human resources for any person offered employment when there is any reason to believe the person being employed is younger than 19 years of age.

Administration

The director of human resources is responsible for administering and answering questions on the FLSA. Inquiries as well as requests for special exemptions should be submitted to the director of human resources.

The human resources office is responsible for posting, and keeping posted, notices pertaining to the applicability of the FLSA. These notices, which can be obtained from the ~~Department of Labor~~ *DOL*, are to be displayed in conspicuous places to facilitate observation by all employees.

The human resources office is also responsible for ensuring that all FLSA- and DOL-required records are maintained.

Appeal Process

If an employee feels the university has violated any of the above regulations under the Fair Labor Standards Act the employee may, without prejudice or fear of retaliation, express his/her appeal to their supervisor or the director of human resources. Those regulations include the minimum wage provisions, determination of exemption status of an employee, overtime provisions, deductions to pay for exempt employees, improper deductions from pay, equal pay for equal work provision, and the employment of minors. The complaint will be investigated by human resources and they will render a decision. If the employee is not satisfied with that decision, they can appeal to the vice president for the area involved who shall obtain input from the general counsel before making a final decision.

If an investigation results in a determination that improper pay has been awarded, the university will rectify the under-awarded pay amounts through this appeal process. Each employee is assured freedom from interference, coercion, discrimination and reprisal in filing appeals.

Cross Reference: Fair Labor Standards Act, 29 U.S.C. § 201 et. seq.; Overtime and Compensatory Time (12.14); Discipline and Discharge (11.4)

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: Gifts, Loans, Endowments, and Bequests

Policy Number: 3.17

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

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

Unit(s) Responsible for Policy Implementation: Vice President for University Advancement

Purpose of Policy (what does it do): Guidelines for soliciting, accepting, acknowledging and using gifts, endowments and bequests made to the university.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: To clarify internal procedures related to primary source of contact for stewardship and solicitation of funds. To change amounts to be consistent with items requiring Board of Regents approval. To include reference to the Office of Development performing support functions for the real estate foundation.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Gifts, Loans, Endowments, and Bequests

Original Implementation: July 18, 1981

Last Revision: ~~April 30, 2019~~ January 28, 2020

Authority to accept gifts, loans, endowments and bequests made to Stephen F. Austin State University is vested in the president of the university by the Board of Regents. Gifts, loans, endowments and bequests to any entity of the university should be reported through normal administrative channels.

The president of the university has been authorized to accept gifts under the following conditions:

1. A gift, loan, endowment or bequest which may require commitment of funds, personnel, space or other resources shall be approved by the president prior to any commitment or action on behalf of the university.
2. The university is authorized, with prior approval of the president and ratification by the Board of Regents, to accept gifts or devises of real property for the establishment of scholarships, professorships and other trusts for educational purposes provided such property will not require appropriations by the legislature for operation, maintenance, repair or construction of buildings.
3. Privacy of donor identity may be granted by the university with the exceptions noted by the Public Information Act or the Internal Revenue Service when public recognition is not desired by the donor.

The terms under which any loan, endowment or bequest is offered and accepted shall be provided in a written agreement between the donor and the university. The general counsel's office shall review any bequests made to the university prior to acceptance by the president. All original deeds of trust, wills, endowments, original records, etc., should be forwarded to the Office of Development for safekeeping.

The Office of Development is the primary source of contact with ~~people in the private sector~~ *non-university personnel or entities for development-related purposes, including but not limited to stewardship and solicitation of ~~soliciting private~~ funds.* No individual or company may be solicited for any gift, loan, endowment, or bequest by any member of the faculty or staff of the university until that individual has presented the Office of Development with a copy of the proposal or request for funds and has received approval thereof.

Research grants or performance contracts which are privately funded are administered through the Office of Research and Sponsored Programs, and are not under the provisions of this policy.

Solicitation of Gifts

The Office of Development is responsible for soliciting, coordinating, approving and reporting all gifts and fundraising efforts. This includes both projects and proposals initiated by the Office of Development and those initiated elsewhere within the university and its related entities. To fulfill its mission, the Office of Development must be kept informed in a timely fashion on all actions related to fundraising.

1. All university departments, including faculty, staff, students, student organizations (as per policy 10.9, Student Organization Formation and Recognition) and affiliated 501(c)(3) entities are responsible for coordinating and clearing all fundraising projects funded by individuals, foundations and corporations in advance of the fundraising projects in writing. All fundraising projects shall comply with SFA policies and procedures, as well as federal and state laws.
2. If any faculty member, staff member, student or student organization receives any unsolicited question from a prospective donor regarding a possible gift to the university or the Stephen F. Austin State University Foundation, Inc., the Office of Development should be notified of the inquiry as soon as possible following the initial contact.

Acknowledgment of Gifts

In order to ensure accurate recording of all private support for the university and to properly acknowledge donors' gifts, the Office of Development will coordinate the acknowledgment of gifts.

1. All offices are responsible for forwarding any gifts received to the Office of Development for receipting and reporting purposes or to the bursar's office (as per policy 3.16, Gift Reporting). This will ensure accurate recording of all support for the university, fulfill the receipting requirements of the Internal Revenue Service, and properly acknowledge that support. Further, all gifts and any accompanying correspondence, instructions, etc., are to be forwarded to the Office of Development for processing. Gifts-in-kind such as equipment, furniture and art objects are to be reported in writing to the Office of Development via the Gifts-in-kind form.
2. Any written statement concerning tax deductibility of contributions must be reviewed and approved by the Office of Development.

Use of Gifts, Loans, Endowments and Bequests

Gifts, loans, endowments and bequests made to Stephen F. Austin State University shall be used for the purpose designated by the donor. If a purpose is not specified by the donor, and the amount of the gift is ~~\$100,000~~ \$500,000 or more, utilization shall be as directed by the Board of Regents

after consideration of recommendations by the president and the vice president for development. If a purpose is not designated, and the amount of the gift is less than ~~\$100,000~~\$500,000, utilization shall be as directed and approved by the president of the university.

Gifts received by the university and made payable to the Stephen F. Austin State University Foundation, Incorporated, should be forwarded to the Office of Development for transfer and deposit to the foundation. No gifts or bequests to the university may be transferred to the Stephen F. Austin State University Foundation, Inc. or the Stephen F. Austin State University Alumni Association, Inc. without petitioning a court of competent jurisdiction, as outlined under state law. Funds gifted to the university for a restricted purpose are considered a charitable trust. Legal title to such funds cannot be transferred to other entities, except as noted above.

Under the authority of the Board of Regents, the vice president for finance and administration of Stephen F. Austin State University is empowered to negotiate and execute the sale of marketable securities donated to the university when such sale is directed or allowed by the donor of said securities. The proceeds of such sale shall be promptly deposited into a university account, to be used as indicated by the donor. All in-kind gifts of ~~\$100,000~~-\$500,000 or more and all real estate gifts (excluding gifts managed by the SFA Real Estate Foundation) would require specific approval by the Board of Regents for liquidation to a university cash account.

Restrictions on the expenditure of gift funds generally reside within the following three criteria:

1. A gift must be expended in accordance with the donor's wishes.
2. The expenditure of the gift funds must be for the demonstrable good of the university.
3. The expenditure must provide no private gain to either the donor or the person controlling the expenditure of the funds.

The use of gift funds must meet all three criteria collectively. Some specific examples of expenditures from unrestricted gifts that may be for the demonstrable good of the university, without private gain for the individual expending the funds, are as follows:

1. awards that recognize or promote faculty development, excellence in teaching, academic achievement, athletic achievement, scholarship, or service;
2. costs related to the promotion of the communication of intellectual ideas among students, faculty, staff and administrators of the university;
3. support of student events and activities sponsored by the university;
4. the recruitment of highly qualified students, faculty and staff;
5. costs related to the promotion of the exchange of ideas with community leaders regarding the role of the university and its programs in the community;
6. costs related to the conduct of accrediting agency visits, visits by other officials from other institutions or representatives outside higher education;
7. costs related to the support of continuing education activities.

Examples of expenditures which may not meet the criteria established are as follows:

1. any expenditure that violates the restriction placed on the gift by the donor;
2. the procurement of private property for the personal, unofficial use of any faculty or staff member;
3. donations or other payments to a political party;
4. any other expenditure expressly prohibited by law.

Questions concerning an expenditure meeting these criteria should be referred to the Office of Development.

Real or personal property acquired through gifts, loans, endowments or bequests is subject to the same management requirements as other state property. Disposal of any property acquired through gifts, loans, endowments or bequests shall be handled in accordance with state law and applicable university policies and procedures. Property acquired through gifts, loans, endowment or bequest cannot be disposed of, sold, or transferred without written permission from the Office of Development and the president.

Conflict of Interest

No employee of the university may accept any gift, loan, endowment, or bequest the purpose of which is to establish or be used, in whole or in part, as a salary supplement for him/herself.

Publicity

The Office of Development, in coordination with the faculty/staff contact person, the donor, and the Office of University Marketing Communications, is responsible for coordinating all publicity related to gifts.

Matching Gifts

Certain foundations and companies provide gifts to the university which match contributions made by their employees. For tax purposes, certification is required from the university that the gift of the employee has been received. The matching gift forms, which certify receipt of the gift, require the signature of the executive director or associate director of development.

Foundation Support

The Office of Development has the responsibility of performing certain support functions for the Stephen F. Austin State University Foundation, Inc. *and the SFA Real Estate Foundation, Inc.* This includes receiving, receipting, acknowledging, and reporting gifts received by ~~the~~ *either* foundation, as provided in the Agreement between Stephen F. Austin State University and the Stephen F. Austin State University Foundation, Inc. *and the Agreement between Stephen F. Austin*

State University and the SFA Real Estate Foundation, Inc.

Library

Unrestricted gifts of books and other library related materials to Stephen F. Austin State University, not to include equipment such as tape recorders, etc., will not require the usual approval process as authorized in this policy (See Library Gifts, 4.11.3).

Definitions

1. Gift. A gift includes the gratuitous transfer of cash, cash equivalents such as securities and negotiable instruments, and real or personal property which generates income or may be sold for cash, for the purpose of enhancing the university and its programs, without expectation of specific benefit by the donor.
2. Loan. Real or personal property furnished for the temporary use of the university.
3. Endowment. An endowment is comprised of a gift, in which the donors have stipulated that the principal must be invested and only the income used to fund a project or need. The principal remains intact in perpetuity, thereby continuing to generate income to be used by the university. Endowment funds are classified into four different categories:
 - a. Permanent Endowments. These endowments are sometimes referred to as "true" or "pure" endowments and are assets designated by the donor to be held in perpetuity. If specifically stated in writing by the donor, the corpus assets of this category of endowments may never be spent and income derived must be expended in accordance with the written terms and conditions established by the donor and the university. Otherwise, the governing board may appropriate for expenditure, for the uses and purposes for which the fund is established, the net appreciation, realized and unrealized, in the fair market value of the assets of an endowment fund over the historic dollar value of the fund to the extent allowed under the University Management of Institutional Funds Act or other applicable law.
 - b. Term Endowment. In this category of endowments, the donor has specified that following a particular date or event, the assets of the endowment may be expended in accordance with the terms and conditions as specified. Until the passage of the specific date or event, this type of endowment will operate in a manner similar to the permanent endowment with the income used in accordance with the written terms and conditions established by the donor and the university.
 - c. Quasi-Endowments or Quasi-Funds. The Board of Regents may, with formal action, set aside certain institutional funds to be maintained as endowments. The formal action by the Board of Regents will specify the use of the assets and income derived, and set other terms and conditions relating to the fund. The Board of Regents may, with formal action, change the terms and conditions of the endowment including cessation of the endowment and the return of the assets to the original source of funding, or change the use or purpose as may be appropriate

and authorized by law.

- d. Funds Held in Trust by Others. Some donors may choose to make income from endowment-type funds available to the university, but will leave the possession of the assets in trust with a third party. In this case, the endowment is not recorded as an asset of the university. In accordance with the Generally Accepted Accounting Principles (GAAP), the existence of the trust must be disclosed in the notes to the university's financial statements.

Amounts associated with fundraising necessary for naming consideration are outlined in the university's Overview of Naming Guidelines and Procedures, available in the office of the vice president for university advancement.

Cross Reference: Tex. Educ. Code §§ 51.001-.009, 95.34, Ch. 101; Uniform Prudent Management of Institutional Funds Act, Tex. Prop. Code Ch. 163; Uniform Prudent Investor Act, Tex. Prop. Code Ch. 117; Texas Public Funds Investment Act, Tex. Gov't Code Ch. 2256; Gift Reporting (3.16); Library Gifts (4.11.3); Student Organization Formation and Recognition (10.9); Overview of Naming Guidelines and Procedures.

Responsible for Implementation: Vice President for University Advancement

Contact for Revision: Vice President for University Advancement

Forms: Gift-in-Kind Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments

Policy Number: 3.21

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

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

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

Purpose of Policy (what does it do): The policy establishes guidance for the investment of all university funds that are governed by the Public Funds Investment Act and certain portions of TEC.

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 and formatting changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Judi Krewell, Director of Financial Service
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Investments

Original Implementation: April 30, 1996

Last Revision: ~~January 29, 2019~~ January 28, 2020

Purpose

This policy establishes guidance for the investment of all university funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act, and certain portions of the Texas Education Code. Endowment funds are invested in accordance with Investments – Endowment Funds policy (3.20) approved by the Board of Regents (board) annually. Quasi-endowment funds that are considered to be public funds will be governed by this policy.

Definitions

Short-Term investments have a maturity of less than 90 days. Funds needed to meet short-term operating requirements will be primarily invested in either investment pools or overnight sweep accounts established with banking institutions. The benchmark is the average three-month Treasury bill yield.

Intermediate-Term investments have a maturity of 90 days to one year. United States Treasury and Agency securities, or United States Agency Discount Notes are the primary investment vehicles. United States Treasury securities are preferable because of their low risk and the ease with which they are traded. The benchmark is 95 percent of the average one-year Treasury bill yield.

Long-Term investments have a maturity over one year. United States Treasury and Agency securities are the primary investment vehicles. The 30 Year Treasury Bond rate is the benchmark for long term funds.

General

Stephen F. Austin State University invests the public funds in its custody with primary emphasis on the preservation and safety of the principal amount of the investment. Secondly, investments must be of sufficient liquidity to meet the day-to-day cash requirements of the university. Finally, the university invests to maximize yield within the two previously indicated standards. All investments within this policy conform to all applicable state statutes and local rules governing the investment of public funds.

Objectives

The foremost objective of all investment decisions shall be safety of principal. All investments must be undertaken with the fiduciary responsibility associated with that of a reasonable and prudent person. Investments must be in accord with Texas law. Investment maturity must be diversified to match the university's liquidity requirements and to meet all reasonably anticipated operating requirements. Investments shall incur no unreasonable risk in order to maximize potential income. Investments may be diversified in order to respond to changing economic and/or market conditions. No investments within the portfolio or investment practices conducted to effect investment activities shall violate the terms of this policy.

Investment Strategy

3.21 Investments

Page 1 of 9

All investments will be made in accordance with the university's investment policy. Investments may be diversified as needed to support the university's financial requirements. The preservation and safety of principal is the first priority, however, it is recognized that unrealized losses will occur in a rising interest rate environment, just as unrealized gains will occur during periods of falling interest rates. Investments will be structured to provide sufficient liquidity and marketability to meet operating requirements. The investment portfolio may be diversified with authorized securities to accommodate changing market conditions. An investment decision shall consider yield only after the requirements for principal preservation, liquidity, and marketability have been met.

All securities transactions, including collateral for repurchase agreements, but excluding mutual funds and investment pools, must be settled on a delivery versus payment basis.

An investment strategy may include investment pooling with another public institution as authorized in Texas Education Code Sec. 51.0031. Funds invested with another institution that meets guidelines established by Sec. 51.0031 will be managed in accordance with prudent person investment standards.

Investment Authority

The vice president for finance and administration, the director of financial services, and the director of administrative services shall be designated as the university's investment officers and are responsible for the duties outlined herein. The names and titles of the investment officers shall be filed with the Board of Regents. Changes of names and/or titles must be filed with the Board of Regents as they occur. The vice president for finance and administration, the director of financial services, and the director of administrative services may only invest funds regulated by this policy and purchase securities authorized by this policy.

The board may contract with an investment management firm registered under the Investment Advisers Act of 1940 or with the State Securities Board to provide for the investment and management of public funds under its control.

The board may contract with another institution(s) to invest all or part of the university's funds in accordance with Texas Education Code Sec. 51.0031.

Investment Responsibilities

The vice president for finance and administration is responsible for investment management decisions and activities. The vice president for finance and administration delegates the day-to-day management of the investment activities to the director of financial services or the director of administrative services.

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

The vice president for finance and administration shall develop and maintain written administrative procedures and guidelines for the operation of the investment program which are consistent with and part of this Investment policy (Appendix B).

The vice president for finance and administration may establish an investment committee. The committee may review investment reports, monitor investment activity or review and revise qualified investment brokers that are eligible to serve in an investment capacity for the university. The chair of the Board of Regents may designate a board member to serve as a liaison on the investment committee.

Prudence

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

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

Investment Guidelines

Authorized Investments: All university funds and funds held in trust for others may be invested in the securities listed below and/or pooled with another institution of higher education as authorized in Texas Education Code Sec. 51.0031. For investments exclusive of funds authorized by Sec. 51.0031, credit rating requirements will be monitored at least monthly. If or when a rating drops below the established minimum, the investment will be liquidated as soon as prudently possible. Authorized securities include:

- a. obligations, including letters of credit, of the United States of America, or its agencies and instrumentalities;
- b. direct obligations of the state of Texas or its agencies and instrumentalities;
- c. collateralized mortgage obligations directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America;
- d. other obligations, the principal and interest of which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, the state of Texas or the United States of America or their agencies and instrumentalities, including obligations that are fully guaranteed or insured by the Federal Deposit Insurance Corporation or by the explicit full faith and credit of the United States;
- e. obligations of states, agencies, counties, cities, and other political subdivisions of any state rated as to investment quality by a nationally recognized investment rating firm of not less than A or its equivalent;
- f. *interest-bearing banking deposits that conform to Sections 2256.009(7) and 2256.009(8) of the Texas Government code;*
- f.g. certificates of deposit and share certificates issued by a depository institution that conforms to Section 2256.010 of the Texas Government Code.
- g.h. fully collateralized repurchase agreements that conform to Section 2256.011 of the Texas Government Code;
- h.i. bankers' acceptances that conform to Section 2256.012 of the Texas Government Code;
- i.j. commercial paper that conforms to Section 2256.013 of the Texas Government Code; no-load money market mutual funds and no-load mutual funds registered and regulated by the Securities

- and Exchange Commission and conform to Section 2256.014 of the Government Code;
- ~~j-k.~~ guaranteed investment contracts that conform to Section 2256.015 of the Government Code;
- ~~k-l.~~ investment pools that conform to Sections 2256.016 and 2256.019 of the Government Code;
- ~~l-m.~~ cash management and fixed income funds sponsored by organizations exempt from federal income taxation under Section 501(f), Internal Revenue Code of 1986 (26 U.S.C. Section 501(f));
- ~~m-n.~~ negotiable certificates of deposit issued by a bank that has a certificate of deposit rating of at least 1 or the equivalent by a nationally recognized credit rating agency or that is associated with a holding company having a commercial paper rating of at least A-1, P-1, or the equivalent by a nationally recognized credit rating agency;
- ~~n-o.~~ corporate bonds, debentures, or similar debt obligations rated by a nationally recognized investment rating firm in one of the two highest long-term rating categories, without regard to gradations within those categories.

Unauthorized Investments: The following investments are prohibited:

- a. obligations whose payment represents the coupon payments on the outstanding principal balance of the underlying mortgaged-backed security collateral and pay no principal;
- b. obligations whose payment represents the principal stream of cash flow from the underlying mortgage-backed security collateral and bear no interest;
- c. collateralized mortgage obligations that have a stated final maturity date of greater than 10 years; and
- d. collateralized mortgage obligations with an interest rate determined by an index that adjusts in an opposite direction to the change in a market index.

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

Category	Maximum
U. S. Treasury securities and securities having principal and interest guaranteed by the U. S. Government	100%
U. S. Government agencies, instrumentalities and government sponsored enterprises (excluding mortgage backed securities)	50%
Collateral mortgage backed securities	25%
Fully insured or collateralized certificates of deposit	100%
Bankers' acceptances	25%
Commercial paper	50%

Repurchase agreements	100%
Registered money market funds	80%
Local Government Investment Pool	100%
Corporate Bonds	50%

The vice president for finance and administration may diversify investment maturity to limit interest rate risk. Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity of an investment the greater the sensitivity of its fair value to changes in market interest rates. To the extent possible, investment maturity will be matched with anticipated cash flow requirements. Matching maturity and cash flow requirements will minimize occasions for sale of securities prior to maturity, thereby reducing market risk. However, no provision of this policy shall be interpreted as prohibiting the sale of any security prior to maturity, provided that it is in the university's financial interest to sell the security.

The maximum stated maturity date of any security may not exceed ten years, and the weighted average duration of the portfolio shall not exceed five years without approval by the vice president for finance and administration and ratification by the Board of Regents. No officer or designee may engage in an investment transaction except as provided under terms of this policy as approved by the Stephen F. Austin State University Board of Regents.

Credit risk is the risk that an issuer or counterparty to the investment will not fulfill its obligations to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. To limit credit risk, this policy limits investments in corporate bonds, debentures or similar debt obligation to the two highest long-term rating categories.

Insurance or Collateral: All depository bank accounts shall be secured by a pledge of collateral with a market value equal to no less than 100% of the deposits plus accrued interest less any amount insured by the FDIC. Pledged collateral must conform to Chapter 2257 of the Government Code, Collateral for Public Funds. Evidence of the pledged collateral associated with depository bank accounts shall be maintained by the director of financial services or the director of administrative services. Collateral shall be reviewed monthly by the controller and the director of financial services or the director of administrative services to assure the market value of the securities pledged equals or exceeds the depository bank balances. Pledged collateral shall be maintained for safekeeping by an independent third party.

Collateral Defined: The university shall accept only the following securities as collateral:

- a. FDIC insurance coverage;
- b. United States Treasury, Agency, or Instrumentality securities;
- c. Direct obligations of the state of Texas or its agencies and instrumentalities;
- d. Other obligations, the principal of and interest on which are unconditionally guaranteed or insured by the state of Texas or the United States of America;
- e. Obligations of states, agencies thereof, counties, cities, and other political subdivisions of any state having been rated as to investment quality by a nationally recognized investment rating firm and having received a rating of no less than A or its equivalent;

- f. Collateralized mortgage obligations (CMO) directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America. CMO must have a stated final maturity date of less than 10 years.

Authorized Financial Dealers and Institutions

Investment transactions (bids and offers) will occur only between the university and board authorized broker/dealers or institutions authorized by Texas Education Code Sec.51.0031.

For funds subject to Chapter 2256 of the Texas Government Code, a written copy of the investment policy shall be presented to any person offering to engage in an investment transaction with Stephen F. Austin State University. The qualified representative of the business organization offering to engage in an investment transaction with Stephen F. Austin State University shall execute a written instrument substantially to the effect that the business organization has (a) received and reviewed the investment policy of the university and (b) acknowledges that the business organization has implemented reasonable procedures and controls in an effort to preclude investment transactions conducted between the university and the organization that are not authorized by Stephen F. Austin State University's investment policy.

Securities may not be bought from any organization whose representative has not provided the university with the acknowledgment required in the above paragraph.

Funds invested with institutions authorized by Texas Education Code Sec. 51.0031, will be invested pursuant to the qualifying institution's investment policy.

External Financial Advisor Contract Renewal or Extension

Pursuant to Chapter 2256 of the Texas Government Code, a contract with an external investment manager may not exceed two years. A renewal or extension of the contract by the board must be made by order, ordinance, or resolution.

Disclosure Requirements for Outside Financial Advisor

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

Performance Evaluation

The vice president for finance and administration and director of financial services or director of administrative services shall submit quarterly reports to the Board of Regents and the president of the university in the format prescribed by the Public Funds Investment Act, within a reasonable time after the end of the quarter. The reports must:

- a. describe in detail the investment position of the university on the date of the report;
- b. be prepared by the investment officer(s) of the university;
- c. be signed by the investment officer(s) of the university;
- d. contain a summary statement of each pooled fund group that states the:
 - i. beginning market value for the reporting period;

- ii. ending market value for the period; and
- iii. fully accrued interest for the reporting period;
- e. state the book value and market value of each separately invested asset at the end of the reporting period by the type of asset and fund type invested;
- f. state the maturity date of each separately invested asset that has a maturity date;
- g. state the account or fund or pooled group fund for which each individual investment was acquired; and
- h. state the compliance of the investment portfolio of the university as it relates to the relevant provisions of the Public Funds Investment Act.

Internal Controls

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

Disclosure Requirements for Investment Officers

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

- the investment officer owns 10 percent or more of the voting stock or shares of the business organization or owns \$5,000 or more of the fair market value of the business organization;
- funds received by the investment officer from the business organization exceed 10 percent of the investment officer's gross income for the previous year; or
- the investment officer has acquired from the business organization during the previous year investments with a book value of \$2,500 or more for the personal account of the investment officer.

Training

Each member of the board and the investment officer(s) will obtain investment training as required by Section 2256.007 of the Texas Government Code. Training for the investment officer(s) will be conducted by an organization or firm that is approved by the Texas Higher Education Coordinating Board.

Audits

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

Investment Policy Adoption and Certification

Upon adoption by the Stephen F. Austin State University Board of Regents, the university's investment policy shall be reviewed annually to ensure current applicability and significant modifications thereto submitted to the Board of Regents for approval.

Cross Reference: Tex. Gov't Code Ch. 573, 2256-2257, 2263; 26 U.S.C. § 501(f); Tex. Educ. Code § 51.0031-.0032, Investments-Endowment Funds (3.20)

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

APPENDIX A INTERNAL CONTROLS

The university has prepared an investment policy as of April 12, 1996. The policy was approved by the Board of Regents April 30, 1996. The investment policy will be reviewed and/or updated no less than annually. All pledged securities shall conform to Chapter 2257 of the Government Code. The signature of the president, vice president for finance and administration, director of financial services, or director of administrative services is required for release of pledged securities from safekeeping. Increases in the level of collateralization require approval by the president, vice president for finance and administration, director of financial services, director of administrative services, controller or assistant controller. The controller's office will reconcile the appropriate investment accounts to broker's statements and other supporting documents monthly.

APPENDIX B ADMINISTRATIVE PROCEDURES

The bursar's office will maintain a daily list of cash balances held in depository bank accounts. All investment transactions and related cash transfer requests, except for investment "rollovers" as defined, will require two signatures. "Rollovers" are investment transactions whereby an investment of certain type held by an entity matures and the proceeds are then used to purchase an investment of the same type within the same account within the same entity. The controller's office will record investments in compliance with Governmental Accounting Standards Board (GASB) and state comptroller's reporting requirements and reconcile the appropriate investment accounts to broker's statements and other supporting documents monthly. Quarterly investment reports are prepared by the director of financial services or the director of administrative services and approved by the vice president of finance and administration in accordance with the Performance Evaluation section of this investment policy. The market price of securities will be monitored quarterly using industry published data or appropriate financial publications.

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments - Endowment Funds

Policy Number: 3.20

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

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

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

Purpose of Policy (what does it do): The policy establishes guidance for the investment of all university endowment funds.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Reviewed with no changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Judi Krewell, Director of Financial Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Investments - Endowment Funds

Original Implementation: Unpublished

Last Revision: ~~January 29, 2019~~ January 28, 2020

Purpose

This policy applies to all Stephen F. Austin State University endowment funds. The policy states the boards' attitudes, goals and objectives in the investment of the endowment assets and is intended to provide guidance to the finance committee, the university administration, and the investment consultant(s)/manager(s) in the management of the endowment assets. University funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act are invested in accordance with Investments policy (3.21).

Definitions

True (or Permanent) Endowment Funds are funds which a donor or other outside agencies have stipulated, as a condition of the gift instrument, that the principal is to be maintained in perpetuity and invested for the purposes of producing present and future income.

Quasi-Endowment Funds are funds for which the governing body of the university, rather than a donor has determined that the corpus is to be retained and invested. Since these funds are internally designated rather than externally restricted, the university has the right to expend principal with approval from the governing body.

Gift Instrument refers to the records that establish the terms of the gift and may consist of more than one document. The release or modification of restrictions on management, investment, or purpose contained within the gift instrument is governed by Texas Property Code Section 163.007.

Investment Consultant represents an external firm or individual who can provide advice and/or guidance regarding investment decisions to the university, and/or hire investment managers.

General

Endowment funds represent private funds given to the university by individuals or institutions to promote, encourage and advance education and to improve the degree and non-degree educational functions by establishing scholarships, fellowships, professorships, academic chairs and other academic endeavors at the university, as specified by donors.

University endowment funds are not considered to be public funds but instead are governed by Section 51.0031 of the Texas Education Code. This section of the Texas Education Code states that the university "... with regard to donations, gifts and trusts, may establish endowment funds that operate as trusts and are managed under prudent person standards".

Investment Objectives

The overall objective of the policy is to assure that the university's endowment funds are invested in a manner to achieve as high a level of return as can reasonably be expected to be achieved given the primary objective of safety and preservation of principal. In the management of the university endowment investments, consideration will be given to the need to balance a requirement for current income for present activities with a requirement for growth in principal to compensate for inflation.

Investment Risk Tolerance

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

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

Avoiding large risks is essential. The university will assume a moderate-risk posture in order to have a more stable positive return. This may result in sacrificing some potential opportunities for gain during rising markets in order to avoid large short-term declines in market value during falling markets. Since the university is averse to large downward fluctuations in the value of its investments resulting from volatile market value fluctuations, such year-to-year volatility should be minimized.

Prudence

The 'prudent person standard' is defined by Texas Education Code 51.0031(d) and described in Article VII, Section 11b, of the Texas Constitution, and means that standard of judgment and care that prudent investors, exercising reasonable care, skill, and caution, would acquire or retain in light of the purposes, terms, distribution requirements, and other circumstances of the fund then prevailing, taking into consideration the investment of all the assets of the fund rather than a single investment.

Responsibility and Delegation of Authority

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

The university acknowledges that the ultimate responsibility for the investment of endowment funds rests with the board. The board will determine the institutional approach used to invest endowment funds. The board may choose to hire external investment consultants and/or managers, contract with another institution, or manage funds internally. To carry out this responsibility, the board delegates certain authority to the financial officer(s) to oversee and work with external investment consultants and/or managers the board has selected.

The Board

The specific responsibilities of the board in the investment process include:

- Develop a sound and consistent investment policy that establishes guidelines and reasonable objectives for the management of endowments;
- At least annually, review the policy for continued accuracy and completeness;
- Select suitable investment consultants, managers or qualifying institutions to provide for the management of endowment funds;
- Evaluate performance results; and
- Comply with all applicable laws, including conflict of interest provisions therein.

University Administration

The vice president for finance and administration (vice president), the director of financial services, and the director of administrative services are designated as the investment officers for the university.

The specific responsibilities of the vice president in the investment process include:

- Communicate with outside investment management team (consultants, managers and qualifying institutions);
- If appropriate, prudently select and recommend investment options to the board;
- Review and evaluate performance results to ensure policy guidelines are being adhered to and objectives are being met;
- Submit quarterly and annual investment reports to the board;
- Annually, determine the proper distribution of investment returns to the various spending accounts in accordance with the distribution section of this policy; and
- Comply with all applicable laws, including conflict of interest provisions.

The vice president may also establish an investment committee (committee). The committee may review and evaluate investment performance and review and revise qualified investment managers that are eligible to serve in an investment capacity for the university. The chair of the board may designate a board member to serve as a liaison on the committee.

Qualifying Institution

The board may contract to invest its funds with another Texas public institution. Endowment funds invested with a qualifying institution will be invested in accordance with the institution's Investment Policy and the asset allocation of the institution's policy will supersede the Investment Guidelines Section of this policy. The university's investment officer(s) will provide investment performance reports to the board.

Investment Consultant

The board may contract with an investment consultant to manage the university's endowment funds. The consultant may employ or delegate investment management to discretionary investment managers or affiliates. The consultant is responsible for ensuring that investment managers are in compliance with this policy.

Specifically, the consultant will:

- Assist the officers in the development of investment policy, objectives, asset allocation strategy and portfolio structure;
- Review investment managers, including search, selection and recommendation to the investment officers and committee;
- Monitor and report on investment manager performance;
- Monitor asset allocation and rebalance to target allocation on a periodic basis; and
- Provide written performance measurement reports as required to the investment officers, investment committee and board. The reports will contain sufficient information to determine if any changes or other actions are called for with respect to the investment portfolio.

Investment Managers

The board may choose to use an investment consultant to select investment managers. The investment consultant may exercise discretion to hire investment managers. If an investment manager is hired through the investment consultant, the consultant is responsible for ensuring that investment managers comply with all applicable policy guidelines.

The board may choose to directly contract with external investment managers. Each investment manager selected or approved by the board is expected to manage the endowment's assets in a manner consistent with the investment objectives, guidelines and constraints of this policy and in accordance with applicable laws. This obligation includes discharging responsibilities with respect to the endowment consistent with "prudent investor" standards, and all other applicable fiduciary regulations and requirements.

If the university directly contracts with the investment manager, then the manager(s) will receive a copy of this policy and the manager must execute a written statement to the effect that the registered principal of the organization has received and thoroughly reviewed the investment policy of the university. The statement must also acknowledge that the organization has implemented reasonable procedures and controls in an effort to preclude imprudent investment activities.

The investment manager(s) will:

- Be registered as an investment adviser under the Investment Advisers Act of 1940 (where applicable);
- Maintain adequate fiduciary liability insurance and bonding for the management of this account;
- Acknowledge in writing that it is a fiduciary with respect to the assets under its control;
- Be responsible for making decisions on a discretionary basis. This includes buy, hold, sell and timing decisions. The external manager(s) must make responsible decisions in the selections of specific securities and the general timing of purchases and sales necessary to invest only into the security class(es) for which they were retained to manage.

Custodian

The custodian is responsible for the safekeeping for the endowment's investment assets. The specific duties and responsibilities of the custodian include:

- Maintain separate accounts by legal registration;
- Value the holdings;
- Collect all income and dividends owed to the endowment in its custody;
- Settle all transactions initiated by the investment manager; and
- Provide monthly reports that detail transactions, cash flows, securities held and their current value, and change in value of each security and the overall portfolio since the previous report.

Investment Policy Guidelines

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

Authorized Investments:

The endowment's assets may be invested in the following:

- a. Direct obligations of the United States government or its direct agencies.
- b. Direct obligations of federally-sponsored agencies in accordance with the above paragraph.
- c. Obligations of states, agencies, counties, cities, and other political subdivisions of any state in accordance with the above paragraph.
- d. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.
- e. Debentures or obligations, and preferred or common stock of international governments and corporations. International preferred and common stock issues must be listed on an organized stock exchange.
- f. Common stock and preferred stock issued by United States domiciled corporations and common stocks of international companies listed on the major U.S. or international security exchanges.
- g. Certificates of Deposit issued by federally insured state banks, federally insured savings and loan associations and saving banks or federally insured credit unions. Amounts over the insurance limit of the institutions must be secured by pledged securities.
- h. Bankers' acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.
- i. Money Market Mutual Funds. Funds must be registered with the Securities and Exchange Commission, have a maximum dollar weighted average maturity of no longer than 13 months, and be no-load funds. Funds must have assets consisting of securities described in the paragraphs above and seek to maintain a stable net asset value of \$1.00 per share (or unit).
- j. Mutual Funds. Funds must be registered with the Securities and Exchange Commission and invest in assets authorized under this policy.
- k. Direct Security Repurchase Agreements. Direct Repos must be fully secured (collateralized) by securities authorized under the sections (a) through (g) above. Such collateral must be held by a third party. All agreements will comply with Federal Reserve Bank guidelines.

- l. Shares of investment companies as defined by the Investment Company Act of 1940. These companies include both closed-end investment companies and open-end investment companies (mutual funds). Shares in these companies may be purchased if they own securities described in sections (a) through (j) above.
- m. Shares of Exchange Traded Funds, known as ETFs.
- n. No more than ten percent (10%) of the equity portfolio can be invested at any time in one company based on the market value of the stock and portfolio.
- o. No more than thirty percent (30%) of the equity portfolio can be invested in any one industry sector based on the market value of the portfolio.
- p. Alternative investments. Permitted alternative investments may include hedge funds, managed futures funds, private equity funds, or real estate. Hedge funds are not subject to limitations of the “Prohibited Investment” section below. Investments in other strategies shall be reviewed and recommended by the investment officer prior to purchase.
- q. Permitted alternative investments in the portfolio are limited to diversified commingled trust fund vehicles or limited partnerships offered through a third party distribution channel, such as what is offered through many broker-dealer firms.
- r. Permitted alternative investments in the portfolio are limited to investment vehicles that offer the ability for the portfolio to make contributions or receive distributions at least quarterly (but preferably monthly) without restriction or incurring additional fees.
- s. The portfolio shall emphasize investments in fund-of-fund vehicles that are diversified by investment style and typically utilize multiple investment managers within a fund.

Unauthorized Investments

The endowment’s assets should not be invested in the following unless agreed to by the vice president pursuant to an approved strategy and specifically approved in writing by the vice president:

- a. Commodity trading including all futures contracts;
- b. Short selling, option trading and margin trading unless by managers approved for that strategy;
- c. Guaranteed investment contracts.

Asset Allocation

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

Asset Category	Minimum	Maximum	Target
Total Fixed Income	0.0%	60.0%	35.0%
Total Equity	0.0%	70.0%	55.0%
Total Alternatives	0.0%	25.0%	10.0%
Total Cash or Cash Equivalents	0.0%	100.0%	0.0%

The allowable asset mix for fixed income and equities is:

Fixed Income	Minimum	Maximum
US Government Bonds	0.0%	100.0%
Corporate Bonds	0.0%	50.0%

Equity	Minimum	Maximum
Domestic Equity	0.0%	100.0%
International Equity	0.0%	30.0%

Interest Rate, Credit and Foreign Currency Risks

The university will insure the safety of its invested funds by limiting interest rate, credit and foreign currency risks. Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity of an investment the greater the sensitivity of its fair value to changes in market interest rates. The vice president may diversify investment maturity to limit interest rate risk. The average weighted duration of the portfolio should not vary from industry benchmarks by more than +/- 20%.

Credit risk is the risk that an issuer or counterparty to the investment will not fulfill its obligations to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. To limit credit risk, this policy requires all securities which use long-term credit ratings to be rated the equivalent of "B" or better with the overall credit rating for the fixed income portfolio to be rated "A" or better. All short-term credit ratings must be rated at least A-2, P-2, F-2.

Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of investment. In order to mitigate this risk, international equity investments are limited to a maximum of 30% of the equity portfolio.

Gifts of Individual Securities

Gifts of individual securities will be liquidated and invested in accordance with policy guidelines and investment procedures. Exceptions to this policy are securities described as authorized investments in sections (a), (b), and (c) of the investment policy guidelines above. Such securities may be held so long as the asset allocation ranges are maintained.

Quasi-Endowments

The board may establish a quasi-endowment using unrestricted gifts. Income from funds held in quasi-endowments is available for the purpose established by the board. The corpus of such funds will be held until such time as the board abolishes the quasi-endowment, at which time the corpus is available for such purpose(s) as may be designated by the board. Quasi-endowment funds that are not considered to be public funds are governed by this policy.

Distribution Policy

The spending policy should balance the long-term objective of maintaining the purchasing power of the endowment funds with the goal of providing a reasonable, predictable, stable, and sustainable level of income to support current needs. At the end of the investment year, in consultation with the investment manager, the vice president will review the total return on the endowment accounts and recommend an annual distribution.

Performance Evaluation

The vice president will submit quarterly reports to the board on the performance of the investment portfolio. The reports will disclose the book value and market value of the portfolio at the beginning and ending of the reporting period. The reports will disclose the realized and unrealized gains/losses and total return on the portfolio for the reporting period.

Conflicts Of Interest

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

- A member of the board shall not direct nor participate in the decision to purchase or sell securities of a firm with which such member is affiliated; and
- Investments will not be purchased from or sold to a member of the board.

Audits

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

Investment Policy Adoption and Certification

Upon adoption by the Stephen F. Austin State University Board of Regents, the university's investment policy for endowment funds shall be reviewed annually to ensure current applicability and significant modifications thereto submitted to the Board of Regents for approval.

Cross Reference: Tex. Educ. Code § 51.0031; 15 U.S.C. §§ 80a-1 – 80a-64; Tex. Prop. Code Ch. 163, Investments (3.21)

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: Prompt Payment to Vendors

Policy Number: 17.13

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): The policy exists to provide guidelines to comply with the state's prompt payment law and to make prompt payments to 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:

Specific rationale for each substantive revision: Minor wording and formatting changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ms. Dannette Sales, Controller
Dr. Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Prompt Payment to Vendors

Original Implementation: April 21, 1998

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

It is the intention of Stephen F. Austin State University to comply with the state's prompt payment law and make prompt payments to vendors using the most efficient means available.

Definitions

Payment – Money owed to a vendor.

State agency – A board, commission, department, office or other agency in the executive branch of state government created by the constitution or a statute of this state, including an institution of higher education as defined by the Texas Education Code Section 61.003.

Vendor – A person *or entity* who supplies goods or a service to a state agency or another person directed by the agency. The term does not include a state agency, except for the Texas Correctional Industries. The term includes an officer or employee of a state agency when acting in a private capacity to supply goods or a service.

General

Three requirements must be met before a disbursement can be made to a vendor:

1. There must be an approved order for goods or services that has been signed/authorized by the account manager or his/her designee.
2. The goods or services must have been received. Acknowledging the *date of* -receipt of goods or services *rendered* -is the responsibility of the department ~~which~~ *that* placed the order.
3. The vendor must provide an itemized invoice to accounts payable. If an invoice is received by the department, it should be date stamped and immediately forwarded to accounts payable.

The controller's office is responsible for processing payments in a manner which ensures compliance with the prompt payment law once these three requirements have been met. In certain instances, interest will be paid to a vendor if payment is not made within 30 days of the later of:

- date the university receives the goods under the contract;
- date the vendor completes its services; or
- date the university receives an invoice for the goods or services.

To maximize the interest earned on funds held by the state, the university is required to schedule ~~their~~ *its* payments, paying vendors as close to the 30-day limit as possible. The university is not allowed to pay vendors before the payments are actually due unless the invoice is less than \$5,000 or the university has a valid business reason for paying early, or there is a specific exception to this rule.

*Potential e*Examples of when the university may make early payments to vendors are:

- If the vendor or the university has an agreement to make a payment at a certain time;
-
- If the vendor gives the agency a substantial discount for paying early;
-
- Purchase of real property;
-
- Payment for utilities;
-
- Payment for lease cost, leased space, or rent;
-
- Purchases of books or library materials paid with Higher Education Funds (HEF);
-
- Subscription services up to a maximum of six weeks before the service begins;
-
- Vendor payments for specialized goods or services if the vendor requires the payment to be made in advance.

For payment more than \$5,000, payment must be scheduled for distribution on the date identified above, unless the department can justify the cost effectiveness of making a payment early. A vendor hardship ~~DOES NOT~~ *does not* qualify as a state business reason for paying early.

Payments of \$5,000 or less are exempted from mandatory payment scheduling. The university, at its discretion, may choose to pay invoices \$5,000 or less according to the scheduling requirements or may schedule the payment due date as soon as they are processed. For groups of invoices covered by a monthly statement, the statement amount must be \$5,000 or less for the invoices to qualify for this exemption.

If the vendor payment is late, interest will be computed at a rate determined by the Texas Comptroller's Office. If the late payment is due to departmental errors, such interest payment will be charged to the department that caused the late payment. If a department requests the controller's office to process a payment outside its normal operating procedures for any reason, the department shall be assessed a special processing fee of \$50.

~~Payments of \$5,000 or less are exempted from mandatory payment scheduling. The university, at its discretion, may choose to pay invoices \$5,000 or less according to the scheduling requirements or may schedule the payment due date as soon as they are processed. For groups of invoices covered by a monthly statement, the statement amount must be \$5,000 or less for the invoices to qualify for this exemption.~~

Cross Reference: Tex. Gov't Code § 2155.382; Ch. 2251; Tex. Educ. Code § 61.003; Texas Comptroller of Public Accounts Payment Services and eXpendit State Purchase Policies

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Property Liability

Policy Number: 16.22

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): The policy exists to determine employee liability associated with fixed assets.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor changes and clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Property Liability

Original Implementation: April 22, 2003

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy acknowledges that, in accordance with Texas Government Code § 403.275, all university employees are liable for the state property that they use.

Definition

Reasonable care is defined as taking steps to ensure control and security of the property and being able to locate the property at all times.

General

All employees must complete the property liability acknowledgement form as part of new employee orientation. Employees taking equipment off campus will be required to complete a removal of property from campus *request* form acknowledging that the person responsible for property is aware of their responsibilities.

The department head will be listed as equipment manager on property records and is responsible for identifying property custodians who have been entrusted with the care and safekeeping of specific pieces of property. Equipment managers will be required to sign a certification of physical inventory when there is a change in department head, accepting responsibility for all department property within 30 days of assuming their duties.

A person is financially liable for any property loss sustained by the university if:

1. property disappears as a result of the failure of the property manager or university employee entrusted with the property to exercise reasonable care for its safekeeping;
2. property deteriorates as a result of the failure of the property manager, or university employee entrusted with the property to exercise reasonable care to maintain and service the property; or
3. property is damaged or destroyed as a result of an intentional wrongful act or of a negligent act of any state official or employee.

If the property manager has reasonable cause to believe that any property in the university's possession has been stolen, lost, destroyed, or damaged through the negligence of any state official or employee, the property manager shall report the loss, destruction, or damage to audit services, the vice president for the division, the vice president for finance and administration, the director of procurement *and property services*, the equipment manager and the property custodian. All computer losses, missing or stolen, regardless of negligence, will be reported to the ~~director of ITS~~ *chief information officer*.

The property manager in consultation with the equipment manager, the director of procurement *and*

property services and/or the vice president of finance and administration will determine whether replacement of property or reimbursement of property value best meets the needs of the university. The value of the loss to the university will be determined by considering the value of the property and the value to SFA as outlined in the property management manual.

A determination of negligence may be appealed to the property risk management committee within five working days of receiving notification of the determination. The property risk management committee will review the property manager's determination and the written appeal, and will make a final determination that may not be appealed. Appointments to the committee will be made on a case by case basis by the vice president for finance and administration with the property manager and property assistant serving as non-voting ex officio members.

If the property risk management committee upholds the determination of negligence, the negligent employee will be notified to replace the property or reimburse the university for the determined value of the property. If the employee refuses or disregards the determination and request for replacement or reimbursement, the university may pursue action against the employee through the Office of the Attorney General or employ other efforts to obtain reimbursement.

Cross Reference: Tex. Gov't Code §§ 403.275, 2203.004; Property Inventory and Management (17.14)

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Property Liability Acknowledgement; Removal of Property from Campus Request

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Proprietary Purchases

Policy Number: 17.15

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): This policy defines and explains requirements related to proprietary 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:

Specific rationale for each substantive revision: Minor wording changes and clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Proprietary Purchases

Original Implementation: September 1979

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy defines and explains requirements related to proprietary purchases.

Definition

~~A sole source is a specific item that is available from only one source.~~

General

A proprietary *purchasing* situation occurs when competition is not available. *In addition to the purchase requisition, a* written justification must be *submitted to the Department of Procurement and Property Services* ~~provided~~ 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 Department of Procurement and Property Services website.*

~~Along with the purchase requisition, the department may be asked to submit an Exclusive Acquisition Justification form. On the form, only the applicable items must be answered and must provide sufficient explanation to address the following:~~

- ~~1. an explanation of the need for the proprietary specifications; i.e. which part or parts of the — stated specification restricts the requisition to one manufacturer or provider; and~~
- ~~2. the reason competing products are not satisfactory.~~

~~Justification for proprietary purchases must be signed by the director of procurement and property services/HUB coordinator. Procurement will research the market to determine if the proprietary request is appropriate.~~

Cross Reference: *Tex. Gov't Code §§ 2155.063, .067; Purchase Requisition (17.19)*

Responsible for Implementation: Vice President for Finance and Administration

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

| **Coordinator Forms:** Purchase Requisition, **Exclusive Acquisition Justification**

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Purchase of Surplus Property

Policy Number: 17.17

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): This policy establishes guidelines for purchasing surplus property from the Texas Facilities Commission and details restrictions on the use of any federal surplus property.

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: Cross reference revision and minor changes and clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Purchase of Surplus Property

Original Implementation: September, 1987

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy establishes guidelines for purchasing surplus property from the Texas Facilities Commission and details restrictions on the use of any federal surplus property.

Definitions

Surplus property is any personal property that is in excess of the needs of the department and which is not required for the foreseeable future. Surplus property may be new or used but must have additional useful life.

Salvage property is any personal property which through use, time, or accident is so depleted, worn out, damaged, consumed, or outdated that it is obsolete and/or can no longer serve the purpose for which it was originally intended.

General

The Texas Facilities Commission (TFC) disposes of surplus and salvage personal property from Texas state agencies and manages the disposition of surplus and salvage donated to the state by federal programs. The Office of the State Comptroller advertises surplus property exclusively to state agencies, political subdivisions and assistance organizations. Surplus property not transferred within 10 business days of posting is available for sale to state agencies, political subdivisions and assistance organizations as well as the general public. Federal surplus property is available only to eligible organizations, not private citizens or the general public. Available property can be viewed at the following URLs:

[State Surplus \(State Comptroller's listing\)](#)

[State Surplus \(available at store fronts; TFC listing\)](#)

[Federal Surplus](#)

A requisition must be submitted to initiate the purchase of surplus property. A purchaser is available to research the availability, condition and cost of surplus property.

State Surplus

The agency offering the surplus equipment is to be contacted directly to determine a price and make arrangements for transfer. The requisition submitted to the purchasing office should state on the requisition 'STATE SURPLUS PROPERTY'. The name of the state agency and the agreed price, and arrangements for transfer should also be shown.

Federal Surplus

The Texas Facilities Commission manages the disposition of surplus property donated to the state by federal programs. The purchaser may make a written request for federal surplus to be held for SFA if it becomes available.

Visitation to and shopping at a federal surplus warehouse is allowed only by a certified agent of the university. The item(s) may be picked up at the time of purchase or arrangements can be made for pick up at a later date. The individual(s) picking up the merchandise do not have to be certified, but they must have the receipt in hand when arriving at the distribution center. If the SFA transportation department picks up the item(s), the department will be charged for travel and labor costs. When the merchandise is received, the itemized receipt and/or invoice should be returned to the procurement department.

Restrictions on the Use of Federal Surplus Property

Participating organizations (“donees”) are required to use the property obtained through the program for a specific amount of time before the property can be sold or transferred and must adhere to the following restrictions:

1. Property must be placed into use within the first year of possession.
2. Property must continue to be used for the *duration of the “compliance period”* before ownership is transferred to SFA.
 - ~~18 months for passenger vehicles or any item of property with original acquisition cost of \$5000 or more.~~
 - 12 months for property with an original acquisition cost less than \$5,000.
 - ~~18 months for passenger vehicles or any item of property with original acquisition cost of \$5,000 or more.~~
 -
 - 5 years for aircraft and vessels 50’ or more in length.
 - In perpetuity for combat-configured aircrafts, and firearms.
3. The property may not be sold, transferred, or otherwise disposed of during the *compliance period*. ~~required~~ If property is sold, transferred or otherwise disposed of during the required period of use, SFA may be subject to penalties and fines, as well as possible state or federal prosecution.
4. Compliance visits may be conducted by state and federal program staff during the compliance period to ensure that property is being put to its intended use. If the property is not paid for in full or is not being used or handled as required, SFA will be required, at its expense, to return the property to TFC or offer for transfer to another donee, as instructed by TFC.
5. ~~In accordance with the Single Audit Amendments of 1996 (U.S. Office of Management and Budget (OMB) Circular A-133), if the university receives \$500,000 or more in all forms of federal assistance during a fiscal year, SFA will be liable for a single audit by an independent firm.~~

As a donee, SFA must include the General Services Administration's required non-discrimination statement with information about the federal surplus program.

Cross Reference: 41 C.F.R. §§ 101, 102; ~~OMB Circular A-133~~; Purchase Requisition (17.19)

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Purchase Requisition, TFC Eligibility Application Form, TFC Update Form, TFC Authorized Representative Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Safe and Vault Combinations

Policy Number: 14.9

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): The policy exists to establish requirements for the documenting, safekeeping, and changing of safe and vault combinations.

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 and formatting changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Safe and Vault Combinations

Original Implementation: Unpublished

Date of Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy requires current combinations for safes or vaults holding cash, checks, or other valuables ~~documents~~ to be on file in the office of the vice president for finance and administration.

General

The department head must submit a memorandum indicating the location of the safe or vault, the combination, date of last combination change if known, and the names of all employees ~~that~~ *who* have access to the ~~vault~~ combination. The memorandum must be delivered to the vice president for finance and administration in a manner such that no unauthorized person is able to access the confidential information.

The vice president for finance and administration must be notified when changes are made to safe or vault combinations, when a safe or vault is moved or transferred to another department, or when a safe or vault is removed from university property records. Safe and vault combinations must be changed anytime an employee who knows the combination terminates employment *or is transferred*.

Annually, the vice president for finance and administration will request the safe or vault custodian in each department to verify the information on file.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Fiscal Appeals

Policy Number: 6.19

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): The policy exists to provide direction for student fiscal appeals.

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 and formatting changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Student Fiscal Appeals

Original Implementation: January 30, 2007

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy establishes ~~guidelines for appeals of student charges and describes~~ the process of evaluation and resolution of all student fiscal appeals.

General

The Fiscal Appeals Panel will consider appeals related to Stephen F. Austin State University (SFA) fiscal policy as it applies to student charges. The panel will be appointed by the vice president for finance and administration, ~~is~~ chaired by the bursar, and ~~will~~ include academic and administrative representation. The panel will make its decision based on the written information submitted.

Appeals will be considered when a student believes that extenuating circumstances justify removal or modification of charges. Appeals must be submitted in written form and must be based on extenuating circumstances, such as (but not limited to) catastrophic illness, injury, death in the family, or call-up for military service. Appeals of the penalty for excessive time to graduation and repetition of a course may be based on economic hardship for the student, and will be considered on a case by case basis. Appeals pertaining to the requirements to maintain eligibility for certain exemptions and waivers may also be based on economic hardship for the student or other good cause, and will be considered on a case by case basis.

Unless there are extenuating circumstances, appeals should be filed within 60 days of the date of the charge on the student's account that the student is requesting to appeal. Appeals will be considered only for the specific charge and specific term for which the appeal is requested.

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

Specific procedures for making an appeal are found in the Student Fiscal Appeals Guidelines, Procedures, and Form located on SFA's business office website and at the business office.

Cross Reference: Tex. Educ. Code § 54.014, .2001; 19 Tex. Admin. Code § 13.108; Tuition Rebate (6.21); Student Fiscal Appeals Guidelines, Procedures, and Form

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: ~~None~~ *Student Fiscal Appeal Form (part of the Student Fiscal Appeals Guidelines, Procedures, and Form)*

Board Committee Assignment: Finance and Audit

GRANT AWARDS

Explanation:

For fiscal year 2020, the multi-year grant award total is currently \$12,768,680. Of this total, grant awards allocable to fiscal year 2020 are currently \$5,674,600, an increase of \$280,508 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.

Recommendation:

The administration recommends approval and ratification of the additional fiscal year 2020 grant awards that total \$280,508. The grant awards are detailed in Appendix X.

Grant Report to the Board of Regents – January 2020
 Grants¹ awarded between and October 5, 2019 and December 31, 2019
 Prepared by the Office of Research & Graduate Studies

Fiscal Year 2020 – as of December 31, 2019

Amounts allocable to FY20 (detailed in this report)	
Federal Funds (direct and pass-through)	\$ 199,508
State Funds (direct and pass-through)	\$ 37,000
Private, Local Government, Other	\$ 44,000
TOTAL	\$ 280,508
New awards, FY20 (detailed in this report, all project years)	\$ 324,892
Cumulative amount allocable to FY20	\$ 5,674,600
Cumulative award total FY20, all project years	\$12,768,680

Note: Amounts are based on award notices as they are received from the funding entity, not on expenditures or available balances. To reflect the approximate availability of funds in a given fiscal year, some current year awards are estimates based on the total award amount spread over the entire award period.

New, Additional, or Previously Unreported Awards for FY20

Federal Funds (direct and pass-throughs)

Title **Ethnographic Overview and Assessment of African Americans at Arkansas Post National Memorial*

Sponsor: National Park Service, US Dept. of the Interior
 (Great Lakes Northern Forest CESU)
 CFDA 15.945

Award Term: September 1, 2019 – September 30, 2021

PI/PD: Dr. Pat Stephens-Williams, Forestry

Total Award: \$93,912 **Amount allocable to FY20:** \$46,956

This research project includes an assessment of associated ethnographic resources within the Arkansas Post National Memorial.

Title **2019-20 MLK Day of Service*

Sponsor: Corporation for National and Community Services
 CFDA 94.012

Award Term: October 10, 2019 – September 30, 2022

PI/PD: Veronica Beavers, Multicultural Affairs

Total Award: \$8,000 **Amount allocable to FY20:** \$8,000

This service project will see 500 volunteers performing community service in various Nacogdoches locations for the Martin Luther King Jr. Day of Service in 2020.

**New awards or additional funds added to a current award.*

¹*For purposes of this report, 'grant' includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller's Office or the VP of Finance & Administration.*

Grant Report to the Board of Regents – January 2020
Grants¹ awarded between and October 5, 2019 and December 31, 2019
Prepared by the Office of Research & Graduate Studies

Previously Described Awards:

***Texas AHEC East, Piney Woods Region, Federal FY20**

Debra Kiesel, AHEC Center, Sciences and Mathematics

Award Total: \$114,480

Amount allocable to FY20: \$114,480

***McIntire-Stennis Cooperative Forestry Research Program FY19**

Dr. Hans Williams, Forestry

Award Total: \$473,182

***Amount allocable to FY20:** \$30,072

Subtotal amounts allocable to FY20 (this report) = \$199,508

Subtotal new federal funds = \$216,392

State Funds (direct and pass-through)

Previously Described Awards

***Disability Services – Reader Services FY20-22**

Tiffany Rivers, Disability Services

Award Total: \$64,000

Amount allocable to FY20: \$32,000

***Regional 60x30TX Targets FY20**

Dr. Marc Guidry, Academic Affairs

Award Total: \$5,000

Amount allocable to FY20: \$5,000

Subtotal amounts allocable to FY20 (this report) = \$37,000

Subtotal new state funds = \$69,000

Private Entity, Local Government, and Other Awards

Title: ***Building a Technology Pathway for Distance Learners in Interior Design**

Sponsor: IFDA Educational Foundation, Elizabeth Brown Grant for Interior Design Programs

Award Term: September 1, 2019 to August 31, 2020, 2020

PIs/PDs: Dr. Sally Anne Swearingen, School of Human Sciences

Total Award \$2,500

Amount allocable to FY20: \$2,500

Grant funds will assist with purchasing visual, sound, and interactive technology equipment for the interior design drafting studio which will enhance student learning in the Houston area and for other students who are not located in Nacogdoches.

**New awards or additional funds added to a current award.*

¹For purposes of this report, 'grant' includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller's Office or the VP of Finance & Administration.

Grant Report to the Board of Regents – January 2020
 Grants¹ awarded between and October 5, 2019 and December 31, 2019
 Prepared by the Office of Research & Graduate Studies

Previously Described Awards:

***Tallow Control on the Greens Bayou Wetlands Mitigation Bank, Phase II**

Dr. Jeremy Stovall, Forestry

Award Total: \$30,000 **Amount allocable to FY20:** \$30,000

***Poultry Science Education Student Recruitment FY20**

Dr. Joey Bray, Agriculture

Award Total: \$7,000 **Amount allocable to FY20:** \$7,000

Economics Reading Group

Dr. Ryan Phelps, Economics and Finance

Award Total: \$41,920 ***Amount allocable to FY20:** \$4,500

Subtotal amounts allocable to FY20 (this report) = \$44,000
Subtotal new private and local fund = \$39,500

Previously Unreported from Previous Years

FY18 Update - (not included in ORGS totals)

State and State Pass-through Awards

Previously Described Awards

SFA Charter School (ADA, non-grant), FY09-FY18

Lysa Hagan, Charter School

Award Total: \$222,257 **Amount allocable to FY18:** \$47,511

**New awards or additional funds added to a current award.*

¹For purposes of this report, 'grant' includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller's Office or the VP of Finance & Administration.

**Stephen F. Austin State University
Board of Regents – Finance Committee
Texas Government Code Contract Reporting
January 27, 2020**



TABLE OF CONTENTS

Texas Government Code Contract Reporting	1
Richards Carlberg, Inc.	2
Kingham Dalton Wilson, Ltd.	3
Kingham Dalton Wilson, Ltd.	4
Summary of Contracts	5-6

January 27, 2020

Contract Monitoring

Texas Government Code Contract Reporting

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

January 27, 2020

Contract Monitoring

Vendor contract: Richards Carlberg, Inc.

Description of Contract: Creative design services in accordance with RFP#CREATIVE-2013 opened 6/25/2013 and letter of agreement with a contract term beginning September 1, 2013 and will continue until modified. Subsequent amendments effective 9/1/2014, 9/1/2015, 9/1/2016, 9/1/2017, 9/1/2018, 7/09/19, and 9/1/2019.

Vendor Awarded Contract: Richards Carlberg, Inc.

Procurement Method: Request for Proposal

Department Responsible for Contract: University Marketing Communications

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: \$790,792.00

Total Estimated Aggregate Amount: \$7,888,245.84

Contract Period: 9/1/2013 until modified

Board Approved: July 2013, July 2014, April 2015, July 2016, October 2017, April 2018, October 2018, April 2019

Director Certification: Completed

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254, 2261.255

January 27, 2020Contract Monitoring***Vendor contract: Kingham Dalton Wilson, Ltd.***

Description of Contract: Construction of a new science building tailored for teaching Science, Technology Engineering and Math (STEM) in accordance with RFP#CMR-STEM-2015 opened 6/12/15 and construction manager agreement. The agreement includes \$50,000 for preconstruction services and subsequent amendment 1 in the amount of \$234,099 for phase 1 demolition and subsequent amendment 2 in the amount of \$36,548,341 for the second portion of GMP for a total GMP amount of \$36,782,440. Subsequent amendment 3 to extend substantial completion date from 06/20/18 to 07/13/18 and completion including clean-up not later than 8/15/18. Subsequent amendment 4 for addition to the GMP in the amount of \$2,969,875 for STEM 4th floor shell buildout-\$2,126,391, Clark Boulevard reconstruction-\$709,155, and HPE Parking lot expansion-\$134,329. The amended total GMP is \$39,752,315 with a completion date of 01/15/2019. Subsequent amendment 5 for an addition to the GMP in the amount of \$1,200,000 for Griffith Blvd Reconstruction. The amended total GMP is \$40,952,315 with a completion date of 8/19/19. Subsequent assignment of contract from J E Kingham Construction Company to Kingham Dalton Wilson, Ltd effective 5/20/19. Subsequent amendment 6 to extend the final completion date to 2/28/20.

Vendor Awarded Contract: J E Kingham Construction Company assignment of contract to Kingham Dalton Wilson, Ltd.

Procurement Method: Request for Proposal

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: \$0.00

Total Estimated Aggregate Amount: \$41,002,315.00

Contract Period: 2/22/2016-2/28/2020

Board Approved: July 2015, April 2018, October 2018, October 2019

Director Certification: Completed

President Attestation: Completed

Statutory Reporting Requirement: Government Code 2261.253, 2261.254, 261.255, GAA Article IX, Section 7.12

January 27, 2020

Contract Monitoring

Vendor contract: Kingham Dalton Wilson, Ltd.

Description of Contract: Construction of a fine arts expansion, welcome center and student support services one stop shop, basketball practice facility, and the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities in accordance with RFP#CMR-BLDG PROJECTS-2019 opened 9/20/18 and construction manager agreement dated 2/07/19 with estimated substantial completion date for all projects of 2/23/21 which may change upon final schedules and final project GMP's. Subsequent amendment for preconstruction services in the amount of \$209,744. Subsequent Amendments for Basketball Practice Facility: Amendment No.1 effective 7/22/19 for phase 1 of the GMP in the amount of \$1,369,388, Amendment No.2 effective 10/29/2019 for phase 2 of the GMP in the amount of \$23,818,986.

Vendor Awarded Contract: Kingham Dalton Wilson, Ltd.

Procurement Method: Request for Proposal

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: \$23,818,986.00

Total Estimated Aggregate Amount: \$25,398,118.00

Contract Period: 2/07/2019-4/16/2021

Board Approved: October 2018, May 2019

Director Certification: Completed

President Attestation: Completed

Statutory Reporting Requirement: Government Code 2261.253, 2261.254, 2261.255, GAA Article IX, Section 7.12

January 27, 2020

Contract Monitoring

Summary of Contracts

Report to the Board of Regents - Meeting of the Finance and Audit Committee

Stephen F. Austin State University

Summary of Contracts

*Summary of Goods and Services Contracts Greater than \$1Million(including Construction)
Finance Committee - January 27, 2020*

Description of contract	Vendor Awarded Contract	Procurement method	Department responsible for Contract	Serious issue or risk with contract	Total Current Fiscal Year Amount	Total Estimated Aggregate Amount	Contract period	Board Approved
Creative design services in accordance with RFP#CREATIVE-2013 opened 6/25/2013 and letter of agreement with a contract term beginning September 1, 2013 and will continue until modified. Subsequent amendments effective 9/1/2014, 9/1/2015, 9/1/2016, 9/1/2017, and 9/1/2018, 7/09/19, and 9/1/2019.	Richards Carlberg Inc.	Request for Proposal	University Marketing Communications	None	\$ 790,792.00	\$ 7,888,245.84	9/1/13 until modified	July 2013, July 2014, April 2015, July 2016, October 2017, April 2018, October 2018, April 2019
Construction of a new science building tailored for teaching Science, Technology Engineering and Math (STEM) in accordance with RFP#CMR-STEM-2015 opened 6/12/15 and construction manager agreement. This agreement includes \$50,000 for preconstruction services and subsequent amendment 1 in the amount of \$234,099 for phase 1 demolition and subsequent amendment 2 in the amount of \$36,548,341 for the second portion of GMP for a total GMP amount of \$36,782,440. Subsequent amendment 3 to extend substantial completion date from 06/20/18 to 07/13/18 and final completion including clean-up not later than 8/15/18. Subsequent amendment 4 for an addition to the GMP in the amount of \$2,969,875 for STEM 4th floor shell buildout-\$2,126,391, Clark Boulevard reconstruction-\$709,155, and HPE Parking lot expansion-\$134,329. The amended total GMP is \$39,752,315 with a final completion date of 1/15/19. Subsequent amendment 5 for an addition to the GMP in the amount of \$1,200,000 for Griffith Blvd Reconstruction. The amended total GMP is \$40,952,315 with a final completion date of 8/19/19. Subsequent assignment of contract from J E Kingham Construction Company to Kingham Dalton Wilson, Ltd effective 5/20/19. Subsequent amendment 6 to extend the final completion date to 2/28/2020.	Kingham Dalton Wilson, Ltd (contract assigned by J E Kingham Construction Company)	Request for Proposal	Physical Plant	None	\$ -	\$ 41,002,315.00	2/22/2016-02/28/2020	July 2015, April 2018, October 2018, October 2019
Construction of a fine arts expansion, welcome center and student support services one stop shop, basketball practice facility, and the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities in accordance with RFP#CMR-BLDG PROJECTS-2019 opened 9/20/18 and construction manager agreement dated 2/07/19 with estimated substantial completion date for all projects of 2/17/23 which may change upon final schedules and final project GMP's. Subsequent amendment for preconstruction services in the amount of \$209,744. Subsequent amendments for Basketball Practice Facility: Amendment No. 1 effective 7/22/19 for phase 1 of the GMP in the amount of \$1,369,388, Amendment No. 2 effective 10/29/2019 for phase 2 of the GMP in the amount of \$23,818,986.	Kingham Dalton Wilson, Ltd.	Request for Proposal	Physical Plant	None	\$ 23,818,986.00	\$ 25,398,118.00	2/07/19 -4/16/2021	October 2018, May 2019

APPROVAL OF THE SFA CHARTER SCHOOL 2018-19 AUDITED FINANCIAL STATEMENTS

Explanation:

The Texas Education Agency (TEA) requires an audit for the SFA Charter School that is separate from the university. The SFA Charter School financial statements have been audited for the fiscal year that ended August 31, 2019, and will be submitted to the Texas Education Agency as required.

Recommendation:

The administration recommends approval of the August 31, 2019 SFA Charter School audited financial statements.

**STEPHEN F. AUSTIN STATE UNIVERSITY
CHARTER SCHOOL
ANNUAL FINANCIAL REPORT
FOR THE YEAR ENDED AUGUST 31, 2019**

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
Annual Financial Report for
the Year Ended August 31, 2019**

Table of Contents

Exhibit	Page
CERTIFICATE OF BOARD	1
 FINANCIAL SECTION	
Independent Auditor’s Report	2-4
Management’s Discussion and Analysis	5-10
Basic Financial Statements	
Government-wide Financial Statements	
A-1 Statement of Net Position	11
B-1 Statement of Activities	12-13
Governmental Fund Financial Statements	
C-1 Balance Sheet	14
C-2 Reconciliation for C-1	15
C-3 Statement of Revenues, Expenditures, and Changes in Fund Balance	16
C-4 Reconciliation for C-3	17
Fiduciary Fund Financial Statements	
E-1 Statement of Fiduciary Net Position	18
Notes to the Financial Statements	19-37
 Required Supplementary Information	
G-1 Budgetary Comparison Schedule - General Fund	38
G-2 Schedule of the School’s Proportionate Share of the Net Pension Liability - Teachers Retirement System	39
G-3 Schedule of School’s Pension Contributions - Teachers Retirement System	40
G-4 Schedule of Changes in the Net OPEB Liability - Employee Retirement System of Texas	41
G-5 Schedule of School’s OPEB Contributions - Employee Retirement System of Texas	42
Notes to Required Supplementary Information	43-45
 Combining Schedules	
H-1 Combining Balance Sheet - Nonmajor Governmental Funds	46
H-2 Combining Statement of Revenues, Expenditures, and Changes in Fund Balances - Nonmajor Governmental Funds	47

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
Annual Financial Report for
the Year Ended August 31, 2019

Exhibit	Page
FEDERAL AWARDS SECTION	
Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with <u>Government Auditing Standards</u>	48-49
Schedule of Findings	50
Schedule of Status of Prior Findings	51
Corrective Action Plan	52

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
CERTIFICATE OF BOARD**

Stephen F. Austin State University Charter School	Nacogdoches	174-801
Name of District	County	District Number

We, the undersigned, certify that the attached annual financial reports of the above named school were reviewed and (check one) _____ approved _____ disapproved for the year ended August 31, 2019, at a meeting of the Board of Regents of Stephen F. Austin State University on the ___ day of January, 2020.

Signature of Secretary

Signature of Chairman

If the Board disapproved of the auditor's report, the reason(s) for disapproving it is(are): (attach list as necessary)

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FINANCIAL SECTION



Certified Public Accountants

G o f f & H e r r i n g t o n , P . C .

P.O. Box 153320 • Lufkin, TX. 75915-3320 • (936) 634-2345 • Fax:(936) 622-6823

A.J. Goff, CPA
Ronnie Herrington, CPA
Daniel Raney, CPA

Independent Auditor's Report

Stephen F. Austin State University Charter School
Nacogdoches, Texas

Members of the Board of Regents:

Report on the Financial Statements

We have audited the accompanying financial statements of the governmental activities, each major fund, and the aggregate remaining fund information of Stephen F. Austin State University Charter School (School) as of and for the year ended August 31, 2019, which collectively comprise the School's basic financial statements as listed in the table of contents. These financial statements are the responsibility of the School's management. Our responsibility is to express opinions on these financial statements based on our audit.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express opinions on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion.

Independent Auditor's Report

Members of the Board of Regents

January 1, 2020

Page 2

An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

Opinions

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, each major fund, and the aggregate remaining fund information of the Stephen F. Austin State University Charter School as of August 31, 2019, and the respective changes in financial position, and, where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matters

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis on pages 5 through 10, budgetary comparison information on page 38, the Teacher's Retirement System pension schedules on pages 39-40, the Employees Retirement System of Texas OPEB schedules on pages 41-42, and the related notes on pages 43-45, be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Information

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the School's basic financial statements taken as a whole. The combining schedules and required TEA schedules, are presented for purposes of additional analysis and are not a required part of the basic financial statements.

Independent Auditor’s Report

Members of the Board of Regents
January 1, 2020
Page 3

The combining schedules and required TEA schedules are the responsibility of management and were derived from and relate directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Other Reporting Required by Government Auditing Standards

In accordance with Government Auditing Standards, we have also issued our report dated January 1, 2020, on our consideration of the School’s internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with Government Auditing Standards in considering School’s internal control over financial reporting and compliance.

Goff & Herrington, P.C.
GOFF & HERRINGTON, P.C.
Certified Public Accountants

January 1, 2020

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STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

MANAGEMENT'S DISCUSSION AND ANALYSIS

This section of the annual financial report presents management's discussion and analysis of the School's financial performance during the year ended August 31, 2019. Please read it in conjunction with the School's financial statements, which immediately follow this section.

FINANCIAL HIGHLIGHTS

- ▶ The School's total combined net position was \$1,967,618 as of August 31, 2019.
- ▶ During the year ended August 31, 2019, the School's net position increased by \$98,049.
- ▶ The School generated \$2,442,995 in revenues from local and governmental activities, and the total cost of the School's programs was \$2,344,946.
- ▶ The general fund reported a total fund balance this year of \$2,109,111, of which \$1,114,076 is unassigned.

OVERVIEW OF THE FINANCIAL STATEMENTS

The School is considered a governmental organization for accounting, financial reporting, and auditing purposes. Organizations other than public corporations and bodies corporate and politic are classified as governmental organizations if they have one or more of the following characteristics:

- ▶ Popular election of officers or appointment (or approval) of a controlling majority of the members of the organization's governing body by officials of one or more state or local governments;
- ▶ The potential for unilateral dissolution by a government with the net position reverting to a government; or
- ▶ The power to enact and enforce a tax levy.

The School has the potential for unilateral dissolution by the Stephen F. Austin State University Board of Regents and the Regents appointed the initial members of the School's board. Therefore, the School exhibits two of the characteristics and is considered to be a governmental organization for accounting, financial reporting, and auditing purposes.

This annual financial report consists of three parts - **management's discussion and analysis** (this section), the **basic financial statements**, and **required supplementary information**. The basic financial statements include: (1) government-wide financial statements, (2) fund financial statements, and (3) notes to the financial statements. The required supplementary information further explains and supports the information in the financial statements.

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

Government-wide Financial Statements

The School’s annual financial report includes two government-wide financial statements. These statements provide both long-term and short-term information about the School’s finances. Financial reporting at this level uses a perspective similar to that found in the private sector.

The first of these government-wide financial statements is the **Statement of Net Position**. This is the School wide statement of financial position presenting information that includes all of the School’s assets and liabilities, with the difference reported as net position. Over time, increases or decreases in net position may serve as a useful indicator of whether the financial position of the School as a whole is improving or deteriorating. Evaluation of the overall health of the School would extend to other non financial factors.

The second government-wide financial statement is the **Statement of Activities**, which reports how the School’s net position changed during the current year. All current revenues and expenses are included regardless of when the cash is received or paid.

The government-wide financial statements of the School include the governmental activities of the School. These are the basic services such as instruction, curriculum and staff development, health services, and administration. State aid and federal grants finance most of these activities.

Fund Financial Statements

The fund financial statements focus on individual parts of the government, reporting the School’s operations in more detail than the government-wide statements. The governmental funds statements tell how general government services were financed in the short term as well as what remains for future spending.

The fund financial statements provide more detailed information about the School’s most significant funds - not the School as a whole. Funds are accounting devices that the School uses to keep track of specific sources of funding and spending for particular purposes. Laws and contracts require the School to establish some funds. The School’s administration establishes other funds to help it control and manage money for particular purposes.

Governmental funds - Most of the School’s basic services are included in governmental funds, which focus on (1) how cash and other financial assets that can be converted to cash flow in and out and (2) the balances left at year-end that are available for spending. Consequently, the governmental fund statements provide a detailed short term view that helps you determine whether there are more or fewer financial resources that can be spent in the near future to finance the School’s programs. Because this information does not encompass the additional long term focus of the government-wide statements, we provide additional information at the bottom of the governmental fund statement, or on the subsequent page, that explains the relationship (or differences) between them.

The accompanying notes to the financial statements provide essential information to a full understanding of the government-wide and fund financial statements.

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

FINANCIAL ANALYSIS OF THE SCHOOL AS A WHOLE

Net Position. The School's combined net position was \$1,967,618 as of August 31, 2019. The following table provides a summary of the School's net position.

The School's Net Position

	Governmental Activities		
	2019	2018	% Change
Current and Other Assets	2,204,123	2,067,398	6.6%
Capital and Non-Current Asset	-	-	-
Total Assets	2,204,123	2,067,398	6.6%
Deferred outflows - TRS	57,870	14,824	290.4%
Total Deferred Outflows of Resources	57,870	14,824	290.4%
Other Liabilities	75,018	73,332	2.3%
Long Term Liabilities	133,775	107,520	24.4%
Total Liabilities	208,793	180,852	15.5%
Deferred inflows - TRS	85,582	31,801	169.1%
Total Deferred Inflows of Resources	85,582	31,801	169.1%
Net Position:			
Restricted	19,994	22,351	(10.5)%
Unrestricted	1,947,624	1,847,218	5.4%
Total Net Position	<u>1,967,618</u>	<u>1,869,569</u>	<u>(5.1)%</u>

Restricted net position consists of \$19,994 restricted for campus activities.

Changes in net position. The School's total revenues were \$2,442,995. A significant portion, 84.81 percent, of the School's revenue comes from state aid grants. The rest of the School's revenue comes from federal operating grants, charges for services, and other local sources.

The total cost to the School of all programs and services was \$2,344,946; 76.10 percent of these costs are for instructional and student services.

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

Governmental Activities

The following table provides a summary of the School's changes in net position.

Changes in the School's Net Position

	<u>Governmental Activities</u>		
	<u>2019</u>	<u>2018</u>	<u>% Change</u>
Revenues:			
Program Revenues:			
Charges for services	158,361	157,287	0.7%
Operating grants and contributions	64,390	84,319	(23.6)%
General Revenues:			
State Foundation Program	2,072,002	1,969,233	5.2%
Miscellaneous	148,242	21,102	602.5%
Total revenues	2,442,995	2,231,941	9.5%
Expenses:			
Instructional and instructional related	1,539,394	1,311,056	17.4%
Curriculum and instructional staff development	44,419	39,042	13.8%
Instructional and school leadership	43,923	38,951	12.8%
Counseling	75,191	23,113	225.3%
Food services	170,000	170,000	0.0%
Health services	8,942	10,816	(17.3)%
General administration	170,501	155,133	9.9%
Plant maintenance	221,363	199,663	10.9%
Data processing services	71,213	63,542	12.1%
Total expenses	2,344,946	2,011,316	16.6%
Increase (Decrease) in Net Position	98,049	220,625	(55.6)%
Beginning Net Position	1,869,569	1,729,833	8.1%
Prior Period Adjustment	-	(80,889)	100.0%
Ending Net Position	<u>1,967,618</u>	<u>1,869,569</u>	<u>5.2%</u>

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

The following table presents the cost of each of the School’s largest functions as well as each functions net cost (total cost less fees generated by activities and intergovernmental aid). The net cost reflects what was funded by state revenues as well as local dollars.

	Net Cost of Selected School Functions					
	<u>Total cost of services</u>			<u>Net cost of services</u>		
	<u>2019</u>	<u>2018</u>	<u>% Change</u>	<u>2019</u>	<u>2018</u>	<u>% Change</u>
Instruction	1,539,394	1,311,056	17.4%	1,475,004	1,238,307	19.1%
Food service	170,000	170,000	0.0%	11,639	12,713	(8.4)%
General administration	170,501	155,133	9.9%	170,501	147,567	15.5%
Maintenance & operations	221,363	199,663	10.9%	221,363	199,663	10.9%
Data processing services	71,213	63,542	12.1%	71,213	63,542	12.1%

FINANCIAL ANALYSIS OF THE SCHOOL’S FUNDS

Revenues from governmental fund types totaled \$2,427,300, an increase of 7.88 percent from the preceding year. The increase in revenues is primarily attributable to increased local and intermediate sources and state program revenues.

The School’s governmental funds ended the year with a reported combined fund balance of \$2,129,105, which is \$135,039 more than last year’s ending balance of \$1,994,066, mainly due to increased local and intermediate sources and state program revenues.

General Fund Budgetary Highlights

Over the course of the year the School revised its budget as actual results were analyzed. Actual expenditures were \$166,005 below budget amounts. The most significant positive variance was in instructional function as actual expenditures were less than anticipated.

Reported revenues were \$57,025 above the final budgeted amount, as local and intermediate sources and state program revenues were higher than expected.

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

ECONOMIC FACTORS AND NEXT YEAR'S BUDGETS

For the 2019-2020 fiscal year, the School's average daily attendance was budgeted conservatively at 245 students; Actual number of students enrolled is 255.

Amounts available for expenditure in the general fund budget for 2020 are \$2,321,501 an increase of 3.14 percent from the 2019 final budgeted revenues of \$2,250,853. Expenditures are budgeted to decrease 0.64 percent to \$2,321,501. If these estimates are realized, the School's budgetary general fund balance is expected to remain the same at the close of 2020.

CONTACTING THE SCHOOL'S FINANCIAL MANAGEMENT

This financial report is designed to provide a general overview of the School's finances and to show the School's accountability for the money it receives. If you have any questions about this report or need additional financial information, contact the controller's office at Stephen F. Austin State University in Nacogdoches, Texas.

Government-Wide Financial Statements

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
STATEMENT OF NET POSITION
AUGUST 31, 2019

Data Control Codes		Primary Government		
		Governmental Activities	Business-type Activities	Total
	ASSETS			
1110	Cash and cash equivalents	2,196,582	-	2,196,582
1241	Due from other governments	7,541	-	7,541
1000	Total assets	2,204,123	-	2,204,123
	DEFERRED OUTFLOWS OF RESOURCES			
1705	Deferred outflow related to TRS Pension	57,782	-	57,782
1706	Deferred outflow related to ERS OPEB	88	-	88
1700	Total deferred outflows of resources	57,870	-	57,870
	LIABILITIES			
2160	Accrued wages payable	75,018	-	75,018
	Long Term Liabilities:			
2540	Net pension liability	91,909	-	91,909
2545	Net OPEB Liability	41,866	-	41,866
2000	Total liabilities	208,793	-	208,793
	DEFERRED INFLOWS OF RESOURCES			
2605	Deferred inflow related to TRS Pension	13,416	-	13,416
2606	Deferred inflow related to ERS OPEB	72,166	-	72,166
2600	Total deferred inflows of resources	85,582	-	85,582
	NET POSITION			
3870	Restricted for campus activity	19,994	-	19,994
3900	Unrestricted net position	1,947,624	-	1,947,624
3000	Total net position	1,967,618	-	1,967,618

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED AUGUST 31, 2019**

Data Control Codes	1	Program Revenues	
		3	4
	Expenses	Charges for Services	Operating Grants and Contributions
Governmental activities:			
11	Instruction	1,539,394	64,390
13	Curriculum and staff development	44,419	-
23	School leadership	43,923	-
31	Guidance, counseling and evaluation services	75,191	-
33	Health services	8,942	-
35	Food service	170,000	158,361
41	General administration	170,501	-
51	Plant maintenance and operations	221,363	-
53	Data processing services	71,213	-
TP	Total primary government	2,344,946	64,390

Data Control Codes	General revenues:
SF	State aid formula grants
GC	Grants and contributions, not restricted to specific programs
MI	Miscellaneous
TR	Total general revenues
CN	Change in net position
NB	Net position, beginning
NE	Net position, ending

The accompanying notes are an integral part of this statement

Exhibit B-1

Program Revenues	Net (Expense) Revenue and Changes in Net Position		
	Governmental Activities	Business Activities	Total
5			
Capital Grants and Contributions			
-	(1,475,004)	-	(1,475,004)
-	(44,419)	-	(44,419)
-	(43,923)	-	(43,923)
-	(75,191)	-	(75,191)
-	(8,942)	-	(8,942)
-	(11,639)	-	(11,639)
-	(170,501)	-	(170,501)
-	(221,363)	-	(221,363)
-	(71,213)	-	(71,213)
-	(2,122,195)	-	(2,122,195)
	2,072,002	-	2,072,002
	93,210	-	93,210
	55,032	-	55,032
	2,220,244	-	2,220,244
	98,049	-	98,049
	1,869,569	-	1,869,569
	1,967,618	-	1,967,618

The accompanying notes are an integral part of this statement

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Governmental Fund Financial Statements

Exhibit C-1

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
BALANCE SHEET
GOVERNMENTAL FUNDS
AUGUST 31, 2019

Data Control Codes	10	Other	98	
	General	Governmental	Governmental	
	Fund	Funds	Funds	
ASSETS				
1110	Cash and cash equivalents	2,176,588	19,994	2,196,582
1241	Due from other governments	7,541	-	7,541
1000	Total Assets	<u>2,184,129</u>	<u>19,994</u>	<u>2,204,123</u>
LIABILITIES				
2160	Accrued wages payable	75,018	-	75,018
2000	Total Liabilities	<u>75,018</u>	-	<u>75,018</u>
FUND BALANCES				
Assigned Fund Balance:				
3590	Other assigned fund balance	995,035	19,994	1,015,029
3600	Unassigned fund balance	1,114,076	-	1,114,076
3000	Total Fund Balances	<u>2,109,111</u>	<u>19,994</u>	<u>2,129,105</u>
4000	Total Liabilities, Deferred Inflows and Fund Balances	<u>2,184,129</u>	<u>19,994</u>	<u>2,204,123</u>

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
RECONCILIATION OF THE GOVERNMENTAL FUNDS BALANCE SHEET
TO THE STATEMENT OF NET POSITION
AUGUST 31, 2019**

Total fund balances - governmental funds	2,129,105
1 Included in the items related to debt is the recognition of the School's proportionate share of the net pension liability required by GASB 68 in the amount of \$91,909, a deferred resource inflow related to TRS in the amount of \$13,416, and a deferred resource outflow related to TRS in the amount of \$57,782. This amounted to a decrease in net position in the amount of \$47,543.	(47,543)
2 Included in the items related to debt is the recognition of the School's proportionate share of the net OPEB liability required by GASB 75 in the amount of \$41,866, a deferred resource inflow related to ERS in the amount of \$72,166, and a deferred resource outflow related to ERS in the amount of \$88. This amounted to a decrease in net position in the amount of \$113,944.	<u>(113,944)</u>
19 Net Position of governmental activities	<u><u>1,967,618</u></u>

The accompanying notes are an integral part of this statement

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
STATEMENT OF REVENUES, EXPENDITURES, AND CHANGES IN FUND BALANCE
GOVERNMENTAL FUNDS
FOR THE YEAR ENDED AUGUST 31, 2019

Data Control Codes		General Fund	Other Governmental Funds	Total Governmental Funds
REVENUES				
5700	Total local and intermediate sources	158,361	55,032	213,393
5800	State program revenues	2,149,517	32,155	2,181,672
5900	Federal program revenues	-	32,235	32,235
5020	Total revenues	<u>2,307,878</u>	<u>119,422</u>	<u>2,427,300</u>
EXPENDITURES				
0011	Instruction	1,368,069	121,779	1,489,848
0013	Curriculum and staff development	43,948	-	43,948
0023	School leadership	43,452	-	43,452
0031	Guidance, counseling and evaluation services	74,563	-	74,563
0033	Health services	8,942	-	8,942
0035	Food service	170,000	-	170,000
0041	General administration	168,932	-	168,932
0051	Plant maintenance and operations	221,363	-	221,363
0053	Data processing services	71,213	-	71,213
6030	Total expenditures	<u>2,170,482</u>	<u>121,779</u>	<u>2,292,261</u>
1100	Excess (deficiency) of revenues over expenditures	137,396	(2,357)	135,039
OTHER FINANCING SOURCES (USES)				
7915	Transfers in	-	-	-
8911	Transfers out	-	-	-
7080	Total other financing sources and uses	<u>-</u>	<u>-</u>	<u>-</u>
1200	Net change in fund balances	137,396	(2,357)	135,039
0100	Fund balance - September 1 (beginning)	<u>1,971,715</u>	<u>22,351</u>	<u>1,994,066</u>
3000	Fund balance - August 31 (ending)	<u><u>2,109,111</u></u>	<u><u>19,994</u></u>	<u><u>2,129,105</u></u>

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
RECONCILIATION OF THE GOVERNMENTAL FUNDS STATEMENT OF REVENUES,
EXPENDITURES, AND CHANGES IN FUND BALANCES
TO THE STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED AUGUST 31, 2019**

Net change in fund balances - governmental funds	135,039
Current year changes in amounts related to GASB 68 increased revenues in the amount of \$15,695, but also increased expenditures in the amount of \$23,913. The net effect on the change in the ending net position was a decrease in the amount of \$8,218.	(8,218)
Current year changes in amounts related to GASB 75 increased expenses in the amount of \$28,772. The effect on the change in the ending net position was a decrease in the amount of \$28,772.	<u>(28,772)</u>
Change in net position of governmental activities	<u><u>98,049</u></u>

The accompanying notes are an integral part of this statement

Fiduciary Fund Financial Statements

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
STATEMENT OF FIDUCIARY NET POSITION
FIDUCIARY FUNDS
AUGUST 31, 2019**

	<u>Agency Funds</u>
ASSETS	
Cash and cash equivalents	<u>2,910</u>
Total Assets	<u><u>2,910</u></u>
LIABILITIES	
Due to student groups	<u>2,910</u>
Total Liabilities	<u><u>2,910</u></u>

The accompanying notes are an integral part of this statement

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**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The basic financial statements of the Stephen F. Austin State University Charter School (School) are prepared in conformity with generally accepted accounting principles promulgated by the Governmental Accounting Standards Board and complies with the requirements of the appropriate version of Texas Education Agency's Financial Accountability System Resource Guide (Resource Guide) and the requirements of contracts and grants of agencies from which it receives funds. The Governmental Accounting Standards Board (GASB) is the accepted standard setting body for establishing accounting and financial reporting principles.

1. Reporting Entity

The School is chartered by the State Board of Education and accredited by the Texas Education Agency. The charter is held by the Stephen F. Austin State University (SFASU). The School operates within the Department of Elementary Education. SFASU is accredited with the Southern Association of Colleges and Schools. The School's administrators and staff are degreed and certified for the positions to which they are assigned.

As approved in the charter application, the Chief Administrative Officer of the School is the Chief Executive Officer (CEO) of the School. The CEO reports to the Charter Board, which reports to the President of SFASU. The School also secondarily reports to the Chair of the Elementary Education Department, who reports to the Dean of the James I. Perkins College of Education, who reports to the Provost, who reports to the President of SFASU. The President is ultimately responsible to the SFASU Board of Regents, appointed by the Governor and confirmed by the State Senate. This reporting structure effectively outlines the governing body of the School, with the Dean, the Provost, the President, and the Board of Regents retaining final oversight.

The Charter Board meets quarterly and works to ensure effective management of the School. The Charter Board consists of community and parent representatives, and School staff, the Chair of the Elementary Education Department and the Dean of the James I. Perkins College of Education.

The School is an open enrollment charter and provides K-5 education to students in the Nacogdoches and Central Heights districts. Due to high demand, students are selected by lottery.

2. Basis of Presentation and Basis of Accounting

Basis of Presentation

Government-wide Financial Statements: The statement of net position and the statement of activities include the financial activities of the overall government. Governmental activities generally are financed through intergovernmental revenues, and other nonexchange transactions.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

The statement of activities presents a comparison between direct expenses and program revenues for each function of the School's governmental activities. Direct expenses are those that are specifically associated with a program or function and, therefore, are clearly identifiable to a particular function. The School does not allocate indirect expenses in the statement of activities. Program revenues include grants and contributions that are restricted to meeting the operational or capital requirements of a particular program. Revenues that are not classified as program revenues, are presented as general revenues.

Fund Financial Statements: The fund financial statements provide information about the School's funds, with separate statements presented for each fund category. The emphasis of fund financial statements is on major governmental funds, each displayed in a separate column. All remaining governmental funds are aggregated and reported as nonmajor funds.

The School accounts are organized on the basis of funds, each of which is considered a separate accounting entity. The School has established several individual funds that are organized within a separate set of self-balancing accounts comprised of assets, liabilities, fund balance, revenues, and expenditures or expenses as appropriate. Governmental resources allocated to individual funds are recorded for the purpose of carrying on specific activities in accordance with laws, regulations, or other appropriate requirements.

The School reports the following major governmental fund:

General Fund: This is the School's primary operating fund. It accounts for all financial resources of the School except those required to be accounted for in another fund.

In addition, the School reports the following fund types:

Special Revenue Funds: These funds are used to account for the proceeds of specific revenue sources that are legally restricted to expenditure for specified purposes. All Federal and some State financial assistance is accounted for in a special revenue fund. Sometimes any unused balances must be returned to the grantor at the close of the specified project periods.

Agency Fund: These funds are used for assets held by the School in a custodial capacity as an agent on behalf of others. The School uses an agency fund to account for the activities of parent, teacher and student groups.

Measurement Focus, Basis of Accounting

The financial statements of the School are prepared in accordance with generally accepted accounting principles (GAAP). The School applies all relevant Governmental Accounting Standards Board (GASB) pronouncements.

The government-wide financial statements report using the economic resources measurement focus and the accrual basis of accounting generally including the reclassification or elimination of internal activity (between or within funds). Fiduciary fund financial statements also report using this same

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

focus and basis of accounting. Revenues are recorded when earned and expenses are recorded when the liability is incurred, regardless of the timing of related cash flows. Grant revenues are recognized when allowable expenditures are made under the provisions of the grant.

The statement of activities reports the expenses of the School's functions offset by program revenues directly connected with the function. A function is a general operational area in the School that groups together similar activities and may include portions of a fund or summarize more than one fund to capture the expenses and program revenues associated with the function. Program revenues include: (1) charges for services which report charges to users of the School's services such as school lunch charges; and (2) operating grants and contributions which finance annual operating activities of the School such as federal and state grants. State aid formula grants, and other revenue sources not properly included with program revenues are reported as general revenues.

Governmental funds are reported using the current financial resources measurement focus and the modified accrual basis of accounting. Under this method, revenues are recognized when measurable and available. Available means collectible within the current period or soon enough thereafter to pay current liabilities. The School considers all revenues reported in the governmental funds to be available. Revenues received from the State are recognized under the susceptible-to-accrual concept. Miscellaneous revenues are recorded as revenue when received in cash because they are generally not measurable until actually received. Expenditures are recorded when the related fund liability is incurred. General capital asset acquisitions are reported as expenditures in governmental funds.

When both restricted and unrestricted resources are available for use, it is the School's policy to use restricted resources first, then unrestricted resources as needed.

The School does not allocate general administration or support services expenses to other functions.

Fund Balance Policy

The School reports fund balances for governmental funds in classifications based primarily on the extent to which the entity is bound to honor constraints on the specific purposes for which amounts in those funds can be spent. The nonspendable classification represents assets that will be consumed or maintained intact; and, therefore will never convert to cash, such as inventories of supplies and endowments. Provisions of laws, contracts, and grants specify how fund resources can be used in the restricted classification. The nature of these two classifications precludes a need for a policy from the Charter Board. However, the Charter Board has adopted fund balance policies for the three unrestricted classifications-committed, assigned, and unassigned.

The School's assigned fund balances represent amounts campus activities.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

When the School incurs expenditures that can be made from either restricted or unrestricted balances, the expenditures are charged to restricted balances. When the entity incurs expenditures that can be made from either committed, assigned, or unassigned balances, the expenditures are charged to committed, assigned and then unassigned.

3. Financial Statement Amounts

Cash and cash equivalents - Cash and cash equivalents consist of amounts available in the SFASU treasury.

Receivable and Payable Balances - The School believes that sufficient detail of receivable and payable balances is provided in the financial statements to avoid the obscuring of significant components by aggregation. Therefore, no disclosure is provided which disaggregates those balances. There are no significant receivables which are not scheduled for collection within one year of year end.

Capital Assets - Purchased or constructed capital assets are reported at cost or estimated historical cost. The cost of normal maintenance and repairs that do not add to the value of the asset or materially extend assets' lives are not capitalized. A capitalization threshold of \$5,000 is used.

All assets acquired in excess of the \$5,000 threshold were purchased by SFASU, who retains title and ownership of those assets. These assets include the building and land improvements that constitute the physical plant of the School, as well as, furniture and fixtures.

Since title and ownership of all capital assets are retained by SFASU, no capital assets are reported in the accompanying financial statements.

Deferred Outflows/Inflows of Resources - In addition to assets, the statement of financial position will sometimes report a separate section for deferred outflows of resources. This separate financial statement element, *deferred outflows of resources*, represents a consumption of net position that applies to a future period and so will not be recognized as an outflow of resources (expense/expenditure) until then.

In addition to liabilities, the statement of financial position will sometimes report a separate section for deferred inflows of resources. The separate financial statement element, *deferred inflows of resources*, represents an acquisition of net position that applies to a future period and so will not be recognized as an inflow of resources (revenue) until then.

Pensions - The fiduciary net position of the Teachers Retirement System of Texas (TRS) has been determined using the flow of economic resources measurement focus and full accrual basis of accounting. This includes, for the purposes of measuring the net pension liability, deferred outflows of resources and deferred inflows of resources related to pensions, pension expense, and information about assets, liabilities, and additions to/deductions from TRS's fiduciary net position. Benefit payments (including refunds of employee contributions) are recognized when due and payable in

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

accordance with the benefit terms. Investments are reported at fair value. The net pension liability related to the School is included in the net pension liability allocated to SFASU by TRS. SFASU's share of the liability based on total TRS contributions made by SFASU in the measurement year ended August 31, 2019. The School's share of the net pension liability allocated to SFASU was calculated by dividing the School's 2019 covered payroll by total SFASU covered payroll for the measurement period.

Other Post-Employment Benefits (OPEB) - The fiduciary net position of the Employees Retirement System of Texas (ERS) healthcare, life, and dental insurance benefit plan has been determined using the flow of economic resources measurement focus and full accrual basis of accounting. This includes for purposes of measuring the net OPEB liability, deferred outflows of resources and deferred inflows of resources related to other post-employment benefits, OPEB expense, and information about assets, liabilities and additions to/deductions from the ERS healthcare, life, and dental insurance benefit plan's fiduciary net position. Benefit payments are recognized when due and payable in accordance with the benefit terms. The School's share of the net OPEB liability allocated to SFASU was calculated by dividing the School's 2019 covered payroll by total SFASU covered payroll for the measurement period.

Compensated Absences - State employees are entitled to be paid for all unused vacation time (annual leave) accrued in the event of the employee's resignation, dismissal or separation from state employment, provided the employee has had continuous employment with the State for six months. The School does not record a liability for sick pay or vacation benefits. SFASU does record a liability for compensable absences.

Use of Estimates - The preparation of financial statements in conformity with GAAP requires the use of management's estimates.

Data Control Codes - These codes refer to the account code structure prescribed by the Texas Education Agency (TEA) in the Resource Guide. TEA requires the display of these codes in the financial statements filed with the Agency in order to ensure accuracy in building a Statewide data base for policy development and funding plans.

DETAILED NOTES ON ALL FUNDS

A. DEPOSITS AND INVESTMENTS

The School's funds are initially deposited in a School bank account, then swept to the SFASU bank accounts. The School bank account is required by TEA for electronic deposits.

Periodically, SFASU provides the School with statement of account showing all fund activities for the month and ending monthly balances which is then reconciled to the accounts of the School. Such deposits are insured or collateralized under SFASU agreements with their depositories. As of August 31, 2019, the carrying amount and bank balances of deposits was \$2,196,582.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

Custodial credit risk for deposits is the risk that in the event of the failure of a depository financial institution, SFASU will not be able to recover deposits or will not be able to recover collateral securities that are in the possession of an outside party. SFASU is authorized by statute to make investments following the "prudent person rule." The Stephen F. Austin State University Board Policy 3.21, Investments, states that all deposits shall be secured by a pledge or collateral with a market value equal to no less than 100% of the deposits plus accrued interest less any amount insured by the FDIC pursuant to Chapter 2257 of the Government Code, - Collateral for Public Funds. Evidence of the pledged collateral associated with bank demand accounts shall be reviewed monthly by the SFASU Controller and director of financial services to assure the market value of the pledged securities exceeds the depository bank balances. There were no violations of legal provisions during the fiscal year.

B. DUE FROM OTHER GOVERNMENTS

The School participates in a variety of federal and state programs from which it receives grants to partially or fully finance certain activities. In addition, the School receives entitlements from the State through the School Foundation and Per Capita Programs. These amounts are reported on the governmental fund financial statements as Due from Other Governments.

Amounts due from federal and state governments as of August 31, 2019 are summarized as follows:

Fund	State Entitlements	Federal and State Grants	Total
General Fund	7,541	-	7,541

C. RISK MANAGEMENT

The School is exposed to various risks of loss related to torts, theft, damage or destruction of assets, errors and omissions, injuries to employees, and natural disasters. During fiscal year 2019, the School, through SFASU, was covered by commercial insurance. There were no significant reductions in coverage in the past fiscal year and there were no settlements exceeding insurance coverage for each of the past three fiscal years.

D. PENSION PLAN

Defined Benefit Pension Plan

Plan Description. The School participates in a cost-sharing multiple-employer defined benefit pension that has a special funding situation. The plan is administered by the Teacher Retirement System of Texas (TRS). TRS's defined benefit pension plan is established and administered in accordance with the Texas Constitution, Article XVI, Section 67 and Texas Government Code, Title 8, Subtitle C. The pension trust fund is a qualified pension trust under Section 401(a) of the Internal Revenue Code. The Texas Legislature establishes benefits and contribution rates within the guidelines

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

of the Texas Constitution. The pension's Board of Trustees does not have the authority to establish or amend benefit terms.

All employees of public, state-supported educational institutions in Texas who are employed for one-half or more of the standard work load and who are not exempted from membership under Texas Government Code, Title 8, Section 822.002 are covered by the system.

Pension Plan Fiduciary Net Position. Detailed information about the Teacher Retirement System's fiduciary net position is available in a separately-issued Comprehensive Annual Financial Report that includes financial statements and required supplementary information. That report may be obtained on the Internet at <http://www.trs.state.tx.us/about/documents/cafr.pdf#CAFR>; by writing to TRS at 1000 Red River Street, Austin, TX, 78701-2698; or by calling (512) 542-6592.

Benefits Provided. TRS provides service and disability retirement, as well as death and survivor benefits, to eligible employees (and their beneficiaries) of public and higher education in Texas. The pension formula is calculated using 2.3 percent (multiplier) times the average of the five highest annual creditable salaries times years of credited service to arrive at the annual standard annuity except for members who are grandfathered, the three highest annual salaries are used. The normal service retirement is at age 65 with 5 years of credited service or when the sum of the member's age and years of credited service equals 80 or more years. Early retirement is at age 55 with 5 years of service credit or earlier than 55 with 30 years of service credit. There are additional provisions for early retirement if the sum of the member's age and years of service credit total at least 80, but the member is less than age 60 or 62 depending on date of employment, or if the member was grandfathered in under a previous rule. There are no automatic post-employment benefit changes; including automatic COLAs. Ad hoc post-employment benefit changes, including ad hoc COLAs can be granted by the Texas Legislature as noted in the Plan description above.

Contributions. Contribution requirements are established or amended pursuant to Article 16, section 67 of the Texas Constitution which requires the Texas legislature to establish a member contribution rate of not less than 6% of the member's annual compensation and a state contribution rate of not less than 6% and not more than 10% of the aggregate annual compensation paid to members of the system during the fiscal year. Texas Government Code section 821.006 prohibits benefit improvements, if as a result of the particular action, the time required to amortize TRS's unfunded actuarial liabilities would be increased to a period that exceeds 31 years, or, if the amortization period already exceeds 31 years, the period would be increased by such action.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
 NOTES TO THE FINANCIAL STATEMENTS
 YEAR ENDED AUGUST 31, 2019**

Employee contribution rates are set in state statute, Texas Government Code 825.402. Senate Bill 1458 of the 83rd Texas Legislature amended Texas Government Code 825.402 for member contributions and established employee contribution rates for fiscal years 2014 through 2017. The 84th Texas Legislature, GAA established the employer contribution rates for fiscal years 2016 and 2017.

	2019	2018
Member	7.70%	7.70%
Non-Employer Contribution Rate (State)	6.80%	6.80%
Employers	6.80%	6.80%
School's 2019 Employer Contributions	\$	-
School's 2019 Member Contributions	\$	85,570
School's 2019 NECE On-Behalf Contributions	\$	77,386

Contributors to the plan include members, employers and the State of Texas as the only non-employer contributing entity. The State contributes to the plan in accordance with state statutes and the General Appropriations Act (GAA).

As the non-employer contributing entity for public education, the State of Texas contributes to the retirement system an amount equal to the current employer contribution rate times the aggregate annual compensation of all participating members of the pension trust fund during that fiscal year reduced by the amounts described below which are paid by the employers.

Employers including public schools are required to pay the employer contribution rate in the following instances:

On the portion of the member's salary that exceeds the statutory minimum for members entitled to the statutory minimum under Section 21.402 of the Texas Education Code.

During a new member's first 90 days of employment.

When any part or all of an employee's salary is paid by federal funding sources, a privately sponsored source.

When the employing district is a public junior college or junior college district, the employer shall contribute to the retirement system an amount equal to 50% of the state contribution rate for certain instructional or administrative employees; and 100% of the state contribution rate for all other employees.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
 NOTES TO THE FINANCIAL STATEMENTS
 YEAR ENDED AUGUST 31, 2019**

In addition to the employer contributions listed above, there are two additional surcharges an employer is subject to.

When employing a retiree of the Teacher Retirement System the employer shall pay both the member contribution and the state contribution as an employment after retirement surcharge.

When a school district does not contribute to the Federal Old-age, Survivors and Disability Insurance (OASDI) Program for certain employees, they must contribute 1.5% of the state contributions rate for certain instructional or administrative employees; and 100% of the state contribution rate for all other employees.

Actuarial Assumptions. The total pension liability in the August 31, 2017 actuarial valuation rolled forward to August 31, 2018 was determined using the following actuarial assumptions:

Valuation Date	August 31, 2017 rolled forward to August 31, 2018
Actuarial Cost Method	Individual Entry Age Normal
Asset Valuation Method	Market Value
Single Discount Rate	6.907%*
Long-term expected Investment Rate of Return	7.250%
Municipal Bond Rate	3.690%*
Inflation	2.300%
Salary Increases	3.50% to 9.50%, including inflation
Last Year Ending 8/31 in Projection Period	2116 (100 years)
Ad hoc Post Employment Benefit Changes	None

** - Sourced from fixed income municipal bonds with 20 years to maturity that include only federal, tax-exempt municipal bonds as reported in Fidelity Index's "20-year Municipal GO AA Index" as of August 31, 2018*

The actuarial methods and assumptions are primarily based on a study of actual experience for the three year period ending August 31, 2017 and adopted in July 2018.

Discount Rate. The discount rate used to measure the total pension liability was 6.907%. The single discount rate was based on the expected rate of return on pension plan investments of 7.25 percent and a municipal bond rate of 3.69 percent. The projection of cash flows used to determine the discount rate assumed that contributions from plan members and those of the contributing employers and the non-employer contributing entity are made at the statutorily required rates. Based on those assumptions, the pension plan's fiduciary net position was sufficient to finance the benefit payments until the year 2069. As a result, the long-term expected rate of return on pension plan investments was applied to projected benefit payments through the year 2069, and the municipal bond rate was applied to all benefit payments after that date. The long-term expected rate of return on pension plan investments was determined using a building-block method in which best-estimates ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding expected inflation. Best estimates of arithmetic real rates of return for each major asset class included in the Systems target asset allocation as of August 31, 2018 are summarized below:

Asset Class	Target Allocation*	Long-Term Expected Arithmetic Real Rate of Return**	Expected Contribution to Long-term Portfolio Returns
Global Equity			
U.S.	18%	5.7%	1.0%
Non-U.S. Developed	13%	6.9%	0.9%
Emerging Markets	9%	8.9%	0.8%
Directional Hedge Funds	4%	3.5%	0.1%
Private Equity	13%	10.2%	1.3%
Stable Value			
U.S. Treasuries	11%	1.1%	0.1%
Absolute Return	0%	-	-
Stable Value Hedge Funds	4%	3.1%	0.1%
Cash	1%	-0.3%	0.0%
Real Return			
Global Inflation Linked Bonds	3%	0.7%	0.0%
Real Assets	16%	5.2%	0.7%
Energy and Natural Resources	3%	7.5%	0.4%
Commodities	0%	-	-
Risk Parity			
Risk Parity	5%	3.7%	0.2%
Inflation Expectations			2.3%
Volatility Drag***			-0.8%
Total	100%		7.2%

* Target allocations are based on the FY 2016 model

** Capital Market assumptions come from Aon Hewitt (2017 Q4)

*** The volatility drag results from the conversion between arithmetic and geometric mean returns

Discount Rate Sensitivity Analysis. The following schedule shows the impact of the Net Pension Liability if the discount rate used was 1% less than and 1% greater than the discount rate that was used (6.907%) in measuring the Net Pension Liability.

	1% Decrease in Discount Rate (5.907%)	Discount Rate (6.907%)	1% Increase in Discount Rate (7.907%)
School's proportionate share of the net pension liability:	\$138,713	\$91,909	\$54,019

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

Pension Liabilities, Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions. At August 31, 2019, the School reported a liability of \$91,909 for its proportionate share of the TRS's net pension liability. This liability reflects a reduction for State pension support provided to the School.

The amount recognized by the School as its proportionate share of the net pension liability, the related State support, and the total portion of the net pension liability that was associated with the School were as follows:

School's Proportionate share of the collective net pension liability	\$91,909
State's proportionate share that is associated with the School	922,102
Total	\$1,014,011

The net pension liability was measured as of August 31, 2017 and rolled forward to August 31, 2018 and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of August 31, 2017 and rolled forward to August 31, 2018. The employer's proportion of the net pension liability was based on the employer's contributions to the pension plan relative to the contributions of all employers to the plan for the period September 1, 2017 through August 31, 2018.

At August 31, 2018 the employer's proportion of the collective net pension liability was .000167%, which was an increase of 41.39% from its proportion measured as of August 31, 2017.

Changes Since the Prior Actuarial Valuation - The following were changes to the actuarial assumptions or other inputs that affected measurement of the total pension liability since the prior measurement period.

- The Total Pension Liability as of August 31, 2018 was developed using a roll-forward method from the August 31, 2017 valuation.
- Demographic assumptions including post-retirement mortality, termination rates, and rates of retirement were updated based on the experience study performed for TRS for the period ending August 31, 2017.
- Economic assumptions including rates of salary increase for individual participants was updated based on the same experience study.
- The discount rate changed from 8.0 percent as of August 31, 2017 to 6.907 percent as of August 31, 2018.
- The long-term assumed rate of return changed from 8.0 percent to 7.25 percent.
- The change in the long-term assumed rate of return combined with the change in the single discount rate was the primary reason for the increase in the Net Pension Liability.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
 NOTES TO THE FINANCIAL STATEMENTS
 YEAR ENDED AUGUST 31, 2019**

There were no changes of benefit terms that affected measurement of the total pension liability during the measurement period

For the year ended August 31, 2019, the School recognized pension expense of \$91,263 and revenue of \$77,386 for support provided by the State in the Government-wide Statement of Activities.

At August 31, 2019, the School reported its proportionate share of the TRS's deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
Differences between expected and actual economic experience	\$573	\$2,255
Changes in actuarial assumptions	33,138	1,036
Difference between projected and actual investment earnings	-	1,744
Changes in proportion and difference between the employer's contribution and the proportionate share of contributions	24,071	8,381
Contributions paid to TRS subsequent to the measurement date	-	-
Total	\$57,782	\$13,416

The net amounts of the employer's balances of deferred outflows and inflows of resources related to the pension will be recognized in the pension expense as follows:

Year Ended August 31:	Pension Expense Amount
2020	\$10,633
2021	6,963
2022	5,919
2023	7,070
2024	8,466
Thereafter	5,315

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

E. DEFINED OTHER POST-EMPLOYMENT BENEFIT PLANS

Other Post -Employment Benefit Plan (OPEB)

Plan Description. Retirees are provided with postemployment healthcare, life and dental insurance benefits through the State Retiree Health Plan (SRHP). The Employees Retirement System of Texas (ERS) is the administrator of SRHP, which is a cost sharing multiple-employer postemployment healthcare plan with a special funding situation. This plan covers retired employees of the state, and other entities as specified by the State Legislature. The benefit and contribution provisions of the SRHP are authorized by state law and may be amended by the Legislature. Benefits are provided to retirees through the Texas Employees Group Benefits Program as authorized by Texas Insurance Code, Chapter 1551. Retirees must meet certain age and service requirements and have at least 10 years of service at retirement to participate in the plan.

Surviving spouses and dependents of retirees are also covered by SRHP. The plan does not provide automatic cost of living adjustments (COLAs).

Contributions. During the measurement period of 2018 for fiscal 2019 reporting, the amount of contributions recognized by the OPEB plan was \$3,782. The School does not contribute toward dental or optional life insurance. Surviving spouses and their dependents do not receive any employer contribution. The contribution requirements for the state and the members in the measurement period are presented in the table below:

Employer Contribution Rates Retiree Health and Basic Life Premium For the Fiscal Year Ended August 31, 2018	
Retiree only	\$625
Retiree and spouse	\$983
Retiree and children	\$865
Retiree and family	\$1,223

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

Actuarial Assumptions. The total OPEB liability is determined by the contribution rates and an annual actuarial valuation. The table below presents the actuarial methods and assumptions used to measure the total OPEB liability as of the August 31, 2018 measurement date.

Valuation Date	August 31, 2018
Actuarial Cost Method	Entry Age
Amortization Method	Level Percent of Payroll, Open
Remaining Amortization Period	30 Years
Asset Valuation Method	Not Applicable
Actuarial Assumptions:	
Inflation	2.50%
Discount Rate	3.96%
Aggregate Payroll Growth Rate	3.00%
Projected Annual Salary Increases	2.50% to 9.50%, including inflation
Annual Healthcare Trend Rates	7.30% for FY 2020, 7.40% for FY 2021, 7.00% for FY 2022, decreasing 0.50% per year to 4.50% for FY 2027 and later years
Retirement Age	Experience-based tables of rates that are specific to the class of employee
Mortality-State Agency Members	<u>Service Retirees, Survivors and Other Members</u> - Tables based on TRS experience with Ultimate MP Projection scale form the year 2018. <u>Disabled Retirees</u> - Tables based on TRS experience with Ultimate MP Projection scale form the year 2018 using a 3-year set forward and minimum mortality rates of four per 100 male members and two per 100 female members. <u>Active Members</u> - Sex Distinct RP-2014 Employee Mortality multiplied by 90% with Ultimate MP Projection Scale projected from year 2014.
Ad hoc Post-Employment Benefit Changes	None

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

The many actuarial assumptions used in the valuation were primarily based on the result of actuarial experience studies performed by the ERS retirement plan actuaries for the period Sept. 1, 2011 to Aug. 31, 2016. The mortality rates were based on the tables identified in the table above titled *Actuarial Methods and Assumptions*.

The following assumptions have been changed since the previous valuation:

Demographic Assumptions:

Since the last valuation was prepared for this plan, demographic assumptions (including rates of retirement, disability, termination, and mortality, and assumed salary increases) for Higher Education members have been updated to reflect assumptions recently adopted by the TRS Trustees. These new assumptions were adopted to reflect an experience study on the TRS retirement plan performed by the TRS retirement plan actuary. In addition, the following assumptions have been updated since the previous valuation to reflect recent plan experience and expected trends:

Percentage of current retirees and retiree spouses not yet eligible to participate in the HealthSelect Medicare Advantage Plan and future retirees and retiree spouses who will elect to participate in the plan at the earliest date at which coverage can commence.

Percentage of future retirees assumed to be married and electing coverage for their spouse.

Economic Assumptions:

Assumptions for Expenses, Assumed Per Capita Health Benefit Costs and Health Benefit Cost and Retiree Contribution and Expense trends have been updated since the previous valuation to reflect recent health plan experience and its effects on our short-term expectations.

The discount rate was changed from 3.51% to 3.96% as a result of requirements by GASB No. 74 to utilize the yield or index rate for 20-year, tax-exempt general obligation bonds rated AA/Aa (or equivalent) or higher in effect on the measurement date.

Minor benefit changes described below have been reflected in the FY 2019 Assumed Per Capita Health Benefits Costs.

Benefit revisions have been adopted since the prior valuation. The only benefit change for HealthSelect retirees and dependents for whom Medicare is not primary is an increase in the out-of-pocket maximum for both HealthSelect and Consumer Directed HealthSelect (CDHP) from \$6,550 to \$6,650 for individuals and from \$13,100 to \$13,300 for families in order to remain consistent with Internal Revenue Service maximums. This minor benefit change is provided for in the FY 2019 Assumed Per Capita Health Benefit Costs. There are no benefit changes for HealthSelect retirees and dependents for whom Medicare is Primary.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

Discount Rate

The discount rate used to measure the total OPEB liability was the municipal bond rate of 3.96 percent as of the end of the measurement year and 3.51 percent as of the beginning of the measurement year. Projected cash flows into the plan are equal to projected benefit payments out of the plan. Since the plan operates on a pay-as-you-go basis and is not intended to accumulate assets, there is no long-term expected rate of return.

Discount Rate Sensitivity Analysis. Sensitivity analysis was performed on the impact of changes in the discount rate on the proportionate share of the Schools’s net OPEB liability. The result of the analysis is presented in the table below:

	1% Decrease in Discount Rate (2.96%)	Discount Rate (3.96%)	1% Increase in Discount Rate (4.96%)
School’s proportionate share of the OPEB liability:	\$49,705	\$41,866	\$35,933

Healthcare Cost Trend Rates Sensitivity Analysis - The following presents the net OPEB liability of the plan using the assumed healthcare cost trend rate, as well as what the net OPEB liability would be if it were calculated using a trend rate that is one-percentage point lower or one-percentage point higher than the assumed healthcare cost trend rate.

	1% Decrease in Health Care Cost Trend Rate	Current Health Care Cost Trend Rate	1% Increase in Health Care Cost Trend Rate
School’s proportionate share of the OPEB liability:	\$35,455	\$41,866	\$50,136

The OPEB plan’s fiduciary net position is determined using the economic resources measurement focus and the accrual basis of accounting, which is the same basis used by ERS. Benefits and refunds of contributions are recognized when due and payable in accordance with the terms of the plan. Investments of the Other Employee Benefit Trust Fund are reported at fair value in accordance with GASB Statement No. 72. The fair value of investments is based on published market prices and quotations from major investment brokers at available current exchange rates. However, corporate bonds in general are valued based on currently available yields of comparable securities by issuers with similar credit ratings. More detailed information of the plan’s investment valuation, investment policy, assets, and fiduciary net position may be obtained from ERS’s fiscal 2018 CAFR:

Employees Retirement System of Texas
P.O. Box 13207
Austin, Texas 78711-3207

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019

At August 31, 2019, the School reported a liability of \$41,866 for its proportionate share of the collective net OPEB liability. The collective OPEB liability was measured as of August 31, 2018, and the total OPEB liability used to calculate the net liability was determined by an actuarial valuation as of that date. The School's proportional percentage at August 31, 2018 was 0.00014126 percent. The School's proportion of the collective net OPEB liability was based on its contributions to the OPEB plan relative to the contributions of all the employers and non-employer contributing entities to the plan for the period September 1, 2017 through August 31, 2018.

The schedule of changes in the School's net OPEB liability for the fiscal year ending August 31, 2019, is presented below:

	Increase (Decrease)		
	Total OPEB Liability (a)	Plan Fiduciary Net Position (b)	Net OPEB Liability (a)-(b)
Balance 9/1/2018	71,221	1,454	69,767
Changes for the year			
Service cost	9,411	-	9,411
Interest	7,938	-	7,938
Difference between expected and actual experience	(5,886)	-	(5,886)
Changes in assumptions	(37,267)	-	(37,267)
Contributions - Employer	-	1,931	(1,931)
Contributions - NECE	-	104	(104)
Contributions - Employee	-	1,278	(1,278)
Contributions - Other	-	489	(489)
Net investment income	-	69	(69)
Benefit payments, including refunds of contributions	(2,432)	(2,432)	0
Administrative expenses	-	(37)	37
Other	-	(1,737)	1,737
Net Changes	(28,236)	(335)	(27,901)
Balance 8/31/2019	42,985	1,119	41,866

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

At August 31, 2019, the School reported its proportionate share of the TRS’s deferred outflows of resources and deferred inflows of resources related to other post-employment benefits from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
Differences between expected and actual economic experience	-	\$6,831
Changes in actuarial assumptions	-	65,335
Difference between projected and actual investment earnings	88	-
Changes in proportion and difference between the employer’s contribution and the proportionate share of contributions	-	-
Contributions paid to TRS subsequent to the measurement date	-	-
Total	\$88	\$72,166

The net amounts of the employer’s balances of deferred outflows and inflows of resources related to the pension will be recognized in the pension expense as follows:

Year Ended August 31:	Pension Expense Amount
2018	(\$18,354)
2019	(18,354)
2020	(18,354)
2021	(12,392)
2022	(4,624)
Thereafter	-

F. DEFERRED COMPENSATION

SFASU employees may elect to defer a portion of their earnings for income tax and investment purposes pursuant to authority granted in the TEX. GOV'T. CODE ANN., Sec 609.001. Two plans are available for employees: the 403 (b) Tax Sheltered Annuity (TSA) plan and the Texasaver 457(b) plan. The TSA is administered by Stephen F. Austin State University. The 457(b) plan is administered by the Employees Retirement System of Texas.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2019**

G. HEALTH CARE COVERAGE

SFASU provides health care benefits to all School employees who meet SFASU employment qualifications and requirements. Contributions are required for coverage of dependents. During the year SFASU deducted amounts from the School's cash accounts to cover their portion of health care coverage.

H. COMMITMENTS AND CONTINGENCIES

The School participates in grant programs which are governed by various rules and regulations of the grantor agencies. Costs charged to the respective grant programs are subject to audit and adjustment by the grantor agencies; therefore, to the extent that the School has not complied with the rules and regulations governing the grants, refunds of any money received may be required and the collectibility of any related receivable may be impaired. In the opinion of the School, there are no significant contingent liabilities relating to compliance with the rules and regulations governing the respective grants; therefore, no provision has been recorded in the accompanying basic financial statements for such contingencies.

I. UNIVERSITY SUPPORT

Stephen F. Austin State University (SFASU) provides support to the SFASU Charter School. In fiscal year 2006, the Texas Legislature approved tuition revenue bond funding for SFASU totaling \$30,178,000 for SFASU projects. These projects included the Early Childhood Research Center (ECRC) and deferred maintenance projects. SFASU issued tuition revenue bonds of \$20,175,000 in March 2008 to finance a portion of the ECRC. An additional \$10,200,000 of Higher Education Fund (HEF) general obligation bonds were issued in December 2008 to complete the facility. Thus, SFASU incurred \$30,375,000 in debt for the ECRC. During the fiscal year 2017, SFASU issued a 2016 Series tuition revenue bond that included \$10,375,000 that was used to refund a significant portion of 2008 series tuition revenue bonds. The ECRC houses the SFASU Charter School, Early Childhood Laboratory, and Department of Elementary Education. SFASU paid \$2,366,838 in debt service for ECRC in fiscal year 2019.

SFASU provides space, utilities, and indirect services to the School. The SFASU Charter School serves as a university laboratory setting sharing 47,929 square feet of the ECRC building square footage of 123,231. The School reimbursed SFASU a negotiated amount of \$188,600 for administrative and operational costs during fiscal year 2019.

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Required Supplementary Schedules

Exhibit G-1

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
BUDGETARY COMPARISON SCHEDULE
GENERAL FUND
FOR THE YEAR ENDED AUGUST 31, 2019**

Data Control Codes	Budgeted Amounts		Actual Amounts (Budgetary Basis)	Variance With Final Budget Positive (Negative)	
	Original	Final			
	REVENUES:				
5700	Local and intermediate sources	154,305	154,305	158,361	4,056
5800	State program revenues	2,096,548	2,096,548	2,149,517	52,969
5900	Federal program revenues	-	-	-	-
5020	Total revenues	2,250,853	2,250,853	2,307,878	57,025
EXPENDITURES:					
0011	Instruction	1,516,686	1,516,686	1,368,069	148,617
0013	Curriculum and staff development	43,498	43,498	43,948	(450)
0023	School leadership	42,758	42,758	43,452	(694)
0031	Guidance, counseling and evaluation services	84,829	84,829	74,563	10,266
0033	Health services	10,331	10,331	8,942	1,389
0035	Food service	170,000	170,000	170,000	-
0041	General administration	173,488	173,488	168,932	4,556
0051	Plant maintenance and operations	222,100	222,100	221,363	737
0053	Data processing services	72,797	72,797	71,213	1,584
6030	Total expenditures	2,336,487	2,336,487	2,170,482	166,005
1100	Excess (deficiency) of revenues over expenditures	(85,634)	(85,634)	137,396	223,030
OTHER FINANCING SOURCES (USES):					
7915	Transfers in	-	-	-	-
8911	Transfers out (use)	-	-	-	-
7080	Total other financing sources (uses)	-	-	-	-
1200	Net change in fund balances	(85,634)	(85,634)	137,396	223,030
0100	Fund balance - September 1 (beginning)	1,971,715	1,971,715	1,971,715	-
3000	Fund balance - August 31 (ending)	1,886,081	1,886,081	2,109,111	223,030

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF THE SCHOOL'S PROPORTIONATE SHARE OF THE NET PENSION LIABILITY
TEACHERS RETIREMENT SYSTEM
FOR THE YEAR ENDED AUGUST 31, 2019**

	FY 2019 <u>Plan Year 2018</u>	FY 2018 <u>Plan Year 2017</u>	FY 2017 <u>Plan Year 2016</u>	FY 2016 <u>Plan Year 2015</u>	FY 2015 <u>Plan Year 2014</u>
School's Proportion of the Net Pension Liability (Asset)	0.00000167	0.00000118	0.00000150	0.00000224	0.00000137
School's Proportionate share of the Net Pension Liability (Asset)	\$ 91,909	\$ 37,753	56,678	\$ 79,088	\$ 36,549
State's Proportionate share of the Net Pension Liability (Asset) associated with the School	<u>922,102</u>	<u>674,792</u>	<u>825,120</u>	<u>785,630</u>	<u>696,294</u>
TOTAL	\$ <u>1,014,011</u>	\$ <u>712,545</u>	<u>881,798</u>	\$ <u>864,718</u>	\$ <u>732,843</u>
School's Covered Payroll	\$ 1,003,424	\$ 974,070	\$ 1,022,269	\$ 973,960	\$ 971,480
School's Proportionate Share of the Net Pension Liability (Asset) as a percentage of its Covered Payroll	9.16%	3.88%	5.54%	8.12%	3.76%
Plan Fiduciary Net Position as a Percentage of the Total Pension Liability	73.74%	82.17%	76.23%	78.43%	83.25%

NOTE: GASB 68, Paragraph 81 requires that the data in this schedule be data from the period corresponding with the periods covered as of the measurement dates of August 31, 2018 for fiscal year 2019, August 31, 2017 for fiscal year 2018, August 31, 2016 for fiscal year 2017, August 31, 2015 for the fiscal year 2016, and August 31, 2014 for the fiscal year 2015.

NOTE: In accordance with GASB 68, Paragraph 138, only five years of data are presented this reporting period. "The information for all periods for the 10-year schedules that are required to be presented as required supplementary information may not be available initially. In these cases, during the transition period, that information should be presented for as many years as are available. The schedules should not include information that is not measured in accordance with the requirements of this Statement."

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF SCHOOL'S PENSION CONTRIBUTIONS FOR PENSIONS
TEACHERS RETIREMENT SYSTEM
FOR FISCAL YEAR 2019**

	<u>2019</u>	<u>2018</u>	<u>2017</u>	<u>2016</u>	<u>2015</u>
Contractually Required Contribution	\$ -	\$ -	\$ -	\$ -	\$ 470
Contribution in Relation to Contractually Required Contribution	-	-	-	-	(470)
Contribution Deficiency (Excess)	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
School's Covered Payroll	\$ 1,111,294	\$ 1,003,424	\$ 974,070	\$ 1,022,269	\$ 973,960
Contributions as a Percentage of Covered Payroll	0.00%	0.00%	0.00%	0.00%	0.05%

NOTE: GASB 68, Paragraph 81 requires that the data in this schedule be presented as of the School's respective fiscal years as opposed to the time periods covered by the measurement dates ending August 31 for the respective fiscal years.

NOTE: In accordance with GASB 68, Paragraph 138, the years of data presented this reporting period are those for which data is available. "The information for all periods for the 10-year schedules that are required to be presented as required supplementary information may not be available initially. In these cases, during the transition period, information should be presented for as many years as are available. The schedules should not include information that is not measured in accordance with the requirements of this Statement."

The accompanying notes are an integral part of this statement

Exhibit G-4

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF CHANGES IN NET OPEB LIABILITY AND RELATED RATIOS
EMPLOYEES RETIREMENT SYSTEM OF TEXAS**

	FY 2019	FY 2018
	<u>Plan Yr 2018</u>	<u>Plan Yr 2017</u>
TOTAL OPEB LIABILITY		
Service cost	\$ 9,411	\$ 4,718
Interest (on the Total OPEB Liability)	7,938	2,509
Changes of benefit terms	-	-
Difference between expected and actual experience	(5,886)	(1,027)
Changes in assumptions	(37,267)	(17,873)
Benefit payments, including refunds of employee contributions	(2,432)	(1,492)
Net Change in Total OPEB Liability	<u>(28,236)</u>	<u>(13,165)</u>
Total OPEB Liability - Beginning	71,221	84,386
Total OPEB Liability - Ending (a)	<u>\$ 42,985</u>	<u>\$ 71,221</u>
PLAN FIDUCIARY NET POSITION		
Contributions:		
Employer	\$ 1,931	\$ 1,824
NECE	104	95
Employee	1,278	401
Other	489	147
Net investment income	69	9
Benefit payments, including refund of employee contributions	(2,432)	(1,492)
Administrative expense	(37)	(12)
Other	(1,737)	(546)
Net Change in Plan Fiduciary Net Position	<u>(335)</u>	<u>426</u>
Plan Fiduciary Net Position- Beginning	1,454	1,028
Plan Fiduciary Net Position- Ending (b)	<u>\$ 1,119</u>	<u>\$ 1,454</u>
Net OPEB (Asset)Liability - Ending (a) - (b)	\$ 41,866	\$ 69,767
Plan Fiduciary Net Position as a Percentage of Total OPEB Asset/Liability	2.60%	2.04%
Covered Payroll	\$ 1,003,424	\$ 974,070
Net OPEB Asset/Liability as a Percentage of Covered Payroll	4.17%	7.16%

NOTE: This schedule is intended to present 10 years of information. Currently, only one year of information is available. Information for future years will be added as it becomes available.

NOTE: The data in this schedule is data from the plan year corresponding with the periods covered as of the measurement dates of August 31, 2018 for fiscal year 2019 and August 31, 2017 for fiscal year 2018.

NOTE: Benefit payments are net of member contributions and Federal Revenues.

The accompanying notes are an integral part of this statement

Exhibit G-5

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF SCHOOL'S OPEB CONTRIBUTIONS
EMPLOYEE RETIREMENT SYSTEM OF TEXAS
FOR THE YEAR ENDED AUGUST 31,**

	2019	2018
Actuarial Determined Contributions	-	-
Contributions in relation to the actuarially determined contribution	-	-
Contribution Deficiency (Excess)	-	-
Covered Payroll	1,111,294	1,003,424
Contributions as a Percentage of Covered Payroll	0.00%	0.00%

NOTE: This schedule is intended to present 10 years of information. Currently, only one year of information is available. Information for future years will be added as it becomes available.

The accompanying notes are an integral part of this statement

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**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
 NOTES TO REQUIRED SUPPLEMENTARY INFORMATION
 YEAR ENDED AUGUST 31, 2019**

A. Notes to Schedules for the TRS Pension

Changes of Benefit terms.

There were no changes of benefit terms that affected measurement of the total pension liability during the measurement period.

Changes of Assumptions.

Assumptions, methods, and plan changes which are specific to the Pension Trust Fund were updated from the prior year's report. The Net Pension Liability increased significantly since the prior measurement date due to a change in the following actuarial assumptions:

- The total pension liability as of August 31, 2018 was developed using a roll-forward method from the August 31, 2017.
- Demographic assumptions including post-retirement mortality, termination rates, and rates of retirement were updated based on the experience study performed for TRS for the period ending August 31, 2017.
- Economic assumptions including rates of salary increase for individual participants were updated based on the same experience study.
- The discount rate changed from 8.0 percent as of August 31, 2017 to 6.907 percent as of August 31, 2018.
- The long term assumed rate of return changed from 8.0 percent to 7.25 percent.
- The change in the long-term assumed rate of return combined with the change in the single discount rate was the primary reason for the increase in the net pension liability.

B. Notes to Schedules for the ERS OPEB Plan

Significant Assumptions and Methods

Valuation Date	August 31, 2018
Actuarial Cost Method	Entry Age
Amortization Method	Level Percent of Pay, Open
Remaining Amortization Period	30 Years
Asset Valuation Method	Not Applicable
Inflation	2.50%
Discount Rate	3.96%
Aggregate Payroll Growth Rate	3.00%
Projected Annual Salary Increases	2.50% to 9.50%, including inflation

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
 NOTES TO REQUIRED SUPPLEMENTARY INFORMATION
 YEAR ENDED AUGUST 31, 2019**

Annual Healthcare Trend Rates	7.30% for FY 2020, 7.40% for FY 2021, 7.00% for FY 2022, decreasing 0.50% per year to 4.50% for FY 2027 and later years
Retirement Age	Experience-based tables of rates that are specific to the class of employee
Mortality-State Agency Members	<p><u>Service Retirees, Survivors and Other Members</u> -Tables based on TRS experience with Ultimate MP Projection scale form the year 2018.</p> <p><u>Disabled Retirees</u> -Tables based on TRS experience with Ultimate MP Projection scale form the year 2018 using a 3-year set forward and minimum mortality rates of four per 100 male members and two per 100 female members.</p> <p><u>Active Members</u> - Sex Distinct RP-2014 Employee Mortality multiplied by 90% with Ultimate MP Projection Scale projected from year 2014.</p>

Factors that Significantly Affect Trends in Amounts Reported

The following assumptions have been changed since the previous valuation:

Demographic Assumptions - Since the last valuation was prepared for this plan, demographic assumptions (including rates of retirement, disability, termination, and mortality, and assumed salary increases) for Higher Education members have been updated to reflect assumptions recently adopted by the TRS Trustees. These new assumptions were adopted to reflect an experience study on the TRS retirement plan performed by the TRS retirement plan actuary. In addition, the following assumptions have been updated since the previous valuation to reflect recent plan experience and expected trends:

Percentage of current retirees and retiree spouses not yet eligible to participate in the HealthSelect Medicare Advantage Plan and future retirees and retiree spouses who will elect to participate in the plan at the earliest date at which coverage can commence.

Percentage of future retirees assumed to be married and electing coverage for their spouse.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO REQUIRED SUPPLEMENTARY INFORMATION
YEAR ENDED AUGUST 31, 2019**

Economic Assumptions - Assumptions for Expenses, Assumed Per Capita Health Benefit Costs and Health Benefit Cost and Retiree Contribution and Expense trends have been updated since the previous valuation to reflect recent health plan experience and its effects on our short-term expectations.

The discount rate was changed from 3.51% to 3.96% as a result of requirements by GASB No. 74 to utilize the yield or index rate for 20-year, tax-exempt general obligation bonds rated AA/Aa (or equivalent) or higher in effect on the measurement date.

Minor benefit changes described below have been reflected in the FY 2019 Assumed Per Capita Health Benefits Costs.

Benefit revisions have been adopted since the prior valuation. The only benefit change for HealthSelect retirees and dependents for whom Medicare is not primary is an increase in the out-of-pocket maximum for both HealthSelect and Consumer Directed HealthSelect (CDHP) from \$6,550 to \$6,650 for individuals and from \$13,100 to \$13,300 for families in order to remain consistent with Internal Revenue Service maximums. This minor benefit change is provided for in the FY 2019 Assumed Per Capita Health Benefit Costs. There are no benefit changes for HealthSelect retirees and dependents for whom Medicare is Primary.

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Combining Schedules

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
COMBINING BALANCE SHEET
NONMAJOR GOVERNMENTAL FUNDS
AUGUST 31, 2019**

Data Control Codes		<u>Special Revenue Funds</u>			Total Nonmajor Governmental Funds
		224 IDEA Part B, Formula	410 State Textbook Fund	461 Campus Activity Funds	
	ASSETS				
1110	Cash and temporary investments	-	-	19,994	19,994
1000	Total Assets	-	-	19,994	19,994
	FUND BALANCES				
	Assigned Fund Balance:				
3590	Other assigned fund balance	-	-	19,994	19,994
3000	Total Fund Balances	-	-	19,994	19,994
4000	Total Liabilities, Deferred Inflows and Fund Balances	-	-	19,994	19,994

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
COMBINING STATEMENT OF REVENUES, EXPENDITURES
AND CHANGES IN FUND BALANCE - NONMAJOR GOVERNMENTAL FUNDS
FOR THE YEAR ENDED AUGUST 31, 2019**

Data Control Codes		Special Revenue Funds			Total Nonmajor Governmental Funds
		224 IDEA Part B, Formula	410 State Textbook Fund	461 Campus Activity Funds	
	REVENUES				
5700	Total local and intermediate sources	-	-	55,032	55,032
5800	State program revenues	-	32,155	-	32,155
5900	Federal program revenues	32,235	-	-	32,235
5020	Total Revenues	32,235	32,155	55,032	119,422
	EXPENDITURES				
0011	Instruction	32,235	32,155	57,389	121,779
6030	Total Expenditures	32,235	32,155	57,389	121,779
1100	Excess (Deficiency) of Revenues Over Expenditures	-	-	(2,357)	(2,357)
	OTHER FINANCING SOURCES (USES)				
7915	Transfers in	-	-	-	-
8911	Transfers out	-	-	-	-
7080	Total other financing sources and uses	-	-	-	-
1200	Net change in fund balances	-	-	(2,357)	(2,357)
0100	Fund balances, beginning	-	-	22,351	22,351
3000	Fund balances, ending	-	-	19,994	19,994

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FEDERAL AWARDS SECTION



Goff & Herrington, P. C.

A.J. Goff, CPA
Ronnie Herrington, CPA
Daniel Raney, CPA

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Certified Public Accountants

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Stephen F. Austin State University Charter School
Nacogdoches, Texas

Members of the Board of Regents:

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States, the financial statements of the governmental activities, each major fund, and the aggregate remaining fund information of Stephen F. Austin State University Charter School (School), as of and for the year ended August 31, 2019, and the related notes to the financial statements, which collectively comprise the School's basic financial statements, and have issued our report thereon dated January 1, 2020.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the School's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the School's internal control. Accordingly, we do not express an opinion on the effectiveness of the School's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. *A material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. *A significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Members of the Board of Regents

January 1, 2020

Page 2

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or, significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the School's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Goff & Herrington, P.C.

GOFF & HERRINGTON, P.C.

Certified Public Accountants

January 1, 2020

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF FINDINGS
FOR THE YEAR ENDED AUGUST 31, 2019**

None

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF STATUS OF PRIOR FINDINGS
FOR THE YEAR ENDED AUGUST 31, 2019**

There were no prior audit findings reported.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
CORRECTIVE ACTION PLAN
FOR THE YEAR ENDED AUGUST 31, 2019**

None required.

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APPROVAL OF JAMES I. PERKINS COLLEGE OF EDUCATION UNIT NAMING

Recommendation #1:

DEPARTMENT NAME CHANGE FOR DEPARTMENT OF ELEMENTARY EDUCATION IN THE PERKINS COLLEGE OF EDUCATION

Explanation:

The Perkins College of Education recommends a change in name for the Department of Elementary Education to the Department of Education Studies. The college leadership and department faculty believe this will better reflect the disciplines within that reorganized department.

Recommendation:

The administration recommends approval of the name change from Department of Elementary Education to Department of Education Studies.

Recommendation #2:

DEPARTMENT NAME CHANGE FOR DEPARTMENT OF HUMAN SERVICES IN THE PERKINS COLLEGE OF EDUCATION

Explanation:

The Perkins College of Education recommends a change in name for the Department of Human Services to the Department of Human Services & Educational Leadership. The college leadership and department faculty believe this will better reflect the disciplines within that reorganized department.

Recommendation:

The administration recommends approval of the name change from Department of Human Services to the Department of Human Services & Educational Leadership.

Recommendation #3:

ELIMINATION OF DEPARTMENT OF SECONDARY EDUCATION & EDUCATIONAL LEADERSHIP IN THE PERKINS COLLEGE OF EDUCATION

Explanation:

The Perkins College of Education recommends a eliminating the Department of Secondary Education & Educational Leadership. The

college leadership reorganized the degrees across the academic units, moving all degrees from the Department of Secondary Education & Educational Leadership to other academic units.

Recommendation:

The administration recommends approval of the eliminating the Department of Secondary Education & Educational Leadership.

APPROVAL OF ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Academic and Student Affairs Committee will consider: the curricula of the various colleges and departments of the university with any other matters dealing with academic programs and the progress thereof; the research programs within the university and their relationship to all graduate education; student affairs within the university; and personnel matters within the university.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented:

Administrative Evaluation of Adjunct Faculty Performance 7.5
Aids and HIV 13.1
Animals on University Property 13.2
Annual Disclosure of Crime Statistics 13.3
Curriculum Reviews, Modifications and Approval 5.7
Disposition of Abandoned Personal Property 13.6
Distinguished Guests 2.16
Doctoral Students: Allowable Credit Hours and Completion Times 6.11
Faculty Development Leaves 12.7
Faculty Disagreements 7.25
Faculty Merit Pay 7.6
Library Faculty 7.17
Part-time Faculty 7.21
Performance Review of Officers Reporting to the Provost and Vice
President of Academic Affairs 4.8
Professional Educators Council 5.16
Purchased Instructor-Generated Materials 7.16
Student Academic Dishonesty 4.1
Student Evaluation of Instruction 7.27
Student Media 10.8
Student Organization Risk Management Training 10.10
Student Service Fee Allocations 10.11

Student Travel 10.12
Substantive Change 4.10

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Administrative Evaluation of Adjunct Faculty Performance

Policy Number: 7.5

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Guidelines for evaluating adjunct faculty performance

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: Policy title changed. The sentence, "Adjunct faculty members are not eligible for merit pay increases" should be moved to Faculty Merit Pay policy, 7.6. Add cross-reference to policy 7.6.

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

~~Administrative Evaluation of Adjunct Faculty Performance~~ *Evaluation*

Original Implementation: December 17, 2010

Last Revision: ~~January 31, 2017~~ *January 28, 2020*

Stephen F. Austin State University recognizes that faculty performance should be regularly and systematically evaluated. Adjunct faculty administrative evaluations should be used when considering reappointment.

Adjunct faculty members will be evaluated annually for their performance of assigned duties, which will include teaching and may include other activities. For the evaluation, the academic unit head will review student evaluations of teaching and all material relevant to the performance of the adjunct faculty member.

The academic unit head will review the evaluation with each adjunct faculty member and provide a copy to the dean and faculty member.

~~Adjunct faculty members are not eligible for merit pay increases.~~

Cross Reference: Faculty Handbook, Student Evaluation of Instruction (7.27), *Faculty Merit Pay* (7.6)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Adjunct Faculty Administrative Evaluation Form (available online from the Office of the Provost)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: AIDS and HIV

Policy Number: 13.1

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

Date of last revision, if applicable: 1/31/2017

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy prescribes the university's obligations and policy position regarding members of the university community as it pertains to AIDS and HIV.

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: Reviewed with no changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Damon Derrick, General Counsel

AIDS and HIV

Original Implementation: September, 1990

Last Revision: ~~January 31, 2017~~ January 28, 2020

Stephen F. Austin State University recognizes the increasing public awareness and concern over AIDS and HIV. For the purposes of this policy, AIDS means acquired immune deficiency syndrome, and HIV means human immunodeficiency virus. AIDS is a fatal disease that has become a nationwide public health problem. In health related matters such as this one, the university shall follow the guidelines of recognized authorities including: the Centers for Disease Control and Prevention, the United States Public Health Service, the Texas Department of State Health Services, and the American College Health Association. Further, the university shall conform its actions to the Texas Communicable Disease Prevention and Control Act, the Texas Human Immunodeficiency Virus Services Act, and other law as applicable.

The health status of a person infected with HIV may vary from an apparently healthy, normally functioning individual to a critically ill person. However, there is no current medical evidence that persons infected with HIV present a health risk to others in the normal academic or workplace setting. Routine daily encounters with others pose no risk of transmitting the fragile, blood-borne virus. Accordingly, there is no reason to exclude individuals with AIDS or HIV from campus academic, social, or cultural activities. Therefore, on the basis of current knowledge of the disease, persons sharing common living space, work or study areas, libraries, classrooms, recreational facilities, and theaters do not represent a problem or public threat to the campus community.

Students and employees (faculty and staff) of the university who may become infected with HIV will not be excluded from enrollment or employment, or restricted in their access to university services or facilities, unless medically-based judgments in individual cases establish that exclusion or restriction is necessary to the welfare of the infected person or of the other members of the university community.

Persons with HIV infection are entitled to the same rights and opportunities as persons with other communicable diseases. The university prohibits any discrimination in its programs and activities against a person with HIV infection unless based on accurate scientific information. Any student, faculty member, or employee who violates this rule may be subject to appropriate disciplinary action, up to and including termination of employment if an employee and expulsion if a student.

When circumstances arise that require review of any matter regarding HIV/AIDS, the president will seek the advice of the director of the Health Clinic, the attending physician, and other relevant parties. An opportunity will be provided for persons involved in the matter to discuss their circumstances. Members of the Public Health Committee will be available to review the issues and to provide recommendations to the president for appropriate action.

In the event of public inquiry concerning university policy, programs, problems, or statistics related to AIDS on campus, the director of University Marketing Communications will serve as the official spokesperson for the university and will enlist the cooperation of the director of the Health Clinic and the Public Health Committee as necessary to prepare an appropriate response. All inquiries from the press, elected public officials, or the public in general will be referred to the spokesperson.

The medical records and test results of any HIV-infected person on the campus shall remain confidential and private information in accordance with law. The breach of that confidentiality may result in litigation and in severe penalties, both civil and criminal. (Some exceptions to confidentiality are permitted by law.)

The university shall keep the number of people who are aware of the existence and identity of students, faculty, or staff members who have AIDS or HIV to an absolute minimum to protect the confidentiality and privacy of the infected persons and to avoid the generation of unnecessary fear and anxiety on the campus. However, public information shall be disclosed upon request in accordance with the Texas Public Information Act, the Family Educational Rights and Privacy Act, the Texas Communicable Disease Prevention and Control Act, the Texas Human Immunodeficiency Virus Services Act, and other applicable law.

Persons who know, or have a reasonable basis for believing, that they are infected with the AIDS virus are expected to seek expert advice about their health circumstances and are obligated, ethically and legally, to conduct themselves responsibly in accordance with such knowledge for the protection of other members of the university community. The university encourages regular medical follow-up for such persons.

The university shall carefully observe the safety guidelines established by the U.S. Public Health Service for the handling of blood and other body fluids and secretions in the Health Clinic and in other institutional contexts in which such fluids or secretions may be encountered (e.g., teaching and experimental laboratories).

The university shall strictly observe the public health reporting requirements for AIDS and HIV infection as well as other communicable diseases.

The university shall make this policy available upon request to students, faculty, and staff members and such a statement will be included in the Policy and Procedure Manual on the university's Web page.

Policy for the Work Environment

In the work setting, the university's major concern will be whether an HIV-infected employee will be able to satisfactorily perform job duties. The university will make reasonable accommodations to keep an employee with HIV infection employed and productive for as long as the employee is

capable of this performance.

Most HIV-infected employees will be able to perform their job duties for an extended period before their illnesses interfere with job-related performance. During the asymptomatic period, the employee is not obligated to provide information about his/her HIV status to the university. However, an employee may want to share information about his/her HIV-infected status with university officials so that responsible management decisions may be made about:

1. assignments or reassignments of job duties;
2. evaluating leave policies to assure leave time comparable to other medical conditions;
3. determinations of possible qualification for disability entitlements; and
4. monitoring the insurance status of the HIV-infected employee to assure continuation of coverage.

Once HIV-related symptoms occur, the employee has the responsibility as in the case of other illnesses to provide medically verified information relating to the ability to perform job duties.

Based on federal and state law, any medical documentation of information provided by an HIV-infected employee to university officials must be considered confidential and private information. As such, university officials are forbidden by law from disclosing this information to others without the employee's knowledge and consent. (Some exceptions to confidentiality are permitted by law.) The university requires that any consent to disclosure by the employee be in writing. Any university employee who breaches the confidentiality of this information commits a serious offense that may be cause for litigation, resulting in both civil and criminal penalties.

University employees who refuse to work with HIV-infected co-workers may be subject to disciplinary action up to and including termination. University departmental unit heads should carefully monitor and document any instances of such refusal in violation of this policy and take appropriate disciplinary action.

At least once each year, Human Resources shall conduct an HIV/AIDS training program or distribute an educational pamphlet for university employees and include in the program and/or pamphlet:

1. current medical information about HIV transmission and prevention;
2. confidentiality and related laws;
3. personnel management, including relevant policies;
4. development of staff problem-solving skills; and
5. a plan for scheduled periodic training.

Also, each year Human Resources shall conduct HIV/AIDS employee education programs to:

1. provide basic and accurate information regarding the modes of transmission and prevention of HIV infection;
2. reduce fear and misinformation of HIV/AIDS;
3. help faculty and staff recognize and avoid personal behaviors that might cause them to become infected with HIV;
4. encourage nondiscrimination, which enables the HIV-infected person to remain employed as long as feasible;
5. help maintain productivity and lawful behavior in the workplace;
6. provide continuing information about HIV/AIDS; and
7. distribute to all employees a copy of the Texas Department of State Health Services' educational pamphlet entitled "HIV/AIDS and the Workplace."

At a minimum, the HIV curriculum will include:

1. modes of transmission;
2. methods of prevention;
3. behaviors related to substance abuse;
4. current laws and regulations concerning the rights of an AIDS/HIV-infected individual; and,
5. behaviors associated with HIV transmissions which are in violation of Texas law.

On an employee's request, the university shall pay the costs of testing and counseling an employee concerning HIV infection if the employee:

1. provides appropriate documentation that the employee may have been exposed to the HIV virus while performing duties of employment with that agency, and
2. was exposed to HIV in the manner that the U.S. Public Health Service has determined is capable of transmitting HIV.

However, an employee who may have been exposed to HIV while performing job duties at the university may not be required to be tested for HIV.

For the purpose of qualifying for worker's compensation or any other similar benefits or compensation, an employee must provide the employer with a written statement of the date and the circumstances of the exposure and document that within 10 days after the exposure the employee had a test result that indicated an absence of HIV infection.

The cost of an employee's testing and counseling shall be paid from funds appropriated for payment of worker's compensation benefits to state employees. Counseling or a test conducted in accordance with these provisions shall conform to the model protocol on HIV counseling and testing prescribed by the Texas Department of State Health Services.

In compliance with the Texas Communicable Disease Prevention and Control Act, the University Police Department shall adopt a policy for handling persons with AIDS or HIV infection who are in its custody or under its supervision. The department's policy shall ensure that education programs for employees include information and training relating to infection control procedures and that employees have infection control supplies and equipment readily available.

The university shall adopt and implement workplace guidelines similar to the workplace guidelines for state agencies listed in the Texas Human Immunodeficiency Virus Services Act for any program involving direct client contact that is funded by one of the listed state agencies.

Policy for the Academic Environment

The university shall allow, to the extent possible, HIV-infected students, whether they are symptomatic or not, to continue regular classroom attendance in an unrestricted manner as long as they are physically able to attend class.

The university recognizes that there is no medical justification for restricting the access of HIV-infected students to the Student Center or to university cafeterias, snack bars, gymnasiums, swimming pools, recreational facilities, or other common areas.

The university recognizes that the best currently available medical information does not support the existence of a risk to those sharing residence halls with HIV-infected individuals; in some circumstances however there may be reasonable concern for the health of those with AIDS or HIV who might be exposed to certain contagious diseases (e.g., measles or chicken pox) in a close living environment. Thus, decisions about residential housing of students with AIDS or HIV shall be made on a case-by-case basis. The university may decide to assign students with AIDS or HIV to private rooms in the interest of protecting the health of those students. The university shall provide education programs about AIDS and HIV to its residence hall staff (both students and employees).

Since there is no medical necessity, the university shall not advise others living in a residence hall of the presence of students in the residence hall who have AIDS or HIV. The university believes that the responsibility to provide a safe living environment is best dealt with by educational programming. Similarly, the university shall not make any attempt in any other setting to identify those students or employees who have AIDS or HIV.

The university shall not routinely ask students about their status regarding AIDS or HIV. However, the university shall encourage new students to inform the medical staff at the Health Clinic if they have AIDS or HIV in order for the Health Clinic to provide proper medical care and education. The Health Clinic staff will handle this information, like all other medical information, in a strictly confidential manner in accordance with university policy and federal and state law.

The university shall not provide any person, group, agency, insurer, employer, or institution with confidential medical information about students with AIDS or HIV virus without the specific written consent of the student. Given the possibility of unintended or accidental compromise of the confidentiality of information, the Health Clinic staff will carefully weigh the importance of including any specific information regarding the existence of AIDS or HIV in the medical record of a student except in circumstances of medical necessity created by the evaluation of an illness. At a minimum, the inclusion of any such information in the medical record should be discussed with the patient prior to its entry.

The university shall make available to students, on request, the educational pamphlet on HIV infection developed by the Texas Department of State Health Services and shall include in the university's Web page a statement that the pamphlet is available from the Health Clinic.

The Health Clinic shall provide accurate, understandable information on how to prevent the transmission of HIV infection in compliance with Section 51.919 of the Texas Education Code.

In further compliance with Section 51.919 of the Texas Education Code, the curricula of the nursing, counseling, and social work degree programs of the university shall:

1. include information about:
 - a. methods of transmission and methods of prevention of HIV infection; and
 - b. federal and state laws, rules, and regulations concerning HIV infection and AIDS; and,
2. give special attention to the physical, emotional, and psychological stress associated with the care of patients with terminal diseases.

Cross Reference: Texas Human Immunodeficiency Virus Services Act, Tex. Health & Safety Code Ch. 85; Texas Communicable Disease Prevention and Control Act, Tex. Health & Safety Code Ch. 81; Tex. Educ. Code § 51.919

Responsible for Implementation: President

Contact for Revision: 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: Animals on University Property

Policy Number: 13.2

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

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

Unit(s) Responsible for Policy Implementation: Residence Life

Purpose of Policy (what does it do): Governs animals on university property

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: Certain full-time employees (i.e. Residence Hall Directors and Farm Managers) are required to live in university owned housing. The areas of these facilities these employees occupy are considered to be their private residences. This policy revision allows these employees to have an indoor, domestic pet. A staff Pet Policy and Agreement will be required including a deposit and proof of pet registration and vaccination.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel

Animals on University Property

Original Implementation: Unpublished

Last Revision: ~~January 30, 2018~~ January 28, 2020

The university seeks to uphold federal, state, and local laws and regulation; ensure the health and safety of its community; preserve the integrity of its grounds, buildings, and other property; and support a healthful educational environment that respects the rights of all individuals.

Service animals are welcome in all buildings on campus and may attend any class, meeting, or other event. Individuals with documented disabilities residing in university housing may request as an accommodation that an emotional support animal (ESA) be allowed to reside in the campus residence; however, ESA's are not permitted anywhere outside of the individual's assigned living space except as otherwise provided by this policy. Community members may take advantage of the several recreational areas on campus by walking personal animals and are allowed to do so within the guidelines set forth. Reasonable behavior is expected from the animals while on campus. If the animal exhibits unacceptable behavior, the handler is expected to employ the proper training techniques to correct the situation.

Consideration of others may be taken into account when providing for the maintenance and hygiene of service animals. Additionally, specific guidelines have been established concerning service and emotional support animals living in a campus residency environment.

- Section I. Definitions
- Section II. Service Animals
- Section III. Emotional Support Animals
- Section IV. Handler or Owner Responsibility
- Section V. Residence Life and Food Service Guidelines
- Section VI. Information and Appeals

Section I. Definitions

A. Handler:

A person with a disability using a service animal; a person who has received approval for an emotional support animal; or a person in possession of an animal for recreation on the university campus.

B. Service Animal:

Any dog, or miniature horse, that is individually trained to do work or perform tasks for the benefit of an individual with a disability, including a physical, sensory, psychiatric, intellectual, or other mental disability. Other species of animals, whether wild or domestic, trained or untrained, are not service animals for the purposes of this definition. The work or tasks performed by a service animal must be directly related to the handler's disability. The

crime deterrent effects of an animal's presence and the provision of emotional support, well-being, comfort or companionship do not constitute work or tasks for the purposes of this definition.

C. Emotional Support Animal:

An animal that provides emotional support or therapeutic benefits that alleviate one or more of the identified symptoms or effect of a person's disability; however, the animal is not required to be individually trained or certified to perform such task. Emotional support animals may also be referred to as "comfort animals," "companion animals," and "assistance animals" used to support individuals with mental or emotional disabilities. These animals may provide crime deterrent effects or emotional support, well-being or comfort.

D. Recreational Animal:

A domestic animal used for sport, companionship, or other non-service/assistance functions. Recreational animals are not allowed inside university facilities. An exception would be small birds in cages and fish in a 10-gallon or less aquarium.

E. Unauthorized Animal:

Any animal not controlled by leash or harness, unless the animal is a service animal and the handler is unable because of disability to use a leash or harness or if the leash or harness restricts the service animal to function appropriately as such. Also, any animal that exhibits violent, uncontrollable, aggressive, or unhealthy behavior, including service and emotional support animals.

Section II. Service Animals

A. University Responsibility

1. Allow service animals to accompany the handler to all areas of the facility where the handler is normally allowed to go. A handler may not be segregated from other similar members of the campus community except where there is real danger to the animal or where the natural organisms carried by the service animal would adversely affect research. Exceptions to the exclusions will be reviewed on a case-by-case basis.
2. Not to pet, feed, or deliberately startle/disturb a service animal.
3. Not to separate, or attempt to separate, service animals from their handlers.
4. Provide handlers living in campus housing with an area for relieving and grooming their animals.

B. Inquiries

1. When it is not obvious what service an animal provides, the handler may be asked:
 - a. If the animal is a service animal required for a disability; and
 - b. What work or task the animal has been trained to perform.

2. Staff may not ask about the person's disability, require medical documentation, require certification of the dog's training, or ask that the dog demonstrate its ability to perform the work or task.
3. Use of miniature horses as a service animal will be reviewed based on the inquiries and exceptions listed below and allowed by law.

C. Service Animal in Training

1. Individuals who desire an accommodation for a service animal in training must also abide by all relevant provisions of this policy.
2. An animal being trained to be a service animal will be treated as a fully trained animal when accompanied by a handler and identified as such.

D. Exceptions

1. Service animals may be denied or removed if:
 - a. The animal is out of control and its handler does not take effective action to control it. The service animal is considered an extension of the handler and thus, is subject to the same code of conduct as the handler.
 - b. The animal is not housebroken (i.e., trained so that, absent illness or accident, the animal controls its waste elimination).
 - c. The animal poses a direct threat to the health or safety of others that cannot be eliminated or reduced to an acceptable level by reasonable accommodation.

Section III. Emotional Support Animals

A. Inquiries

1. Requests for an emotional support animal (ESA) may be made by individuals with documented disabilities residing in university housing.
2. If the animal does not meet the definition of service animal, the individual must engage in a reasonable accommodation request with Residence Life or Disability Services staff.
3. Residence Life or Disability Services may ask individuals who have disabilities that are not readily apparent or known to the university official to submit reliable documentation of a disability and their disability-related need for an ESA within the residence hall. The individual is not required to disclose medical information that is overly intrusive and invasive in order to receive an accommodation.
4. A person qualifies for reasonable accommodation if:
 - a. The person has a documented disability;
 - b. The animal is necessary to afford the person with a disability an equal opportunity to use and enjoy the residence halls; and
 - c. There is an identifiable relationship between the disability and the assistance the animal provides.

B. Exceptions

1. Emotional support animals may be denied or removed if:
 - a. The specific animal would impose an undue financial and administrative burden or would fundamentally alter the nature of a service or program.
 - b. The specific animal in question poses a direct threat to the health or safety of others that cannot be reduced or eliminated by another reasonable accommodation; or
 - c. The specific animal in question would cause substantial physical damage to the property of others that cannot be reduced or eliminated by another reasonable accommodation.
 - d. The specific animal in question is not being cared for by the handler.

Section IV. Handler or Owner Responsibility

A. Authorized Animals

1. Handlers must abide by all state laws, Nacogdoches city ordinances related to animals in the city of Nacogdoches, and SFA guidelines, including by not limited to:
 - a. All animals in the city must have a valid license and tag issued by the city of Nacogdoches at the Department of Animal Control. The license and tag must be reviewed annually.
 - b. The handler is required to provide a collar or harness for the license and vaccination tags to be affixed. The handler shall see that the animal wears the collar and tags at all times.
2. The handler is liable for damages caused by the service animal, emotional support animal, or recreational animal.
3. The handler is responsible for the care and supervision of a service animal, emotional support animal, or recreational animal.
4. The handler must have full control of the animal at all times. Animals may not run at large; a leash or harness is required unless the handler is unable because of disability to use a leash or harness or it restricts the animal's ability to function properly.
5. Disturbing animal vocalization must be kept to an absolute minimum.
6. Handlers are responsible for relieving animals in designated locations and must ensure immediate clean-up and proper disposal of animal waste.
7. The handler must observe housing and food service establishment guidelines.
8. All service/emotional support animals must have an annual clean bill of health from a licensed veterinarian. The animal's cleanliness is mandatory in the campus environment.
9. Vaccinations must be current and based on a veterinarian's recommendations, with records made available at time of request.
10. Daily grooming and occasional baths (at a vet or a family home) should be undertaken to keep the service animal's odor to a minimum.

11. Flea control is essential and adequate preventative measures must be taken. If a flea problem develops, it must be dealt with immediately and in an effective manner. In the event a flea problem is not eliminated by the handler, the university will exterminate the property and assess the handler the standard extermination fee.

B. Unauthorized Animals

1. In the event an unauthorized animal is discovered on or in university property, except residence halls, the University Police Department should be notified immediately. The responding officer may take appropriate action, up to and including ordering the handler or owner to remove the unauthorized animal from university property, or by contacting the Nacogdoches Animal Control Officer who will take possession of the animal and remove it from campus.
2. In the event an unauthorized animal is discovered in a university residence hall, the appropriate residence hall staff shall be notified immediately. The residence hall staff will attempt to contact the owner/handler of the unauthorized animal for removal. If the owner/handler cannot be contacted, the residence hall staff will contact the University Police Department for removal as indicated in this policy.

Section V. Residence Life and Food Service Guidelines

1. Occupants of university housing are not permitted to keep pets, except ~~small~~ birds in cages and ~~small~~ fish in aquariums.
- ~~1-2.~~ *Full-time professional live-in staff may have fish living in an aquarium (10 gallon maximum) and birds in a cage. In addition, upon executing an approved live-in staff pet agreement, the staff members may have either one (1) cat or one (1) dog.*
- ~~2-3.~~ Service animals are permitted to accompany the individual with a disability to all areas of the facility where persons are normally allowed to go.
- ~~3-4.~~ Emotional support animals are not permitted anywhere outside of the individual's assigned living space; exceptions may be made on a case-by-case basis from Residence Life or Disability Services.
- ~~4-5.~~ Service/emotional support animals should be kept under control. Animals should always be on a leash except when in the student's room with the door closed unless the leash restricts the service animal's ability to function appropriately.
- ~~5-6.~~ Animal food should be kept in a covered storage container to deter pests.
- ~~6-7.~~ An animal's paws must be kept off tables, trays, and food service counters at all times.

Section VI. Information and Appeals

Questions and concerns regarding the use of service/emotional support animals on university property should be directed to the ADA coordinator who serves as an advisor for procedures and access to programs and services.

For specific information regarding accessibility, refer to university policy 2.2, Accessibility for Persons with Disabilities. For specific information regarding resolution of disagreements, refer to university policy 6.6, Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities. For issues related to Discrimination, refer to university policy 2.11, Discrimination Complaints.

Cross Reference: 28 C.F.R. § 35.136 (2010); Nacogdoches, Tex., Rev. Ordinances ch. 6, art. III, §§ 32-33 (2008); Accessibility for Persons with Disabilities (2.2); Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities (6.6); Discrimination Complaints (2.11)

Responsible for Implementation: Vice President for University Affairs

Contact For Revision: Chief of University Police, Director of Disability Services, and Director of Residence Life

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Annual Disclosure of Crime Statistics

Policy Number: 13.3

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): Provides information on mandates for reporting Clery Act specified crimes

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: Procedure has been removed from policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

John Fields, Chief of Police
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel

Annual Disclosure of Crime Statistics

Original Implementation: October 30, 2007

Last Revision: ~~January 31, 2017~~ January 28, 2020

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, commonly referred to as the “Clery Act,” and/or the Higher Education Opportunity Act of 2008 (HEOA), requires institutions of higher education receiving federal financial aid to report specified crime and fire statistics on college campuses and to provide other safety and crime information to members of the campus community. Campuses must publish an Annual Security and Fire Safety Report detailing statistics regarding reported crimes committed on campus and at affiliated locations for the previous three calendar years, fires that occur in on-campus residence halls, and describing specified policies, procedures and programs regarding safety and security. This requirement of the Clery Act is intended to provide students and their families, as higher education consumers, with accurate, complete and timely information about the safety of the campus so that they can make informed decisions.

The federal law requires the collection and reporting of annual crime statistics reflecting reports of specified crimes that occur on and adjacent to a university campus and certain properties associated with the campus as well as fires that occur in on-campus residence halls. The statistical compilation must be broken down by specified types of crimes and campus disciplinary referrals, and must indicate if a specified crime is a hate crime. Campuses must also provide a geographic breakdown of the crime statistics according to the following defined geographic areas: “on campus” (including further breakdown of the number of crimes that occurred in campus student residential facilities), “in or on a non-campus building or property” and “on public property.”

Annual Security and Fire Safety Report

The Stephen F. Austin State University ~~Department of Public Safety~~ *Police Department (UPDDPS)* prepares an Annual Security and Fire Safety Report (*ASFSR*) to comply with the Clery Act and the HEOA. *The summary of crime statistics is included as part of this report. This report is prepared in cooperation with the Residence Life and the Student Rights and Responsibilities departments. Each entity provides updated information on their educational efforts and programs to comply with the Clery Act.*

~~DPS officers enter all reports and all crime incidents reported directly into an automated case management software program. Once an officer enters the report in the program, a departmental administrator reviews the report to ensure it is classified within the appropriate crime category. The department examines the data to ensure that all crimes that have been reported are recorded in accordance with the crime definitions outlined in the FBI Uniform Crime Reporting (UCR) Handbook as required by the Clery Act regulations.~~

~~SFA is required under the Clery Act to provide a Crime Statistics Summary Report related to its campus and other locations by calendar year. This SFA Crime Statistic and Fire Summary Report is sent annually to the U.S. Department of Education and can be viewed on the Office of Postsecondary Education Department of Education's website.~~

~~The university's Annual ASFSR Security and Fire Safety Report (ASR) is updated each year and it is available on the SFA website at: <http://www.sfasu.edu/upddps/>. Copies of the ASR may also be obtained at the SFA University Police Department Department of Public Safety, located on East College Street, or by calling 936.468.2252.~~

~~The Annual Security and Fire Safety Report must describe specified campus policies concerning:~~

- ~~• Reporting criminal activity or other emergencies on campus;~~
- ~~• Security of, maintenance of and access to campus facilities;~~
- ~~• Authority of campus law enforcement units;~~
- ~~• Monitoring and recording through local police agencies of off-campus criminal activities by students;~~
- ~~• Alcohol and drugs;~~
- ~~• Fire Safety;~~
- ~~• Fire Suppression in Residence Halls; and~~
- ~~• Timely Warning Procedures~~

~~In addition, the report must describe:~~

- ~~• The type and frequency of campus programs to inform students and employees about campus security procedures and precautions and the prevention of crimes;~~
- ~~• Available drug and alcohol abuse prevention education programs and existing counseling, health, mental health, victim advocacy, legal assistance, and other services available for victims both on campus and in the community;~~
- ~~• Campus programs to prevent sexual assaults, including procedures to be followed when such an assault occurs;~~
- ~~• Education Programs to promote prevention and awareness of domestic violence, dating violence, and stalking;~~
- ~~• Procedures that the institution will follow once an incident of domestic violence, dating violence, sexual assault, or stalking has been reported; including the procedures for university disciplinary action, the applicable burden of proof for such proceedings, and possible sanctions or protective measures the university may impose;~~
- ~~• Procedures victims should follow if a sex offense, domestic violence, dating violence, sexual assault, or stalking has occurred, including information on the importance of preserving evidence, to whom the offense should be reported, options regarding law enforcement and university authorities, and the rights of victims and the university's responsibilities regarding orders of protection, no contact orders, restraining orders, or similar court orders;~~

- ~~• Information about how the university will protect the confidentiality of victims;~~
- ~~• Information about options for changing academic, living, transportation, and working situations; and~~
- ~~• Where law enforcement agency information concerning registered sex offenders may be obtained.~~

Definitions of Reportable Crimes

~~The definitions of reportable crimes are outlined in the Annual Security Report.~~

Other Policy-Related Definitions

~~*Campus* is defined as any building or property owned or controlled by an institution within the same reasonably contiguous geographic area and used by the institution in direct support of, or in a manner related to, the institution's educational purposes, including residence halls; and any building or property within the same reasonably contiguous geographic area of the institution that is owned by the institution but controlled by another person, is frequently used by students and supporters for institutional purposes (such as food or other retail vendor).~~

~~*Non-campus building or property* is defined as any building or property owned or controlled by a student organization officially recognized by the institution; or any building or property (other than a branch campus) owned or controlled by an institution that is used in direct support of or relation to the institution's educational purposes, is frequently used by students and is not within the same reasonably contiguous geographic area of the institution.~~

~~*Public property* is defined as all public property that is within the same reasonably contiguous geographic area of the institution, such as a sidewalk, a street, other thoroughfare or parking facility, and is adjacent to a facility owned or controlled by the institution if the facility is used by the institution in direct support of, or in a manner related to the institution's educational purposes.~~

Campus Security Authorities

~~The Clery Act definition of a campus security authority includes SFA personnel beyond police officers. An official of SFA who has significant responsibility for student and campus activities, including but not limited to, student housing, student discipline and campus judicial proceedings, is a campus security authority. Campus security authorities, as defined by the Clery Act, have an obligation to report allegations of Clery Act defined crimes that they conclude are made in good faith. These crime allegations must be reported to the SFA University Police Department.~~

~~The intent of including non-law enforcement personnel as campus security authorities is to acknowledge that many individuals and students in particular may be more inclined to report incidents to other campus-affiliated individuals other than the police.~~

Counselors Confidential Reporting

~~The Clery Act defines a professional counselor as an employee of an institution whose official responsibilities include providing psychological counseling to members of the institution's community and who is functioning within the scope of his or her license or certification.~~

~~Campus professional counselors, when acting as such, are not considered to be campus security authorities and are not required to report crimes for inclusion into the annual disclosure of crime statistics. As a matter of policy they are encouraged, if and when they deem it appropriate, to inform persons being counseled of the procedures to report crimes on a voluntary basis for inclusion into the annual crime statistics.~~

Cross Reference: 20 U.S.C. § 1092(f); Higher Education Opportunity Act, Public Law 110-315 (8/14/08); 42 U.S.C. § 13925(a); Timely Warning (13.22)

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: ~~Executive Director of Public Safety~~/Chief of Police

Forms: None

Board Committee Assignment: Academic & Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Curriculum Reviews, Modifications and Approvals

Policy Number: 5.7

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

Date of last revision, if applicable: January 29, 2019

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

Purpose of Policy (what does it do): Guidelines for curriculum reviews, modifications and approvals

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: Add core curriculum courses to the procedures, clarify approval steps; update name of committee reviewing core curriculum modifications

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

Curriculum Reviews, Modifications and Approvals

Original Implementation: October 17, 1978

Last Revision: ~~January 29, 2019~~ January 28, 2020

Introduction

It is the responsibility of each academic unit of the university to maintain current curricula and engage in continuous review of its curricula. The provost and vice president for academic affairs and appropriate dean will set timelines for the modification and approval process.

Curricular Modification Procedures

Curricular modifications include:

- new courses;
- *core curriculum courses*;
- modified courses (e.g., course title, credit hours);
- new programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- modified programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- deletion of courses and/or programs (e.g., degrees, endorsements, certificates, minors, concentrations); and
- changes in mode of delivery such as off-campus face to face, online instruction, and other distance delivery methods.

Curricular modifications will be developed and submitted at the program level, and recommended for approval by:

- the academic unit;
- the academic unit head;
- *the* appropriate councils or committees in the college;
- the college dean;
- the university Undergraduate Council or Graduate Council; ~~or as appropriate, the Core Curriculum Advisory Assessment Committee~~;
- the Deans Council; and
- the provost and vice president for academic affairs.

New courses and new, modified or deleted undergraduate and graduate programs and changes in mode of delivery will then be considered for approval by:

- the university president; and
- the Board of Regents.

Where appropriate, approval will then be sought from (and/or notification will be made to) the Texas Higher Education Coordinating Board (THECB), the Texas Education Agency, the Southern Association of Colleges and Schools, or other outside agencies and organizations.

Changes will be reflected in the General Bulletin and/or Graduate Bulletin after approval.

Substantive Change

Any curricular changes that involve substantive change as defined by the Southern Association of Colleges and Schools Commission on Colleges must be communicated by the Office of the Provost and Vice President for Academic Affairs to the appropriate entity and, if necessary under the rules on the entity, be approved before implementation. For further information, see the university policy on Substantive Change (4.10).

Cross Reference: THECB Instructions and Classification of Instructional Programs Codes; Certificate Programs (5.2); Course Fees (3.8); Laboratory Fees (3.22); Substantive Change (4.10); Academic Program Review (5.1); and Professional Educators' Council (5.16)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Forms for program revision, course proposals, substantive change, distance education and laboratory/course fee requests are available at the university website.

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Disposition of Abandoned Personal Property

Policy Number: 13.6

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 University Affairs

Purpose of Policy (what does it do): Governs the disposition of abandoned personal property

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The first change relates to changing the word "auction" to "sale" to reflect current practice. The second change relates to creating a process for dealing with abandoned cash.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dr. Adam Peck, Asst. Vice President/Dean of Student Affairs
Carrie Charley, Director of Auxiliary Services
John Fields, Chief of Police
Dr. Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel

Disposition of Abandoned Personal Property

Original Implementation: October 18, 1988

Last Revision: ~~January 30, 2018~~ January 28, 2020

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

Unless the abandoned property is being held as evidence to be used in a pending criminal case, the university may dispose of the abandoned property by public ~~auction~~ sale. The ~~profits/proceeds~~ of the ~~auction/sale~~ shall ~~will~~ be used for student service activities as directed by the ~~Office of the Dean of Student Affairs.~~ ~~Abandoned~~ However, if the rightful owner makes a valid claim to abandoned property before auction, then the university shall return the property to the rightful owner. ~~cash will be deposited into a university account to be used for student service activities as directed by the Dean of Student Affairs.~~

Should a person make a valid claim to property after it has been deemed abandoned, but prior to its disposition under this policy, the property will be returned to the owner.

REPORTING OR CLAIMING ABANDONED PERSONAL PROPERTY

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

1. A person finding lost or unclaimed property should turn in said property at the University Police Department or the information desk in the student center. Lost or unclaimed property found in Steen Library should be turned in to the circulation desk on the first floor. Lost or unclaimed property found in academic buildings should be turned in to the appropriate departmental office. Lost or unclaimed bicycles or other bulky items are stored in the University Police Department.
2. A written Record of Unclaimed Personal Property form indicating the date the lost or unclaimed property came into the university's possession shall be completed and retained by the receiving department.
3. After fifteen (15) days, all unclaimed property held in the University Police Department, in Steen Library, or in other campus areas such as departmental offices, shall be transferred to the student center information desk with the record indicating the date of receipt of the unclaimed property. Unclaimed bicycles and other bulky items will be stored by University Police Department.
4. Lost items may be claimed at the student center information desk upon presentation of

reasonable identification of the lost property.

5. A public ~~auction~~-sale is held annually under the direction of the dean of student affairs at a time and place announced during each academic year.

Cross Reference: Tex. Educ. Code § 51.213

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Dean of Student Affairs

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Distinguished Guests

Policy Number: 2.16

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

Date of last revision, if applicable:

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Guidelines for notifying president's office of invitations to current or former regents, elected officials, or distinguished guests to visit campus.

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: To clarify internal procedures related to campus community members communicating with president's office regarding distinguished guests visiting campus.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Distinguished Guests

Original Implementation: January 28, 2020

Last Revision: None

All university departments and employees (excluding those reporting directly to the Board of Regents), while acting in the scope of their employment, will notify the president's office prior to extending an invitation to a current or former member of the Board of Regents, elected official, or other distinguished guest such as a donor or prospective donor to visit campus. Such notification should include the proposed itinerary and reason for the visit. If the invitation is accepted, the president's office must be notified and kept informed of the details of the visit.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: 6.11

Policy Number: Doctoral Students: Allowable Credit Hours and Completion Times

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Allowable credit hours and completion times for doctoral students

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: delete "full-time" enrollment for progress review; minor wording change for clarification

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

Doctoral Students: Allowable Credit Hours and Completion Times

Original Implementation: April 21, 1998

Revision Date: ~~January 31, 2017~~ January 28, 2020

The doctoral degree typically requires a minimum number of credit hours beyond a master's degree *as specified by the program*. After three years of ~~full-time~~ enrollment, a formal review of each student's doctoral progress will be conducted within the respective graduate program and shared with the student.

Students who have reached ninety-nine (99) or more credit hours above a master's degree:

- will be ineligible for student employment at Stephen F. Austin State University (SFA);
- will pay the current rate for out-of-state tuition and fees, or the equivalent of full-cost-of-education as determined by SFA; and
- may be terminated from the program by the dean of ~~the graduate school~~ *research and graduate studies* in consultation with the appropriate academic dean and academic unit head of the program.

If terminated from a program, a student may file a written appeal to the University Graduate Council whose recommendation will be forwarded to the provost and vice president for academic affairs for final resolution.

Cross Reference: Graduate Bulletin; Tex. Educ. Code § 61.059(1)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty Development Leaves

Policy Number: 12.7

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Guidelines for Faculty Development Leaves

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 change for clarification

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

Faculty Development Leaves

Original Implementation: April 26, 1983

Last Revision: ~~January 31, 2017~~ January 28, 2020

Faculty development leaves may be granted by the Board of Regents for field observations, research, study, writing, or other scholarly/creative activities. They should not be used to complete work for a terminal degree. No more than six percent of university faculty members may be on development leave at any one time.

This policy applies to full-time faculty and librarians whose duties include teaching, research, administration, or the performance of professional services. Except for special circumstances, individuals are eligible for a development leave after serving full time for at least three consecutive years. After completion of a development leave, recipients may not apply for four years.

Applications for faculty development leaves will be reviewed annually by the Faculty Development Leave Committee. The committee will consist of full-time faculty members, one from each academic college and one from the library. The committee will make recommendations to the provost and vice president for academic affairs and the president, who will make the final leave recommendation to the Board of Regents.

A faculty development leave may be awarded for one long semester at full base salary or for two long semesters at half the base salary. Payment of salary may be made from the funds appropriated by the legislature specifically for that purpose or from such other funds as might be available to the institution.

Recipients of faculty development leaves must guarantee the university that they will return to their regular duties, or others that might be assigned, for a period of at least one year following the expiration of the leave, provided they are offered a contract by the university. Recipients will submit a brief written report on the activities and accomplishments resulting from the leave to the academic unit head, dean, and provost and vice president for academic affairs within ninety days following completion of the leave.

Faculty members on faculty development leave, under law, may accept a grant or stipend for study, teaching, research, or travel from any institution of higher education or from a charitable, religious, or educational corporation or foundation, from any business enterprise, or from any federal, state, or local governmental agency. ~~However, they~~ *The faculty member* may not accept employment from any other person, corporation, or governmental agency, unless the Board of Regents determines that it would be in the public interest to do so and expressly approves the employment. An accounting of all leave funds will be made by faculty members through the provost and vice president for academic affairs and the president to the Board of Regents.

The university will deduct from the salary of faculty members on development leave the deposit and membership dues required to be paid by them to the Teacher Retirement System of Texas or to the Optional Retirement Program or both, the contribution for Old Age and Survivors Insurance, and any other amounts required or authorized to be deducted. Faculty awarded development leave will

continue to participate in the programs and receive the benefits (retirement, insurance, etc.) made available by or through the university or the state to all other faculty members, and will be eligible for salary increases, merit pay, and all other fringe benefits awarded for the year following the expiration of the leave.

This policy will be filed with the Texas Higher Education Coordinating Board no later than thirty (30) days after the approval of any amendment by the Board of Regents.

Cross Reference: Faculty Handbook; Tex. Educ. Code § 51.101-.108

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Faculty Development Leave Request Form; Faculty Development Leave Proposal Format; and Faculty Professional Development Form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty Disagreements

Policy Number: 7.25

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

Date of last revision, if applicable: January 31, 2017

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Guidelines for resolution of faculty disagreements or disputes

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: Reviewed; no changes recommended

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

Faculty Disagreements

Original Implementation: April 3, 1979

Last Revision: ~~January 31, 2017~~ January 28, 2020

The resolution of disagreements regarding administrative decisions or other disputes involving faculty or other personnel, other than dismissal or non-renewal, will be pursued initially with the academic unit head. If the matter cannot be satisfactorily resolved at that level, the faculty member may put the disagreement in writing and submit it to the college dean, along with a copy to the academic unit head.

The college dean will consult with the faculty member(s) and the academic unit head in an effort to resolve the disagreement. The dean may consult with any others deemed to have insight into the matter. If the matter cannot be satisfactorily resolved by the dean, the faculty member may appeal in writing to the provost and vice president for academic affairs, along with a copy to the dean and academic unit head.

The provost and vice president for academic affairs will consult with the faculty member(s), the academic unit head, the college dean, and any others with insight into the matter. If the matter cannot be satisfactorily resolved by the provost and vice president for academic affairs, either party may appeal the issue.

In situations that do not involve conditions of employment, an appeal from the provost and vice president for academic affairs will be forwarded directly to the president who will consult with the faculty member(s), the academic unit head, the college dean, the provost and vice president for academic affairs, and any others with insight into the matter.

Employment Disputes

If the disagreement involves an allegation that conditions of employment under university policy have been violated, the appeal will be forwarded to the University Grievance Panel at the faculty member's request. This process will operate under the guidelines below.

1. An advisory subcommittee of the University Grievance Panel will review the evidence. The subcommittee will be composed of five members, with two members selected by the faculty member, two by the president or the president's designee, and one selected at random. Each party will have one challenge without stated cause.
2. Once constituted, the subcommittee will establish defined procedures for resolving the dispute.
3. When the subcommittee has made its determination, it will advise the president and the faculty member(s) of its findings in writing.
4. The president will review the subcommittee's report, consult with the faculty member(s) and any others with insight into the matter, and render a decision that will be final.

In all cases, the decision of the president is final and will be communicated to the faculty member in writing within a reasonable time.

Cross Reference: Faculty Handbook

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board of Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty Merit Pay

Policy Number: 7.6

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

Date of last revision, if applicable: July 23, 2019

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):

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: move sentence "Adjunct faculty members are not eligible for merit pay increases" from adjunct performance review policy 7.5

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

Faculty Merit Pay

Original Implementation: September, 1982

Last Revision: ~~July 23, 2019~~ January 28, 2020

For merit pay consideration, full-time faculty members (~~excluding adjuncts~~) will present to their academic unit head all relevant or requested documentation, including at least the completed annual report of professional activities and performance, as well as any other information required under individual academic unit, college or university policy. *Adjunct faculty members are not eligible for merit pay increases.*

Academic units and/or colleges will establish their own appropriate and specific merit criteria and awarding procedures.

Merit recommendations by the academic unit head will be subject to approval by the dean, provost and vice president for academic affairs, and president.

Merit pay is contingent upon available funds.

Cross Reference: Faculty Handbook

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

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Annual report of professional activities and performance and administrative evaluation form available in the Office of the Provost and Vice President for Academic Affairs

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Library Faculty

Policy Number: 7.17

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Guidelines for library faculty rank, criteria for appointment, promotion eligibility, annual evaluation and compensation, work load, rights and responsibilities; and Library Academic Advisory Council

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: delete parenthetical reference to cross-referenced policy

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

Library Faculty

Original Implementation: 1970

Last Revision: ~~January 31, 2017~~ *January 28, 2020*

Stephen F. Austin State University (SFA) provides for advancement based on a librarian's or an archivist's academic credentials and experience, job performance, professional engagement, and service to the university, profession, and the general community, as appropriate.

Rank

The ranks consist of Librarian I, II, III, and IV, and Archivist I, II, III, and IV, with IV being the highest. These ranks do not apply to administrative positions.

Criteria for Appointment

A master's degree in library science from a school accredited by the American Library Association is required for appointment as a librarian. The Master of Library Science and Master of Library Information Science are the terminal degrees for librarians.

A master's degree in library science from a school accredited by the American Library Association with specialization in archival studies or a master's degree in public history with specialization in archival studies is required for appointment as an archivist.

Promotion Eligibility

Librarians and archivists are both eligible for promotion; however, only librarians are eligible for tenure (~~see policy 7.29~~).

To be promoted to the rank of Librarian II or Archivist II, an individual must have a proven record of effective and productive performance. Individuals can apply for the rank of Librarian II or Archivist II without being at the rank of Librarian I or Archivist I for a specified period of time.

To be promoted to the rank of Librarian III or Archivist III, an individual must have a proven record of effective and productive performance. The individual must also have significant professional contributions to the academic and general communities through presentations at professional meetings, professional publications, or service to organizations. A Librarian II or Archivist II must hold that rank for at least three years before applying for promotion. Exceptions must be approved by the library director and the provost and vice president for academic affairs. The circumstances warranting early application must be exceptional.

To be promoted to the rank of Librarian IV or Archivist IV, an individual must have a proven record of substantial contributions to the profession recognized at the state and national levels. A Librarian III or Archivist III must hold that rank for at least five years before applying for promotion. Additionally, to be promoted to Archivist IV the individual must have successfully passed the Academy of Certified Archivist Examination. Exceptions must be approved by the

library director and the provost and vice president for academic affairs. The circumstances warranting early application must be exceptional.

Annual Evaluation and Compensation

Librarians and archivists will be evaluated annually according to university policies and procedures. These evaluations will constitute the basis for merit pay consideration, when available. Librarians and archivists accrue vacation and compensatory time.

Work Load

Librarians and archivists receive twelve-month contracts.

Library Academic Advisory Council

The Library Academic Advisory Council (LAAC) advises the director of libraries on matters regarding librarians and archivists. The LAAC is composed of five librarians/archivists, each with at least two years of service at SFA. Members are elected in September by all librarians and archivists and serve two-year staggered terms. The individual serving as the Faculty Senate representative is an ex-officio member of the LAAC if not an elected member. The LAAC elects a chair who is responsible for calling at least one meeting each regular semester.

Rights and Responsibilities

Librarians and archivists have the same rights and responsibilities as academic faculty. They are eligible for service on the Faculty Senate and university committees and are eligible for faculty development leave. Librarians and archivists may also apply for grants, fellowships, and research funds.

Cross Reference: Faculty Handbook; Academic Promotion of *Full-Time Faculty* (7.4); Tenure and Continued Employment (7.29); Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs (4.8); Academic Appointments and Titles (7.2)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Part-time Faculty

Policy Number: 7.21

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Description/guidelines for part-time faculty

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: Reviewed; no changes recommended

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

Part-time Faculty

Original Implementation: September 19, 1984

Last Revision: ~~January 31, 2017~~ *January 28, 2020*

A part-time faculty member is one who holds less than a full-time academic workload and is not in a tenure-track position.

Part-time faculty must meet applicable accreditation criteria.

Former tenured, full-time Stephen F. Austin State University faculty members appointed to part-time positions will hold their previous academic rank (instructor, assistant professor, associate professor, or professor) with the designation part-time. Part-time faculty members may be appointed for no more than one academic year at a time.

The salary of part-time faculty members will be negotiated with each appointment, subject to the approval of the college dean and the provost and vice president for academic affairs.

Part-time faculty members will perform assigned duties and maintain office hours commensurate with the assignment. Part-time faculty may not serve on search, tenure, promotion, or merit pay committees.

Cross Reference: Faculty Compensation (12.6)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Faculty Credential Form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs

Policy Number: 4.8

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Guidelines for performance review of officers reporting to the provost/VPAA

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No changes

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs

Original Implementation: December 6, 1979

Last Revision: ~~January 31, 2017~~ *January 28, 2020*

The provost and vice president for academic affairs will conduct an annual performance review of each administrator who reports directly to the provost's office. The review will focus on the performance of assigned responsibilities.

During the second year of service and once every three years thereafter, the review will be augmented by written input from peers, including appropriate deans, academic unit heads, faculty, and administrative staff. The provost and vice president for academic affairs is responsible for developing the survey questions.

The provost and vice president will submit a summary report to the individual reviewed and to the president.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Professional Educators Council

Policy Number: 5.16

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

Date of last revision, if applicable: November 7, 2016

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

Purpose of Policy (what does it do): Guidelines for council to govern preparation of teachers, school administrators, and other professional educators

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: Reviewed; no changes recommended

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

Professional Educators Council

Original Implementation: September 1, 1987

Last Revision: ~~November 7, 2016~~ January 28, 2020

Preparation of teachers, school administrators, and other professional educators is a university-wide function governed by policies developed by the university's Professional Educators Council. In developing and executing policies, the council considers:

- Relevant state and federal law;
- University policies and procedures;
- Recommendations from appropriate advisory committees;
- Guidelines of the Texas Higher Education Coordinating Board (THECB);
- Rules of the Texas Education Agency (TEA)/State Board for Educator Certification (SBEC);
- Program standards of the Council for the Accreditation of Educator Preparation (CAEP);
- Professional standards of organizations affiliated with CAEP and with other national accreditation organizations.

The council's responsibilities include:

- Maintaining accreditation by SBEC, CAEP, and other national organizations;
- Maintaining good standing with the TEA;
- Reviewing proposals for changes in teaching field programs and in professional education programs;
- Establishing criteria for program admission and retention;
- Recommending criteria for educator certification or licensing.

The council is co-chaired by the dean of the James I. Perkins College of Education (PCOE) and the PCOE associate dean for assessment and accountability. It is composed of faculty members appointed by the provost and vice president for academic affairs from nominees submitted by the PCOE dean after consultation with the deans of other colleges offering content area instruction. Other members of the council include the PCOE associate dean for curriculum, faculty and staff development, and student affairs and two student representatives appointed by the PCOE dean.

Cross Reference: General Bulletin, Graduate Bulletin, Tex. Educ. Code § 21.044

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Dean of the James I. Perkins College of Education

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: 7.16

Policy Number: Purchased Instructor-Generated Materials

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Guidelines for students purchasing instructor-generated materials

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: Reviewed with no changes recommended.

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

Purchased Instructor-Generated Materials

Original Implementation: September, 1990

Last Revision: ~~January 31, 2017~~ January 28, 2020

Instructor-generated materials are course packs or other intellectual property compilations that may be required by faculty members for students in their classes. Handouts, textbooks, or trade books are not included in this definition. Faculty members may not sell any academic materials directly to students. Instructor-generated materials may only be sold through the university bookstore or off-campus vendors.

Faculty members and the university will negotiate a royalty agreement in advance of the sale of instructor-generated materials in the university bookstore. This does not apply to materials that are work for hire. The university is not responsible for royalties or other financial benefits on instructor-generated materials sold by off-campus vendors.

If instructor-generated materials are to be used, faculty members are responsible for assembling and editing these. These materials must comply with the General Fair Use Guidelines as described in policy 9.2, ~~Copyrighted Works~~ *Reproduction of Copyrighted Works by Educators and Librarians*. Faculty members will exercise professional judgment when incorporating self-generated materials for instructional purposes.

Cross Reference: Faculty Handbook; Intellectual Property (9.4); ~~Copyrighted Works~~ *Reproduction of Copyrighted Works by Educators and Librarians* (9.2); and Academic Freedom and Responsibility (7.3)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Academic Dishonesty

Policy Number: 4.1

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Defines student academic dishonesty, penalties, and procedure for addressing student academic dishonesty.

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 title of appeals policy 6.3

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

Student Academic Dishonesty

Original Implementation: Unpublished

Last Revision: ~~January 31, 2017~~ January 28, 2019

Abiding by university policy on academic integrity is a responsibility of all university faculty and students. Faculty members must promote the components of academic integrity in their instruction, and course syllabi are required to provide information about penalties for cheating and plagiarism, as well as the appeal process.

Definition of Academic Dishonesty

Academic dishonesty includes both cheating and plagiarism. Cheating includes, but is not limited to:

- using or attempting to use unauthorized materials on any class assignment or exam;
- falsifying or inventing of any information, including citations, on an assignment;
- helping or attempting to help other student(s) in an act of cheating or plagiarism.

Plagiarism is presenting the words or ideas of another person as if they were one's own. Examples of plagiarism include, but are not limited to:

- submitting an assignment as one's own work when it is at least partly the work of another person;
- submitting a work that has been purchased or otherwise obtained from the Internet or another source;
- incorporating the words or ideas of an author into one's paper or presentation without giving the author credit.

Penalties for Academic Dishonesty

Penalties may include, but are not limited to, reprimand, no credit for the assignment or exam, resubmission of the work, make-up exam, failure of the course, or expulsion from the university.

Procedure for Addressing Student Academic Dishonesty

A faculty member who has evidence and/or suspects that academic dishonesty has occurred will gather all pertinent information and initiate the following procedure:

1. The faculty member will discuss all evidence of cheating or plagiarism directly with the student(s) involved.
2. After consideration of the explanation provided by the student(s), the faculty member will determine whether academic dishonesty has occurred. The faculty member may consult with the academic unit head and/or dean in making a decision.
3. After a determination of academic dishonesty, the faculty member will inform the academic unit head and submit a Report of Academic Dishonesty with supporting documentation to the office of the dean of the student's major. This report will become

part of the student's record and will remain on file with the dean's office for at least four years even if the student withdraws prior to receiving a grade.

4. For a serious first offense or subsequent offenses, the dean of the student's major will determine a course of action, which may include dismissal from the university. The dean may refer the case to the college council for review and recommendations before making this determination.

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

Student Appeals

A student who wishes to appeal decisions related to academic dishonesty should follow procedures outlined in ~~Academic~~ *Final Course Grade Appeals by Students* (6.3).

Cross Reference: Student Handbook; ~~Academic~~ *Final Course Grade Appeals by Students* (6.3); and Course Add/Drop (6.10)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Report of Academic Dishonesty Form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Evaluation of Instruction

Policy Number: 7.27

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Guidelines for student evaluation of instruction

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: Reviewed; no changes recommended

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

Student Evaluation of Instruction

Original Implementation: April 20, 1999

Last Revision: ~~January 31, 2017~~ *January 28, 2020*

Students will have the opportunity to evaluate instruction for all courses in all semesters through the university's online evaluation system. Members of the academic unit may determine additional evaluation instruments and procedures. Evaluation data are used for a variety of purposes including improvement of instruction, mentoring faculty, and personnel decisions.

Cross Reference: Faculty Handbook

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Media

Policy Number: 10.8

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): This policy identifies the various campus media outlets and explains their purposes and roles at the university, as well as their administrative and advisory structures and and funding sources.

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: Some titles and terms have been updated

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

John A. Hendricks, Chair Department of Mass Communication
Amy Roquemore, Director Student Publications and Divisional Media
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel

Student Media

Original Implementation: October 26, 1999

Last Revision: ~~January 31, 2017~~ January 28, 2020

Stephen F. Austin State University has long recognized the importance of providing for the establishment of student media on campus. These media are the chief means of communicating campus news, providing student entertainment, and expressing student opinion. They also provide experience for students who are working toward a career in the mass media.

Student Publications

The Pine Log, which is the student newspaper, and the *Stone Fort*, which is the yearbook, were the first student media to be established. They have existed virtually from the founding of Stephen F. Austin State University. *The Pine Log* publishes campus news, letters to the editor, local advertising, and editorials.

The Office of Student Publications, housed in the Division of University Affairs, is the unit which governs the operation of both the *Stone Fort* and *The Pine Log*. These publications are intended to be primarily self-supporting. Income is derived from the sale of yearbooks, and, in the case of *The Pine Log*, advertising. The director of student publications and divisional media is the administrative leader of both publications and reports to the vice president for university affairs. The director shall be responsible for all managerial aspects of student publications. This shall include fiscal management, office staff management and student staff management. The director of student publications and divisional media shall also provide editorial counsel to the student staffs of *The Pine Log* and *Stone Fort* regarding customary news and advertising practices as well as applicable legal issues.

The Student Publications Committee, appointed by the vice president for university affairs, shall serve as an advisory body to student publications. The committee shall recommend editorial policy and provide advice in the appointment of *The Pine Log* and *Stone Fort* editors. In addition, the committee shall:

- a. foster and preserve the American tradition of free expression
- b. act as an appeals body on editorial, advertising, and business contracts related to student publications
- c. require compliance with applicable laws in such areas as libel, obscenity, privacy, and false and misleading advertising

The Student Publications Committee shall consist of nine members:

1. The chair of the Department of Mass Communication (committee chair)

2. The director of student publications and divisional media
3. One Mass Communication faculty representative
4. One representative from University Marketing Communications
5. Two faculty members at large
6. Three students at large (not already holding paid positions on the *Stone Fort* or *The Pine Log*)

Broadcast Media

Stephen F. Austin State University has also provided for the operation of a radio station, KSAU-FM, and a cable-connected television facility. These facilities shall serve the primary role of laboratories to support the academic program in radio/television and shall be operated by the Department of Mass Communication, housed in the College of Liberal and Applied Arts, Division of Academic Affairs. Two departmental faculty members shall be designated as *faculty advisors*~~directors~~ of radio and television respectively. These two faculty members shall have one-course teaching load reductions to accommodate their responsibilities as *advisors*~~directors~~ of the radio and television operations.

Both of these facilities are *completely* ~~primarily~~-supported by institutional funds and receive no money from student service fees. Programming and production staffs shall consist primarily of students enrolled in various *mass* communication production courses including the required *capstone-practicum* courses. Faculty who teach the production courses shall supervise the student staffs and serve as the first level of appeal for any issues which might arise.

Programming content for the radio station shall be in compliance with all licensing requirements of the Federal Communications Commission. In addition, the Department of Mass Communication shall enforce programming guidelines which:

- a. comply with any relevant and established university policies
- b. to the extent possible reflect current mainstream professional broadcast practice
- c. serve a local audience with programming not already readily available
- d. serve local informational and cultural needs

The Department of Mass Communication shall enforce television programming guidelines for the local cable channel which:

- a. comply with any relevant and established university policies
- b. to the extent possible reflect current mainstream professional broadcast practice
- c. serve local informational, educational, and cultural needs

Cross Reference: U.S. Const. amend. I

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

President for University Affairs

Contact for Revision: Chair, Department of Mass Communication and Director of Student Publications and Divisional Media

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Organization Risk Management Training

Policy Number: 10.10

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

Date of last revision, if applicable: 11/7/2016

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

Purpose of Policy (what does it do): Requires risk management training for registered student organizations to comply with Texas Education Code.

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 and clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Lacey Folsom, Director of Student Engagement Programs
Hollie Smith, Assistant Dean of Student Affairs for Programs
Adam Peck, Assistant VP and Dean of Student Affairs
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel

Student Organization Risk Management Training

Original Implementation: October 30, 2007

Last Revision: ~~November 7, 2016~~ January 28, 2020

At least once during each academic year, Stephen F. Austin State University shall provide a risk management training program for student organizations registered with the office of Student Engagement Programs at the institution.

Four members of each organization are required to attend the training program at least once during the time(s) it is presented during the fall semester. The organization's president and vice president, or their equivalents as listed on the organization's registration with Student Engagement Programs, must be among the four members attending. If an organization has officer positions equivalent to a risk management officer and/or a new member officer, these officers must also attend the program. If the organization does not have officers with the specific titles named, the four highest ranking leaders of their organization are required to attend the training.

Newly registered student organizations must have four appropriate members receive this training within the first 30 business days following its initial registration.

Each listed student organization advisor(s) who has not previously received risk management training as outlined in this policy ~~The listed advisor(s) of each registered student organization must also receive this training~~ ~~attend this training program at least once every three years.~~ For the purposes of this policy an advisor is defined as a person who:

1. serves in an advisory capacity to a student organization to provide guidance to the organization and its members;
2. is older than 21 years of age; and
3. is not an enrolled ~~undergraduate~~ student at Stephen F. Austin State University.

The content of the risk management program will include topic areas mandated by the Texas Education Code, as well as topical areas deemed relevant by the university, to include:

1. possession and use of alcoholic beverages and illegal drugs, including penalties that may be imposed for possession or use;
2. hazing;
3. sexual ~~abuse~~ ~~misconduct~~ (including abuse) and harassment,; and reporting procedures;
4. fire and other safety issues, including the possession and use of a firearm or other weapon or of an explosive device;
5. travel to a destination outside the area in which the institution is located;
6. behavior at parties and other events held by a student organization;
7. adoption by a student organization of a risk management policy; and

8. issues regarding persons with disabilities, including a review of applicable requirements of federal and state law, and any related policies of the institution, for providing reasonable accommodations and modifications to address the needs of students with disabilities, including access to the activities of the student organization.

The university may impose reasonable sanctions on any organization failing to meet the requirements of this policy.

Cross Reference: Tex. Educ. Code § 51.9361

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Director of Student Engagement

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Services Fee

Policy Number: 10.11

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): Governs the allocation of the Student Services Fee

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The first substantial revision explains the composition of the committee. The second change explains the process of amending the allocations in the case of a budgetary shortfall. Other changes were made to enhance the readability of this policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Vice President for Finance and Administration
Damon Derrick, General Counsel

Student Service Fee Allocations

Original Implementation: Unpublished

Last Revision: ~~January 31, 2017~~ January 28, 2020

Student service fees are distributed to various student organizations and student service operations for activities which are separate and apart from the regularly scheduled academic functions of the institution and directly involve or benefit students.

The distribution of student service fees is based on the allocation process utilized by the Student Service Fee Committee (SSFC). *This committee is composed of nine members. These include five student members who are enrolled for not less than six semester credit hours and who are appointed by the Student Government Association. Three of these students are appointed to serve a two-year term on the committee and two students are appointed to serve a one-year term on the committee. The president appoints four faculty or staff members to serve on the committee. Each serves a one-year term. Any vacancies in an appointive position on the committee shall be filled for the unexpired portion of the term in the same manner as the original appointment.*

The SSFC may only conduct meetings at which a quorum (the majority of members of the committee) is present. Meetings must be open to the public. The committee must provide notice of the date, hour, place, and subject of the meeting at least 72 hours before the meeting is convened. This notice must be posted on the internet and in the student newspaper if an issue of the newspaper is published between the time of the internet posting and the time of the meeting.

~~In the spring semester prior to the fiscal year of the allocations,~~ *The committee will receive requests from various student service operations (i.e. Student Health Clinic, Intercollegiate Athletics, Marching Band, Fine Arts Programs, etc.) and university—sponsored student organizations (i.e. Student Government Association, Student Activities Association, etc.). The amount to be distributed by the committee is based on an estimate of student service fee revenue for the following academic year. If there is significant variance between the estimated revenue and the actual revenue, the allocation may be adjusted as necessary. Requests are evaluated and recommendations are made for allocations to these requesting groups for the coming year. The final recommendations made by the committee will be recorded and made public. These recommendations are then submitted to the president who may accept or modify the committee's decision. If the president's recommendations are substantially different from that of the advisory committee, the president will notify the advisory committee and provide an opportunity for the chair of the committee to comment on the committee's recommendations. Upon approval of the Board of Regents, the funds are made available for the coming fiscal year.*

Cross Reference: Tex. Educ. Code § 54.503

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Dean of 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: Student Travel

Policy Number: 10.12

Is this policy new, being reviewed/revised, or deleted? (Select One)

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): Governs student travel undertaken by one or more SFA students presently enrolled at the university to reach an activity or event that has been organized and sponsored by the university and is located more than 25 miles from the university.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Preamble as been revised to make it clear that this policy is required by state law

Specific rationale for deletion of policy:

Additional Comments:

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Reviewers:

- Lacy Folsom, Director of Student Engagment
- Hollie Smith, Assistant Dean of Student Affairs
- Adam Peck, Dean of Student Affairs
- Steve Westbrook, Vice President for University Affairs
- Damon Derrick, General Counsel

Student Travel

Original Implementation: October 23, 2001

Last Revision: ~~January 31, 2017~~ January 28, 2020

State law requires that all institutions of higher education adopt a policy regulating travel that is undertaken by one or more students presently enrolled at the institution to reach an activity or event that is located more than 25 miles from the institution that is organized and sponsored by the institution and meets certain other criteria.

~~This policy governs student travel undertaken by one or more SFA students presently enrolled at the university to reach an activity or event that has been organized and sponsored by the university and is located more than 25 miles from the university.~~

This policy shall apply if the travel is funded by the university; the travel is undertaken using a vehicle owned or leased by the university; or if the travel is required by a registered SFA student organization to an event that has been organized and sponsored by the university.

I. Travel funded by the university and/or using university owned or leased vehicles

University policy 16.23, Rental of University Vehicles, governs the use of university owned vehicles and vehicles rented using university funds from a non-university fleet. All of the requirements of that policy, such as driver qualifications and passenger capacity, apply to student travel as addressed in this policy.

Other specific requirements of this policy include:

- a. All occupants must use seat belts, as provided in the vehicle, in the manner recommended by the vehicle manufacturer.
- b. Passengers are limited to the number that can be safely restrained using the available number of seat belts.
- c. Drivers should continually assess their state of alertness and not begin to drive, or not continue driving, if they are fatigued. There are many factors that impact driver fatigue, all affecting drivers differently; but conditions such as hours without sleep, time of the day, road conditions, etc. should be all considered and monitored.
- d. Only drivers meeting the qualifications set forth in policy 16.23 may drive the vehicle. All drivers must be appropriately licensed to drive the vehicle.

II. Travel by personal vehicle or privately leased vehicle

While the university may not be made aware of trips undertaken by students using their private vehicles, or vehicles privately leased by them, the university will publish the requirements of this policy in publications used by registered student organizations at SFA

and will encourage their use in all travel undertaken by students for any trip governed by this policy. All drivers are encouraged to be appropriately licensed and the owner of the vehicle(s) is encouraged to maintain appropriate vehicle insurance as required by law.

This policy will be filed with the Texas Higher Education Coordinating Board after the approval of any amendment by the Board of Regents.

Cross Reference: Tex. Educ. Code § 51.950; Rental of University Vehicles (16.23)

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Dean of 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: Substantive Change

Policy Number: 4.10

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): As a member of SACSCOC, SFA is responsible for notifying and, when necessary, seeking approval for substantive changes from the Commission in accordance with the SACSCOC substantive change 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:

Specific rationale for each substantive revision: Revisions include the addition of wording to bring the policy inline with the latest version of SACS substantive change policy.

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

Substantive Change

Original Implementation: August 26, 2008

Last Revision: ~~January 31, 2017~~ January 28, 2020

Stephen F. Austin State University (SFA) is committed to upholding all of the principles and policies of the Texas Higher Education Coordinating Board (THECB) and the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). The university is also committed to establishing and maintaining procedures to facilitate an effective and timely notification process regarding substantive changes.

As a member of SACSCOC, SFA is responsible for notifying and, when necessary, seeking approval for substantive changes from the Commission in accordance with the SACSCOC substantive change policy. The current policy is located on the SACSCOC website.

Substantive change is defined as a significant modification or expansion of the nature and scope of an accredited institution.

Notification is defined as a letter from the university president or designee to the president of the commission summarizing the proposed change. Approval is sought through the submission of a SACSCOC application or prospectus.

Procedures

The university is required to notify THECB and SACSCOC of substantive changes and request approval, when required, prior to the initiation of the changes. The SFA SACSCOC liaison, *appointed by the Office of the Provost and Vice President for Academic Affairs*, is responsible for coordinating efforts to identify the need for and creation of notification letters related to substantive change. The Office of the Provost and Vice President for Academic Affairs is responsible for all communication with the appropriate governing body.

Under federal regulations, substantive change includes but is not limited to:

- Initiating coursework or programs at a different level than currently approved;
- Initiating off-campus sites (including but not limited to Early College High School, dual enrollment programs offered at a high school, and certificate programs);
- Expanding programs at current degree level;
- Expanding program offerings at previously approved off-campus sites;
- Initiating degree completion programs;
- Initiating a branch campus;
- Initiating distance learning;
- Relocating a main or branch campus;
- Entering into a contract with an entity not certified to participate in U.S. Department of Education (USDOE) Title IV programs;
- Initiating dual or joint degrees;
- Initiating a new site;

- Initiating a direct assessment competency-based program;
- Initiating a merger/consolidation with another institution;
- Changing governance, ownership, control, or legal status of an institution;
- Acquiring any program or site from another institution;
- Adding a permanent location at a site where the institution is conducting a teach-out for students from another institution that is closing;
- Initiating a certificate program at a new off-campus site at employer's request and on short notice (previously approved program);
- Initiating a certificate program at employer's request and on short notice;
- Adding a site under a U.S. military contract for a previously approved program;
- Altering significantly the length of a program;
- Altering significantly the educational mission of the institution;
- Changing from clock hours to credit hours;
- Moving an off-campus instructional site;
- Initiating programs or courses offered through contractual agreement or consortium; or
- Closing a program, approved off-campus site, branch campus, or institution.

When planning to make changes that may require substantive change notification and approval, proposal sponsors must consult with the SFA SACSCOC liaison to determine the appropriate procedure for the proposed change.

The SFA curriculum review cycle is the process used to identify substantive changes related to the addition, deletion, or modification of courses and degree programs. In addition, all proposals for distance education, off-campus sites and certificate program requests will follow the curriculum review process. All proposals must follow and document adherence to curriculum review and approval policies and processes described in the university policy on Curriculum Reviews, Modifications and Approvals (5.7). The SFA SACSCOC liaison will provide the information necessary to prepare a prospectus in accordance with the requirements outlined in the SACSCOC Substantive Change Policy and THECB substantive change guidelines. The SACSCOC prospectus and/or THECB proposal must accompany the Curriculum Change Request.

At least once each academic year, the SACSCOC liaison will provide information to the academic deans, ~~and~~ division vice presidents, *and academic unit heads* regarding substantive change policies and procedures. During this session, the deans, ~~and~~ division vice presidents, *and academic unit heads* will identify potential substantive changes.

All substantive change education and review activities must be coordinated to allow ample time to satisfy the time frame for notification and/or approval as set by THECB and/or SACSCOC. SFA will adhere to the reporting times as specified in THECB guidelines and in the Substantive Change for SACSCOC Accredited Institutions policy statement.

The Office of the Provost and Vice President for Academic Affairs is responsible for conducting an ongoing review of curricular revisions to identify changes that may be substantive in nature and may require reporting or prior approval by THECB, ~~and/or~~ SACSCOC, *and/or accrediting body appropriate to the discipline*. The provost and vice president for academic affairs will determine whether changes are substantive and will initiate appropriate reporting and approval processes in compliance with THECB and SACSCOC policies and procedures.

Cross Reference: Curriculum Reviews, Modifications and Approvals (5.7); SACSCOC Substantive Change Policy; THECB guidelines

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Forms for program revision, course proposals, substantive change, and distance education are available at the Academic Affairs website <http://www.sfasu.edu/acadaffairs/>.

Board Committee Assignment: Academic and Student Affairs

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 External Information Technology Audits
- FERPA Audit - Security

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

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, Open Meetings Act, Health Insurance Billing, NCAA Compliance, *Pamela Clasquin v. SFASU*, and *Jane SFA-CM Doe v. SFASU* (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 director of athletics, vice presidents and the president (Texas Government Code, Section 551.074)

Cadet Leading the pledge – Tuesday, January 28, 2020

Sarah Sparkman Biography:

Sarah Elizabeth Sparkman is from Clarksville, Texas. She graduated from River Crest High School in 2016, where she was a varsity athlete in volleyball, track, tennis, basketball, and powerlifting. Sarah is considered a lateral entry cadet and came to the Lumberjack Battalion during her sophomore year. During her time at SFA, she has been on the president's and dean's list numerous times, with a cumulative GPA of 3.5, and played for SFA Women's Club Volleyball.

Cadet Sparkman currently serves as the Cadet Battalion Commander majoring in Health Science, with a focus in Community Health, is on track to commission as a 2nd Lieutenant in May 2020. Upon commissioning, Cadet Sparkman will branch Medical Services and attend the Basic Officer Leader Course at Joint Base San Antonio. Sarah enjoys being part of a team where she is challenged and learning how to lead from the front. The Lumberjack Battalion is extremely blessed to have Cadet Sarah Sparkman in our ranks!

**Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
October 27 and 28, 2019
Austin Building 307
Meeting 331**

Sunday, October 27, 2019

The regular meeting of the Board of Regents was called to order in open session at 1:20 p.m. on Sunday, October 27, 2019, by Chair Brigettee Henderson.

PRESENT:

Board Members: Mrs. Brigettee Henderson, Chair
Mr. David Alders
Ms. Nelda Blair
Dr. Scott Coleman
Mr. Alton Frailey
Mr. Tom Mason
Ms. Judy Olson
Ms. Jennifer Winston
Ms. Zoé Smiley, student member

President: Dr. Scott Gordon

Vice-Presidents: Dr. Steve Bullard
Dr. Danny Gallant
Ms. Jill Still
Dr. Steve Westbrook

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regent Karen Gantt was unable to attend.

Dr. Steve Bullard gave an update on academic programs and enrollment.

Mr. Anthony Espinoza gave an ITS update.

Dr. Steve Westbrook gave a student housing report.

Dr. Danny Gallant gave a budget update.

Ms. Jill Still gave a report from university advancement.

Mr. Ryan Ivey gave an athletic report.

The Board of Regents meeting recessed for a meeting of the Building and Grounds Committee at 4:01 p.m. Following the Building and Grounds Committee meeting, the board reconvened at 5:25 p.m. in open session.

The chair immediately called for an executive session to consider the following items:

Deliberations Regarding Security Devices or Security Audits (Texas Government Code, Section 551.076)

- Report from chief information officer
- Audit report: cash count

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

- Possible naming opportunities

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, intellectual property, EEOC charges, *Pamela Clasquin v. SFASU* (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 director of athletics, the general counsel, the coordinator of board affairs, the vice presidents and the president (Texas Government Code, Section 551.074)

The executive session ended at 7:30 p.m. The Board of Regents meeting returned to open session and recessed to Monday, October 28, at 8:00 a.m.

Monday, October 28, 2019

The regular meeting of the Board of Regents was called to order in open session at 8:02 a.m. on Monday, October 28, 2019, by Chair Brigettee Henderson.

PRESENT:

Board Members: Mrs. Brigettee Henderson, Chair
 Mr. David Alders
 Ms. Nelda Blair
 Dr. Scott Coleman
 Mr. Alton Frailey
 Mr. Tom Mason
 Ms. Judy Olson

Ms. Jennifer Winston
Ms. Zoé Smiley, student member

President: Dr. Steve Gordon

Vice-Presidents: Dr. Steve Bullard
Dr. Danny Gallant
Ms. Jill Still
Dr. Steve Westbrook

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regent Karen Gantt was unable to attend.

The board recessed at 8:02 a.m. for committee meetings. The Building and Grounds Committee convened at 8:02 a.m. and recessed at 8:07 a.m. The Finance and Audit Committee convened at 8:07 a.m. and adjourned at 8:40 a.m. The Academic and Student Affairs Committee convened at 8:40 a.m. and recessed at 11:12 a.m.

The Board of Regents recessed for lunch at 11:12 a.m. and reconvened in open session at 1:00 p.m.

SFA ROTC Cadet Cole Costigan led the pledges to the flags and Regent Scott Coleman provided the invocation.

RECOGNITIONS

Dr. Bullard recognized Professors Emeritus Dr. Ann Wilson, Dr. Patrick Jenlink, and Dr. Susan Jennings. Dr. Bullard also recognized the Jacks Teach program and the School of Social Work.

APPROVAL OF MINUTES

BOARD ORDER 20-01

Upon motion by Regent Frailey, seconded by Regent Coleman, with all members voting aye, it was ordered that the minutes of the July 21, 22 and 23, 2019, regular meeting of the Board of Regents and minutes of the August 17, 2019, special meeting of the Board of Regents be approved as presented.

PERSONNEL

BOARD ORDER 20-02

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

FACULTY APPOINTMENTS

The following faculty appointments were approved.

COLLEGE OF BUSINESS

Oscar Gonzales, D.B.A. (Capella University), Lecturer of Management and Marketing, at an academic year salary of \$60,000 for 100 percent time, effective September 1, 2019.

Jamie Humphries, Ph.D. (Georgia State University), Assistant Professor of Business Communication and Legal Studies, at an academic year salary of \$78,000 for 100 percent time, effective September 1, 2019.

Janet Jones, Ph.D. (University of Texas at Arlington), Assistant Professor Accounting, at an academic year salary of \$135,000 for 100 percent time, effective September 1, 2019.

Raymond Jones, Ph.D. (University of North Texas), Assistant Professor of Management and Marketing, at an academic year salary of \$112,000 for 100 percent time, effective September 1, 2019.

Beverly Mendoza, M.A. and Ph.D. candidate (Indiana University), Assistant Professor of Economics and Finance, at an academic year salary of \$82,646 for 100 percent time, effective September 1, 2019.

Stephanie Ross, M.B.A. and M.S. (University of Texas at Dallas), Ph.D. candidate (University of Texas at San Antonio), Assistant Professor of Accounting, at an academic year salary of \$135,000 for 100 percent time, effective September 1, 2019.

Lucia Sigmar, Ph.D. (University of Tennessee), Associate Professor of Business Communication and Legal Studies, at an academic year salary of \$80,000 for 100 percent time, effective September 1, 2019.

COLLEGE OF FINE ARTS

Eden Collins, M.F.A. (University of Texas at San Antonio), Visiting Assistant Professor of Art, at an academic year salary of \$48,000 for 100 percent time, effective September 1, 2019.

Margaret Leysath, Ed.D. (Lamar University), Assistant Professor of Art, at an academic year salary of \$51,000 for 100 percent time, effective September 1, 2019.

Kristen Blossom, M.F.A. (Florida State University/Asolo Conservatory), Visiting Assistant Professor of Theatre (Acting/Voice), at an academic year salary of \$51,500 for 100 percent time, effective September 1, 2019.

Gregory Grabowski, Ph.D. (Chapman University), Assistant Professor of Music/ Director of Orchestra, at an academic year salary of \$64,173 for 100 percent time, effective September 1, 2019.

Claire Murphy, M.M. (East Carolina University), Assistant Professor of Music Education, at an academic year salary of \$53,456 for 100 percent time, effective September 1, 2019.

COLLEGE OF EDUCATION

Jaime Flowers, Ph.D. (Chapman University), Assistant Professor of Human Services, at an academic year salary of \$65,000 for 100 percent time, effective September 1, 2019.

Leigh Kirby, Ph.D. (Texas A&M University at Commerce), Assistant Professor of Human Services, at an academic year salary of \$58,000 for 100 percent time, effective September 1, 2019.

Amanda Moore, M.F.A. (University of North Carolina at Greensboro), Assistant Professor of Kinesiology and Health Science, at an academic year salary of \$58,000 for 100 percent time, effective September 1, 2019.

Christian Pigg, M.Ed. (Stephen F. Austin State University), Visiting Lecturer of Elementary Education, at an academic year salary of \$51,000 for 100 percent time, effective September 1, 2019.

Sarah Sanchez, M.F.A. (Sam Houston State University), Visiting Assistant Professor of Kinesiology and Health Science, at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2019.

Ralf Schuster, M.Ed. and Ph.D. candidate (Auburn University), Visiting Assistant Professor of Human Services, at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2019.

John Stewart, Ph.D. (University of South Carolina), Assistant Professor of Kinesiology and Health Science, at an academic year salary of \$60,000 for 100 percent time, effective September 1, 2019.

Victoria Wagner-Greene, Degree (University), Instructor of Kinesiology and Health Science, at an academic year salary of \$57,000 for 100 percent time, effective September 1, 2019.

Kristina White, M.S. and Ph.D. candidate (Baylor University), Instructor of Kinesiology and Health Science, at an academic year salary of \$59,000 for 100 percent time, effective September 1, 2019.

COLLEGE OF FORESTRY AND AGRICULTURE

Mike Tiller, M.S. (Stephen F. Austin State University), Visiting Lecturer of Forestry, at a 4-month salary of \$25,000 for 100 percent time, effective September 1, 2019.

COLLEGE OF LIBERAL AND APPLIED ARTS

Christina Collins, M.S.W. (Baylor University), Visiting Lecturer of Social work, at an academic year salary of \$54,650 for 100 percent time, effective September 1, 2019.

Kimberly Fruge, MA. and Ph.D. candidate (Florida State University), Visiting Assistant Professor of Government, at an academic salary of \$55,000 for 100 percent time, effective September 1, 2019.

Mitchell Klingenberg, M.A. and Ph.D. candidate (Texas Christian University), Lecturer of History, at an academic year salary of \$41,500 for 100 percent time, effective September 1, 2019.

Rebecca Mcelyea, M.A. and Ed.D. candidate (University of Texas at Tyler), Lecturer of Government, at an academic year salary of \$42,654 for 100 percent time, effective September 1, 2019.

Joseph Stepniewski, M.A. (Stephen F. Austin State University), Visiting Assistant Professor of Mass Communication, at an academic year salary of \$52,500 for 100 percent time, effective September 1, 2019.

Lenola Wyatt, M.S.W. (Stephen F. Austin State University), Visiting Lecturer of Social Work, at an academic year salary of \$54,425 for 100 percent time, effective September 1, 2019.

COLLEGE OF SCIENCES AND MATHEMATICS

Jennifer Gaston, M.S.N. (Western Governors University), Clinical Instructor of Nursing, at an academic year salary of \$54,000 for 100 percent time, effective September 1, 2019.

Carmen Montana-Schalk, Ph.D. (Texas A&M University), Assistant Professor of Biology, at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2019

Lindsay Porter, Ph.D. (Texas A&M University), Assistant Professor of Biology, at an academic year salary of \$57,000 for 100 percent time, effective September 1, 2019.

Marissa Rotenberry, M.S. (Stephen F. Austin State University), Lecturer of Mathematics and Statistics, at an academic year salary of \$45,000 for 100 percent time, effective September 1, 2019.

Anali Segura, M.S. (Stephen F. Austin State University), Lecturer of Mathematics and Statistics, at an academic year salary of \$45,000 for 100 percent time, effective September 1, 2019.

Bidisha Sengupta, Ph.D. (University of Calcutta), Assistant Professor of Chemistry, at an academic year salary of \$62,000 for 100 percent time, effective September 1, 2019.

STAFF APPOINTMENTS

The following staff appointments were approved:

AGRICULTURE

Cobey Hendry, Supervisor of Beef Farm, at an annual salary of \$44,498 for 100 percent time, effective July 26, 2019.

ATHLETICS

Karl Berry, Program Director, at an annual salary of \$35,000 for 100 percent time, effective September 1, 2019.

Brandi Bryant, Associate Director of Student Athlete Services and Strategic Initiatives, at an annual salary of \$75,000 for 100 percent time, effective August 7, 2019.

Matthew Sheehan, Assistant Coach of Women's Golf Operations, at an annual salary of \$34,774 for 100 percent time, effective September 3, 2019.

BIOLOGY

Ashley Wahlberg, Lab Coordinator, at an academic year salary of \$37,000 for 100 percent time, effective September 1, 2019.

COMMUNITY STANDARDS

Dennis Mosely, Coordinator, at an annual salary of \$42,500 for 100 percent time, effective September 23, 2019.

DISABILITY SERVICES

Natalie Buuck, Coordinator of Disability Services Support, at an annual salary of \$46,350 for 100 percent time, effective August 1, 2019.

EARLY CHILDHOOD LABORATORY

Ashley McDaniel, Teacher, at an annual salary of \$38,150 for 100 percent time, effective July 1, 2019.

FINANCIAL AID OPERATIONS

Susan Jones, Assistant Director, at an annual salary of \$52,875 for 100 percent time, effective September 30, 2019.

RESIDENCE LIFE OPERATIONS

Alisha Blach, Hall Director, at an annual salary of \$31,123 for 100 percent time, effective October 1, 2019.

Robert Carpenter, Hall Director, at an annual salary of \$31,123 for 100 percent time, effective September 30, 2019.

Erin Pratico, Hall Director, at an annual salary of \$32,000 for 100 percent time, effective August 19, 2019.

SCHOOL OF THEATRE

Tyler Cureton, Technical Director, at an annual salary of \$45,000 for 100 percent time, effective August 1, 2019.

STUDENT ENGAGEMENT

Erica Nordlund, Coordinator, at an annual salary of \$37,000 for 100 percent time, effective July 1, 2019.

STUDENT CENTER ADMINISTRATION

Carrie Charley, Director of Auxiliary Services, at an annual salary of \$115,000 for 100 percent time, effective August 19, 2019.

CHANGES OF STATUS

The following changes of status were approved:

ACADEMIC ASSISTANCE AND RESOURCE CENTER

Javier Vega, from Preparator in Art at an annual salary of \$27,226 for 77 percent time, to Director of AARC at an annual salary of \$45,000 for 100 percent time, effective September 1, 2019.

ADMISSIONS

Kimberly Deckard, from Counselor at an annual salary of \$35,411 for 100 percent time, to Assistant Director at an annual salary of \$47,000 for 100 percent time, effective September 16, 2019.

ATHLETICS

Brandon Bernard, from Coordinator of Athletic Marketing at an annual salary of \$40,000 for 100 percent time to Director of Athletic Program (Fan Experience) at an annual salary of \$40,000 for 100 percent time, effective September 1, 2019.

Charles Hurley, from Director of Athletic Media Relations at an annual salary of \$56,229 for 100 percent time to Director of Athletic Program (Strategic Communications) at an annual salary of \$56,229 for 100 percent time, effective September 1, 2019.

Robert McNulty, from Assistant Athletic Trainer at an annual salary of \$23,462 for 48 percent time, to Athletic Trainer at an annual salary of \$45,000 for 100 percent time, effective September 1, 2019.

Kevin Meyer, from Assistant Director Athletic Media Relations at an annual salary of \$37,976 for 100 percent time, to Assistant Director of Athletic Program (Strategic Communications) at an annual salary of \$37,976 for 100 percent time, effective September 1, 2019.

Korbin Pate, from Coordinator of Athletic Video Production at an annual salary of \$43,174 for 100 percent time, to Director of Athletic Program (Marketing and Revenue Generation) at an annual salary of \$43,174 for 100 percent time, effective September 1, 2019.

Kirk Turner, from Coordinator of Athletic Marketing at an annual salary of \$43,704 for 100 percent time, to Director of Athletic Program (Digital Media) at an annual salary of \$43,704 for 100 percent time, effective September 1, 2019.

CHARTER SCHOOL

Natalie Cardenas, from Teacher at a 10-month salary of \$50,164 for 100 percent time, to Teacher with a change in job assignment at a 10-month salary of \$53,682 for 100 percent time, effective September 1, 2019.

COLLEGE OF EDUCATION

Brittany Fish, from Coordinator of Student Success at an annual salary of \$48,624 for 100 percent time, to Visiting Assistant Professor of Human Sciences at an academic year salary of \$53,000 for 100 percent time, effective September 1, 2019.

Lysa Hagan, from Director of Charter School at an annual salary of \$70,638 for 75 percent time, to Director of Charter School with a change in job responsibilities at an annual salary of \$73,100 for 75 percent time, effective July 1, 2019

Stephanie Schwartz, from Substitute Teacher at Charter School at an annual salary of \$35,357 for 100 percent time, to Teacher at an 10-month salary of \$39,500 for 100 percent time, effective September 1, 2019.

Nathaniel Walker, from Adjunct Faculty in Agriculture at a five-month salary of \$6,000 for 50 percent time, to Visiting Assistant Professor of Human Sciences at an academic year salary of \$56,000 for 100 percent time, effective September 1, 2019.

COLLEGE OF FINE ARTS

Carlos Gaviria, from Adjunct Faculty in Music at a five-month salary of \$12,300 for 92 percent time, to Lecturer of Music at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2019.

COLLEGE OF LIBERAL AND APPLIED ARTS

Hunter Hampton, from Lecturer of History at an academic year salary of \$41,500 for 100 percent time, to Assistant Professor of History at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2019.

Catherine Huh, from Lecturer of Languages, Culture and Communication at an academic year salary of 40,000 for 100 percent time, to Visiting Assistant Professor of Mass Communication at an academic year salary of \$52,500 for 100 percent time, effective September 1, 2019.

Brittany Middlebrook, from Adjunct Faculty in Languages, Culture and Communication at a 5-month salary of \$16,000 for 100 percent time, to Lecturer of Languages, Culture and Communication at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2019.

Mario Morera Jimenez, from Adjunct Faculty in Languages, Culture and Communication at a 5-month salary of \$19,000 for 100 percent time, to Visiting Assistant Professor of Languages, Culture and Communication at an academic year salary of \$52,000 for 100 percent, effective September 1, 2019.

Christopher Sams, from Associate Professor in English and Creative Wright at an academic year salary of \$58,359 for 100 percent time, to Associate Professor with a change in job responsibilities at an academic year salary of \$60,040 for 100 percent time, effective September 1, 2019.

Jessica Sams, from Associate Professor in English and Creative Writing at an academic year salary of \$58,925 for 100 percent time, to Associate Professor of Languages, Culture and Communication at an academic year salary of \$60,092 for 100 percent time, effective September 1, 2019.

Carolyn White, from Director of the Academic Assistance and Resource Center at an annual salary of \$48,199 for 100 percent time, to Lecturer in History at an academic year salary of \$41,500 for 100 percent time, effective September 1, 2019.

COLLEGE OF SCIENCES AND MATHEMATICS

Michael Janusa, from Professor and Chair of Chemistry at an 11-month salary of \$124,049 for 100 percent time, to Professor and Chair of Chemistry with a change in job responsibilities at an annual salary of \$139,271 for 100 percent time, effective September 1, 2019.

INSTITUTIONAL RESEARCH

Amy Camacho, from Administrative Assistant in Economics and Finance at an annual salary of \$34,419 for 100 percent time, to Analyst at an annual salary of \$49,500 for 100 percent time, effective September 1, 2019.

OFFICE OF COMMUNITY STANDARDS

Amanda Pruitt, from Clinical Instructor in Human Services at an annual salary of \$68,640 for 100 percent time, to Director at an annual salary of \$70,300 for 100 percent time, effective August 19, 2019.

OFFICE OF THE PRESIDENT

Heather Howell, from Executive Assistant at an annual salary of \$58,136 for 100 percent time, to Executive Assistant and Interim Special Assistant to the President at an annual salary of \$58,136 for 100 percent time with an additional stipend of \$2,500 per month for four months, effective September 16, 2019.

PHYSICAL PLANT

Hillary Parrish, from Manager of Staff Services at an annual salary of \$59,089 for 100 percent time, to Assistant Director at an annual salary of \$70,300 for 100 percent time, effective October 1, 2019.

UNIVERSITY MARKETING COMMUNICATIONS

Christine Broussard, from Senior University Marketing Communications Specialist at an annual salary of \$42,640 for 100 percent time, to Coordinator of Marketing Communications at an annual salary of \$50,000 for 100 percent time, effective August 16, 2019.

UNIVERSITY AFFAIRS

Lacey Folsom, from Director of Student Engagement at an annual salary of \$63,242 for 100 percent time, to Director of Student Engagement and Interim Assistant Dean of Students at an annual salary of \$63,242 for 100 percent time with an additional stipend of \$1,000 per month for one half month, effective September 1, 2019.

Hollie Gammel Smith, from Assistant Dean for Student Affairs Programs at an annual salary of \$85,224 for 100 percent time, to Assistant Dean for Student Affairs Programs at an annual salary of \$85,224 for 100 percent time with an additional stipend of \$1,500 per month for one half month, effective September 1, 2019.

Adam Peck, from Dean of Student Affairs/Assistant Vice President for University Affairs at an annual salary of \$125,246 for 100 percent time, to Dean of Student Affairs/Assistant Vice President for University Affairs at an annual salary of \$125,246 for 100 percent time with an additional stipend of \$2,500 per month for one half month, effective September 1, 2019.

Livia Pierce, from Assistant to the Dean of Student Affairs at an annual salary of \$38,831 for 100 percent time, to Assistant to the Dean of Student Affairs at an annual salary of \$38,831 for 100 percent time with an additional stipend of \$500 per month for one half month, effective September 1, 2019.

Steve Westbrook, from Interim President at an annual salary of \$300,000 for 100 percent time, to Vice President of University Affairs at an annual salary of \$202,594 for 100 percent time, effective September 16, 2019.

RETIREMENTS

The following retirements were accepted:

Kay Halstead, Librarian III in Steen Library, with 29 years of service, effective August 31, 2019.

Joanna Jones, Teacher in the Early Childhood Laboratory, with 29 years of service, effective June 30, 2019.

PROMOTIONS

The following promotions to Professor Emeritus were approved:

Dr. Patrick Jenlink

Dr. Susan Jennings

Dr. Ann Wilson

ACADEMIC AND STUDENT AFFAIRS

BOARD ORDER 20-03

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

APPROVAL OF INTELLECTUAL PROPERTY ASSIGNMENT

WHEREAS, the board members considered the following: Dr. Matibur Zamadar officially disclosed to the university a potential invention on July 24, 2019. The university's Intellectual Property policy states: "When an invention arises from a project specially commissioned by the university, created in the course of employment, or with use of university facilities or funds beyond the provision of office or library facilities, the inventor hereby assigns all rights, title and interest in and to any such invention to the university or its designee and shall assist the university or its designee in securing patent protection on the invention." The potential invention was developed within the scope of Dr. Zamadar's employment using university funds and facilities beyond the provision of office or library facilities; as a result, title to the potential invention belongs to the university. The administration does not desire to commit the resources necessary to pursue patenting and licensure of the potential invention, and Dr. Zamadar desires to pursue patenting and licensure on his own behalf.

THEREFORE, it was ordered that the university release the rights to the potential invention to Dr. Matibur Zamadar, subject to retainage of a portion of net income arising from the invention. The president was authorized to sign all associated documents and agreements, as reviewed and approved by the general counsel.

BOARD ORDER 20-04

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

U.S. ARMY ROTC AGREEMENT AND SCHOLARSHIP SUPPORT

WHEREAS, the board members considered the following: Stephen F. Austin State University has maintained an agreement with the United States Government for the establishment and support of an Army ROTC program for many years called a 918-A agreement. It is now time to update that agreement, as well as a related amendment for when a ROTC unit can be mobilized called 918-B.

In addition to renewing this agreement, Major James Attaway, Chair of the Department of Military Science, is seeking housing scholarship support to increase enrollment in the ROTC program. The administration requests approval for the president to sign a renewed 918-A/918-B agreement, and to create new housing scholarships for ROTC cadets who receive U.S. Army Cadet Command Scholarships. The SFA ROTC Battalion expects to enroll sixteen new cadets for fiscal year 2021 who would be eligible for the housing scholarship. Ultimately, up to thirty housing scholarships could be awarded on an annual basis.

THEREFORE, it was ordered that the president be given approval to sign a renewed 918-A/918-B agreement, and to create new housing scholarships for ROTC cadets who receive U.S. Army Cadet Command Scholarships. It was further ordered that the university administration establish the value of the housing scholarships.

BOARD ORDER 20-05

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

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 1:

- Academic and Professional Qualifications 7.1
- Academic Appointments and Titles 7.2
- Academic Probation, Suspension, Reinstatement for Undergraduates 6.4
- Academic Program Review 5.1
- Academic Promotion 7.4
- Academic Unit Head Appointments 4.2
- Administration of Academic Units 4.4
- Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities 6.6
- Authority to Act in the Absence of the President 2.4

Certificate Programs 5.2
Credit and Contact Hours 5.4
Designation of School Status 4.5
Discipline and Discharge 11.4
Establishing Centers, Institutes, and Specialized Testing or Services Laboratories 5.10
Faculty Search 7.12
Graduate Student Advisement 6.13
Guest Lecturers 7.15
Illicit Drugs and Alcohol Abuse 13.11
Laboratory Fees 3.22
Library Gifts 4.11.3
Overtime and Compensatory Time 12.14
Performance Evaluation of Faculty 7.22
Reporting Abuse, Exploitation, or Neglect of Elderly Persons or Persons with Disabilities 13.18
Selection of Academic Deans 4.9
Sick Leave 12.18
Stone Fort Museum Collections 5.17
Substantive Change 4.10
Summer Teaching Appointments 7.28
Tenure and Continued Employment 7.29
Timely Warning 13.22
University Awards Programs 12.20
University Closure for Inclement Weather and Other Emergencies 13.12
Vacation leave 12.21
Working Hours and Holidays 12.24

FINANCIAL AFFAIRS

BOARD ORDER 20-06

Upon motion by Regent Mason, seconded by Regent Blair, 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:

- Follow-up Audit
- Veteran Services Departmental Audit
- Counseling Departmental Audit
- Disability Services Departmental Audit
- Title IX Departmental Audit
- Cash Count
- Update on Audit Plan

BOARD ORDER 20-07

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.

APPROVAL OF ANNUAL AUDIT REPORT AND AUDIT CHARTER

The annual audit report and audit charter were approved as presented.

BOARD ORDER 20-08

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

STEM BUILDING BUDGET INCREASE TO RECOGNIZE INVESTMENT EARNINGS

WHEREAS, the board members considered the following: The new STEM Building was considered substantially complete in August 2018, and classes began in the fall 2018 semester. The STEM Building project budget was established at a level of \$46,400,000, funded by tuition revenue bond proceeds.

At the October 29, 2018 meeting, the regents approved an \$850,000 increase in the original \$46,400,000 budget, to recognize projected investment earnings. The total project budget was increased from \$46,400,000 to \$47,250,000. At this time, investments have yielded \$904,167, and are expected to total nearly \$920,000, an increase of \$70,000.

THEREFORE, it was ordered that a \$70,000 increase in the STEM Building project budget be approved, to a total not to exceed \$47,320,000, to recognize the total projected investment earnings in the project. The final budget total will not exceed the original budget level plus actual investment earnings.

BOARD ORDER 20-09

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

COLLEGE OF FINE ARTS EXPANSION PROJECT BUDGET

WHEREAS, the board members considered the following: On February 6, 2019, the university completed a \$116,336,389.35 bond issue planned for projects that included a College of Fine Arts expansion, a welcome center/one stop shop, a basketball practice facility, and a residence and dining hall. The bond proceeds were planned for a \$37 million College of Fine Arts expansion, a \$13 million welcome center/one stop shop, a \$26 million basketball practice facility, and a combined \$39.5 million residence hall and dining hall project.

During the College of Fine Arts project design, the scope was increased to include the School of Art's filmmaking program and the Kinesiology dance program. Subsequent institutional discussions indicated a need to renovate Turner Auditorium. The program additions, Turner Auditorium renovation and other cost increases present a total project at or below \$50 million.

THEREFORE, it was ordered that an increase be approved in the College of Fine Arts Expansion project scope to include the renovation of Turner Auditorium, with a total project budget cost not to exceed \$50 million.

It was further ordered that fund sources may include or be a combination of bond proceeds initially allocated to the welcome center/one stop shop, investment earnings, and donations. The president was authorized to sign purchase orders or contracts in accordance with Board of Regents' delegated authority.

BOARD ORDER 20-10

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

APPROVAL OF CHANGES TO COURSE FEES

WHEREAS, the board members considered the following: Course and lab fees provide instructional departments with funds to support the actual cost of consumable supplies, service and travel related to specific courses. Course and lab fees are allocated to instructional departments for expenditures that are necessary for course delivery.

THEREFORE, it was ordered that the course and lab fee changes be approved, as listed on the accompanying report in Appendix 2, to be effective spring 2020. It was also ordered that course fee deletions approved at the president level, with each effective date listed in the accompanying report in Appendix 2, be accepted.

BOARD ORDER 20-11

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.

AMENDMENT TO ARAMARK CONTRACT

WHEREAS, the board members considered the following: The university's agreement with Aramark to provide food service on campus contains provisions for a financial commitment to support multiple infrastructure investments over the term of the agreement. Prior to the end of the term of this agreement, an increase in the amount of this financial commitment to fund a major renovation of the Student Center Dining Hall is necessary. This needed renovation should be completed prior to the fall 2020 semester to maintain the high quality food service program our students seek.

Aramark has agreed to increase their financial commitment by \$4,000,000 to fund the renovation of the Student Center Dining Hall. An amendment to our current agreement is necessary to account for this addition and the long-term disposition of the investment.

Therefore, it was ordered that the president be authorized to sign an amendment to the existing food service agreement with Aramark, increasing Aramark's financial commitment for food service program renovations. The amendment is in Appendix 3

BOARD ORDER 20-12

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

GRANT AWARDS

WHEREAS, the board members considered the following: In fiscal year 2019, the university received multi-year grant awards totaling \$11,938,738. Of that total, grants awarded allocable to fiscal year 2019 were \$5,878,558, an increase of \$343,782 since the last report.

For fiscal year 2020, the multi-year grant award total is currently \$11,928,686. Of this total, grant awards allocable to fiscal year 2020 are currently \$5,394,092.

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

THEREFORE, it was ordered that the additional fiscal year 2019 grant awards that total \$343,782, and grant awards for fiscal year 2020 that total \$5,394,092 be approved and ratified. The grant awards are detailed in in the accompanying report found in Appendix 4.

BOARD ORDER 20-13

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

APPROVAL OF FINANCIAL AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 1:
Food Purchases 17.6

BOARD ORDER 20-14

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

TEMPORARY SUSPENSION OF GENERAL COUNSEL REVIEW OF CONTRACTUAL OBLIGATIONS

WHEREAS, the board members considered the following: The Board of Regents Rules and Regulations and university policy, including but not limited to Contracting Authority (1.3), require that all contractual obligations of the university be reviewed by the Office of the General Counsel prior to execution. The volume of contractual agreements requiring review by the Office of the General Counsel has exceeded the capacity of current staffing levels.

THEREFORE, it was ordered that the provision(s) in the Board of Regents Rules and Regulations and university policies requiring all contractual obligations of the university be reviewed by the Office of the General Counsel prior to execution be suspended January 1, 2020 to July 21, 2020.

It was further ordered that the General Counsel be authorized to issue procedures regarding categories of contractual obligations requiring legal review and exempt from legal review.

REPORTS

Dr. Scott Gordon, reported to the regents on the following topics:

- Upcoming dates
- Recap of first few months in office

Dr. Andrew Lannen, faculty senate chair-elect, gave a report on the following topics:

- Brief introduction
- Statement of welcome and support for Dr. Scott Gordon, SFA President
- Faculty accomplishments since July board meeting
- Non-tenure tack amendment to Faculty Senate constitution
- Faculty Senate resolution regarding future presidential searches

Ms. Scarleth Lopez, SGA president, gave a report on the following topics:

- Welcome Dr. Gordon
- Environmental Services Fee
- SGA Goals 19-20

Chair Henderson announced the appointment of board committees:

Nominating Committee, chaired by Scott Coleman, and including members David Alders and Jennifer Winston

Memorial Committee, chair by Karen Gantt, and including members Tom Mason, Zoe Smiley and Jill Still.

Coordinator of Board Affairs Search Committee, chaired by Alton Frailey, and including members Brigettee Henderson, Judy Olson, Damon Derrick, and Gina Oglesbee.

The board expressed its appreciation to Judy Buckingham, retiring as Coordinator of Board Affairs.

The meeting was adjourned by Chair Henderson at 2:15 p.m.

Stephen F. Austin State University
Minutes of the Board of Regents Special Called Telephone Meeting
Friday, November 22, 2019
1:30 p.m.
Austin Building, Room 307
Nacogdoches, Texas
Meeting 332

A special meeting of the SFA Board of Regents was called to order in open session at 1:30 p.m. on Friday, November 22, 2019, by Chair Brigettee Henderson.

Board Members Present: Mrs. Brigettee Henderson, Chair
Mr. David Alders
Mr. Alton Frailey

Members Joining by Phone: Mrs. Nelda Blair
Dr. Scott Coleman
Mrs. Karen Gantt
Mr. Tom Mason
Mrs. Judy Olson
Mrs. Jennifer Winston

President: Dr. Scott Gordon

Vice-Presidents: Dr. Steve Bullard
Ms. Jill Still

General Counsel Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Student Regent Smiley was unable to attend.

The board moved into executive session to consider the following:

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 general counsel and the coordinator of board affairs/compliance. (Texas Government Code, Section 551.074)

The board return to open session at 1:40 p.m. Upon motion by Regent Frailey, seconded by Regent Alders, with all members voting aye, the following personnel item was approved.

Board Order 20-15

Upon motion by Regent Alders, seconded by Regent Coleman, with all members voting aye, the following agenda item was approved:

ELECTION OF COORDINATOR OF BOARD AFFAIRS/COMPLIANCE

WHEREAS, the board members considered the following: Judy Buckingham, the coordinator of board affairs, announced her retirement effective December 31, 2019. The chair of the board of regents named a search committee for the position of coordinator of board affairs/compliance at the October 28, 2019 meeting. The search committee conducted interviews of candidates for the position.

THEREFORE, it was ordered that April Smith be elected the coordinator of board affairs/compliance, at an annual salary of \$70,000, effective January 1, 2020.

With no further action, the meeting was adjourned at 1:46 p.m.

STAFF APPOINTMENTS

Explanation:

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

Recommendation:

It is recommended by the administration that the following staff appointments be approved.

ACADEMIC AFFAIRS

Shannon Morrison, Coordinator of Student Success, at an annual salary of \$41,000 for 100 percent time, effective December 11, 2019.

ATHLETICS

Evan Luecke, Program Director – Digital Media, at an annual salary of \$36,000 for 100 percent time, effective January 15, 2020.

Tony Minatta, Head Women’s Soccer Coach. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

Mitch Vanya, Assistant Mens Basketball Coach, at an annual salary of \$85,000 for 100 percent time, effective September 27, 2019.

Kevin Young, Assistant Director Athletic External Affairs, at an annual salary of \$55,000 for 100 percent time, effective November 7, 2019.

HUMAN SERVICES

Nashae Turner, Director of Counseling Clinic, at an annual salary of \$70,000 for 100 percent time, effective January 6, 2020.

INFORMATION TECHNOLOGY SERVICES

Randy Laird, Programmer/Analyst I, at an annual salary of \$41,000 for 100 percent time, effective December 2, 2019.

Robert Williams, Programmer/Analyst I, at an annual salary of \$41,000 for 100 percent time, effective January 6, 2020.

LIBRARIAN

Morgan Briles, Librarian II, at an annual salary of \$50,000 for 100 percent time, effective January 6, 2020.

Candice Cloud, Librarian II, at an annual salary of \$45,000 for 100 percent time, effective October 7, 2019.

PHYSICAL PLANT

Ryan Dietrich, Manager of Staff Services, at an annual salary of \$55,400 for 100 percent time, effective December 2, 2019.

Allyson Gallier, Accountant II, at an annual salary of \$50,985 for 100 percent time, effective October 28, 2019.

STUDENT AFFAIRS SUPPORT SERVICES

Michara Delaney-Fields, Assistant Dean Student Affairs for Equity, Diversity, and Inclusion, at an annual salary of \$82,743 for 100 percent time, effective October 31, 2019.

FACULTY APPOINTMENTS

Explanation:

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

Recommendation:

It is recommended by the administration that the following faculty appointments be approved.

COLLEGE OF BUSINESS

Robert Allen, MPA, (Stephen F. Austin State University), Lecturer I, Accounting, at an academic year salary of \$50,000 for 100 percent time, effective January 1, 2020.

COLLEGE OF EDUCATION

Vicki Mokuria, Ph.D. (Texas A&M University), Visiting Assistant Professor of Secondary Education, at a four and half month academic salary of \$28,000 for 100 percent time, effective January 1, 2020.

COLLEGE OF FINE ARTS

William Jones, MFA (Ohio State), Lecturer I, Filmmaking, at an academic salary of \$40,000 for 100 percent time, effective January 1, 2020.

CHANGES OF STATUS

Explanation:

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

Recommendation:

It is recommended by the administration that the following changes of status be approved.

ACADEMIC AFFAIRS

Raquel Skidmore, from Coordinator Student Success at an annual salary of \$50,159 for 100 percent time, to Interim Chair/Department Head at an annual salary of \$50,159 for 100 percent time with an additional stipend of \$750 per month for ten months, effective November 11, 2019.

Megan Weatherly, from Coordinator Instructional Design at an annual salary of \$64,077 for 100 percent time, to Interim Director Instructional Technology at an annual salary of \$64,077 for 100 percent time with an additional stipend of \$750 per month for twelve months, effective September 1, 2019.

ALUMNI RELATIONS

Derek Snyder, from Coordinator Alumni Communications and Sponsorships at an annual salary of \$48,911 for 100 percent time, to Director at an annual salary of \$63,860 for 100 percent time, effective December 1, 2019.

ATHLETICS

William Crittenden, from Womens Soccer Operations Head Coach at an annual salary of \$65,721 for 100 percent time, to Athletic Program Director-Ticket Operations and Business Development at an annual salary of \$57,000 for 100 percent time, effective January 1, 2020.

Korbin Pate, from Program Director-Marketing and Revenue Generation at an annual salary of \$43,174 for 100 percent time, to the Development, Development Officer II at an annual salary of \$62,000 for 100 percent time, effective October 19, 2019.

Kirk Turner, from Program Director – Digital Media at an annual salary of \$43,704 for 100 percent time, to Alumni Relations, Coordinator Alumni Communications and Sponsorships at an annual salary of \$54,450 for 100 percent time, effective January 1, 2020.

COLLEGE OF EDUCATION

Kristina White, from Kinesiology and Health Sciences, Instructor, at an academic salary of \$59,000 for 100 percent time, to Kinesiology and Health Sciences, Assistant Professor with an academic salary of \$60,000 for 100 percent time, effective January 1, 2020.

COLLEGE OF FORESTRY AND AGRICULTURE

John Kidd, from Forestry, Academic Advisor, at an annual salary of \$42,007 for 100 percent time, to Forestry, Instructor with an academic salary of \$50,000 for 100 percent time, effective January 1, 2020.

COLLEGE OF LIBERAL AND APPLIED ARTS

Michael Walker, from Student Affairs Support Services, Assistant Dean of Student Affairs Support Services, at an annual salary of \$82,743 for 100 percent time, to Psychology, Associate Professor with an academic salary of \$65,000 for 100 percent time, effective September 1, 2019.

COLLEGE OF SCIENCES AND MATHEMATICS

Joann Black, from Dean's Office, Assistant to the Dean, at an annual salary of \$48,913 for 100 percent time, to Office of the President, Assistant to the President with an annual salary of \$68,200 for 100 percent time, effective January 13, 2020.

Edward Michaels, from Physics, Engineering, and Astronomy, Lecturer, at a nine month academic salary of \$32,508 for 50 percent time, to Physics, Engineering, and Astronomy, Lecturer/Director with an annual salary of \$79,981 for 100 percent time, effective January 1, 2020.

FINANCE AND ADMINISTRATION

Judith Kruwell, from Financial Services, Director, at an annual salary of \$97,110 for 100 percent time, to Human Resources, Interim Director, with an annual salary of \$110,000 for 100 percent time, effective January 1, 2020.

INFORMATION TECHNOLOGY SERVICES

Daniel Davis, from Information Technology Services, Programmer/Analyst III at an annual salary of \$56,243 for 100 percent time, to Information Technology Services, Programmer/Analyst IV at an annual salary of \$63,000 for 100 percent time, effective January 1, 2020.

Brandon Stringfield, from ITS Information Security, Security Specialist II, at an annual salary of \$71,760 for 100 percent time, to ITS Information Security, Interim Chief Information Security Officer, at an annual salary of \$71,760 for 100 percent time with a \$1,000 stipend for 2.83 months, effective September 1, 2019.

Brandon Stringfield, from ITS Information Security, Security Specialist II, at an annual salary of \$71,760 for 100 percent time, to ITS Information Security, Chief Information Security Officer, at an annual salary of \$105,000 for 100 percent time, effective November 25, 2019.

LIBRARY

Jonathan Helmke, from Associate Director, at an annual salary of \$87,736 for 100 percent time, to Director University Library, Interim Director, at an annual salary of \$87,736 for 100 percent time with a \$1,000 stipend for 2 months, effective September 1, 2019.

Jonathan Helmke, from Associate Director, at an annual salary of \$87,736 for 100 percent time, to Director University Library, Director, at an annual salary of \$105,000 for 100 percent time, effective November 1, 2019.

PHYSICAL PLANT

Amanda Willoughby, from Physical Plant, Accounting Clerk III, at an annual salary of \$38,110 for 100 percent time, to Physical Plant, Business Manager, at an annual salary of \$60,000 for 100 percent time, effective October 1, 2019.

RESIDENCE LIFE OPERATIONS

Elizabeth Roshell, from Residence Life Operations, Program Coordinator, at an annual salary of \$35,000 for 100 percent time, to Residence Life Operations, Area Coordinator, at an annual salary of \$37,236 for 100 percent time, effective November 1, 2019.

UNIVERSITY AFFAIRS

Clare Fite, from Counseling Services, Counselor Intern, at an annual salary of \$42,230 for 100 percent time, to Counseling Services, Counselor, at an annual salary of \$43,230 for 100 percent time, effective January 1, 2020.

Heather Howell, from Office of Vice President University Affairs, Executive Assistant at an annual salary of \$58,136 for 100 percent time, to Office of the President, Executive Assistant and Interim Special Assistant to the President at an annual salary of \$58,136 for 100 percent time with an additional stipend of \$2,500 per month for half of a month, effective January 1, 2020 and ending January 15, 2020.

UNIVERSITY MARKETING COMMUNICATIONS

Kevin Meyer, from University Marketing Communications, Marketing Communication Specialist Senior, at an annual salary of \$42,000 for 100 percent time, to Intercollegiate Athletics, Athletic Program Director – Strategic Communications, at an annual salary of \$48,000 for 100 percent time, effective January 1, 2020.

RETIREMENTS

Judith Buckingham, Board of Regents, Coordinator of Board Affairs, 14 years of service to SFA, effective December 31, 2019.

Cynthia Devlin, History, Adjunct Faculty, 13 years of service to SFA, effective December 31, 2019.

Loretta Doty, Human Resources, Director, 3 years of service to SFA, effective December 31, 2019.

Shiyou Li, Forestry, Director of Pharmaceutical Crops/Research Professor, 25 years of service to SFA, effective October 10, 2019.

Leann Solmonson, Human Services, Professor, 13 years of service to SFA, effective December 31, 2019.

Janet Tareilo, Academic Affairs, Associate Provost, 14 years of service to SFA, effective December 31, 2019.

Jacquelyn Vose, Information Technology Services, Programmer/Analyst III, 11 years of service to SFA, effective December 31, 2019.

APPROVAL OF JAMES I. PERKINS COLLEGE OF EDUCATION UNIT NAMING

Recommendation #1:

DEPARTMENT NAME CHANGE FOR DEPARTMENT OF ELEMENTARY EDUCATION IN THE PERKINS COLLEGE OF EDUCATION

Explanation:

The Perkins College of Education recommends a change in name for the Department of Elementary Education to the Department of Education Studies. The college leadership and department faculty believe this will better reflect the disciplines within that reorganized department.

Recommendation:

The administration recommends approval of the name change from Department of Elementary Education to Department of Education Studies.

Recommendation #2:

DEPARTMENT NAME CHANGE FOR DEPARTMENT OF HUMAN SERVICES IN THE PERKINS COLLEGE OF EDUCATION

Explanation:

The Perkins College of Education recommends a change in name for the Department of Human Services to the Department of Human Services & Educational Leadership. The college leadership and department faculty believe this will better reflect the disciplines within that reorganized department.

Recommendation:

The administration recommends approval of the name change from Department of Human Services to the Department of Human Services & Educational Leadership.

Recommendation #3:

ELIMINATION OF DEPARTMENT OF SECONDARY EDUCATION & EDUCATIONAL LEADERSHIP IN THE PERKINS COLLEGE OF EDUCATION

Explanation:

The Perkins College of Education recommends a eliminating the Department of Secondary Education & Educational Leadership. The

college leadership reorganized the degrees across the academic units, moving all degrees from the Department of Secondary Education & Educational Leadership to other academic units.

Recommendation:

The administration recommends approval of the eliminating the Department of Secondary Education & Educational Leadership.

APPROVAL OF ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Academic and Student Affairs Committee will consider: the curricula of the various colleges and departments of the university with any other matters dealing with academic programs and the progress thereof; the research programs within the university and their relationship to all graduate education; student affairs within the university; and personnel matters within the university.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented:

Administrative Evaluation of Adjunct Faculty Performance 7.5
Aids and HIV 13.1
Animals on University Property 13.2
Annual Disclosure of Crime Statistics 13.3
Curriculum Reviews, Modifications and Approval 5.7
Disposition of Abandoned Personal Property 13.6
Distinguished Guests 2.16
Doctoral Students: Allowable Credit Hours and Completion Times 6.11
Faculty Development Leaves 12.7
Faculty Disagreements 7.25
Faculty Merit Pay 7.6
Library Faculty 7.17
Part-time Faculty 7.21
Performance Review of Officers Reporting to the Provost and Vice
President of Academic Affairs 4.8
Professional Educators Council 5.16
Purchased Instructor-Generated Materials 7.16
Student Academic Dishonesty 4.1
Student Evaluation of Instruction 7.27
Student Media 10.8
Student Organization Risk Management Training 10.10
Student Service Fee Allocations 10.11

Student Travel 10.12
Substantive Change 4.10

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Administrative Evaluation of Adjunct Faculty Performance

Policy Number: 7.5

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Guidelines for evaluating adjunct faculty performance

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: Policy title changed. The sentence, "Adjunct faculty members are not eligible for merit pay increases" should be moved to Faculty Merit Pay policy, 7.6. Add cross-reference to policy 7.6.

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

~~Administrative Evaluation of Adjunct Faculty Performance~~ *Evaluation*

Original Implementation: December 17, 2010

Last Revision: ~~January 31, 2017~~ *January 28, 2020*

Stephen F. Austin State University recognizes that faculty performance should be regularly and systematically evaluated. Adjunct faculty administrative evaluations should be used when considering reappointment.

Adjunct faculty members will be evaluated annually for their performance of assigned duties, which will include teaching and may include other activities. For the evaluation, the academic unit head will review student evaluations of teaching and all material relevant to the performance of the adjunct faculty member.

The academic unit head will review the evaluation with each adjunct faculty member and provide a copy to the dean and faculty member.

~~Adjunct faculty members are not eligible for merit pay increases.~~

Cross Reference: Faculty Handbook, Student Evaluation of Instruction (7.27), *Faculty Merit Pay* (7.6)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Adjunct Faculty Administrative Evaluation Form (available online from the Office of the Provost)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: AIDS and HIV

Policy Number: 13.1

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

Date of last revision, if applicable: 1/31/2017

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy prescribes the university's obligations and policy position regarding members of the university community as it pertains to AIDS and HIV.

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: Reviewed with no changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Damon Derrick, General Counsel

AIDS and HIV

Original Implementation: September, 1990

Last Revision: ~~January 31, 2017~~ January 28, 2020

Stephen F. Austin State University recognizes the increasing public awareness and concern over AIDS and HIV. For the purposes of this policy, AIDS means acquired immune deficiency syndrome, and HIV means human immunodeficiency virus. AIDS is a fatal disease that has become a nationwide public health problem. In health related matters such as this one, the university shall follow the guidelines of recognized authorities including: the Centers for Disease Control and Prevention, the United States Public Health Service, the Texas Department of State Health Services, and the American College Health Association. Further, the university shall conform its actions to the Texas Communicable Disease Prevention and Control Act, the Texas Human Immunodeficiency Virus Services Act, and other law as applicable.

The health status of a person infected with HIV may vary from an apparently healthy, normally functioning individual to a critically ill person. However, there is no current medical evidence that persons infected with HIV present a health risk to others in the normal academic or workplace setting. Routine daily encounters with others pose no risk of transmitting the fragile, blood-borne virus. Accordingly, there is no reason to exclude individuals with AIDS or HIV from campus academic, social, or cultural activities. Therefore, on the basis of current knowledge of the disease, persons sharing common living space, work or study areas, libraries, classrooms, recreational facilities, and theaters do not represent a problem or public threat to the campus community.

Students and employees (faculty and staff) of the university who may become infected with HIV will not be excluded from enrollment or employment, or restricted in their access to university services or facilities, unless medically-based judgments in individual cases establish that exclusion or restriction is necessary to the welfare of the infected person or of the other members of the university community.

Persons with HIV infection are entitled to the same rights and opportunities as persons with other communicable diseases. The university prohibits any discrimination in its programs and activities against a person with HIV infection unless based on accurate scientific information. Any student, faculty member, or employee who violates this rule may be subject to appropriate disciplinary action, up to and including termination of employment if an employee and expulsion if a student.

When circumstances arise that require review of any matter regarding HIV/AIDS, the president will seek the advice of the director of the Health Clinic, the attending physician, and other relevant parties. An opportunity will be provided for persons involved in the matter to discuss their circumstances. Members of the Public Health Committee will be available to review the issues and to provide recommendations to the president for appropriate action.

In the event of public inquiry concerning university policy, programs, problems, or statistics related to AIDS on campus, the director of University Marketing Communications will serve as the official spokesperson for the university and will enlist the cooperation of the director of the Health Clinic and the Public Health Committee as necessary to prepare an appropriate response. All inquiries from the press, elected public officials, or the public in general will be referred to the spokesperson.

The medical records and test results of any HIV-infected person on the campus shall remain confidential and private information in accordance with law. The breach of that confidentiality may result in litigation and in severe penalties, both civil and criminal. (Some exceptions to confidentiality are permitted by law.)

The university shall keep the number of people who are aware of the existence and identity of students, faculty, or staff members who have AIDS or HIV to an absolute minimum to protect the confidentiality and privacy of the infected persons and to avoid the generation of unnecessary fear and anxiety on the campus. However, public information shall be disclosed upon request in accordance with the Texas Public Information Act, the Family Educational Rights and Privacy Act, the Texas Communicable Disease Prevention and Control Act, the Texas Human Immunodeficiency Virus Services Act, and other applicable law.

Persons who know, or have a reasonable basis for believing, that they are infected with the AIDS virus are expected to seek expert advice about their health circumstances and are obligated, ethically and legally, to conduct themselves responsibly in accordance with such knowledge for the protection of other members of the university community. The university encourages regular medical follow-up for such persons.

The university shall carefully observe the safety guidelines established by the U.S. Public Health Service for the handling of blood and other body fluids and secretions in the Health Clinic and in other institutional contexts in which such fluids or secretions may be encountered (e.g., teaching and experimental laboratories).

The university shall strictly observe the public health reporting requirements for AIDS and HIV infection as well as other communicable diseases.

The university shall make this policy available upon request to students, faculty, and staff members and such a statement will be included in the Policy and Procedure Manual on the university's Web page.

Policy for the Work Environment

In the work setting, the university's major concern will be whether an HIV-infected employee will be able to satisfactorily perform job duties. The university will make reasonable accommodations to keep an employee with HIV infection employed and productive for as long as the employee is

capable of this performance.

Most HIV-infected employees will be able to perform their job duties for an extended period before their illnesses interfere with job-related performance. During the asymptomatic period, the employee is not obligated to provide information about his/her HIV status to the university. However, an employee may want to share information about his/her HIV-infected status with university officials so that responsible management decisions may be made about:

1. assignments or reassignments of job duties;
2. evaluating leave policies to assure leave time comparable to other medical conditions;
3. determinations of possible qualification for disability entitlements; and
4. monitoring the insurance status of the HIV-infected employee to assure continuation of coverage.

Once HIV-related symptoms occur, the employee has the responsibility as in the case of other illnesses to provide medically verified information relating to the ability to perform job duties.

Based on federal and state law, any medical documentation of information provided by an HIV-infected employee to university officials must be considered confidential and private information. As such, university officials are forbidden by law from disclosing this information to others without the employee's knowledge and consent. (Some exceptions to confidentiality are permitted by law.) The university requires that any consent to disclosure by the employee be in writing. Any university employee who breaches the confidentiality of this information commits a serious offense that may be cause for litigation, resulting in both civil and criminal penalties.

University employees who refuse to work with HIV-infected co-workers may be subject to disciplinary action up to and including termination. University departmental unit heads should carefully monitor and document any instances of such refusal in violation of this policy and take appropriate disciplinary action.

At least once each year, Human Resources shall conduct an HIV/AIDS training program or distribute an educational pamphlet for university employees and include in the program and/or pamphlet:

1. current medical information about HIV transmission and prevention;
2. confidentiality and related laws;
3. personnel management, including relevant policies;
4. development of staff problem-solving skills; and
5. a plan for scheduled periodic training.

Also, each year Human Resources shall conduct HIV/AIDS employee education programs to:

1. provide basic and accurate information regarding the modes of transmission and prevention of HIV infection;
2. reduce fear and misinformation of HIV/AIDS;
3. help faculty and staff recognize and avoid personal behaviors that might cause them to become infected with HIV;
4. encourage nondiscrimination, which enables the HIV-infected person to remain employed as long as feasible;
5. help maintain productivity and lawful behavior in the workplace;
6. provide continuing information about HIV/AIDS; and
7. distribute to all employees a copy of the Texas Department of State Health Services' educational pamphlet entitled "HIV/AIDS and the Workplace."

At a minimum, the HIV curriculum will include:

1. modes of transmission;
2. methods of prevention;
3. behaviors related to substance abuse;
4. current laws and regulations concerning the rights of an AIDS/HIV-infected individual; and,
5. behaviors associated with HIV transmissions which are in violation of Texas law.

On an employee's request, the university shall pay the costs of testing and counseling an employee concerning HIV infection if the employee:

1. provides appropriate documentation that the employee may have been exposed to the HIV virus while performing duties of employment with that agency, and
2. was exposed to HIV in the manner that the U.S. Public Health Service has determined is capable of transmitting HIV.

However, an employee who may have been exposed to HIV while performing job duties at the university may not be required to be tested for HIV.

For the purpose of qualifying for worker's compensation or any other similar benefits or compensation, an employee must provide the employer with a written statement of the date and the circumstances of the exposure and document that within 10 days after the exposure the employee had a test result that indicated an absence of HIV infection.

The cost of an employee's testing and counseling shall be paid from funds appropriated for payment of worker's compensation benefits to state employees. Counseling or a test conducted in accordance with these provisions shall conform to the model protocol on HIV counseling and testing prescribed by the Texas Department of State Health Services.

In compliance with the Texas Communicable Disease Prevention and Control Act, the University Police Department shall adopt a policy for handling persons with AIDS or HIV infection who are in its custody or under its supervision. The department's policy shall ensure that education programs for employees include information and training relating to infection control procedures and that employees have infection control supplies and equipment readily available.

The university shall adopt and implement workplace guidelines similar to the workplace guidelines for state agencies listed in the Texas Human Immunodeficiency Virus Services Act for any program involving direct client contact that is funded by one of the listed state agencies.

Policy for the Academic Environment

The university shall allow, to the extent possible, HIV-infected students, whether they are symptomatic or not, to continue regular classroom attendance in an unrestricted manner as long as they are physically able to attend class.

The university recognizes that there is no medical justification for restricting the access of HIV-infected students to the Student Center or to university cafeterias, snack bars, gymnasiums, swimming pools, recreational facilities, or other common areas.

The university recognizes that the best currently available medical information does not support the existence of a risk to those sharing residence halls with HIV-infected individuals; in some circumstances however there may be reasonable concern for the health of those with AIDS or HIV who might be exposed to certain contagious diseases (e.g., measles or chicken pox) in a close living environment. Thus, decisions about residential housing of students with AIDS or HIV shall be made on a case-by-case basis. The university may decide to assign students with AIDS or HIV to private rooms in the interest of protecting the health of those students. The university shall provide education programs about AIDS and HIV to its residence hall staff (both students and employees).

Since there is no medical necessity, the university shall not advise others living in a residence hall of the presence of students in the residence hall who have AIDS or HIV. The university believes that the responsibility to provide a safe living environment is best dealt with by educational programming. Similarly, the university shall not make any attempt in any other setting to identify those students or employees who have AIDS or HIV.

The university shall not routinely ask students about their status regarding AIDS or HIV. However, the university shall encourage new students to inform the medical staff at the Health Clinic if they have AIDS or HIV in order for the Health Clinic to provide proper medical care and education. The Health Clinic staff will handle this information, like all other medical information, in a strictly confidential manner in accordance with university policy and federal and state law.

The university shall not provide any person, group, agency, insurer, employer, or institution with confidential medical information about students with AIDS or HIV virus without the specific written consent of the student. Given the possibility of unintended or accidental compromise of the confidentiality of information, the Health Clinic staff will carefully weigh the importance of including any specific information regarding the existence of AIDS or HIV in the medical record of a student except in circumstances of medical necessity created by the evaluation of an illness. At a minimum, the inclusion of any such information in the medical record should be discussed with the patient prior to its entry.

The university shall make available to students, on request, the educational pamphlet on HIV infection developed by the Texas Department of State Health Services and shall include in the university's Web page a statement that the pamphlet is available from the Health Clinic.

The Health Clinic shall provide accurate, understandable information on how to prevent the transmission of HIV infection in compliance with Section 51.919 of the Texas Education Code.

In further compliance with Section 51.919 of the Texas Education Code, the curricula of the nursing, counseling, and social work degree programs of the university shall:

1. include information about:
 - a. methods of transmission and methods of prevention of HIV infection; and
 - b. federal and state laws, rules, and regulations concerning HIV infection and AIDS; and,
2. give special attention to the physical, emotional, and psychological stress associated with the care of patients with terminal diseases.

Cross Reference: Texas Human Immunodeficiency Virus Services Act, Tex. Health & Safety Code Ch. 85; Texas Communicable Disease Prevention and Control Act, Tex. Health & Safety Code Ch. 81; Tex. Educ. Code § 51.919

Responsible for Implementation: President

Contact for Revision: 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: Animals on University Property

Policy Number: 13.2

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

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

Unit(s) Responsible for Policy Implementation: Residence Life

Purpose of Policy (what does it do): Governs animals on university property

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: Certain full-time employees (i.e. Residence Hall Directors and Farm Managers) are required to live in univeristy owned hosuing. The areas of these facilities these employees occupy are considered to be their private residences. This policy revision allows these employees to have an indoor, domestic pet. A staff Pet Policy and Agreement will be required including a deposit and proof of pet registration and vaccination.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel

Animals on University Property

Original Implementation: Unpublished

Last Revision: ~~January 30, 2018~~ January 28, 2020

The university seeks to uphold federal, state, and local laws and regulation; ensure the health and safety of its community; preserve the integrity of its grounds, buildings, and other property; and support a healthful educational environment that respects the rights of all individuals.

Service animals are welcome in all buildings on campus and may attend any class, meeting, or other event. Individuals with documented disabilities residing in university housing may request as an accommodation that an emotional support animal (ESA) be allowed to reside in the campus residence; however, ESA's are not permitted anywhere outside of the individual's assigned living space except as otherwise provided by this policy. Community members may take advantage of the several recreational areas on campus by walking personal animals and are allowed to do so within the guidelines set forth. Reasonable behavior is expected from the animals while on campus. If the animal exhibits unacceptable behavior, the handler is expected to employ the proper training techniques to correct the situation.

Consideration of others may be taken into account when providing for the maintenance and hygiene of service animals. Additionally, specific guidelines have been established concerning service and emotional support animals living in a campus residency environment.

- Section I. Definitions
- Section II. Service Animals
- Section III. Emotional Support Animals
- Section IV. Handler or Owner Responsibility
- Section V. Residence Life and Food Service Guidelines
- Section VI. Information and Appeals

Section I. Definitions

A. Handler:

A person with a disability using a service animal; a person who has received approval for an emotional support animal; or a person in possession of an animal for recreation on the university campus.

B. Service Animal:

Any dog, or miniature horse, that is individually trained to do work or perform tasks for the benefit of an individual with a disability, including a physical, sensory, psychiatric, intellectual, or other mental disability. Other species of animals, whether wild or domestic, trained or untrained, are not service animals for the purposes of this definition. The work or tasks performed by a service animal must be directly related to the handler's disability. The

crime deterrent effects of an animal's presence and the provision of emotional support, well-being, comfort or companionship do not constitute work or tasks for the purposes of this definition.

C. Emotional Support Animal:

An animal that provides emotional support or therapeutic benefits that alleviate one or more of the identified symptoms or effect of a person's disability; however, the animal is not required to be individually trained or certified to perform such task. Emotional support animals may also be referred to as "comfort animals," "companion animals," and "assistance animals" used to support individuals with mental or emotional disabilities. These animals may provide crime deterrent effects or emotional support, well-being or comfort.

D. Recreational Animal:

A domestic animal used for sport, companionship, or other non-service/assistance functions. Recreational animals are not allowed inside university facilities. An exception would be small birds in cages and fish in a 10-gallon or less aquarium.

E. Unauthorized Animal:

Any animal not controlled by leash or harness, unless the animal is a service animal and the handler is unable because of disability to use a leash or harness or if the leash or harness restricts the service animal to function appropriately as such. Also, any animal that exhibits violent, uncontrollable, aggressive, or unhealthy behavior, including service and emotional support animals.

Section II. Service Animals

A. University Responsibility

1. Allow service animals to accompany the handler to all areas of the facility where the handler is normally allowed to go. A handler may not be segregated from other similar members of the campus community except where there is real danger to the animal or where the natural organisms carried by the service animal would adversely affect research. Exceptions to the exclusions will be reviewed on a case-by-case basis.
2. Not to pet, feed, or deliberately startle/disturb a service animal.
3. Not to separate, or attempt to separate, service animals from their handlers.
4. Provide handlers living in campus housing with an area for relieving and grooming their animals.

B. Inquiries

1. When it is not obvious what service an animal provides, the handler may be asked:
 - a. If the animal is a service animal required for a disability; and
 - b. What work or task the animal has been trained to perform.

2. Staff may not ask about the person's disability, require medical documentation, require certification of the dog's training, or ask that the dog demonstrate its ability to perform the work or task.
3. Use of miniature horses as a service animal will be reviewed based on the inquiries and exceptions listed below and allowed by law.

C. Service Animal in Training

1. Individuals who desire an accommodation for a service animal in training must also abide by all relevant provisions of this policy.
2. An animal being trained to be a service animal will be treated as a fully trained animal when accompanied by a handler and identified as such.

D. Exceptions

1. Service animals may be denied or removed if:
 - a. The animal is out of control and its handler does not take effective action to control it. The service animal is considered an extension of the handler and thus, is subject to the same code of conduct as the handler.
 - b. The animal is not housebroken (i.e., trained so that, absent illness or accident, the animal controls its waste elimination).
 - c. The animal poses a direct threat to the health or safety of others that cannot be eliminated or reduced to an acceptable level by reasonable accommodation.

Section III. Emotional Support Animals

A. Inquiries

1. Requests for an emotional support animal (ESA) may be made by individuals with documented disabilities residing in university housing.
2. If the animal does not meet the definition of service animal, the individual must engage in a reasonable accommodation request with Residence Life or Disability Services staff.
3. Residence Life or Disability Services may ask individuals who have disabilities that are not readily apparent or known to the university official to submit reliable documentation of a disability and their disability-related need for an ESA within the residence hall. The individual is not required to disclose medical information that is overly intrusive and invasive in order to receive an accommodation.
4. A person qualifies for reasonable accommodation if:
 - a. The person has a documented disability;
 - b. The animal is necessary to afford the person with a disability an equal opportunity to use and enjoy the residence halls; and
 - c. There is an identifiable relationship between the disability and the assistance the animal provides.

B. Exceptions

1. Emotional support animals may be denied or removed if:
 - a. The specific animal would impose an undue financial and administrative burden or would fundamentally alter the nature of a service or program.
 - b. The specific animal in question poses a direct threat to the health or safety of others that cannot be reduced or eliminated by another reasonable accommodation; or
 - c. The specific animal in question would cause substantial physical damage to the property of others that cannot be reduced or eliminated by another reasonable accommodation.
 - d. The specific animal in question is not being cared for by the handler.

Section IV. Handler or Owner Responsibility

A. Authorized Animals

1. Handlers must abide by all state laws, Nacogdoches city ordinances related to animals in the city of Nacogdoches, and SFA guidelines, including by not limited to:
 - a. All animals in the city must have a valid license and tag issued by the city of Nacogdoches at the Department of Animal Control. The license and tag must be reviewed annually.
 - b. The handler is required to provide a collar or harness for the license and vaccination tags to be affixed. The handler shall see that the animal wears the collar and tags at all times.
2. The handler is liable for damages caused by the service animal, emotional support animal, or recreational animal.
3. The handler is responsible for the care and supervision of a service animal, emotional support animal, or recreational animal.
4. The handler must have full control of the animal at all times. Animals may not run at large; a leash or harness is required unless the handler is unable because of disability to use a leash or harness or it restricts the animal's ability to function properly.
5. Disturbing animal vocalization must be kept to an absolute minimum.
6. Handlers are responsible for relieving animals in designated locations and must ensure immediate clean-up and proper disposal of animal waste.
7. The handler must observe housing and food service establishment guidelines.
8. All service/emotional support animals must have an annual clean bill of health from a licensed veterinarian. The animal's cleanliness is mandatory in the campus environment.
9. Vaccinations must be current and based on a veterinarian's recommendations, with records made available at time of request.
10. Daily grooming and occasional baths (at a vet or a family home) should be undertaken to keep the service animal's odor to a minimum.

11. Flea control is essential and adequate preventative measures must be taken. If a flea problem develops, it must be dealt with immediately and in an effective manner. In the event a flea problem is not eliminated by the handler, the university will exterminate the property and assess the handler the standard extermination fee.

B. Unauthorized Animals

1. In the event an unauthorized animal is discovered on or in university property, except residence halls, the University Police Department should be notified immediately. The responding officer may take appropriate action, up to and including ordering the handler or owner to remove the unauthorized animal from university property, or by contacting the Nacogdoches Animal Control Officer who will take possession of the animal and remove it from campus.
2. In the event an unauthorized animal is discovered in a university residence hall, the appropriate residence hall staff shall be notified immediately. The residence hall staff will attempt to contact the owner/handler of the unauthorized animal for removal. If the owner/handler cannot be contacted, the residence hall staff will contact the University Police Department for removal as indicated in this policy.

Section V. Residence Life and Food Service Guidelines

1. Occupants of university housing are not permitted to keep pets, except ~~small~~ birds in cages and ~~small~~ fish in aquariums.
- ~~1-2.~~ *Full-time professional live-in staff may have fish living in an aquarium (10 gallon maximum) and birds in a cage. In addition, upon executing an approved live-in staff pet agreement, the staff members may have either one (1) cat or one (1) dog.*
- ~~2-3.~~ Service animals are permitted to accompany the individual with a disability to all areas of the facility where persons are normally allowed to go.
- ~~3-4.~~ Emotional support animals are not permitted anywhere outside of the individual's assigned living space; exceptions may be made on a case-by-case basis from Residence Life or Disability Services.
- ~~4-5.~~ Service/emotional support animals should be kept under control. Animals should always be on a leash except when in the student's room with the door closed unless the leash restricts the service animal's ability to function appropriately.
- ~~5-6.~~ Animal food should be kept in a covered storage container to deter pests.
- ~~6-7.~~ An animal's paws must be kept off tables, trays, and food service counters at all times.

Section VI. Information and Appeals

Questions and concerns regarding the use of service/emotional support animals on university property should be directed to the ADA coordinator who serves as an advisor for procedures and access to programs and services.

For specific information regarding accessibility, refer to university policy 2.2, Accessibility for Persons with Disabilities. For specific information regarding resolution of disagreements, refer to university policy 6.6, Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities. For issues related to Discrimination, refer to university policy 2.11, Discrimination Complaints.

Cross Reference: 28 C.F.R. § 35.136 (2010); Nacogdoches, Tex., Rev. Ordinances ch. 6, art. III, §§ 32-33 (2008); Accessibility for Persons with Disabilities (2.2); Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities (6.6); Discrimination Complaints (2.11)

Responsible for Implementation: Vice President for University Affairs

Contact For Revision: Chief of University Police, Director of Disability Services, and Director of Residence Life

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Annual Disclosure of Crime Statistics

Policy Number: 13.3

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): Provides information on mandates for reporting Clery Act specified crimes

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: Procedure has been removed from policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

John Fields, Chief of Police
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel

Annual Disclosure of Crime Statistics

Original Implementation: October 30, 2007

Last Revision: ~~January 31, 2017~~ January 28, 2020

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, commonly referred to as the “Clery Act,” and/or the Higher Education Opportunity Act of 2008 (HEOA), requires institutions of higher education receiving federal financial aid to report specified crime and fire statistics on college campuses and to provide other safety and crime information to members of the campus community. Campuses must publish an Annual Security and Fire Safety Report detailing statistics regarding reported crimes committed on campus and at affiliated locations for the previous three calendar years, fires that occur in on-campus residence halls, and describing specified policies, procedures and programs regarding safety and security. This requirement of the Clery Act is intended to provide students and their families, as higher education consumers, with accurate, complete and timely information about the safety of the campus so that they can make informed decisions.

The federal law requires the collection and reporting of annual crime statistics reflecting reports of specified crimes that occur on and adjacent to a university campus and certain properties associated with the campus as well as fires that occur in on-campus residence halls. The statistical compilation must be broken down by specified types of crimes and campus disciplinary referrals, and must indicate if a specified crime is a hate crime. Campuses must also provide a geographic breakdown of the crime statistics according to the following defined geographic areas: “on campus” (including further breakdown of the number of crimes that occurred in campus student residential facilities), “in or on a non-campus building or property” and “on public property.”

Annual Security and Fire Safety Report

The Stephen F. Austin State University ~~Department of Public Safety~~ *Police Department (UPDDPS)* prepares an Annual Security and Fire Safety Report (*ASFSR*) to comply with the Clery Act and the HEOA. *The summary of crime statistics is included as part of this report. This report is prepared in cooperation with the Residence Life and the Student Rights and Responsibilities departments. Each entity provides updated information on their educational efforts and programs to comply with the Clery Act.*

~~DPS officers enter all reports and all crime incidents reported directly into an automated case management software program. Once an officer enters the report in the program, a departmental administrator reviews the report to ensure it is classified within the appropriate crime category. The department examines the data to ensure that all crimes that have been reported are recorded in accordance with the crime definitions outlined in the FBI Uniform Crime Reporting (UCR) Handbook as required by the Clery Act regulations.~~

~~SFA is required under the Clery Act to provide a Crime Statistics Summary Report related to its campus and other locations by calendar year. This SFA Crime Statistic and Fire Summary Report is sent annually to the U.S. Department of Education and can be viewed on the Office of Postsecondary Education Department of Education's website.~~

~~The university's Annual ASFSR Security and Fire Safety Report (ASR) is updated each year and it is available on the SFA website at: <http://www.sfasu.edu/upddps/>. Copies of the ASR may also be obtained at the SFA University Police Department Department of Public Safety, located on East College Street, or by calling 936.468.2252.~~

~~The Annual Security and Fire Safety Report must describe specified campus policies concerning:~~

- ~~• Reporting criminal activity or other emergencies on campus;~~
- ~~• Security of, maintenance of and access to campus facilities;~~
- ~~• Authority of campus law enforcement units;~~
- ~~• Monitoring and recording through local police agencies of off-campus criminal activities by students;~~
- ~~• Alcohol and drugs;~~
- ~~• Fire Safety;~~
- ~~• Fire Suppression in Residence Halls; and~~
- ~~• Timely Warning Procedures~~

~~In addition, the report must describe:~~

- ~~• The type and frequency of campus programs to inform students and employees about campus security procedures and precautions and the prevention of crimes;~~
- ~~• Available drug and alcohol abuse prevention education programs and existing counseling, health, mental health, victim advocacy, legal assistance, and other services available for victims both on campus and in the community;~~
- ~~• Campus programs to prevent sexual assaults, including procedures to be followed when such an assault occurs;~~
- ~~• Education Programs to promote prevention and awareness of domestic violence, dating violence, and stalking;~~
- ~~• Procedures that the institution will follow once an incident of domestic violence, dating violence, sexual assault, or stalking has been reported; including the procedures for university disciplinary action, the applicable burden of proof for such proceedings, and possible sanctions or protective measures the university may impose;~~
- ~~• Procedures victims should follow if a sex offense, domestic violence, dating violence, sexual assault, or stalking has occurred, including information on the importance of preserving evidence, to whom the offense should be reported, options regarding law enforcement and university authorities, and the rights of victims and the university's responsibilities regarding orders of protection, no contact orders, restraining orders, or similar court orders;~~

- ~~• Information about how the university will protect the confidentiality of victims;~~
- ~~• Information about options for changing academic, living, transportation, and working situations; and~~
- ~~• Where law enforcement agency information concerning registered sex offenders may be obtained.~~

Definitions of Reportable Crimes

~~The definitions of reportable crimes are outlined in the Annual Security Report.~~

Other Policy-Related Definitions

~~*Campus* is defined as any building or property owned or controlled by an institution within the same reasonably contiguous geographic area and used by the institution in direct support of, or in a manner related to, the institution's educational purposes, including residence halls; and any building or property within the same reasonably contiguous geographic area of the institution that is owned by the institution but controlled by another person, is frequently used by students and supporters for institutional purposes (such as food or other retail vendor).~~

~~*Non-campus building or property* is defined as any building or property owned or controlled by a student organization officially recognized by the institution; or any building or property (other than a branch campus) owned or controlled by an institution that is used in direct support of or relation to the institution's educational purposes, is frequently used by students and is not within the same reasonably contiguous geographic area of the institution.~~

~~*Public property* is defined as all public property that is within the same reasonably contiguous geographic area of the institution, such as a sidewalk, a street, other thoroughfare or parking facility, and is adjacent to a facility owned or controlled by the institution if the facility is used by the institution in direct support of, or in a manner related to the institution's educational purposes.~~

Campus Security Authorities

~~The Clery Act definition of a campus security authority includes SFA personnel beyond police officers. An official of SFA who has significant responsibility for student and campus activities, including but not limited to, student housing, student discipline and campus judicial proceedings, is a campus security authority. Campus security authorities, as defined by the Clery Act, have an obligation to report allegations of Clery Act defined crimes that they conclude are made in good faith. These crime allegations must be reported to the SFA University Police Department.~~

~~The intent of including non-law enforcement personnel as campus security authorities is to acknowledge that many individuals and students in particular may be more inclined to report incidents to other campus-affiliated individuals other than the police.~~

Counselors Confidential Reporting

~~The Clery Act defines a professional counselor as an employee of an institution whose official responsibilities include providing psychological counseling to members of the institution's community and who is functioning within the scope of his or her license or certification.~~

~~Campus professional counselors, when acting as such, are not considered to be campus security authorities and are not required to report crimes for inclusion into the annual disclosure of crime statistics. As a matter of policy they are encouraged, if and when they deem it appropriate, to inform persons being counseled of the procedures to report crimes on a voluntary basis for inclusion into the annual crime statistics.~~

Cross Reference: 20 U.S.C. § 1092(f); Higher Education Opportunity Act, Public Law 110-315 (8/14/08); 42 U.S.C. § 13925(a); Timely Warning (13.22)

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: ~~Executive Director of Public Safety~~/Chief of Police

Forms: None

Board Committee Assignment: Academic & Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Curriculum Reviews, Modifications and Approvals

Policy Number: 5.7

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

Date of last revision, if applicable: January 29, 2019

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

Purpose of Policy (what does it do): Guidelines for curriculum reviews, modifications and approvals

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: Add core curriculum courses to the procedures, clarify approval steps; update name of committee reviewing core curriculum modifications

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

Curriculum Reviews, Modifications and Approvals

Original Implementation: October 17, 1978

Last Revision: ~~January 29, 2019~~ January 28, 2020

Introduction

It is the responsibility of each academic unit of the university to maintain current curricula and engage in continuous review of its curricula. The provost and vice president for academic affairs and appropriate dean will set timelines for the modification and approval process.

Curricular Modification Procedures

Curricular modifications include:

- new courses;
- *core curriculum courses*;
- modified courses (e.g., course title, credit hours);
- new programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- modified programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- deletion of courses and/or programs (e.g., degrees, endorsements, certificates, minors, concentrations); and
- changes in mode of delivery such as off-campus face to face, online instruction, and other distance delivery methods.

Curricular modifications will be developed and submitted at the program level, and recommended for approval by:

- the academic unit;
- the academic unit head;
- *the* appropriate councils or committees in the college;
- the college dean;
- the university Undergraduate Council or Graduate Council; ~~or as appropriate, the Core Curriculum Advisory Assessment Committee~~;
- the Deans Council; and
- the provost and vice president for academic affairs.

New courses and new, modified or deleted undergraduate and graduate programs and changes in mode of delivery will then be considered for approval by:

- the university president; and
- the Board of Regents.

Where appropriate, approval will then be sought from (and/or notification will be made to) the Texas Higher Education Coordinating Board (THECB), the Texas Education Agency, the Southern Association of Colleges and Schools, or other outside agencies and organizations.

Changes will be reflected in the General Bulletin and/or Graduate Bulletin after approval.

Substantive Change

Any curricular changes that involve substantive change as defined by the Southern Association of Colleges and Schools Commission on Colleges must be communicated by the Office of the Provost and Vice President for Academic Affairs to the appropriate entity and, if necessary under the rules on the entity, be approved before implementation. For further information, see the university policy on Substantive Change (4.10).

Cross Reference: THECB Instructions and Classification of Instructional Programs Codes; Certificate Programs (5.2); Course Fees (3.8); Laboratory Fees (3.22); Substantive Change (4.10); Academic Program Review (5.1); and Professional Educators' Council (5.16)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Forms for program revision, course proposals, substantive change, distance education and laboratory/course fee requests are available at the university website.

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Disposition of Abandoned Personal Property

Policy Number: 13.6

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 University Affairs

Purpose of Policy (what does it do): Governs the disposition of abandoned personal property

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The first change relates to changing the word "auction" to "sale" to reflect current practice. The second change relates to creating a process for dealing with abandoned cash.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

- Dr. Adam Peck, Asst. Vice President/Dean of Student Affairs
- Carrie Charley, Director of Auxiliary Services
- John Fields, Chief of Police
- Dr. Steve Westbrook, Vice President for University Affairs
- Damon Derrick, General Counsel

Disposition of Abandoned Personal Property

Original Implementation: October 18, 1988

Last Revision: ~~January 30, 2018~~ January 28, 2020

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

Unless the abandoned property is being held as evidence to be used in a pending criminal case, the university may dispose of the abandoned property by public ~~auction~~ sale. The ~~profits/proceeds~~ of the ~~auction sale shall~~ will be used for student service activities as directed by the ~~Office of the Dean of Student Affairs.~~ ~~Abandoned~~ However, if the rightful owner makes a valid claim to abandoned property before auction, then the university shall return the property to the rightful owner. ~~cash will be deposited into a university account to be used for student service activities as directed by the Dean of Student Affairs.~~

Should a person make a valid claim to property after it has been deemed abandoned, but prior to its disposition under this policy, the property will be returned to the owner.

REPORTING OR CLAIMING ABANDONED PERSONAL PROPERTY

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

1. A person finding lost or unclaimed property should turn in said property at the University Police Department or the information desk in the student center. Lost or unclaimed property found in Steen Library should be turned in to the circulation desk on the first floor. Lost or unclaimed property found in academic buildings should be turned in to the appropriate departmental office. Lost or unclaimed bicycles or other bulky items are stored in the University Police Department.
2. A written Record of Unclaimed Personal Property form indicating the date the lost or unclaimed property came into the university's possession shall be completed and retained by the receiving department.
3. After fifteen (15) days, all unclaimed property held in the University Police Department, in Steen Library, or in other campus areas such as departmental offices, shall be transferred to the student center information desk with the record indicating the date of receipt of the unclaimed property. Unclaimed bicycles and other bulky items will be stored by University Police Department.
4. Lost items may be claimed at the student center information desk upon presentation of

reasonable identification of the lost property.

5. A public ~~auction~~-*sale* is held annually under the direction of the dean of student affairs at a time and place announced during each academic year.

Cross Reference: Tex. Educ. Code § 51.213

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Dean of Student Affairs

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Distinguished Guests

Policy Number: 2.16

Is this policy new, being reviewed/revise, or delete? New

Date of last revision, if applicable:

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Guidelines for notifying president's office of invitations to current or former regents, elected officials, or distinguished guests to visit campus.

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: To clarify internal procedures related to campus community members communicating with president's office regarding distinguished guests visiting campus.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Distinguished Guests

Original Implementation: January 28, 2020

Last Revision: None

All university departments and employees (excluding those reporting directly to the Board of Regents), while acting in the scope of their employment, will notify the president's office prior to extending an invitation to a current or former member of the Board of Regents, elected official, or other distinguished guest such as a donor or prospective donor to visit campus. Such notification should include the proposed itinerary and reason for the visit. If the invitation is accepted, the president's office must be notified and kept informed of the details of the visit.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: 6.11

Policy Number: Doctoral Students: Allowable Credit Hours and Completion Times

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Allowable credit hours and completion times for doctoral students

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: delete "full-time" enrollment for progress review; minor wording change for clarification

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

Doctoral Students: Allowable Credit Hours and Completion Times

Original Implementation: April 21, 1998

Revision Date: ~~January 31, 2017~~ January 28, 2020

The doctoral degree typically requires a minimum number of credit hours beyond a master's degree *as specified by the program*. After three years of ~~full-time~~ enrollment, a formal review of each student's doctoral progress will be conducted within the respective graduate program and shared with the student.

Students who have reached ninety-nine (99) or more credit hours above a master's degree:

- will be ineligible for student employment at Stephen F. Austin State University (SFA);
- will pay the current rate for out-of-state tuition and fees, or the equivalent of full-cost-of-education as determined by SFA; and
- may be terminated from the program by the dean of ~~the graduate school~~ *research and graduate studies* in consultation with the appropriate academic dean and academic unit head of the program.

If terminated from a program, a student may file a written appeal to the University Graduate Council whose recommendation will be forwarded to the provost and vice president for academic affairs for final resolution.

Cross Reference: Graduate Bulletin; Tex. Educ. Code § 61.059(1)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty Development Leaves

Policy Number: 12.7

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Guidelines for Faculty Development Leaves

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 change for clarification

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

Faculty Development Leaves

Original Implementation: April 26, 1983

Last Revision: ~~January 31, 2017~~ January 28, 2020

Faculty development leaves may be granted by the Board of Regents for field observations, research, study, writing, or other scholarly/creative activities. They should not be used to complete work for a terminal degree. No more than six percent of university faculty members may be on development leave at any one time.

This policy applies to full-time faculty and librarians whose duties include teaching, research, administration, or the performance of professional services. Except for special circumstances, individuals are eligible for a development leave after serving full time for at least three consecutive years. After completion of a development leave, recipients may not apply for four years.

Applications for faculty development leaves will be reviewed annually by the Faculty Development Leave Committee. The committee will consist of full-time faculty members, one from each academic college and one from the library. The committee will make recommendations to the provost and vice president for academic affairs and the president, who will make the final leave recommendation to the Board of Regents.

A faculty development leave may be awarded for one long semester at full base salary or for two long semesters at half the base salary. Payment of salary may be made from the funds appropriated by the legislature specifically for that purpose or from such other funds as might be available to the institution.

Recipients of faculty development leaves must guarantee the university that they will return to their regular duties, or others that might be assigned, for a period of at least one year following the expiration of the leave, provided they are offered a contract by the university. Recipients will submit a brief written report on the activities and accomplishments resulting from the leave to the academic unit head, dean, and provost and vice president for academic affairs within ninety days following completion of the leave.

Faculty members on faculty development leave, under law, may accept a grant or stipend for study, teaching, research, or travel from any institution of higher education or from a charitable, religious, or educational corporation or foundation, from any business enterprise, or from any federal, state, or local governmental agency. ~~However, they~~ *The faculty member* may not accept employment from any other person, corporation, or governmental agency, unless the Board of Regents determines that it would be in the public interest to do so and expressly approves the employment. An accounting of all leave funds will be made by faculty members through the provost and vice president for academic affairs and the president to the Board of Regents.

The university will deduct from the salary of faculty members on development leave the deposit and membership dues required to be paid by them to the Teacher Retirement System of Texas or to the Optional Retirement Program or both, the contribution for Old Age and Survivors Insurance, and any other amounts required or authorized to be deducted. Faculty awarded development leave will

continue to participate in the programs and receive the benefits (retirement, insurance, etc.) made available by or through the university or the state to all other faculty members, and will be eligible for salary increases, merit pay, and all other fringe benefits awarded for the year following the expiration of the leave.

This policy will be filed with the Texas Higher Education Coordinating Board no later than thirty (30) days after the approval of any amendment by the Board of Regents.

Cross Reference: Faculty Handbook; Tex. Educ. Code § 51.101-.108

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Faculty Development Leave Request Form; Faculty Development Leave Proposal Format; and Faculty Professional Development Form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty Disagreements

Policy Number: 7.25

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

Date of last revision, if applicable: January 31, 2017

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Guidelines for resolution of faculty disagreements or disputes

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: Reviewed; no changes recommended

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

Faculty Disagreements

Original Implementation: April 3, 1979

Last Revision: ~~January 31, 2017~~ *January 28, 2020*

The resolution of disagreements regarding administrative decisions or other disputes involving faculty or other personnel, other than dismissal or non-renewal, will be pursued initially with the academic unit head. If the matter cannot be satisfactorily resolved at that level, the faculty member may put the disagreement in writing and submit it to the college dean, along with a copy to the academic unit head.

The college dean will consult with the faculty member(s) and the academic unit head in an effort to resolve the disagreement. The dean may consult with any others deemed to have insight into the matter. If the matter cannot be satisfactorily resolved by the dean, the faculty member may appeal in writing to the provost and vice president for academic affairs, along with a copy to the dean and academic unit head.

The provost and vice president for academic affairs will consult with the faculty member(s), the academic unit head, the college dean, and any others with insight into the matter. If the matter cannot be satisfactorily resolved by the provost and vice president for academic affairs, either party may appeal the issue.

In situations that do not involve conditions of employment, an appeal from the provost and vice president for academic affairs will be forwarded directly to the president who will consult with the faculty member(s), the academic unit head, the college dean, the provost and vice president for academic affairs, and any others with insight into the matter.

Employment Disputes

If the disagreement involves an allegation that conditions of employment under university policy have been violated, the appeal will be forwarded to the University Grievance Panel at the faculty member's request. This process will operate under the guidelines below.

1. An advisory subcommittee of the University Grievance Panel will review the evidence. The subcommittee will be composed of five members, with two members selected by the faculty member, two by the president or the president's designee, and one selected at random. Each party will have one challenge without stated cause.
2. Once constituted, the subcommittee will establish defined procedures for resolving the dispute.
3. When the subcommittee has made its determination, it will advise the president and the faculty member(s) of its findings in writing.
4. The president will review the subcommittee's report, consult with the faculty member(s) and any others with insight into the matter, and render a decision that will be final.

In all cases, the decision of the president is final and will be communicated to the faculty member in writing within a reasonable time.

Cross Reference: Faculty Handbook

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board of Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty Merit Pay

Policy Number: 7.6

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

Date of last revision, if applicable: July 23, 2019

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):

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: move sentence "Adjunct faculty members are not eligible for merit pay increases" from adjunct performance review policy 7.5

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

Faculty Merit Pay

Original Implementation: September, 1982

Last Revision: ~~July 23, 2019~~ January 28, 2020

For merit pay consideration, full-time faculty members (~~excluding adjuncts~~) will present to their academic unit head all relevant or requested documentation, including at least the completed annual report of professional activities and performance, as well as any other information required under individual academic unit, college or university policy. *Adjunct faculty members are not eligible for merit pay increases.*

Academic units and/or colleges will establish their own appropriate and specific merit criteria and awarding procedures.

Merit recommendations by the academic unit head will be subject to approval by the dean, provost and vice president for academic affairs, and president.

Merit pay is contingent upon available funds.

Cross Reference: Faculty Handbook

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

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Annual report of professional activities and performance and administrative evaluation form available in the Office of the Provost and Vice President for Academic Affairs

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Library Faculty

Policy Number: 7.17

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Guidelines for library faculty rank, criteria for appointment, promotion eligibility, annual evaluation and compensation, work load, rights and responsibilities; and Library Academic Advisory Council

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: delete parenthetical reference to cross-referenced policy

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

Library Faculty

Original Implementation: 1970

Last Revision: ~~January 31, 2017~~ *January 28, 2020*

Stephen F. Austin State University (SFA) provides for advancement based on a librarian's or an archivist's academic credentials and experience, job performance, professional engagement, and service to the university, profession, and the general community, as appropriate.

Rank

The ranks consist of Librarian I, II, III, and IV, and Archivist I, II, III, and IV, with IV being the highest. These ranks do not apply to administrative positions.

Criteria for Appointment

A master's degree in library science from a school accredited by the American Library Association is required for appointment as a librarian. The Master of Library Science and Master of Library Information Science are the terminal degrees for librarians.

A master's degree in library science from a school accredited by the American Library Association with specialization in archival studies or a master's degree in public history with specialization in archival studies is required for appointment as an archivist.

Promotion Eligibility

Librarians and archivists are both eligible for promotion; however, only librarians are eligible for tenure (~~see policy 7.29~~).

To be promoted to the rank of Librarian II or Archivist II, an individual must have a proven record of effective and productive performance. Individuals can apply for the rank of Librarian II or Archivist II without being at the rank of Librarian I or Archivist I for a specified period of time.

To be promoted to the rank of Librarian III or Archivist III, an individual must have a proven record of effective and productive performance. The individual must also have significant professional contributions to the academic and general communities through presentations at professional meetings, professional publications, or service to organizations. A Librarian II or Archivist II must hold that rank for at least three years before applying for promotion. Exceptions must be approved by the library director and the provost and vice president for academic affairs. The circumstances warranting early application must be exceptional.

To be promoted to the rank of Librarian IV or Archivist IV, an individual must have a proven record of substantial contributions to the profession recognized at the state and national levels. A Librarian III or Archivist III must hold that rank for at least five years before applying for promotion. Additionally, to be promoted to Archivist IV the individual must have successfully passed the Academy of Certified Archivist Examination. Exceptions must be approved by the

library director and the provost and vice president for academic affairs. The circumstances warranting early application must be exceptional.

Annual Evaluation and Compensation

Librarians and archivists will be evaluated annually according to university policies and procedures. These evaluations will constitute the basis for merit pay consideration, when available. Librarians and archivists accrue vacation and compensatory time.

Work Load

Librarians and archivists receive twelve-month contracts.

Library Academic Advisory Council

The Library Academic Advisory Council (LAAC) advises the director of libraries on matters regarding librarians and archivists. The LAAC is composed of five librarians/archivists, each with at least two years of service at SFA. Members are elected in September by all librarians and archivists and serve two-year staggered terms. The individual serving as the Faculty Senate representative is an ex-officio member of the LAAC if not an elected member. The LAAC elects a chair who is responsible for calling at least one meeting each regular semester.

Rights and Responsibilities

Librarians and archivists have the same rights and responsibilities as academic faculty. They are eligible for service on the Faculty Senate and university committees and are eligible for faculty development leave. Librarians and archivists may also apply for grants, fellowships, and research funds.

Cross Reference: Faculty Handbook; Academic Promotion of *Full-Time Faculty* (7.4); Tenure and Continued Employment (7.29); Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs (4.8); Academic Appointments and Titles (7.2)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Part-time Faculty

Policy Number: 7.21

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Description/guidelines for part-time faculty

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: Reviewed; no changes recommended

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

Part-time Faculty

Original Implementation: September 19, 1984

Last Revision: ~~January 31, 2017~~ *January 28, 2020*

A part-time faculty member is one who holds less than a full-time academic workload and is not in a tenure-track position.

Part-time faculty must meet applicable accreditation criteria.

Former tenured, full-time Stephen F. Austin State University faculty members appointed to part-time positions will hold their previous academic rank (instructor, assistant professor, associate professor, or professor) with the designation part-time. Part-time faculty members may be appointed for no more than one academic year at a time.

The salary of part-time faculty members will be negotiated with each appointment, subject to the approval of the college dean and the provost and vice president for academic affairs.

Part-time faculty members will perform assigned duties and maintain office hours commensurate with the assignment. Part-time faculty may not serve on search, tenure, promotion, or merit pay committees.

Cross Reference: Faculty Compensation (12.6)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Faculty Credential Form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs

Policy Number: 4.8

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Guidelines for performance review of officers reporting to the provost/VPAA

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No changes

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs

Original Implementation: December 6, 1979

Last Revision: ~~January 31, 2017~~ *January 28, 2020*

The provost and vice president for academic affairs will conduct an annual performance review of each administrator who reports directly to the provost's office. The review will focus on the performance of assigned responsibilities.

During the second year of service and once every three years thereafter, the review will be augmented by written input from peers, including appropriate deans, academic unit heads, faculty, and administrative staff. The provost and vice president for academic affairs is responsible for developing the survey questions.

The provost and vice president will submit a summary report to the individual reviewed and to the president.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Professional Educators Council

Policy Number: 5.16

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

Date of last revision, if applicable: November 7, 2016

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

Purpose of Policy (what does it do): Guidelines for council to govern preparation of teachers, school administrators, and other professional educators

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: Reviewed; no changes recommended

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

Professional Educators Council

Original Implementation: September 1, 1987

Last Revision: ~~November 7, 2016~~ January 28, 2020

Preparation of teachers, school administrators, and other professional educators is a university-wide function governed by policies developed by the university's Professional Educators Council. In developing and executing policies, the council considers:

- Relevant state and federal law;
- University policies and procedures;
- Recommendations from appropriate advisory committees;
- Guidelines of the Texas Higher Education Coordinating Board (THECB);
- Rules of the Texas Education Agency (TEA)/State Board for Educator Certification (SBEC);
- Program standards of the Council for the Accreditation of Educator Preparation (CAEP);
- Professional standards of organizations affiliated with CAEP and with other national accreditation organizations.

The council's responsibilities include:

- Maintaining accreditation by SBEC, CAEP, and other national organizations;
- Maintaining good standing with the TEA;
- Reviewing proposals for changes in teaching field programs and in professional education programs;
- Establishing criteria for program admission and retention;
- Recommending criteria for educator certification or licensing.

The council is co-chaired by the dean of the James I. Perkins College of Education (PCOE) and the PCOE associate dean for assessment and accountability. It is composed of faculty members appointed by the provost and vice president for academic affairs from nominees submitted by the PCOE dean after consultation with the deans of other colleges offering content area instruction. Other members of the council include the PCOE associate dean for curriculum, faculty and staff development, and student affairs and two student representatives appointed by the PCOE dean.

Cross Reference: General Bulletin, Graduate Bulletin, Tex. Educ. Code § 21.044

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Dean of the James I. Perkins College of Education

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: 7.16

Policy Number: Purchased Instructor-Generated Materials

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Guidelines for students purchasing instructor-generated materials

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: Reviewed with no changes recommended.

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

Purchased Instructor-Generated Materials

Original Implementation: September, 1990

Last Revision: ~~January 31, 2017~~ January 28, 2020

Instructor-generated materials are course packs or other intellectual property compilations that may be required by faculty members for students in their classes. Handouts, textbooks, or trade books are not included in this definition. Faculty members may not sell any academic materials directly to students. Instructor-generated materials may only be sold through the university bookstore or off-campus vendors.

Faculty members and the university will negotiate a royalty agreement in advance of the sale of instructor-generated materials in the university bookstore. This does not apply to materials that are work for hire. The university is not responsible for royalties or other financial benefits on instructor-generated materials sold by off-campus vendors.

If instructor-generated materials are to be used, faculty members are responsible for assembling and editing these. These materials must comply with the General Fair Use Guidelines as described in policy 9.2, ~~Copyrighted Works~~ *Reproduction of Copyrighted Works by Educators and Librarians*. Faculty members will exercise professional judgment when incorporating self-generated materials for instructional purposes.

Cross Reference: Faculty Handbook; Intellectual Property (9.4); ~~Copyrighted Works~~ *Reproduction of Copyrighted Works by Educators and Librarians* (9.2); and Academic Freedom and Responsibility (7.3)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Academic Dishonesty

Policy Number: 4.1

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Defines student academic dishonesty, penalties, and procedure for addressing student academic dishonesty.

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 title of appeals policy 6.3

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

Student Academic Dishonesty

Original Implementation: Unpublished

Last Revision: ~~January 31, 2017~~ January 28, 2019

Abiding by university policy on academic integrity is a responsibility of all university faculty and students. Faculty members must promote the components of academic integrity in their instruction, and course syllabi are required to provide information about penalties for cheating and plagiarism, as well as the appeal process.

Definition of Academic Dishonesty

Academic dishonesty includes both cheating and plagiarism. Cheating includes, but is not limited to:

- using or attempting to use unauthorized materials on any class assignment or exam;
- falsifying or inventing of any information, including citations, on an assignment;
- helping or attempting to help other student(s) in an act of cheating or plagiarism.

Plagiarism is presenting the words or ideas of another person as if they were one's own. Examples of plagiarism include, but are not limited to:

- submitting an assignment as one's own work when it is at least partly the work of another person;
- submitting a work that has been purchased or otherwise obtained from the Internet or another source;
- incorporating the words or ideas of an author into one's paper or presentation without giving the author credit.

Penalties for Academic Dishonesty

Penalties may include, but are not limited to, reprimand, no credit for the assignment or exam, resubmission of the work, make-up exam, failure of the course, or expulsion from the university.

Procedure for Addressing Student Academic Dishonesty

A faculty member who has evidence and/or suspects that academic dishonesty has occurred will gather all pertinent information and initiate the following procedure:

1. The faculty member will discuss all evidence of cheating or plagiarism directly with the student(s) involved.
2. After consideration of the explanation provided by the student(s), the faculty member will determine whether academic dishonesty has occurred. The faculty member may consult with the academic unit head and/or dean in making a decision.
3. After a determination of academic dishonesty, the faculty member will inform the academic unit head and submit a Report of Academic Dishonesty with supporting documentation to the office of the dean of the student's major. This report will become

part of the student's record and will remain on file with the dean's office for at least four years even if the student withdraws prior to receiving a grade.

4. For a serious first offense or subsequent offenses, the dean of the student's major will determine a course of action, which may include dismissal from the university. The dean may refer the case to the college council for review and recommendations before making this determination.

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

Student Appeals

A student who wishes to appeal decisions related to academic dishonesty should follow procedures outlined in ~~Academic~~ *Final Course Grade Appeals by Students* (6.3).

Cross Reference: Student Handbook; ~~Academic~~ *Final Course Grade Appeals by Students* (6.3); and Course Add/Drop (6.10)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Report of Academic Dishonesty Form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Evaluation of Instruction

Policy Number: 7.27

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

Date of last revision, if applicable: January 31, 2017

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

Purpose of Policy (what does it do): Guidelines for student evaluation of instruction

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: Reviewed; no changes recommended

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

Student Evaluation of Instruction

Original Implementation: April 20, 1999

Last Revision: ~~January 31, 2017~~ *January 28, 2020*

Students will have the opportunity to evaluate instruction for all courses in all semesters through the university's online evaluation system. Members of the academic unit may determine additional evaluation instruments and procedures. Evaluation data are used for a variety of purposes including improvement of instruction, mentoring faculty, and personnel decisions.

Cross Reference: Faculty Handbook

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Media

Policy Number: 10.8

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): This policy identifies the various campus media outlets and explains their purposes and roles at the university, as well as their administrative and advisory structures and and funding sources.

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: Some titles and terms have been updated

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

John A. Hendricks, Chair Department of Mass Communication
Amy Roquemore, Director Student Publications and Divisional Media
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel

Student Media

Original Implementation: October 26, 1999

Last Revision: ~~January 31, 2017~~ January 28, 2020

Stephen F. Austin State University has long recognized the importance of providing for the establishment of student media on campus. These media are the chief means of communicating campus news, providing student entertainment, and expressing student opinion. They also provide experience for students who are working toward a career in the mass media.

Student Publications

The Pine Log, which is the student newspaper, and the *Stone Fort*, which is the yearbook, were the first student media to be established. They have existed virtually from the founding of Stephen F. Austin State University. *The Pine Log* publishes campus news, letters to the editor, local advertising, and editorials.

The Office of Student Publications, housed in the Division of University Affairs, is the unit which governs the operation of both the *Stone Fort* and *The Pine Log*. These publications are intended to be primarily self-supporting. Income is derived from the sale of yearbooks, and, in the case of *The Pine Log*, advertising. The director of student publications and divisional media is the administrative leader of both publications and reports to the vice president for university affairs. The director shall be responsible for all managerial aspects of student publications. This shall include fiscal management, office staff management and student staff management. The director of student publications and divisional media shall also provide editorial counsel to the student staffs of *The Pine Log* and *Stone Fort* regarding customary news and advertising practices as well as applicable legal issues.

The Student Publications Committee, appointed by the vice president for university affairs, shall serve as an advisory body to student publications. The committee shall recommend editorial policy and provide advice in the appointment of *The Pine Log* and *Stone Fort* editors. In addition, the committee shall:

- a. foster and preserve the American tradition of free expression
- b. act as an appeals body on editorial, advertising, and business contracts related to student publications
- c. require compliance with applicable laws in such areas as libel, obscenity, privacy, and false and misleading advertising

The Student Publications Committee shall consist of nine members:

1. The chair of the Department of Mass Communication (committee chair)

2. The director of student publications and divisional media
3. One Mass Communication faculty representative
4. One representative from University Marketing Communications
5. Two faculty members at large
6. Three students at large (not already holding paid positions on the *Stone Fort* or *The Pine Log*)

Broadcast Media

Stephen F. Austin State University has also provided for the operation of a radio station, KSAU-FM, and a cable-connected television facility. These facilities shall serve the primary role of laboratories to support the academic program in radio/television and shall be operated by the Department of Mass Communication, housed in the College of Liberal and Applied Arts, Division of Academic Affairs. Two departmental faculty members shall be designated as *faculty advisors*~~directors~~ of radio and television respectively. These two faculty members shall have one-course teaching load reductions to accommodate their responsibilities as *advisors*~~directors~~ of the radio and television operations.

Both of these facilities are *completely* ~~primarily~~-supported by institutional funds and receive no money from student service fees. Programming and production staffs shall consist primarily of students enrolled in various *mass* communication production courses including the required *capstone-practicum* courses. Faculty who teach the production courses shall supervise the student staffs and serve as the first level of appeal for any issues which might arise.

Programming content for the radio station shall be in compliance with all licensing requirements of the Federal Communications Commission. In addition, the Department of Mass Communication shall enforce programming guidelines which:

- a. comply with any relevant and established university policies
- b. to the extent possible reflect current mainstream professional broadcast practice
- c. serve a local audience with programming not already readily available
- d. serve local informational and cultural needs

The Department of Mass Communication shall enforce television programming guidelines for the local cable channel which:

- a. comply with any relevant and established university policies
- b. to the extent possible reflect current mainstream professional broadcast practice
- c. serve local informational, educational, and cultural needs

Cross Reference: U.S. Const. amend. I

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

President for University Affairs

Contact for Revision: Chair, Department of Mass Communication and Director of Student Publications and Divisional Media

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Organization Risk Management Training

Policy Number: 10.10

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

Date of last revision, if applicable: 11/7/2016

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

Purpose of Policy (what does it do): Requires risk management training for registered student organizations to comply with Texas Education Code.

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 and clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Lacey Folsom, Director of Student Engagement Programs
Hollie Smith, Assistant Dean of Student Affairs for Programs
Adam Peck, Assistant VP and Dean of Student Affairs
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel

Student Organization Risk Management Training

Original Implementation: October 30, 2007

Last Revision: ~~November 7, 2016~~ January 28, 2020

At least once during each academic year, Stephen F. Austin State University shall provide a risk management training program for student organizations registered with the office of Student Engagement Programs at the institution.

Four members of each organization are required to attend the training program at least once during the time(s) it is presented during the fall semester. The organization's president and vice president, or their equivalents as listed on the organization's registration with Student Engagement Programs, must be among the four members attending. If an organization has officer positions equivalent to a risk management officer and/or a new member officer, these officers must also attend the program. If the organization does not have officers with the specific titles named, the four highest ranking leaders of their organization are required to attend the training.

Newly registered student organizations must have four appropriate members receive this training within the first 30 business days following its initial registration.

Each listed student organization advisor(s) who has not previously received risk management training as outlined in this policy ~~The listed advisor(s) of each registered student organization must also receive this training~~ ~~attend this training program at least once every three years.~~ For the purposes of this policy an advisor is defined as a person who:

1. serves in an advisory capacity to a student organization to provide guidance to the organization and its members;
2. is older than 21 years of age; and
3. is not an enrolled ~~undergraduate~~ student at Stephen F. Austin State University.

The content of the risk management program will include topic areas mandated by the Texas Education Code, as well as topical areas deemed relevant by the university, to include:

1. possession and use of alcoholic beverages and illegal drugs, including penalties that may be imposed for possession or use;
2. hazing;
3. sexual ~~abuse~~ ~~misconduct~~ (including abuse) and harassment,; and reporting procedures;
4. fire and other safety issues, including the possession and use of a firearm or other weapon or of an explosive device;
5. travel to a destination outside the area in which the institution is located;
6. behavior at parties and other events held by a student organization;
7. adoption by a student organization of a risk management policy; and

8. issues regarding persons with disabilities, including a review of applicable requirements of federal and state law, and any related policies of the institution, for providing reasonable accommodations and modifications to address the needs of students with disabilities, including access to the activities of the student organization.

The university may impose reasonable sanctions on any organization failing to meet the requirements of this policy.

Cross Reference: Tex. Educ. Code § 51.9361

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Director of Student Engagement

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Services Fee

Policy Number: 10.11

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): Governs the allocation of the Student Services Fee

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The first substantial revision explains the composition of the committee. The second change explains the process of amending the allocations in the case of a budgetary shortfall. Other changes were made to enhance the readability of this policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Vice President for Finance and Administration
Damon Derrick, General Counsel

Student Service Fee Allocations

Original Implementation: Unpublished

Last Revision: ~~January 31, 2017~~ January 28, 2020

Student service fees are distributed to various student organizations and student service operations for activities which are separate and apart from the regularly scheduled academic functions of the institution and directly involve or benefit students.

The distribution of student service fees is based on the allocation process utilized by the Student Service Fee Committee (SSFC). *This committee is composed of nine members. These include five student members who are enrolled for not less than six semester credit hours and who are appointed by the Student Government Association. Three of these students are appointed to serve a two-year term on the committee and two students are appointed to serve a one-year term on the committee. The president appoints four faculty or staff members to serve on the committee. Each serves a one-year term. Any vacancies in an appointive position on the committee shall be filled for the unexpired portion of the term in the same manner as the original appointment.*

The SSFC may only conduct meetings at which a quorum (the majority of members of the committee) is present. Meetings must be open to the public. The committee must provide notice of the date, hour, place, and subject of the meeting at least 72 hours before the meeting is convened. This notice must be posted on the internet and in the student newspaper if an issue of the newspaper is published between the time of the internet posting and the time of the meeting.

~~In the spring semester prior to the fiscal year of the allocations,~~ *The committee will receives requests from various student service operations (i.e. Student Health Clinic, Intercollegiate Athletics, Marching Band, Fine Arts Programs, etc.) and university—sponsored student organizations (i.e. Student Government Association, Student Activities Association, etc.). The amount to be distributed by the committee is based on an estimate of student service fee revenue for the following academic year. If there is significant variance between the estimated revenue and the actual revenue, the allocation may be adjusted as necessary. Requests are evaluated and recommendations are made for allocations to these requesting groups for the coming year. The final recommendations made by the committee will be recorded and made public. These recommendations are then submitted to the president who may accept or modify the committee's decision. If the president's recommendations are substantially different from that of the advisory committee, the president will notify the advisory committee and provide an opportunity for the chair of the committee to comment on the committee's recommendations. Upon approval of the Board of Regents, the funds are made available for the coming fiscal year.*

Cross Reference: Tex. Educ. Code § 54.503

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Dean of 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: Student Travel

Policy Number: 10.12

Is this policy new, being reviewed/revised, or deleted? (Select One)

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): Governs student travel undertaken by one or more SFA students presently enrolled at the university to reach an activity or event that has been organized and sponsored by the university and is located more than 25 miles from the university.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Preamble as been revised to make it clear that this policy is required by state law

Specific rationale for deletion of policy:

Additional Comments:

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Reviewers:

- Lacy Folsom, Director of Student Engagment
- Hollie Smith, Assistant Dean of Student Affairs
- Adam Peck, Dean of Student Affairs
- Steve Westbrook, Vice President for University Affairs
- Damon Derrick, General Counsel

Student Travel

Original Implementation: October 23, 2001

Last Revision: ~~January 31, 2017~~ January 28, 2020

State law requires that all institutions of higher education adopt a policy regulating travel that is undertaken by one or more students presently enrolled at the institution to reach an activity or event that is located more than 25 miles from the institution that is organized and sponsored by the institution and meets certain other criteria.

~~This policy governs student travel undertaken by one or more SFA students presently enrolled at the university to reach an activity or event that has been organized and sponsored by the university and is located more than 25 miles from the university.~~

This policy shall apply if the travel is funded by the university; the travel is undertaken using a vehicle owned or leased by the university; or if the travel is required by a registered SFA student organization to an event that has been organized and sponsored by the university.

I. Travel funded by the university and/or using university owned or leased vehicles

University policy 16.23, Rental of University Vehicles, governs the use of university owned vehicles and vehicles rented using university funds from a non-university fleet. All of the requirements of that policy, such as driver qualifications and passenger capacity, apply to student travel as addressed in this policy.

Other specific requirements of this policy include:

- a. All occupants must use seat belts, as provided in the vehicle, in the manner recommended by the vehicle manufacturer.
- b. Passengers are limited to the number that can be safely restrained using the available number of seat belts.
- c. Drivers should continually assess their state of alertness and not begin to drive, or not continue driving, if they are fatigued. There are many factors that impact driver fatigue, all affecting drivers differently; but conditions such as hours without sleep, time of the day, road conditions, etc. should be all considered and monitored.
- d. Only drivers meeting the qualifications set forth in policy 16.23 may drive the vehicle. All drivers must be appropriately licensed to drive the vehicle.

II. Travel by personal vehicle or privately leased vehicle

While the university may not be made aware of trips undertaken by students using their private vehicles, or vehicles privately leased by them, the university will publish the requirements of this policy in publications used by registered student organizations at SFA

and will encourage their use in all travel undertaken by students for any trip governed by this policy. All drivers are encouraged to be appropriately licensed and the owner of the vehicle(s) is encouraged to maintain appropriate vehicle insurance as required by law.

This policy will be filed with the Texas Higher Education Coordinating Board after the approval of any amendment by the Board of Regents.

Cross Reference: Tex. Educ. Code § 51.950; Rental of University Vehicles (16.23)

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Dean of 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: Substantive Change

Policy Number: 4.10

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): As a member of SACSCOC, SFA is responsible for notifying and, when necessary, seeking approval for substantive changes from the Commission in accordance with the SACSCOC substantive change 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:

Specific rationale for each substantive revision: Revisions include the addition of wording to bring the policy inline with the latest version of SACS substantive change policy.

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

Substantive Change

Original Implementation: August 26, 2008

Last Revision: ~~January 31, 2017~~ January 28, 2020

Stephen F. Austin State University (SFA) is committed to upholding all of the principles and policies of the Texas Higher Education Coordinating Board (THECB) and the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). The university is also committed to establishing and maintaining procedures to facilitate an effective and timely notification process regarding substantive changes.

As a member of SACSCOC, SFA is responsible for notifying and, when necessary, seeking approval for substantive changes from the Commission in accordance with the SACSCOC substantive change policy. The current policy is located on the SACSCOC website.

Substantive change is defined as a significant modification or expansion of the nature and scope of an accredited institution.

Notification is defined as a letter from the university president or designee to the president of the commission summarizing the proposed change. Approval is sought through the submission of a SACSCOC application or prospectus.

Procedures

The university is required to notify THECB and SACSCOC of substantive changes and request approval, when required, prior to the initiation of the changes. The SFA SACSCOC liaison, *appointed by the Office of the Provost and Vice President for Academic Affairs*, is responsible for coordinating efforts to identify the need for and creation of notification letters related to substantive change. The Office of the Provost and Vice President for Academic Affairs is responsible for all communication with the appropriate governing body.

Under federal regulations, substantive change includes but is not limited to:

- Initiating coursework or programs at a different level than currently approved;
- Initiating off-campus sites (including but not limited to Early College High School, dual enrollment programs offered at a high school, and certificate programs);
- Expanding programs at current degree level;
- Expanding program offerings at previously approved off-campus sites;
- Initiating degree completion programs;
- Initiating a branch campus;
- Initiating distance learning;
- Relocating a main or branch campus;
- Entering into a contract with an entity not certified to participate in U.S. Department of Education (USDOE) Title IV programs;
- Initiating dual or joint degrees;
- Initiating a new site;

- Initiating a direct assessment competency-based program;
- Initiating a merger/consolidation with another institution;
- Changing governance, ownership, control, or legal status of an institution;
- Acquiring any program or site from another institution;
- Adding a permanent location at a site where the institution is conducting a teach-out for students from another institution that is closing;
- Initiating a certificate program at a new off-campus site at employer's request and on short notice (previously approved program);
- Initiating a certificate program at employer's request and on short notice;
- Adding a site under a U.S. military contract for a previously approved program;
- Altering significantly the length of a program;
- Altering significantly the educational mission of the institution;
- Changing from clock hours to credit hours;
- Moving an off-campus instructional site;
- Initiating programs or courses offered through contractual agreement or consortium; or
- Closing a program, approved off-campus site, branch campus, or institution.

When planning to make changes that may require substantive change notification and approval, proposal sponsors must consult with the SFA SACSCOC liaison to determine the appropriate procedure for the proposed change.

The SFA curriculum review cycle is the process used to identify substantive changes related to the addition, deletion, or modification of courses and degree programs. In addition, all proposals for distance education, off-campus sites and certificate program requests will follow the curriculum review process. All proposals must follow and document adherence to curriculum review and approval policies and processes described in the university policy on Curriculum Reviews, Modifications and Approvals (5.7). The SFA SACSCOC liaison will provide the information necessary to prepare a prospectus in accordance with the requirements outlined in the SACSCOC Substantive Change Policy and THECB substantive change guidelines. The SACSCOC prospectus and/or THECB proposal must accompany the Curriculum Change Request.

At least once each academic year, the SACSCOC liaison will provide information to the academic deans, ~~and~~ division vice presidents, *and academic unit heads* regarding substantive change policies and procedures. During this session, the deans, ~~and~~ division vice presidents, *and academic unit heads* will identify potential substantive changes.

All substantive change education and review activities must be coordinated to allow ample time to satisfy the time frame for notification and/or approval as set by THECB and/or SACSCOC. SFA will adhere to the reporting times as specified in THECB guidelines and in the Substantive Change for SACSCOC Accredited Institutions policy statement.

The Office of the Provost and Vice President for Academic Affairs is responsible for conducting an ongoing review of curricular revisions to identify changes that may be substantive in nature and may require reporting or prior approval by THECB, ~~and/or~~ SACSCOC, *and/or accrediting body appropriate to the discipline*. The provost and vice president for academic affairs will determine whether changes are substantive and will initiate appropriate reporting and approval processes in compliance with THECB and SACSCOC policies and procedures.

Cross Reference: Curriculum Reviews, Modifications and Approvals (5.7); SACSCOC Substantive Change Policy; THECB guidelines

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Forms for program revision, course proposals, substantive change, and distance education are available at the Academic Affairs website <http://www.sfasu.edu/acadaffairs/>.

Board Committee Assignment: Academic and Student Affairs

APPROVAL OF THE BEEF FARM FACILITY CONSTRUCTION PROJECT

Explanation:

On the morning of November 14, 2018, the 6,000 square foot beef livestock barn at the SFA Walter C. Todd Agricultural Research Center facility and contents were completely destroyed by a fire. The beef barn was used for teaching agriculture laboratory classes, hosting community and agricultural awareness events, elementary school tours, and college recruitment events.

The barn and contents lost in the fire were insured. However, the deductible for the claim is \$250,000. The university has received insurance proceeds of \$335,301 and expects to receive an additional \$107,538.

The university engaged the architectural firm Goodwin, Lassiter and Strong to design a new facility. The plan is to construct an approximate 20,000 square foot facility to help support the needs of the SFA Agriculture program.

Recommendation:

The administration recommends the construction of a new beef farm barn and support facilities, and provide equipment at a total project cost not to exceed \$900,000. The sources of funds may include insurance reimbursement proceeds, donations, the Higher Education Fund (HEF) and other institutional funds. The administration further recommends presidential authorization to sign associated contracts and purchase orders.

BASKETBALL FACILITY PROJECT BUDGET

Explanation:

On February 6, 2019, the university sold a bond issue that included a project to construct a basketball practice facility. The basketball practice facility's portion of the issue was \$26,000,000. During facility design, enhancements were added that included more functional space for athletic training, nutrition and performance.

The design and subsequent construction enhancements require additional funds to deliver the project as needed. During fiscal year 2019, the university received a donation specifically for the basketball program.

SFA Policy 1.4 requires construction budget approval by the university regents. The administration proposes approval of the Basketball Facility Project budget that includes bond proceeds, investment earnings, and donations.

Recommendation:

The administration recommends approval of a \$28,500,000 Basketball Practice Facility project budget that includes bond proceeds, investment earnings and donations.

APPROVAL OF BUILDING AND GROUNDS POLICY REVISIONS:

Explanation:

The *Board Rules and Regulations* state that the Building and Grounds Committee will consider:

- use and occupancy of university property; and
- planning of, locating of, receiving bids for, awarding contracts for, construction of, and maintenance of buildings, utilities, and other physical facilities of the campus.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented:

Austin Building Conference Rooms 16.5

Homer Bruce Stadium and William R. Johnson Coliseum 16.13

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Austin Building Conference Rooms

Policy Number: 16.5

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

Date of last revision, if applicable: January 31, 2017

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Govern the use of Austin Building Rooms 305 and 307

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: Reviewed with no changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Scott Gordon, President
Damon Derrick, General Counsel

Austin Building Conference Rooms

Original Implementation: June 10, 1986

Last Revision: ~~January 31, 2017~~ January 28, 2020

The provisions of the policy on the Use of University Facilities (16.33) govern the use of all buildings, facilities, equipment, and grounds, hereafter referred to as facilities, under the control of Stephen F. Austin State University. That policy provides that the university may establish additional procedures for the reservation and use of specific facilities; therefore, the following provisions apply to Room 305 and Room 307 in the Austin Building.

These conference rooms will be primarily for the use of the Board of Regents and the president of the university in their conduct of the governance and administration of the university, as well as for visits of dignitaries and official university guests.

Beverages and food are prohibited in conference rooms 305 and 307, except as approved by the president or the chair of the Board of Regents.

Cross Reference: Use of University Facilities (16.33)

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Homer Bryce Stadium and William R. Johnson Coliseum

Policy Number: 16.13

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

Date of last revision, if applicable: 11/7/2016

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Governs facility use for Homer Bryce Stadium and William R. Johnson Coliseum

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: An audit was conducted and concluded that outside individuals were using Homer Bryce stadium and William R. Johnson for financial and personal gain. It was advised that more stringent policies and procedures needed to be adopted to control this issue.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ryan Ivey, Director of Athletics
Scott Gordon, President
Damon Derrick, General Counsel

Homer Bryce Stadium and William R. Johnson Coliseum

Original Implementation: 1972

Last Revision: ~~November 7, 2016~~ January 28, 2020

The provisions of the policy on the Use of University Facilities (16.33) govern the use of all buildings, facilities, equipment, and grounds, hereafter referred to as facilities, under the control of Stephen F. Austin State University. That policy provides that the university may establish additional procedures for the reservation and use of specific facilities; therefore, the following provisions apply to Homer Bryce Stadium and William R. Johnson Coliseum.

Use of Homer Bryce Stadium or William R. Johnson Coliseum by persons other than the university athletic department will be arranged through the coordinator of athletic operations and approved by the director of athletics. Such usage will be limited to events sponsored by university departments or recognized student organizations conducting activities within their established role and scope. Some events may be sponsored by the university, such as high school and University Interscholastic League events as well as other athletic events, which are sanctioned by an official governing organization. Persons or groups wishing to use either of these facilities should contact the coordinator of athletic operations (in person or by phone) concerning the availability of the facility. Questions regarding the use of these facilities for camp/conference participants should be directed to the camps and conferences coordinator, located in the *Baker Pattillo Student Center*. (See Camps and Conferences, policy 16.7.)

1. *Intercollegiate athletic teams have first priority of access to all intercollegiate competition surfaces.*
- ~~1~~.2. The coordinator of athletic operations will complete a facility use application.
- ~~2~~.3. The coordinator of athletic operations will assist university departments and student organizations with coordination of university police department and university physical plant services for upcoming events.
- ~~3~~.4. A contract will be completed before the date of the event.
5. The William R. Johnson Coliseum marquee will be used to advertise only official university events. Requests for messages on the marquee should be made to the coordinator of athletic operations.
6. *Homer Bryce Stadium and William R. Johnson Coliseum competition surfaces (i.e. football field, track surface and basketball court) shall be permitted only through approval through the facility use process. General public use of competition surfaces is strictly prohibited.*
- ~~4~~.7. *Grandstands located in Homer Bryce Stadium and William R. Johnson Coliseum shall be opened for general public use at their own risk, between 6am-10pm. Both facilities shall be closed for general public use between 10pm-6am. Those individuals caught using the facilities during unpermitted timeframes may be subject to disciplinary action, including prosecution by the extent allowed by law.*

Cross Reference: Use of University Facilities (16.33); Camps and Conferences (16.7)

Responsible for Implementation: President

Contact for Revision: ~~President~~ *Director of Intercollegiate Athletics*

Forms: None

Board Committee Assignment: Building and Grounds

Naming of Basketball Performance Center

Explanation:

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 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.

Recommendation:

The administration recommends that the Board of Regents name the basketball performance center to be constructed on the corner of University Drive and East College Street as the Loddie Naymola Basketball Performance Center, in honor of Walter E. "Loddie" Naymola, Jr. It is further recommended that the following resolution be adopted:

WHEREAS, Walter E. "Loddie" Naymola, Jr. of Houston, Texas, attended Stephen F. Austin State University where he was a Lumberjack basketball player; and

WHEREAS, during his college career, he was a member of the Phi Delta Theta fraternity; and

WHEREAS, in December 1978, Naymola received a Bachelor of Business Administration in finance from Stephen F. Austin State University; and

WHEREAS, in 1984 he launched his career as an entrepreneur by founding Service Pump and Compressor and has founded, acquired or scaled more than 100 businesses during his career; and

WHEREAS, in 2014, he established the Naymola Foundation, which primarily supports higher education, medical research and child-advocacy programs; and

WHEREAS, Walter E. "Loddie" Naymola, Jr. has faithfully served and continues to serve Stephen F. Austin State University with distinction and honor as a dedicated alumnus; and

WHEREAS, in his loyal dedication to SFA through his generous gifts of support, entrepreneurial spirit and standards of excellence, he is setting a distinguished example for others;

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Walter E. “Loddie” Naymola, Jr. by naming the basketball performance center the **Loddie Naymola Basketball Performance Center**.

Naming of Basketball Performance Center Weight Room

Explanation:

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 weight room to be located in the 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.

Recommendation:

The administration recommends that the Board of Regents name the weight room in the basketball performance center to be constructed at the corner of University Drive and East College Street as the Hank and Suzy Crouse Weight Room, in honor of Hank and Suzy Crouse. It is further recommended that the following resolution be adopted:

WHEREAS, Hank and Suzy Crouse have lived in Nacogdoches for 43 years; and

WHEREAS, during the past several years they have become avid Lumberjack basketball fans; and

WHEREAS, their desire is to help students become successful both on and off the basketball court; and

WHEREAS, they have faithfully served Stephen F. Austin State University with distinction and honor as dedicated friends; and

WHEREAS, in their loyal dedication to the university through their generous 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 Hank and Suzy Crouse by naming the weight room located in the basketball performance center the **Hank and Suzy Crouse Weight Room**.

Naming of Office of Men's Head Basketball Coach

Explanation:

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 office of the men's head basketball coach to be located in the 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.

Recommendation:

The administration recommends that the Board of Regents name the office of the men's head basketball coach in the basketball performance center to be constructed on the corner of University Drive and East College Street in honor of Bob Sitton. It is further recommended that the following resolution be adopted:

WHEREAS, Bob Sitton is a proud native of Cushing, Texas, and received a bachelor of science degree in health and physical education from Stephen F. Austin State University in 1960; and

WHEREAS, he served as the SFA Alumni Association director from 1972 through 1998 and continued serving another five years on a part-time basis for alumni public relations, working closely with many fellow Lumberjack alums; and

WHEREAS, in his retirement, he continues to serve as an avid athletics fan and SFA ambassador; and

WHEREAS, Ron Kesterson served on the Alumni Association board and Alumni Foundation board from 1991-2001, worked closely with Bob Sitton, was touched by his contagious school spirit, and wanted to make a gift to honor his friend;

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Bob Sitton by naming the office of the men's head basketball coach to be located in the basketball performance center the **Bob Sitton Head Men's Basketball Coach Office**.

Naming of Resource Room

Explanation:

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 a resource room located on the second floor of the Ed and Gwen Cole Science, Technology, Engineering and Mathematics (STEM) Building located at 1720 Clark Boulevard, which houses the College of Sciences and Mathematics STEM programs on the campus of Stephen F. Austin State University.

Recommendation:

The administration recommends that the Board of Regents name the resource room (Room 203A) located on the second floor of the Ed and Gwen Cole STEM Building on the campus of Stephen F. Austin State University in honor of Harry Downing. It is further recommended that the following resolution be adopted:

WHEREAS, Harry Downing is a long-standing department chair of 31 years in the Department of Physics, Engineering and Astronomy at Stephen F. Austin State University; and

WHEREAS, during his years as an undergraduate student, he appreciated having a dedicated space (a “cubby space”) close to faculty offices where he could study; and

WHEREAS, it is his desire to provide such a dedicated “cubby space” for physics students at the university; and

WHEREAS, Harry Downing has faithfully served and continues to serve Stephen F. Austin State University with distinction and honor as a dedicated faculty member and department chair; and

WHEREAS, in his loyal dedication to SFA through generous gifts of support and standards of excellence, he is setting a distinguished example for others;

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Harry Downing by naming Room 203A situated on the second floor of the Ed and Gwen Cole STEM Building the **Harry D. Downing Physics Resource Room**.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

Explanation:

The *Board Rules and Regulations* state that the chief audit executive shall assist the board in carrying out its oversight responsibilities as they relate to the university's a) financial and other reporting practices, b) internal control, and c) compliance with laws, regulations and ethics. The chief audit executive reports to the Board of Regents on the status of the annual audit plan, internal and external reports, risk assessment and audit/compliance issues.

The audit services report as presented includes the following:

- Military Science Department Audit
- Business Communication and Legal Studies Departmental Audit
- FERPA Audit
- Medical Billing Audit
- NCAA 08/31/19 Financial Statement Agreed Upon Procedures Report
- Bursar Cash Count
- Follow-Up Audit of External Information Technology Audits
- Internal Projects

Recommendation:

Acknowledge receipt of the audit services report pending consideration by the Finance and Audit Committee.

APPROVAL OF THE 2018-19 ANNUAL FINANCIAL REPORT

Explanation:

As required by state law, Stephen F. Austin State University submitted the August 31, 2019, Annual Financial Report on to the Office of the Governor, Comptroller of Public Accounts, Legislative Budget Board, Texas Higher Education Coordinating Board, Legislative Reference Library, Texas State Library and Texas State Auditor's Office. The report reflected the university's financial activities for the period September 1, 2017, through August 31, 2019.

Recommendation:

The administration recommends approval of the Stephen F. Austin State University 2018-19 annual financial report.

APPROVAL OF THE ENVIRONMENTAL SERVICE FEE

Explanation:

Texas Education Code Sec. 54.5041 authorizes "...the governing board of an institution of higher education to charge each student enrolled at the institution an environmental service fee if the fee has been approved by a majority vote of the students enrolled at the institution who participate in a general student election called for that purpose." On Wednesday, October 9, 2019, Student Government Association unanimously voted to call a referendum to allow students to approve or disapprove of the creation of this new fee. The referendum was held on October 29th and 30th. The final results of the referendum were 1,260 for and 372 against. By law, students would need to reauthorize the fee every five years.

By statute, revenue from this fee may only be used to provide environmental improvements at the institution through services related to recycling, energy efficiency and renewable energy, transportation, employment, product purchasing, planning and maintenance, or irrigation; or provide matching funds for grants to obtain environmental improvements. An institution that imposes the environmental service fee may not use the revenue generated by the fee to reduce or replace other money allocated by the institution for environmental projects.

Recommendation:

The administration recommends the creation of an Environmental Services Fee of \$5 per long semester and \$5 for the entire summer semester (any combination of enrollment in Maymester, Summer I or Summer II) effective fall 2020, contingent upon adoption of a university policy that prescribes the manner in which projects will be reviewed and approved.

APPROVAL TO INCREASE THE RECREATIONAL SPORTS FEE

Explanation:

Pursuant to Texas Education Code (TEC) 54.5201, the university is authorized to collect a recreational sports fee. TEC 54.5201 specifically states that, "the board of regents of Stephen F. Austin State University may charge each student enrolled at the university a recreational sports fee not to exceed \$120 per semester or summer session of longer than six weeks or \$60 per summer session of six weeks or less." Unless the fee is exempted or waived by statute or board of regents' order, the current charge is a flat \$50 for students who take from one to six semester credit hours, and a flat \$120 for students who take seven or more semester credit hours.

In association with tuition and fee plan restructuring, the administration proposes a recreational sports fee increase to \$60 for students who take from one to six semester credit hour loads.

Recommendation:

The administration recommends approval of an increase in the recreational sports fee to \$60 for students who take from one to six semester credit hours, effective with the Fall 2020 semester.

APPROVAL OF AN UNDERGRADUATE AND GRADUATE DESIGNATED TUITION DIFFERENTIAL CHARGE

Explanation:

For many years, the university has charged academic course and lab fees to support specific course delivery costs. The statutory authority used for the course and lab fees is Texas Education Code (TEC) 54.504 and 54.501, respectively. The revenue from both fees is restricted to very specific academic costs. With respect to course fees, TEC 54.504, the incidental fee statute, states that "the rate of an incidental fee must reasonably reflect the actual cost to the university of the materials or services for which the fee is collected." Similarly, TEC 54.501, the lab fee statute, states that "an institution of higher education shall set and collect a laboratory fee in an amount sufficient to cover the general cost of laboratory materials and supplies used by a student." The statutory fee restrictions do not allow the use of course and lab fee revenue for other appropriate instructional costs.

The designated tuition statute, TEC 54.0513, , states that "the governing board, under the terms the governing board considers appropriate, may charge any student an amount designated as tuition that the governing board considers necessary for the effective operation of the institution." Designated tuition provides academic flexibility to support appropriate instructional costs.

Over time, the number of course and lab fees has grown significantly. Course fees in particular, have experienced considerable growth. Currently, course and lab fees must be added to base tuition and fee costs to determine a total academic cost.

A course and lab fee assessment was conducted to determine an average total cost for each university college. A tuition differential cost was calculated to replace all course and lab fees for undergraduate and graduate students, and provide the same average level of income each college had received from both fees. The adoption of the designated tuition differential will simplify the student billing process, provide greater transparency for students and families, and provide greater academic course delivery flexibility.

Recommendation:

The administration recommends approval of a flat \$100 per semester designated tuition differential charge for all undergraduate students that will replace all undergraduate course and lab fees. The administration further recommends a flat \$75 per semester designated tuition differential charge for all graduate students that will replace all graduate course and lab fees. The administration also recommends the deletion of all undergraduate and graduate course and lab fees. It is recommended that the fee deletions and differential tuition charges be effective for fiscal year 2020-21.

APPROVAL OF THE TEXAS RESIDENT UNDERGRADUATE FY2021 FIXED-RATE TUITION AND FEE PLAN

Explanation:

The administration has developed a fiscal year 2021 proposed tuition and fee annual plan that contains variable tuition and fee rates from one to eleven semester credit hours. Tuition and fee costs are fixed at the twelve-semester credit hour load level, and students may take any number of semester credit hours above the twelve-semester credit hour level at no additional charge.

The fixed annual tuition and fee plan is designed to provide greater cost transparency for students and families, simplify the billing process, replace a substantial number of fees, incentivize students to take additional semester credit hours, help lower student debt levels, lower the time to graduation, and provide greater academic flexibility.

To develop a fixed tuition and fee plan at a twelve-semester credit hour level, designated tuition rates were modified from the fiscal year 2019-20 rate of \$204 per semester credit hour with a range from \$91 to a maximum of \$269 per semester credit hour, depending on the number of semester credit hours taken, and other associated mandatory fees.

With the inclusion of a designated tuition differential charge of \$100, total mandatory tuition and fees at a twelve semester credit hour level and above for undergraduate Texas resident students are fixed at a cost of \$5,300. Currently, the fiscal year 2019-20 tuition and fee rate at fifteen semester credit hours is \$5,473.50. In addition, any schedule-related course and lab fees currently increase that total.

Appendix B presents the tuition and fee schedule for Texas resident undergraduate students who take face-to-face classes. Appendix C presents the fee schedule for Texas resident students who take online only classes.

Recommendation:

The administration recommends approval of the designated tuition per semester credit hour rate with a range from \$91 to a maximum of \$269 for the annual fixed-price plan, depending on the number of semester hours taken. The administration also recommends approval of Appendices B and C at the respective semester credit hour charges and the \$5,300 fixed-rate

tuition and fee cost for twelve semester credit hours and above, beginning with the fall 2020 semester.

Tuition and Fees Rate Table													
Fiscal Year 2020-2021													
Texas Resident Undergraduate Annual Fixed-Price Plan													
Num. of Hrs.	Tx Res Statutory	Designated Tuition	Univ Svc Fee	Stud. Svc.	Stud. Cntr.	Int'l Ed. Fee	Reg Records	Env Fee	Rec Sports Fee		Total Base	Differential Tuition	Total Mandatory Tuition & Fees
1	\$ 50.00	\$ 204.00	\$ 83.00	\$ 13.50	\$ 35.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00		\$ 461.50	\$ 100.00	\$ 561.50
2	\$ 100.00	\$ 408.00	\$ 166.00	\$ 27.00	\$ 35.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00		\$ 812.00	\$ 100.00	\$ 912.00
3	\$ 150.00	\$ 762.00	\$ 249.00	\$ 40.50	\$ 35.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00		\$ 1,312.50	\$ 100.00	\$ 1,412.50
4	\$ 200.00	\$ 614.50	\$ 332.00	\$ 54.00	\$ 36.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00		\$ 1,312.50	\$ 100.00	\$ 1,412.50
5	\$ 250.00	\$ 459.00	\$ 415.00	\$ 67.50	\$ 45.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00		\$ 1,312.50	\$ 100.00	\$ 1,412.50
6	\$ 300.00	\$ 1,524.00	\$ 498.00	\$ 81.00	\$ 54.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00		\$ 2,533.00	\$ 100.00	\$ 2,633.00
7	\$ 350.00	\$ 1,308.50	\$ 581.00	\$ 94.50	\$ 63.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 2,533.00	\$ 100.00	\$ 2,633.00
8	\$ 400.00	\$ 1,153.00	\$ 664.00	\$ 108.00	\$ 72.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 2,533.00	\$ 100.00	\$ 2,633.00
9	\$ 450.00	\$ 1,836.00	\$ 747.00	\$ 121.50	\$ 81.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 3,371.50	\$ 100.00	\$ 3,471.50
10	\$ 500.00	\$ 2,040.00	\$ 830.00	\$ 135.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 3,726.00	\$ 100.00	\$ 3,826.00
11	\$ 550.00	\$ 2,244.00	\$ 913.00	\$ 148.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 4,076.50	\$ 100.00	\$ 4,176.50
12	\$ 600.00	\$ 3,221.00	\$ 996.00	\$ 162.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
13	\$ 650.00	\$ 3,074.50	\$ 1,079.00	\$ 175.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
14	\$ 700.00	\$ 3,074.00	\$ 1,016.00	\$ 189.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
15	\$ 750.00	\$ 3,074.00	\$ 952.50	\$ 202.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
16	\$ 800.00	\$ 3,074.00	\$ 889.00	\$ 216.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
17	\$ 850.00	\$ 3,074.00	\$ 825.50	\$ 229.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
18	\$ 900.00	\$ 3,074.00	\$ 762.00	\$ 243.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
19	\$ 950.00	\$ 3,074.00	\$ 705.00	\$ 250.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
20	\$ 1,000.00	\$ 3,074.00	\$ 655.00	\$ 250.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00
21	\$ 1,050.00	\$ 3,074.00	\$ 605.00	\$ 250.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00		\$ 5,200.00	\$ 100.00	\$ 5,300.00

Tuition and Fees Rate Table Fiscal Year 2020-2021 Texas Resident Undergraduate Annual Fixed-Price Plan Online											
Num. of Hrs.	Tx Res Statutory	Designated Tuition	Univ Svc Fee	Stud. Svc.	Int'l Ed. Fee	Reg Records	Env Fee	Distance Ed Fee			
									Total Base	Differential Tuition	Total Online Mandatory Tuition and Fees
1	\$ 50.00	\$ 204.00	\$ 83.00	\$ 13.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 33.00	\$ 399.50	\$ 100.00	\$ 499.50
2	\$ 100.00	\$ 408.00	\$ 166.00	\$ 27.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 66.00	\$ 783.00	\$ 100.00	\$ 883.00
3	\$ 150.00	\$ 762.00	\$ 249.00	\$ 40.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 99.00	\$ 1,316.50	\$ 100.00	\$ 1,416.50
4	\$ 200.00	\$ 614.50	\$ 332.00	\$ 54.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 132.00	\$ 1,348.50	\$ 100.00	\$ 1,448.50
5	\$ 250.00	\$ 459.00	\$ 415.00	\$ 67.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 165.00	\$ 1,372.50	\$ 100.00	\$ 1,472.50
6	\$ 300.00	\$ 1,524.00	\$ 498.00	\$ 81.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 198.00	\$ 2,617.00	\$ 100.00	\$ 2,717.00
7	\$ 350.00	\$ 1,308.50	\$ 581.00	\$ 94.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 231.00	\$ 2,581.00	\$ 100.00	\$ 2,681.00
8	\$ 400.00	\$ 1,153.00	\$ 664.00	\$ 108.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 264.00	\$ 2,605.00	\$ 100.00	\$ 2,705.00
9	\$ 450.00	\$ 1,836.00	\$ 747.00	\$ 121.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 297.00	\$ 3,467.50	\$ 100.00	\$ 3,567.50
10	\$ 500.00	\$ 2,040.00	\$ 830.00	\$ 135.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 330.00	\$ 3,851.00	\$ 100.00	\$ 3,951.00
11	\$ 550.00	\$ 2,244.00	\$ 913.00	\$ 148.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 363.00	\$ 4,234.50	\$ 100.00	\$ 4,334.50
12	\$ 600.00	\$ 3,030.00	\$ 996.00	\$ 162.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 396.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
13	\$ 650.00	\$ 3,030.00	\$ 899.50	\$ 175.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 429.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
14	\$ 700.00	\$ 3,030.00	\$ 803.00	\$ 189.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 462.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
15	\$ 750.00	\$ 3,030.00	\$ 706.50	\$ 202.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 495.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
16	\$ 800.00	\$ 3,030.00	\$ 610.00	\$ 216.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 528.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
17	\$ 850.00	\$ 3,030.00	\$ 513.50	\$ 229.50	\$ 3.00	\$ 8.00	\$ 5.00	\$ 561.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
18	\$ 900.00	\$ 3,030.00	\$ 417.00	\$ 243.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 594.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
19	\$ 950.00	\$ 3,030.00	\$ 327.00	\$ 250.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 627.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
20	\$ 1,000.00	\$ 3,030.00	\$ 244.00	\$ 250.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 660.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00
21	\$ 1,050.00	\$ 3,030.00	\$ 161.00	\$ 250.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 693.00	\$ 5,200.00	\$ 100.00	\$ 5,300.00

APPROVAL OF THE FIXED-RATE TUITION AND FEES GUARANTEED PRICE PLAN

Explanation:

Pursuant to the Texas Education Code (TEC) 54.017, the governing board of an institution shall offer entering undergraduate students, including undergraduate transfer students, the opportunity to participate in a fixed-tuition price plan whereby the institution does not increase tuition charges for at least the first twelve consecutive semesters that occur after the date of a student's initial enrollment at any public or private institution of higher education. The university complies with this statutory requirement, and a number of currently enrolled students are on the fixed-rate tuition plan.

To provide a greater opportunity for Texas resident undergraduate students, the administration proposes a guaranteed price plan (GPP), that freezes total tuition and mandatory fees at a twelve-semester credit hour load level and above for a period of four years. Total semester credit hour costs vary at levels below twelve semester credit hours, but are fixed at a twelve-semester credit hour load level.

To develop a fixed tuition and fee plan at a twelve-semester credit hour level, designated tuition rates were modified from the fiscal year 2019-20 rate of \$204 per semester credit hour to include a range from \$164, to a maximum of \$300 per semester credit hour, depending on the number of semester credit hours taken, and other associated mandatory fees.

With the inclusion of a designated tuition differential charge of \$100, total mandatory tuition and fees at a twelve semester credit hour level and above for undergraduate Texas resident students are fixed at a cost of \$5,675 for a period of four years.

Each beginning fiscal year semester, new entering students will be offered the opportunity to participate in the GPP offered for the respective fiscal year. In addition, current students on an existing tuition plan may choose to enter the GPP at the respective rate based on the student's initial higher education enrollment eligibility as outlined in TEC 54.017.

Recommendation:

For the GPP presented in Appendix D, the administration recommends approval of the designated tuition per semester credit hour rate with a range

from \$164 to a maximum of \$300, depending on the number of semester hours taken. The administration also recommends approval of the tuition and fee guaranteed price plan as presented in Appendix D, fixed at a twelve-semester credit hour load, beginning with the Fall 2020 semester, for a maximum period of four years. The administration further recommends that students who are eligible for tuition and fee exemptions and waivers be excluded from the tuition and fee guaranteed price plan.

Tuition and Fees Rate Table Fiscal Year 2020-2021 Texas Resident Undergraduate Guaranteed Price Plan												
Num. of Hrs.	Tx Res Statutory	Proposed Designated	Univ Svc Fee	Stud Svc Fee	Stud Cntr. Fee	Int'l Ed. Fee	Reg Records Fee	Env Fee Fee	Rec Sports Fee	Total Base	Differential Tuition	Total GPP Mandatory Tuition and Fees
1	\$ 50.00	\$ 255.00	\$ 83.00	\$ 13.50	\$ 35.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00	\$ 512.50	\$ 100.00	\$ 612.50
2	\$ 100.00	\$ 510.00	\$ 166.00	\$ 27.00	\$ 35.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00	\$ 914.00	\$ 100.00	\$ 1,014.00
3	\$ 150.00	\$ 765.00	\$ 249.00	\$ 40.50	\$ 35.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00	\$ 1,315.50	\$ 100.00	\$ 1,415.50
4	\$ 200.00	\$ 1,020.00	\$ 332.00	\$ 54.00	\$ 36.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00	\$ 1,718.00	\$ 100.00	\$ 1,818.00
5	\$ 250.00	\$ 1,275.00	\$ 415.00	\$ 67.50	\$ 45.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00	\$ 2,128.50	\$ 100.00	\$ 2,228.50
6	\$ 300.00	\$ 1,530.00	\$ 498.00	\$ 81.00	\$ 54.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 60.00	\$ 2,539.00	\$ 100.00	\$ 2,639.00
7	\$ 350.00	\$ 1,785.00	\$ 581.00	\$ 94.50	\$ 63.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 3,009.50	\$ 100.00	\$ 3,109.50
8	\$ 400.00	\$ 2,040.00	\$ 664.00	\$ 108.00	\$ 72.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 3,420.00	\$ 100.00	\$ 3,520.00
9	\$ 450.00	\$ 2,295.00	\$ 747.00	\$ 121.50	\$ 81.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 3,830.50	\$ 100.00	\$ 3,930.50
10	\$ 500.00	\$ 2,550.00	\$ 830.00	\$ 135.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 4,236.00	\$ 100.00	\$ 4,336.00
11	\$ 550.00	\$ 2,805.00	\$ 913.00	\$ 148.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 4,637.50	\$ 100.00	\$ 4,737.50
12	\$ 600.00	\$ 3,596.00	\$ 996.00	\$ 162.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
13	\$ 650.00	\$ 3,449.50	\$ 1,079.00	\$ 175.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
14	\$ 700.00	\$ 3,449.00	\$ 1,016.00	\$ 189.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
15	\$ 750.00	\$ 3,449.00	\$ 952.50	\$ 202.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
16	\$ 800.00	\$ 3,449.00	\$ 889.00	\$ 216.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
17	\$ 850.00	\$ 3,449.00	\$ 825.50	\$ 229.50	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
18	\$ 900.00	\$ 3,449.00	\$ 762.00	\$ 243.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
19	\$ 950.00	\$ 3,449.00	\$ 705.00	\$ 250.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
20	\$ 1,000.00	\$ 3,449.00	\$ 655.00	\$ 250.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00
21	\$ 1,050.00	\$ 3,449.00	\$ 605.00	\$ 250.00	\$ 85.00	\$ 3.00	\$ 8.00	\$ 5.00	\$ 120.00	\$ 5,575.00	\$ 100.00	\$ 5,675.00

APPROVAL OF TUITION AND FEES FOR REGISTERED NURSE TO BACHELOR OF SCIENCE DEGREE IN NURSING

Explanation:

The Nursing RN-BSN program is a thirty-one semester credit hour online program that allows registered nurses to complete necessary course work needed to obtain a BSN. To stimulate enrollment and program growth, The Richard & Lucille DeWitt School of Nursing proposes a cost reduction from the current RN-BSN rates to a reduced total program cost of \$8,300. Any hours taken in excess of the thirty-one hours will be charged in addition to the flat cost at the discounted rate per credit hour. In order to maintain the discounted rate, each cohort must complete the program within four years, otherwise the cost is subject to change. In order to offer a tuition package of \$8,300, certain mandatory fees must be eliminated or decreased. Those include, the distance education, student center, recreation center, student service, international, university services, registration fees and other course delivery fees.

Recommendation:

The administration recommends approval of the RN-BSN program fee exemptions that will allow a total program cost of \$8,300. It is further recommended the cost reductions begin with the summer 2020 semester(s).

CHANGES IN COURSE FEES

Explanation:

Course and lab fees provide instructional departments with funds to support the actual cost of consumable supplies, service, and travel related to specific courses. Course and lab fees are allocated to instructional departments for expenditures that are necessary for course delivery. Course delivery expenditures are re-evaluated annually in order to make necessary changes to fees.

Recommendation:

The administration recommends acceptance of course and lab fee deletions, approved at the president level, to be effective spring 2020. All deletions are listed in the accompanying spreadsheet in Appendix E.

Report to the Board of Regents - TUESDAY Reconvene Board Meeting in Open Session

Appendix E

Course and Lab Fee Deletions - Spring 2020							
College of Education							
Department	Current Course	Current Course #	Section	Description	Present Amount	Proposed Amount	Status
Human Sciences	HMS	137	.505 only	Principles of Human Sciences	\$45	\$0	DELETE
Human Sciences	HMS	137L	.500-599	Principles of Human Sciences Lab	\$10	\$0	DELETE
Human Services	RHB	495	.600-609	Internship I	\$150	\$0	DELETE
Human Services	SPE	594	All	Advanced Clinical Practicum in O&M	\$50	\$0	DELETE
Human Services	SPE	570	All	Special Studies in Special Education	\$50	\$0	DELETE
Human Services	SPE	556	All	Research and Practice Infants/Children	\$50	\$0	DELETE
Human Services	SPE	552	All	Instructional Strategies for Individuals with Multiple Disabilities and Visual Impairment	\$50	\$0	DELETE
Human Services	SPE	551	All	Working with Academic Students who Have Visual Impairments	\$50	\$0	DELETE
Human Services	SPE	519	All	Low Vision	\$50	\$0	DELETE
Human Services	SPE	517	All	Communication Skills for Visual Impairment	\$294	\$0	DELETE
Human Services	SPE	515	All	Programs and Services of Individuals with Visual Impairment	\$50	\$0	DELETE
Human Services	RHB	445	All	Basic Orientation & Mobility	\$30	\$0	DELETE
Human Services	COU	534	All	School Counseling Programs	\$50	\$0	DELETE
Human Services	COU	521	All	Seminar in Alcohol and Drug Abuse	\$50	\$0	DELETE
Human Services	SPE	521	All	Expanded Core in Visual Impairments	\$50	\$0	DELETE
College of Science & Math							
Department	Current Course	Current Course #	Section	Description	Present Amount	Proposed Amount	Status
Geology	GOL	542	All	Exploration of ORE Resources	\$250	\$0	DELETE

APPROVAL OF RESOLUTION TO ACKNOWLEDGE REVIEW OF INVESTMENT POLICY AND STRATEGY

Explanation:

In accordance with Chapter 2256 of the Texas Government Code, the university's investment policy and strategy must be annually reviewed by the governing board of the institution. In addition, the law requires the governing body to adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and strategy. The resolution presented in Appendix X. acknowledges the board's annual review of Policy 3.21, Investments. Policy 3.21 is included in the policy revisions.

Recommendation:

The administration recommends approval of the Resolution to Acknowledge Review of the Investment Policy and Strategy presented in Appendix F.

BOARD OF REGENTS
OF
STEPHEN F. AUSTIN STATE UNIVERSITY
Nacogdoches, Texas
RESOLUTION TO ACKNOWLEDGE
REVIEW OF INVESTMENT POLICY AND STRATEGY

WHEREAS, The Texas Public Funds Investment Act requires that each university's investment policy and strategy must be annually reviewed by the governing board of the institution; and

WHEREAS, the law also requires the governing body to adopt a written instrument stating that is has reviewed the investment policy and strategy;

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on January 28, 2020, and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 28, 2020 meeting of the board.

Attest:

Signature of Secretary

Signature of Chairman

APPROVAL OF THE RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS

Explanation:

Chapter 2256 of the Texas Government Code requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The following financial institutions and brokers/investment managers are listed in the resolution, submitted in Appendix G: Texas A&M University System, Bank of America, Hilltop Securities, Citizens 1st Bank, Austin Bank, BancorpSouth Bank, Bank of America, Commercial Bank of Texas NA, Southside Bank, Regions Bank, UBank,(formerly Huntington State Bank), Wells Fargo Bank, US Bank, Texas Bank, Texpool, TexSTAR, Texas CLASS, TexasTERM, JPMorgan Chase & Co., Wilmington Trust, N.A., UBS Financial Services Inc., FTN Financial Capital Markets, Stephens Inc., Citigroup Global Markets, Inc., LOGIC, Water Walker Investment, and Prosperity Bank.

Recommendation:

The administration recommends approval of the financial institutions, investment managers and brokers presented in Appendix G.

BOARD OF REGENTS
OF
STEPHEN F, AUSTIN STATE UNIVERSITY
Nacogdoches, Texas

RESOLUTION APPROVING
FINANCIAL INSTITUTIONS AND BROKERS FOR INVESTMENT TRANSACTIONS

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

WHEREAS, the following firms are approved investment brokers:

- Texas A&M University State System
- Bank of America
- Hilltop Securities

WHEREAS, the following firms are approved financial institutions:

- | | |
|--|--------------------------------|
| Citizens 1st Bank | TexSTAR |
| Austin Bank | Texas CLASS |
| BancorpSouth Bank | TexasTERM |
| Bank of America | JPMorgan Chase & Co |
| Commercial Bank of Texas NA | Wilmington Trust, N.A. |
| Southside Bank | UBS Financial Services Inc. |
| Regions Bank | FTN Financial Capital Markets |
| UBank (formerly Huntington State Bank) | Stephens Inc. |
| Wells Fargo Bank | Citigroup Global Markets, Inc. |
| US Bank | LOGIC |
| Texas Bank | Water Walker Investment |
| TexPool | Prosperity Bank |

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the above listed firms for investment transactions by Stephen F. Austin State University; and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 28, 2020 meeting of the board.

Attest:

Chair of the Board of Regents

Secretary of the Board of Regents

Date _____

APPROVAL OF THE RESOLUTION AMENDING AUTHORIZED TEXPOOL REPRESENTATIVES

Explanation:

The university uses TexPool as an investment entity for public fund investments. As a result of university administrative changes, a resolution is necessary to amend authorized institutional representatives. A resolution is presented in Appendix H that revises university authorized investment signatories.

Recommendation:

The administration recommends approval of the TexPool Resolution Amending Authorized Representatives presented in Appendix H.



Resolution Amending Authorized Representatives

Please use this form to amend or designate Authorized Representatives.

This document supersedes all prior Authorized Representative forms.

* Required Fields

1. Resolution

WHEREAS,

Stephen F. Austin State University

Participant Name*

7 | 8 | 0 | 5 | 0

Location Number*

("Participant") is a local government of the State of Texas and is empowered to delegate to a public funds investment pool the authority to invest funds and to act as custodian of investments purchased with local investment funds; and

WHEREAS, it is in the best interest of the Participant to invest local funds in investments that provide for the preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act; and

WHEREAS, the Texas Local Government Investment Pool ("TexPool/ Texpool Prime"), a public funds investment pool, were created on behalf of entities whose investment objective in order of priority are preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act.

NOW THEREFORE, be it resolved as follows:

- A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.
- B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and
- C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

List the Authorized Representative(s) of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

1. Scott Gordon | President
 Name | Title
9 | 3 | 6 | 4 | 6 | 8 | 2 | 2 | 0 | 1 | 9 | 3 | 6 | 4 | 6 | 8 | 2 | 2 | 0 | 2 | scott.gordon@sfasu.edu
 Phone | Fax | Email

 Signature

2. Danny R. Gallant | Vice President of Finance and Administration
 Name | Title
9 | 3 | 6 | 4 | 6 | 8 | 2 | 3 | 5 | 0 | 9 | 3 | 6 | 4 | 6 | 8 | 7 | 0 | 2 | 7 | dgallant@sfasu.edu
 Phone | Fax | Email

 Signature

3. Dannette Sales | Controller
 Name | Title
9 | 3 | 6 | 4 | 6 | 8 | 2 | 3 | 5 | 4 | 9 | 3 | 6 | 4 | 6 | 8 | 2 | 2 | 0 | 7 | salesdl@sfasu.edu
 Phone | Fax | Email

 Signature



Resolution Amending Authorized Representatives

Please use this form to amend or designate Authorized Representatives.

This document supersedes all prior Authorized Representative forms.

* Required Fields

1. Resolution

WHEREAS,

Stephen F. Austin State University

Participant Name*

78050

Location Number*

("Participant") is a local government of the State of Texas and is empowered to delegate to a public funds investment pool the authority to invest funds and to act as custodian of investments purchased with local investment funds; and

WHEREAS, it is in the best interest of the Participant to invest local funds in investments that provide for the preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act; and

WHEREAS, the Texas Local Government Investment Pool ("TexPool/ Texpool Prime"), a public funds investment pool, were created on behalf of entities whose investment objective in order of priority are preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act.

NOW THEREFORE, be it resolved as follows:

- A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.
- B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and
- C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

List the Authorized Representative(s) of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

1. Judith Kruwell | Director of Financial Services
Name | Title

9364684541 | 9364687027 | kruwelljf@sfasu.edu
Phone | Fax | Email

Signature

2. Jessica Barrett | Budget Director
Name | Title

9364682116 | 9364687027 | jbarrett@sfasu.edu
Phone | Fax | Email

Signature

3. Eric Ashworth | Assistant Controller
Name | Title

9364682218 | 9364682207 | ashworther@sfasu.edu
Phone | Fax | Email

Signature

1. Resolution (continued)

4. Michaelyn Greene | Director of Administrative Services
 Name | Title
9 3 6 4 6 8 3 0 0 5 | 9 3 6 4 6 8 7 0 2 7 | greenemf@sfasu.edu
 Phone | Fax | Email

 Signature

List the name of the Authorized Representative listed above that will have primary responsibility for performing transactions and receiving confirmations and monthly statements under the Participation Agreement.

Danny R. Gallant
 Name

In addition and at the option of the Participant, one additional Authorized Representative can be designated to perform only inquiry of selected information. This limited representative cannot perform transactions. If the Participant desires to designate a representative with inquiry rights only, complete the following information.

Pamela Corman | Bursar
 Name | Title
9 3 6 4 6 8 3 9 9 2 | 9 3 6 4 6 8 7 2 1 3 | pcorman@sfasu.edu
 Phone | Fax | Email

D. That this Resolution and its authorization shall continue in full force and effect until amended or revoked by the Participant, and until TexPool Participant Services receives a copy of any such amendment or revocation. This Resolution is hereby introduced and adopted by the Participant at its regular/special meeting held on the 28 day of January, 2020.

Note: Document is to be signed by your Board President, Mayor or County Judge and attested by your Board Secretary, City Secretary or County Clerk.

 Name of Participant*

SIGNED

 Signature*
Brigettee C. Henderson
 Printed Name*
Board of Regents Chair
 Title*

ATTEST

 Signature*
Alton L. Frailey
 Printed Name*
Board of Regents Secretary
 Title*

2. Mailing Instructions

The completed Resolution Amending Authorized Representatives can be faxed to TexPool Participant Services at 1-866-839-3291, and mailed to:

TexPool Participant Services
 1001 Texas Avenue, Suite 1150
 Houston, TX 77002

ORIGINAL SIGNATURE AND DOCUMENT REQUIRED

TEX-REP

TexPool Participant Services
 1001 Texas Avenue, Suite 1150 • Houston, TX 77002
 Phone: 1-866-TEXPOOL (839-7665) • Fax: 1-866-839-3291 • www.texpool.com

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APPROVAL OF ARAMARK CONTRACT AMENDMENT

Explanation:

The university's agreement with Aramark to provide food service on campus contains provisions for a financial commitment to support infrastructure investments over the term of the agreement. Prior to the end of the term of this agreement, an increase in the amount of this financial commitment is necessary to fund a relocation of the Einstein's Bros. in the Steen Library. This renovation should be completed prior to the end of the fall 2020 semester to maintain the high quality food service program our students seek and will provide a key anchor to the renovation of the first floor of the library.

Aramark has agreed to increase their financial commitment by \$1,000,000 to fund this project. An amendment to our current agreement is necessary to account for this addition and the long-term disposition of the investment.

Recommendation:

The administration recommends that the president be authorized to sign an amendment to the existing food service agreement with Aramark, increasing Aramark's financial commitment for food service program renovations by \$1,000,000. The amendment follows, Appendix I.



2400 Market Street
Philadelphia, PA 19103

[DATE], 2020

Dr. Steve Westbrook
Vice President of University Affairs
Stephen F. Austin State University
Box 6101
SFA Station
Nacogdoches, TX 75962

Dear Dr. Westbrook:

This Letter Amendment shall confirm the understanding between you and our representatives that, effective as of _____, 2020, the University Food Service Agreement between **STEPHEN F. AUSTIN STATE UNIVERSITY** (“University”) and **ARAMARK EDUCATIONAL SERVICES OF TEXAS, LLC** (assignee of Aramark Educational Services, LLC) (“Aramark”) effective as of September 1, 2006, as amended (the “Agreement”), shall be further amended as follows:

1. The parties agree that Aramark will provide an additional financial commitment in an amount up to One Million Dollars (\$1,000,000) for the relocation and expansion of the Einstein Bros. Bagels. In accordance with the foregoing, Paragraph 7, Financial Commitment, shall be modified by increasing the “Aggregate New Financial Commitment” from Five Million Five Hundred Five Thousand Dollars (\$5,505,000) to Six Million Five Hundred Five Thousand Dollars (\$6,505,000). Furthermore, a new Financial Commitment Segment line shall be added to the table at Paragraph 7.1 as follows:

Period of Operation	Amount of Financial Commitment Segment	Amortization Period
April 1, 2020 – August 31, 2020 (construction period)	\$1,000,000	10 years

Notwithstanding anything to the contrary in the last sentence of Paragraph 7.1, amortization of the Financial Commitment Segment above shall commence upon the complete expenditure of such Financial Commitment Segment or August 31, 2020, whichever occurs first.

Lastly, Appendix E, USE OF FINANCIAL COMMITMENT OUTLINED IN SECTION 7, shall be modified with the following addition:

Period: April 1, 2020 – August 31, 2020 (anticipated opening date in late August 2020)

Financial Commitment: \$1,000,000

Amortization Period: 10 Years

Interest Rate Charged During Amortization Period: 0%

Disposition of funds not expended during this time period: Will be maintained by Aramark and applied to the next mutually agreed upon project.

Use: The Contractor and the University will mutually agree upon how these funds will be used to relocate and expand the Einstein Bros. Bagels.

ZA-558884

[DATE], 2020

Page 2

In all other respects the Agreement shall remain in full force and effect.

If the foregoing is in accordance with your understanding, please sign and date a copy of this Letter Amendment and return it to Aramark at your convenience.

Very truly yours,

ARAMARK EDUCATIONAL SERVICES OF TEXAS, LLC
("Aramark")

By: _____
Christian Dirx
Vice President

The above is accepted and agreed to this _____ day of _____, 2020.

STEPHEN F. AUSTIN STATE UNIVERSITY ("University")

By: _____
Name:
Title:

APPROVAL OF FY2020-21 BOARD RATES

Explanation:

Projected food service operating costs support the need for revised board rates for the 2021 fiscal year.

Pursuant to the relevant provisions of our food service contract, the administration and ARAMARK annually negotiate necessary rate increases for the upcoming fiscal year. Our contract uses the percentage increase in the Food and Beverage element of the Consumer Price Index (CPI) published by the Bureau of Labor Statistics, U. S. Department of Labor, for urban consumers ("CPI-U") in the South as a benchmark for any rate increase considered.

The proposed board rates for fiscal year 2021 are presented in the following appendix and reflect a 3.3% increase in the board plans.

These revised rates will become effective for the fall semester of 2020.

Recommendation:

The administration recommends approval of a 3.3% increase for ARAMARK services for FY2021 as presented in Appendix J.

Stephen F. Austin State University
Board Rates for 2020-2021

Appendix J

Meal plans (rates include sales tax)

Resident	All Access Premium w/\$275 \$2,059	All Access w/\$50 \$1,858	7/14 Premium w/\$350 \$2,008	Basic 7/14 w/\$125 \$1,807
Summer Resident	7/14 w/\$75 \$663	7/20 w/\$50 \$830		

APPROVAL OF FINANCIAL AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Finance and Audit Committee will consider: budgeting and appropriations request processes; 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; handling of university funds, depositories, etc., whether from appropriated or contributed funds; and the auditing function of the university including, but not limited to, annual audit plan, internal and external audit reports, risk assessment, and audit/compliance issues.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented:

Central Receiving 17.2
Fair Labor Standards 11.14
Gifts, Loans, Endowments and Bequests 3.17
Investments 3.21
Investments – Endowment Funds 3.20
Prompt Payment to Vendors 17.13
Property Liability 16.22
Proprietary Purchases 17.15
Purchase of Surplus Property 17.17
Safe and Vault Combinations 14.9
Student Fiscal Appeals 6.19

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Central Receiving

Policy Number: 17.2

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): The policy establishes guidelines and responsibilities when receiving supplies and equipment purchased 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:

Specific rationale for each substantive revision: Penalties clarified for failure to complete procedures. Other minor wording changes and clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Central Receiving

Original Implementation: Unpublished

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy establishes guidelines and responsibilities when receiving supplies and equipment purchased for the university.

General

All supplies and equipment purchased for the university are to be delivered through central receiving to ensure uniform handling of freight claims, accurate entry of receiving information, and necessary elements of institutional control. The following purchases are excluded from this requirement: -

1. items being delivered under delegated purchase authority to the library, Stone Fort Museum, or departments using p-cards or rush orders;
2. items that require installation by the contractor *or vendor*; and
3. items specifically authorized by the Department of Procurement and Property Services

It is the responsibility of the department taking receipt of goods or services to immediately complete a Receiving Form for Purchase Orders online for all deliveries of goods or services *purchased through a purchase order*. See the ~~Purchase Order Receiving Manual~~ manual for detailed instructions for receiving purchase orders. Timely entry of receiving information is essential to avoid late payment penalties, and to effectively handle freight claims, shortages, or discrepancies.

Failure to promptly complete a Receiving Form for Purchase Orders or notify central receiving of damages or shortages may result in the inability to return goods, higher restocking fees, or liability for late payment penalties. The payment of any such penalties will be made from the account(s) that funded the original purchase.

Delivery of Vehicles

All vehicles *must be delivered to central receiving to verify that specifications have been met, and to complete required documentation and tagging by the property manager. Vehicles will be delivered to the transportation manager for identification as a state vehicle and recording state vehicle fleet management plan information.* ~~will be checked for meeting specifications, tagged by the property manager, and delivered to the transportation manager for identification as a state vehicle and recording state vehicle fleet management plan information.~~

Delivery of Other Goods

Other goods delivered to central receiving will be examined for damages and the contents of the shipment compared against the purchase order. Damages or discrepancies will be noted on the bill of lading. Central receiving will handle the filing of claims with the freight company for any freight

damages or quantity discrepancies. Central receiving will create a receiver document and delivery log in the university's financial system and schedule delivery to the requisitioning department, with the exception of computers which will be delivered to the appropriate tech shop for deployment.

Other goods delivered to the requisitioning department will be examined for damages and the contents of the shipment compared against the purchase order or procurement card (p-card) receipt. Damages or discrepancies should be reported immediately to central receiving for claims processing.

~~Upon receipt of goods, central receiving will:~~

- ~~1. count and examine all cartons for visible damage, create a receiver document and delivery log in the university's financial system, and note any discrepancies on the bill of lading;~~
- ~~2. deliver all packages, boxes, crates, etc., (except those requiring property tagging, special equipment or manpower for moving) within 24-48 hours to the requisitioning department; and~~
- ~~3. handle the filing of claims with the freight company for any freight damages or shortages.~~

~~Upon receipt of goods from central receiving, the department will:~~

- ~~1. check contents of shipment against original purchase order and complete a Receiving Form for Purchase Orders online; and~~
- ~~2. notify central receiving immediately of any damages or shortages that could not be identified by central receiving.~~

~~Upon receipt of goods or services directly from the vendor, the department will:~~

- ~~1. count and examine all cartons for visible damage and note any discrepancies on the bill of lading;~~
- ~~2. check contents of shipment against original purchase order and complete a Receiving Form for Purchase Orders online; and~~
- ~~3. notify central receiving immediately of any damages or shortages.~~

~~Failure to promptly complete a Receiving Form for Purchase Orders online or notify central receiving of damages or shortages may result in:~~

- ~~1. the inability to return goods,~~
- ~~2. higher restocking fees, or~~
- ~~3. payment for the goods or services and a liability for late payment penalties. The payment of any such penalties will be made from the account(s) that funded the original purchase.~~

Outgoing Freight

Outgoing freight may be dispatched through central receiving to ensure proper documentation, packing, and labeling. Clear indication of shipment value should always be made on the package or on the accompanying documentation. A special notation should be made when insurance is desired. Contact central receiving for additional instructions or assistance in handling outgoing freight.

Cross Reference: Purchase Order Receiving Manual

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: [Receiving Form for Purchase Orders](#)

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Fair Labor Standards

Policy Number: 11.14

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): Policy outlines the requirements of complying with the Fair Labor Standards Act (FLSA)

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 word change.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta C. Doty, Director of Human Resources
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Fair Labor Standards

Original Implementation: February 3, 2005

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy affirms Stephen F. Austin State University's intent to comply with the Fair Labor Standards Act (FLSA) and related federal and state laws.

Definitions

Nonexempt Employees - Nonexempt employees ~~are will be~~ paid only for actual hours worked unless they receive benefits under the university's leave policies.

Exempt Employees - Exempt employees are paid on a salary basis and, in general, must be paid their full salary for any week in which they perform work. Their pay may be reduced only under the circumstances described below.

General

All faculty, staff, and student employees of SFA are covered by the FLSA, although certain classes of employees are exempt from its overtime pay and minimum wage requirements. An employee's rights under the FLSA may not be waived. No employee may agree, even voluntarily, to work in violation of the FLSA. SFA pays all employees, including student workers, at least the federal minimum wage prescribed by the FLSA.

Determination of Exemption Status of Employees

Each employee's overtime pay and minimum wage coverage under the FLSA (exempt, nonexempt) must be determined on an individual basis in accordance with the terms of the federal regulations. The director of human resources should be consulted when questions arise concerning an employee's status under the FLSA.

Graduate students who are simultaneously performing research under grants and contracts, are teaching as their primary duty, and are fulfilling the requirements of an advanced degree are exempt from overtime pay and minimum wage requirements.

Overtime

The FLSA and state law govern the handling of overtime work. See SFA policy Overtime and Compensatory Time (12.14) for more information.

Deductions to Pay for Exempt Employees

Exempt employees are paid on a salary basis and, in general, must be paid their full salary for any week in which they perform work. Their pay may be reduced only in the following circumstances:

1. Employees who are absent from work at least one or more full days for sickness or disability will not be paid for that day unless they have accrued benefits under SFA's leave policy or disability policy. Their pay will not be reduced if they are absent for less than a full day because of sickness or disability.
2. Employees who take leave under the Family and Medical Leave Act will not be paid for that time unless they have accrued benefits under the university's leave policies. Their pay will be reduced by the hours missed even if it is less than a full day.
3. Employees who are absent from work for at least a full day for personal reasons other than sickness or disability will not be paid for that day unless they have accrued leave available. If an employee is absent for less than a full day for personal reasons, his or her pay will not be reduced.
4. Employees who are absent from work for jury duty, attendance as a witness at a trial or temporary military leave will have their pay reduced by the amount of payment they receive in the form of jury fees, witness fees, or military pay. Their pay will not be reduced by the number of hours or days they are absent from work unless they perform no work in a given week.
5. If an employee violates a safety rule of major significance, their pay may be reduced in an amount to be determined by the director of human resources as a penalty for that violation.
6. Employees may be suspended without pay for other types of workplace misconduct, but only in full-day increments. Their pay will be reduced in an amount that is proportionate to the number of days suspended. See the university's policy 11.4, Discipline and Discharge.
7. Employees who work less than 40 hours during their first or last week of employment will be paid a proportionate part of their full salary for the time actually worked.

Improper Deductions from Pay

It is SFA's policy to comply with the salary basis requirements of the FLSA. Therefore, the university prohibits all supervisors from making improper deductions from salaries of exempt employees. SFA wants employees to be aware of this policy and that the university does not allow deductions that violate the FLSA.

Equal Pay for Equal Work under the FLSA

SFA employees are covered by the Equal Pay Act, an amendment to the FLSA, that prohibits gender-based wage differentials between persons employed in the same location on jobs that require equal skill, effort, and responsibility and that are performed under similar working conditions. Jobs need only be substantially equal, not identical, for comparison purposes. The law permits differences in pay based on factors other than gender such as bona fide seniority or merit systems or systems that reward productivity.

Employment of Minors

The FLSA prescribes at what age and in which types of occupations minors can be employed. Federal regulations also limit hours of work for certain age groups. A list of prohibited occupations and other restrictions on employment of minors is available from the director of human resources.

To protect SFA from an unwitting violation of the age restrictions, human resources must obtain and keep on file a Minor's Employment Release form (HR-200) if the person being employed is younger than 18 years of age. In addition, human resources must obtain and keep on file a Federal Certificate of Age issued by the U. S. Department of Labor (*DOL*), a state Certificate of Age issued by the Texas Workforce Commission or other proof of age acceptable to the director of human resources for any person offered employment when there is any reason to believe the person being employed is younger than 19 years of age.

Administration

The director of human resources is responsible for administering and answering questions on the FLSA. Inquiries as well as requests for special exemptions should be submitted to the director of human resources.

The human resources office is responsible for posting, and keeping posted, notices pertaining to the applicability of the FLSA. These notices, which can be obtained from the ~~Department of Labor~~ *DOL*, are to be displayed in conspicuous places to facilitate observation by all employees.

The human resources office is also responsible for ensuring that all FLSA- and DOL-required records are maintained.

Appeal Process

If an employee feels the university has violated any of the above regulations under the Fair Labor Standards Act the employee may, without prejudice or fear of retaliation, express his/her appeal to their supervisor or the director of human resources. Those regulations include the minimum wage provisions, determination of exemption status of an employee, overtime provisions, deductions to pay for exempt employees, improper deductions from pay, equal pay for equal work provision, and the employment of minors. The complaint will be investigated by human resources and they will render a decision. If the employee is not satisfied with that decision, they can appeal to the vice president for the area involved who shall obtain input from the general counsel before making a final decision.

If an investigation results in a determination that improper pay has been awarded, the university will rectify the under-awarded pay amounts through this appeal process. Each employee is assured freedom from interference, coercion, discrimination and reprisal in filing appeals.

Cross Reference: Fair Labor Standards Act, 29 U.S.C. § 201 et. seq.; Overtime and Compensatory Time (12.14); Discipline and Discharge (11.4)

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: Gifts, Loans, Endowments, and Bequests

Policy Number: 3.17

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

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

Unit(s) Responsible for Policy Implementation: Vice President for University Advancement

Purpose of Policy (what does it do): Guidelines for soliciting, accepting, acknowledging and using gifts, endowments and bequests made to the university.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: To clarify internal procedures related to primary source of contact for stewardship and solicitation of funds. To change amounts to be consistent with items requiring Board of Regents approval. To include reference to the Office of Development performing support functions for the real estate foundation.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Gifts, Loans, Endowments, and Bequests

Original Implementation: July 18, 1981

Last Revision: ~~April 30, 2019~~ January 28, 2020

Authority to accept gifts, loans, endowments and bequests made to Stephen F. Austin State University is vested in the president of the university by the Board of Regents. Gifts, loans, endowments and bequests to any entity of the university should be reported through normal administrative channels.

The president of the university has been authorized to accept gifts under the following conditions:

1. A gift, loan, endowment or bequest which may require commitment of funds, personnel, space or other resources shall be approved by the president prior to any commitment or action on behalf of the university.
2. The university is authorized, with prior approval of the president and ratification by the Board of Regents, to accept gifts or devises of real property for the establishment of scholarships, professorships and other trusts for educational purposes provided such property will not require appropriations by the legislature for operation, maintenance, repair or construction of buildings.
3. Privacy of donor identity may be granted by the university with the exceptions noted by the Public Information Act or the Internal Revenue Service when public recognition is not desired by the donor.

The terms under which any loan, endowment or bequest is offered and accepted shall be provided in a written agreement between the donor and the university. The general counsel's office shall review any bequests made to the university prior to acceptance by the president. All original deeds of trust, wills, endowments, original records, etc., should be forwarded to the Office of Development for safekeeping.

The Office of Development is the primary source of contact with ~~people in the private sector~~ *non-university personnel or entities for development-related purposes, including but not limited to stewardship and solicitation of soliciting private funds*. No individual or company may be solicited for any gift, loan, endowment, or bequest by any member of the faculty or staff of the university until that individual has presented the Office of Development with a copy of the proposal or request for funds and has received approval thereof.

Research grants or performance contracts which are privately funded are administered through the Office of Research and Sponsored Programs, and are not under the provisions of this policy.

Solicitation of Gifts

The Office of Development is responsible for soliciting, coordinating, approving and reporting all gifts and fundraising efforts. This includes both projects and proposals initiated by the Office of Development and those initiated elsewhere within the university and its related entities. To fulfill its mission, the Office of Development must be kept informed in a timely fashion on all actions related to fundraising.

1. All university departments, including faculty, staff, students, student organizations (as per policy 10.9, Student Organization Formation and Recognition) and affiliated 501(c)(3) entities are responsible for coordinating and clearing all fundraising projects funded by individuals, foundations and corporations in advance of the fundraising projects in writing. All fundraising projects shall comply with SFA policies and procedures, as well as federal and state laws.
2. If any faculty member, staff member, student or student organization receives any unsolicited question from a prospective donor regarding a possible gift to the university or the Stephen F. Austin State University Foundation, Inc., the Office of Development should be notified of the inquiry as soon as possible following the initial contact.

Acknowledgment of Gifts

In order to ensure accurate recording of all private support for the university and to properly acknowledge donors' gifts, the Office of Development will coordinate the acknowledgment of gifts.

1. All offices are responsible for forwarding any gifts received to the Office of Development for receipting and reporting purposes or to the bursar's office (as per policy 3.16, Gift Reporting). This will ensure accurate recording of all support for the university, fulfill the receipting requirements of the Internal Revenue Service, and properly acknowledge that support. Further, all gifts and any accompanying correspondence, instructions, etc., are to be forwarded to the Office of Development for processing. Gifts-in-kind such as equipment, furniture and art objects are to be reported in writing to the Office of Development via the Gifts-in-kind form.
2. Any written statement concerning tax deductibility of contributions must be reviewed and approved by the Office of Development.

Use of Gifts, Loans, Endowments and Bequests

Gifts, loans, endowments and bequests made to Stephen F. Austin State University shall be used for the purpose designated by the donor. If a purpose is not specified by the donor, and the amount of the gift is ~~\$100,000~~\$500,000 or more, utilization shall be as directed by the Board of Regents

after consideration of recommendations by the president and the vice president for development. If a purpose is not designated, and the amount of the gift is less than ~~\$100,000~~\$500,000, utilization shall be as directed and approved by the president of the university.

Gifts received by the university and made payable to the Stephen F. Austin State University Foundation, Incorporated, should be forwarded to the Office of Development for transfer and deposit to the foundation. No gifts or bequests to the university may be transferred to the Stephen F. Austin State University Foundation, Inc. or the Stephen F. Austin State University Alumni Association, Inc. without petitioning a court of competent jurisdiction, as outlined under state law. Funds gifted to the university for a restricted purpose are considered a charitable trust. Legal title to such funds cannot be transferred to other entities, except as noted above.

Under the authority of the Board of Regents, the vice president for finance and administration of Stephen F. Austin State University is empowered to negotiate and execute the sale of marketable securities donated to the university when such sale is directed or allowed by the donor of said securities. The proceeds of such sale shall be promptly deposited into a university account, to be used as indicated by the donor. All in-kind gifts of ~~\$100,000~~-\$500,000 or more and all real estate gifts (excluding gifts managed by the SFA Real Estate Foundation) would require specific approval by the Board of Regents for liquidation to a university cash account.

Restrictions on the expenditure of gift funds generally reside within the following three criteria:

1. A gift must be expended in accordance with the donor's wishes.
2. The expenditure of the gift funds must be for the demonstrable good of the university.
3. The expenditure must provide no private gain to either the donor or the person controlling the expenditure of the funds.

The use of gift funds must meet all three criteria collectively. Some specific examples of expenditures from unrestricted gifts that may be for the demonstrable good of the university, without private gain for the individual expending the funds, are as follows:

1. awards that recognize or promote faculty development, excellence in teaching, academic achievement, athletic achievement, scholarship, or service;
2. costs related to the promotion of the communication of intellectual ideas among students, faculty, staff and administrators of the university;
3. support of student events and activities sponsored by the university;
4. the recruitment of highly qualified students, faculty and staff;
5. costs related to the promotion of the exchange of ideas with community leaders regarding the role of the university and its programs in the community;
6. costs related to the conduct of accrediting agency visits, visits by other officials from other institutions or representatives outside higher education;
7. costs related to the support of continuing education activities.

Examples of expenditures which may not meet the criteria established are as follows:

1. any expenditure that violates the restriction placed on the gift by the donor;
2. the procurement of private property for the personal, unofficial use of any faculty or staff member;
3. donations or other payments to a political party;
4. any other expenditure expressly prohibited by law.

Questions concerning an expenditure meeting these criteria should be referred to the Office of Development.

Real or personal property acquired through gifts, loans, endowments or bequests is subject to the same management requirements as other state property. Disposal of any property acquired through gifts, loans, endowments or bequests shall be handled in accordance with state law and applicable university policies and procedures. Property acquired through gifts, loans, endowment or bequest cannot be disposed of, sold, or transferred without written permission from the Office of Development and the president.

Conflict of Interest

No employee of the university may accept any gift, loan, endowment, or bequest the purpose of which is to establish or be used, in whole or in part, as a salary supplement for him/herself.

Publicity

The Office of Development, in coordination with the faculty/staff contact person, the donor, and the Office of University Marketing Communications, is responsible for coordinating all publicity related to gifts.

Matching Gifts

Certain foundations and companies provide gifts to the university which match contributions made by their employees. For tax purposes, certification is required from the university that the gift of the employee has been received. The matching gift forms, which certify receipt of the gift, require the signature of the executive director or associate director of development.

Foundation Support

The Office of Development has the responsibility of performing certain support functions for the Stephen F. Austin State University Foundation, Inc. *and the SFA Real Estate Foundation, Inc.* This includes receiving, receipting, acknowledging, and reporting gifts received by ~~the~~ *either* foundation, as provided in the Agreement between Stephen F. Austin State University and the Stephen F. Austin State University Foundation, Inc. *and the Agreement between Stephen F. Austin*

State University and the SFA Real Estate Foundation, Inc.

Library

Unrestricted gifts of books and other library related materials to Stephen F. Austin State University, not to include equipment such as tape recorders, etc., will not require the usual approval process as authorized in this policy (See Library Gifts, 4.11.3).

Definitions

1. Gift. A gift includes the gratuitous transfer of cash, cash equivalents such as securities and negotiable instruments, and real or personal property which generates income or may be sold for cash, for the purpose of enhancing the university and its programs, without expectation of specific benefit by the donor.
2. Loan. Real or personal property furnished for the temporary use of the university.
3. Endowment. An endowment is comprised of a gift, in which the donors have stipulated that the principal must be invested and only the income used to fund a project or need. The principal remains intact in perpetuity, thereby continuing to generate income to be used by the university. Endowment funds are classified into four different categories:
 - a. Permanent Endowments. These endowments are sometimes referred to as "true" or "pure" endowments and are assets designated by the donor to be held in perpetuity. If specifically stated in writing by the donor, the corpus assets of this category of endowments may never be spent and income derived must be expended in accordance with the written terms and conditions established by the donor and the university. Otherwise, the governing board may appropriate for expenditure, for the uses and purposes for which the fund is established, the net appreciation, realized and unrealized, in the fair market value of the assets of an endowment fund over the historic dollar value of the fund to the extent allowed under the University Management of Institutional Funds Act or other applicable law.
 - b. Term Endowment. In this category of endowments, the donor has specified that following a particular date or event, the assets of the endowment may be expended in accordance with the terms and conditions as specified. Until the passage of the specific date or event, this type of endowment will operate in a manner similar to the permanent endowment with the income used in accordance with the written terms and conditions established by the donor and the university.
 - c. Quasi-Endowments or Quasi-Funds. The Board of Regents may, with formal action, set aside certain institutional funds to be maintained as endowments. The formal action by the Board of Regents will specify the use of the assets and income derived, and set other terms and conditions relating to the fund. The Board of Regents may, with formal action, change the terms and conditions of the endowment including cessation of the endowment and the return of the assets to the original source of funding, or change the use or purpose as may be appropriate

and authorized by law.

- d. Funds Held in Trust by Others. Some donors may choose to make income from endowment-type funds available to the university, but will leave the possession of the assets in trust with a third party. In this case, the endowment is not recorded as an asset of the university. In accordance with the Generally Accepted Accounting Principles (GAAP), the existence of the trust must be disclosed in the notes to the university's financial statements.

Amounts associated with fundraising necessary for naming consideration are outlined in the university's Overview of Naming Guidelines and Procedures, available in the office of the vice president for university advancement.

Cross Reference: Tex. Educ. Code §§ 51.001-.009, 95.34, Ch. 101; Uniform Prudent Management of Institutional Funds Act, Tex. Prop. Code Ch. 163; Uniform Prudent Investor Act, Tex. Prop. Code Ch. 117; Texas Public Funds Investment Act, Tex. Gov't Code Ch. 2256; Gift Reporting (3.16); Library Gifts (4.11.3); Student Organization Formation and Recognition (10.9); Overview of Naming Guidelines and Procedures.

Responsible for Implementation: Vice President for University Advancement

Contact for Revision: Vice President for University Advancement

Forms: Gift-in-Kind Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments

Policy Number: 3.21

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

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

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

Purpose of Policy (what does it do): The policy establishes guidance for the investment of all university funds that are governed by the Public Funds Investment Act and certain portions of TEC.

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 and formatting changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Judi Krewell, Director of Financial Service
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Investments

Original Implementation: April 30, 1996

Last Revision: ~~January 29, 2019~~ January 28, 2020

Purpose

This policy establishes guidance for the investment of all university funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act, and certain portions of the Texas Education Code. Endowment funds are invested in accordance with Investments – Endowment Funds policy (3.20) approved by the Board of Regents (board) annually. Quasi-endowment funds that are considered to be public funds will be governed by this policy.

Definitions

Short-Term investments have a maturity of less than 90 days. Funds needed to meet short-term operating requirements will be primarily invested in either investment pools or overnight sweep accounts established with banking institutions. The benchmark is the average three-month Treasury bill yield.

Intermediate-Term investments have a maturity of 90 days to one year. United States Treasury and Agency securities, or United States Agency Discount Notes are the primary investment vehicles. United States Treasury securities are preferable because of their low risk and the ease with which they are traded. The benchmark is 95 percent of the average one-year Treasury bill yield.

Long-Term investments have a maturity over one year. United States Treasury and Agency securities are the primary investment vehicles. The 30 Year Treasury Bond rate is the benchmark for long term funds.

General

Stephen F. Austin State University invests the public funds in its custody with primary emphasis on the preservation and safety of the principal amount of the investment. Secondly, investments must be of sufficient liquidity to meet the day-to-day cash requirements of the university. Finally, the university invests to maximize yield within the two previously indicated standards. All investments within this policy conform to all applicable state statutes and local rules governing the investment of public funds.

Objectives

The foremost objective of all investment decisions shall be safety of principal. All investments must be undertaken with the fiduciary responsibility associated with that of a reasonable and prudent person. Investments must be in accord with Texas law. Investment maturity must be diversified to match the university's liquidity requirements and to meet all reasonably anticipated operating requirements. Investments shall incur no unreasonable risk in order to maximize potential income. Investments may be diversified in order to respond to changing economic and/or market conditions. No investments within the portfolio or investment practices conducted to effect investment activities shall violate the terms of this policy.

Investment Strategy

3.21 Investments

Page 1 of 9

All investments will be made in accordance with the university's investment policy. Investments may be diversified as needed to support the university's financial requirements. The preservation and safety of principal is the first priority, however, it is recognized that unrealized losses will occur in a rising interest rate environment, just as unrealized gains will occur during periods of falling interest rates. Investments will be structured to provide sufficient liquidity and marketability to meet operating requirements. The investment portfolio may be diversified with authorized securities to accommodate changing market conditions. An investment decision shall consider yield only after the requirements for principal preservation, liquidity, and marketability have been met.

All securities transactions, including collateral for repurchase agreements, but excluding mutual funds and investment pools, must be settled on a delivery versus payment basis.

An investment strategy may include investment pooling with another public institution as authorized in Texas Education Code Sec. 51.0031. Funds invested with another institution that meets guidelines established by Sec. 51.0031 will be managed in accordance with prudent person investment standards.

Investment Authority

The vice president for finance and administration, the director of financial services, and the director of administrative services shall be designated as the university's investment officers and are responsible for the duties outlined herein. The names and titles of the investment officers shall be filed with the Board of Regents. Changes of names and/or titles must be filed with the Board of Regents as they occur. The vice president for finance and administration, the director of financial services, and the director of administrative services may only invest funds regulated by this policy and purchase securities authorized by this policy.

The board may contract with an investment management firm registered under the Investment Advisers Act of 1940 or with the State Securities Board to provide for the investment and management of public funds under its control.

The board may contract with another institution(s) to invest all or part of the university's funds in accordance with Texas Education Code Sec. 51.0031.

Investment Responsibilities

The vice president for finance and administration is responsible for investment management decisions and activities. The vice president for finance and administration delegates the day-to-day management of the investment activities to the director of financial services or the director of administrative services.

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

The vice president for finance and administration shall develop and maintain written administrative procedures and guidelines for the operation of the investment program which are consistent with and part of this Investment policy (Appendix B).

The vice president for finance and administration may establish an investment committee. The committee may review investment reports, monitor investment activity or review and revise qualified investment brokers that are eligible to serve in an investment capacity for the university. The chair of the Board of Regents may designate a board member to serve as a liaison on the investment committee.

Prudence

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

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

Investment Guidelines

Authorized Investments: All university funds and funds held in trust for others may be invested in the securities listed below and/or pooled with another institution of higher education as authorized in Texas Education Code Sec. 51.0031. For investments exclusive of funds authorized by Sec. 51.0031, credit rating requirements will be monitored at least monthly. If or when a rating drops below the established minimum, the investment will be liquidated as soon as prudently possible. Authorized securities include:

- a. obligations, including letters of credit, of the United States of America, or its agencies and instrumentalities;
- b. direct obligations of the state of Texas or its agencies and instrumentalities;
- c. collateralized mortgage obligations directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America;
- d. other obligations, the principal and interest of which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, the state of Texas or the United States of America or their agencies and instrumentalities, including obligations that are fully guaranteed or insured by the Federal Deposit Insurance Corporation or by the explicit full faith and credit of the United States;
- e. obligations of states, agencies, counties, cities, and other political subdivisions of any state rated as to investment quality by a nationally recognized investment rating firm of not less than A or its equivalent;
- f. *interest-bearing banking deposits that conform to Sections 2256.009(7) and 2256.009(8) of the Texas Government code;*
- f.g. certificates of deposit and share certificates issued by a depository institution that conforms to Section 2256.010 of the Texas Government Code.
- g.h. fully collateralized repurchase agreements that conform to Section 2256.011 of the Texas Government Code;
- h.i. bankers' acceptances that conform to Section 2256.012 of the Texas Government Code;
- i.j. commercial paper that conforms to Section 2256.013 of the Texas Government Code; no-load money market mutual funds and no-load mutual funds registered and regulated by the Securities

- and Exchange Commission and conform to Section 2256.014 of the Government Code;
- ~~j-k.~~ guaranteed investment contracts that conform to Section 2256.015 of the Government Code;
- ~~k-l.~~ investment pools that conform to Sections 2256.016 and 2256.019 of the Government Code;
- ~~l-m.~~ cash management and fixed income funds sponsored by organizations exempt from federal income taxation under Section 501(f), Internal Revenue Code of 1986 (26 U.S.C. Section 501(f));
- ~~m-n.~~ negotiable certificates of deposit issued by a bank that has a certificate of deposit rating of at least 1 or the equivalent by a nationally recognized credit rating agency or that is associated with a holding company having a commercial paper rating of at least A-1, P-1, or the equivalent by a nationally recognized credit rating agency;
- ~~n-o.~~ corporate bonds, debentures, or similar debt obligations rated by a nationally recognized investment rating firm in one of the two highest long-term rating categories, without regard to gradations within those categories.

Unauthorized Investments: The following investments are prohibited:

- a. obligations whose payment represents the coupon payments on the outstanding principal balance of the underlying mortgaged-backed security collateral and pay no principal;
- b. obligations whose payment represents the principal stream of cash flow from the underlying mortgage-backed security collateral and bear no interest;
- c. collateralized mortgage obligations that have a stated final maturity date of greater than 10 years; and
- d. collateralized mortgage obligations with an interest rate determined by an index that adjusts in an opposite direction to the change in a market index.

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

Category	Maximum
U. S. Treasury securities and securities having principal and interest guaranteed by the U. S. Government	100%
U. S. Government agencies, instrumentalities and government sponsored enterprises (excluding mortgage backed securities)	50%
Collateral mortgage backed securities	25%
Fully insured or collateralized certificates of deposit	100%
Bankers' acceptances	25%
Commercial paper	50%

Repurchase agreements	100%
Registered money market funds	80%
Local Government Investment Pool	100%
Corporate Bonds	50%

The vice president for finance and administration may diversify investment maturity to limit interest rate risk. Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity of an investment the greater the sensitivity of its fair value to changes in market interest rates. To the extent possible, investment maturity will be matched with anticipated cash flow requirements. Matching maturity and cash flow requirements will minimize occasions for sale of securities prior to maturity, thereby reducing market risk. However, no provision of this policy shall be interpreted as prohibiting the sale of any security prior to maturity, provided that it is in the university’s financial interest to sell the security.

The maximum stated maturity date of any security may not exceed ten years, and the weighted average duration of the portfolio shall not exceed five years without approval by the vice president for finance and administration and ratification by the Board of Regents. No officer or designee may engage in an investment transaction except as provided under terms of this policy as approved by the Stephen F. Austin State University Board of Regents.

Credit risk is the risk that an issuer or counterparty to the investment will not fulfill its obligations to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. To limit credit risk, this policy limits investments in corporate bonds, debentures or similar debt obligation to the two highest long-term rating categories.

Insurance or Collateral: All depository bank accounts shall be secured by a pledge of collateral with a market value equal to no less than 100% of the deposits plus accrued interest less any amount insured by the FDIC. Pledged collateral must conform to Chapter 2257 of the Government Code, Collateral for Public Funds. Evidence of the pledged collateral associated with depository bank accounts shall be maintained by the director of financial services or the director of administrative services. Collateral shall be reviewed monthly by the controller and the director of financial services or the director of administrative services to assure the market value of the securities pledged equals or exceeds the depository bank balances. Pledged collateral shall be maintained for safekeeping by an independent third party.

Collateral Defined: The university shall accept only the following securities as collateral:

- a. FDIC insurance coverage;
- b. United States Treasury, Agency, or Instrumentality securities;
- c. Direct obligations of the state of Texas or its agencies and instrumentalities;
- d. Other obligations, the principal of and interest on which are unconditionally guaranteed or insured by the state of Texas or the United States of America;
- e. Obligations of states, agencies thereof, counties, cities, and other political subdivisions of any state having been rated as to investment quality by a nationally recognized investment rating firm and having received a rating of no less than A or its equivalent;

- f. Collateralized mortgage obligations (CMO) directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America. CMO must have a stated final maturity date of less than 10 years.

Authorized Financial Dealers and Institutions

Investment transactions (bids and offers) will occur only between the university and board authorized broker/dealers or institutions authorized by Texas Education Code Sec.51.0031.

For funds subject to Chapter 2256 of the Texas Government Code, a written copy of the investment policy shall be presented to any person offering to engage in an investment transaction with Stephen F. Austin State University. The qualified representative of the business organization offering to engage in an investment transaction with Stephen F. Austin State University shall execute a written instrument substantially to the effect that the business organization has (a) received and reviewed the investment policy of the university and (b) acknowledges that the business organization has implemented reasonable procedures and controls in an effort to preclude investment transactions conducted between the university and the organization that are not authorized by Stephen F. Austin State University's investment policy.

Securities may not be bought from any organization whose representative has not provided the university with the acknowledgment required in the above paragraph.

Funds invested with institutions authorized by Texas Education Code Sec. 51.0031, will be invested pursuant to the qualifying institution's investment policy.

External Financial Advisor Contract Renewal or Extension

Pursuant to Chapter 2256 of the Texas Government Code, a contract with an external investment manager may not exceed two years. A renewal or extension of the contract by the board must be made by order, ordinance, or resolution.

Disclosure Requirements for Outside Financial Advisor

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

Performance Evaluation

The vice president for finance and administration and director of financial services or director of administrative services shall submit quarterly reports to the Board of Regents and the president of the university in the format prescribed by the Public Funds Investment Act, within a reasonable time after the end of the quarter. The reports must:

- a. describe in detail the investment position of the university on the date of the report;
- b. be prepared by the investment officer(s) of the university;
- c. be signed by the investment officer(s) of the university;
- d. contain a summary statement of each pooled fund group that states the:
 - i. beginning market value for the reporting period;

- ii. ending market value for the period; and
- iii. fully accrued interest for the reporting period;
- e. state the book value and market value of each separately invested asset at the end of the reporting period by the type of asset and fund type invested;
- f. state the maturity date of each separately invested asset that has a maturity date;
- g. state the account or fund or pooled group fund for which each individual investment was acquired; and
- h. state the compliance of the investment portfolio of the university as it relates to the relevant provisions of the Public Funds Investment Act.

Internal Controls

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

Disclosure Requirements for Investment Officers

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

- the investment officer owns 10 percent or more of the voting stock or shares of the business organization or owns \$5,000 or more of the fair market value of the business organization;
- funds received by the investment officer from the business organization exceed 10 percent of the investment officer's gross income for the previous year; or
- the investment officer has acquired from the business organization during the previous year investments with a book value of \$2,500 or more for the personal account of the investment officer.

Training

Each member of the board and the investment officer(s) will obtain investment training as required by Section 2256.007 of the Texas Government Code. Training for the investment officer(s) will be conducted by an organization or firm that is approved by the Texas Higher Education Coordinating Board.

Audits

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

Investment Policy Adoption and Certification

Upon adoption by the Stephen F. Austin State University Board of Regents, the university's investment policy shall be reviewed annually to ensure current applicability and significant modifications thereto submitted to the Board of Regents for approval.

Cross Reference: Tex. Gov't Code Ch. 573, 2256-2257, 2263; 26 U.S.C. § 501(f); Tex. Educ. Code § 51.0031-.0032, Investments-Endowment Funds (3.20)

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

APPENDIX A INTERNAL CONTROLS

The university has prepared an investment policy as of April 12, 1996. The policy was approved by the Board of Regents April 30, 1996. The investment policy will be reviewed and/or updated no less than annually. All pledged securities shall conform to Chapter 2257 of the Government Code. The signature of the president, vice president for finance and administration, director of financial services, or director of administrative services is required for release of pledged securities from safekeeping. Increases in the level of collateralization require approval by the president, vice president for finance and administration, director of financial services, director of administrative services, controller or assistant controller. The controller's office will reconcile the appropriate investment accounts to broker's statements and other supporting documents monthly.

APPENDIX B ADMINISTRATIVE PROCEDURES

The bursar's office will maintain a daily list of cash balances held in depository bank accounts. All investment transactions and related cash transfer requests, except for investment "rollovers" as defined, will require two signatures. "Rollovers" are investment transactions whereby an investment of certain type held by an entity matures and the proceeds are then used to purchase an investment of the same type within the same account within the same entity. The controller's office will record investments in compliance with Governmental Accounting Standards Board (GASB) and state comptroller's reporting requirements and reconcile the appropriate investment accounts to broker's statements and other supporting documents monthly. Quarterly investment reports are prepared by the director of financial services or the director of administrative services and approved by the vice president of finance and administration in accordance with the Performance Evaluation section of this investment policy. The market price of securities will be monitored quarterly using industry published data or appropriate financial publications.

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments - Endowment Funds

Policy Number: 3.20

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

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

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

Purpose of Policy (what does it do): The policy establishes guidance for the investment of all university endowment funds.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Reviewed with no changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Judi Krewell, Director of Financial Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Investments - Endowment Funds

Original Implementation: Unpublished

Last Revision: ~~January 29, 2019~~ January 28, 2020

Purpose

This policy applies to all Stephen F. Austin State University endowment funds. The policy states the boards' attitudes, goals and objectives in the investment of the endowment assets and is intended to provide guidance to the finance committee, the university administration, and the investment consultant(s)/manager(s) in the management of the endowment assets. University funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act are invested in accordance with Investments policy (3.21).

Definitions

True (or Permanent) Endowment Funds are funds which a donor or other outside agencies have stipulated, as a condition of the gift instrument, that the principal is to be maintained in perpetuity and invested for the purposes of producing present and future income.

Quasi-Endowment Funds are funds for which the governing body of the university, rather than a donor has determined that the corpus is to be retained and invested. Since these funds are internally designated rather than externally restricted, the university has the right to expend principal with approval from the governing body.

Gift Instrument refers to the records that establish the terms of the gift and may consist of more than one document. The release or modification of restrictions on management, investment, or purpose contained within the gift instrument is governed by Texas Property Code Section 163.007.

Investment Consultant represents an external firm or individual who can provide advice and/or guidance regarding investment decisions to the university, and/or hire investment managers.

General

Endowment funds represent private funds given to the university by individuals or institutions to promote, encourage and advance education and to improve the degree and non-degree educational functions by establishing scholarships, fellowships, professorships, academic chairs and other academic endeavors at the university, as specified by donors.

University endowment funds are not considered to be public funds but instead are governed by Section 51.0031 of the Texas Education Code. This section of the Texas Education Code states that the university "... with regard to donations, gifts and trusts, may establish endowment funds that operate as trusts and are managed under prudent person standards".

Investment Objectives

The overall objective of the policy is to assure that the university's endowment funds are invested in a manner to achieve as high a level of return as can reasonably be expected to be achieved given the primary objective of safety and preservation of principal. In the management of the university endowment investments, consideration will be given to the need to balance a requirement for current income for present activities with a requirement for growth in principal to compensate for inflation.

Investment Risk Tolerance

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

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

Avoiding large risks is essential. The university will assume a moderate-risk posture in order to have a more stable positive return. This may result in sacrificing some potential opportunities for gain during rising markets in order to avoid large short-term declines in market value during falling markets. Since the university is averse to large downward fluctuations in the value of its investments resulting from volatile market value fluctuations, such year-to-year volatility should be minimized.

Prudence

The 'prudent person standard' is defined by Texas Education Code 51.0031(d) and described in Article VII, Section 11b, of the Texas Constitution, and means that standard of judgment and care that prudent investors, exercising reasonable care, skill, and caution, would acquire or retain in light of the purposes, terms, distribution requirements, and other circumstances of the fund then prevailing, taking into consideration the investment of all the assets of the fund rather than a single investment.

Responsibility and Delegation of Authority

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

The university acknowledges that the ultimate responsibility for the investment of endowment funds rests with the board. The board will determine the institutional approach used to invest endowment funds. The board may choose to hire external investment consultants and/or managers, contract with another institution, or manage funds internally. To carry out this responsibility, the board delegates certain authority to the financial officer(s) to oversee and work with external investment consultants and/or managers the board has selected.

The Board

The specific responsibilities of the board in the investment process include:

- Develop a sound and consistent investment policy that establishes guidelines and reasonable objectives for the management of endowments;
- At least annually, review the policy for continued accuracy and completeness;
- Select suitable investment consultants, managers or qualifying institutions to provide for the management of endowment funds;
- Evaluate performance results; and
- Comply with all applicable laws, including conflict of interest provisions therein.

University Administration

The vice president for finance and administration (vice president), the director of financial services, and the director of administrative services are designated as the investment officers for the university.

The specific responsibilities of the vice president in the investment process include:

- Communicate with outside investment management team (consultants, managers and qualifying institutions);
- If appropriate, prudently select and recommend investment options to the board;
- Review and evaluate performance results to ensure policy guidelines are being adhered to and objectives are being met;
- Submit quarterly and annual investment reports to the board;
- Annually, determine the proper distribution of investment returns to the various spending accounts in accordance with the distribution section of this policy; and
- Comply with all applicable laws, including conflict of interest provisions.

The vice president may also establish an investment committee (committee). The committee may review and evaluate investment performance and review and revise qualified investment managers that are eligible to serve in an investment capacity for the university. The chair of the board may designate a board member to serve as a liaison on the committee.

Qualifying Institution

The board may contract to invest its funds with another Texas public institution. Endowment funds invested with a qualifying institution will be invested in accordance with the institution's Investment Policy and the asset allocation of the institution's policy will supersede the Investment Guidelines Section of this policy. The university's investment officer(s) will provide investment performance reports to the board.

Investment Consultant

The board may contract with an investment consultant to manage the university's endowment funds. The consultant may employ or delegate investment management to discretionary investment managers or affiliates. The consultant is responsible for ensuring that investment managers are in compliance with this policy.

Specifically, the consultant will:

- Assist the officers in the development of investment policy, objectives, asset allocation strategy and portfolio structure;
- Review investment managers, including search, selection and recommendation to the investment officers and committee;
- Monitor and report on investment manager performance;
- Monitor asset allocation and rebalance to target allocation on a periodic basis; and
- Provide written performance measurement reports as required to the investment officers, investment committee and board. The reports will contain sufficient information to determine if any changes or other actions are called for with respect to the investment portfolio.

Investment Managers

The board may choose to use an investment consultant to select investment managers. The investment consultant may exercise discretion to hire investment managers. If an investment manager is hired through the investment consultant, the consultant is responsible for ensuring that investment managers comply with all applicable policy guidelines.

The board may choose to directly contract with external investment managers. Each investment manager selected or approved by the board is expected to manage the endowment's assets in a manner consistent with the investment objectives, guidelines and constraints of this policy and in accordance with applicable laws. This obligation includes discharging responsibilities with respect to the endowment consistent with "prudent investor" standards, and all other applicable fiduciary regulations and requirements.

If the university directly contracts with the investment manager, then the manager(s) will receive a copy of this policy and the manager must execute a written statement to the effect that the registered principal of the organization has received and thoroughly reviewed the investment policy of the university. The statement must also acknowledge that the organization has implemented reasonable procedures and controls in an effort to preclude imprudent investment activities.

The investment manager(s) will:

- Be registered as an investment adviser under the Investment Advisers Act of 1940 (where applicable);
- Maintain adequate fiduciary liability insurance and bonding for the management of this account;
- Acknowledge in writing that it is a fiduciary with respect to the assets under its control;
- Be responsible for making decisions on a discretionary basis. This includes buy, hold, sell and timing decisions. The external manager(s) must make responsible decisions in the selections of specific securities and the general timing of purchases and sales necessary to invest only into the security class(es) for which they were retained to manage.

Custodian

The custodian is responsible for the safekeeping for the endowment's investment assets. The specific duties and responsibilities of the custodian include:

- Maintain separate accounts by legal registration;
- Value the holdings;
- Collect all income and dividends owed to the endowment in its custody;
- Settle all transactions initiated by the investment manager; and
- Provide monthly reports that detail transactions, cash flows, securities held and their current value, and change in value of each security and the overall portfolio since the previous report.

Investment Policy Guidelines

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

Authorized Investments:

The endowment's assets may be invested in the following:

- a. Direct obligations of the United States government or its direct agencies.
- b. Direct obligations of federally-sponsored agencies in accordance with the above paragraph.
- c. Obligations of states, agencies, counties, cities, and other political subdivisions of any state in accordance with the above paragraph.
- d. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.
- e. Debentures or obligations, and preferred or common stock of international governments and corporations. International preferred and common stock issues must be listed on an organized stock exchange.
- f. Common stock and preferred stock issued by United States domiciled corporations and common stocks of international companies listed on the major U.S. or international security exchanges.
- g. Certificates of Deposit issued by federally insured state banks, federally insured savings and loan associations and saving banks or federally insured credit unions. Amounts over the insurance limit of the institutions must be secured by pledged securities.
- h. Bankers' acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.
- i. Money Market Mutual Funds. Funds must be registered with the Securities and Exchange Commission, have a maximum dollar weighted average maturity of no longer than 13 months, and be no-load funds. Funds must have assets consisting of securities described in the paragraphs above and seek to maintain a stable net asset value of \$1.00 per share (or unit).
- j. Mutual Funds. Funds must be registered with the Securities and Exchange Commission and invest in assets authorized under this policy.
- k. Direct Security Repurchase Agreements. Direct Repos must be fully secured (collateralized) by securities authorized under the sections (a) through (g) above. Such collateral must be held by a third party. All agreements will comply with Federal Reserve Bank guidelines.

- l. Shares of investment companies as defined by the Investment Company Act of 1940. These companies include both closed-end investment companies and open-end investment companies (mutual funds). Shares in these companies may be purchased if they own securities described in sections (a) through (j) above.
- m. Shares of Exchange Traded Funds, known as ETFs.
- n. No more than ten percent (10%) of the equity portfolio can be invested at any time in one company based on the market value of the stock and portfolio.
- o. No more than thirty percent (30%) of the equity portfolio can be invested in any one industry sector based on the market value of the portfolio.
- p. Alternative investments. Permitted alternative investments may include hedge funds, managed futures funds, private equity funds, or real estate. Hedge funds are not subject to limitations of the “Prohibited Investment” section below. Investments in other strategies shall be reviewed and recommended by the investment officer prior to purchase.
- q. Permitted alternative investments in the portfolio are limited to diversified commingled trust fund vehicles or limited partnerships offered through a third party distribution channel, such as what is offered through many broker-dealer firms.
- r. Permitted alternative investments in the portfolio are limited to investment vehicles that offer the ability for the portfolio to make contributions or receive distributions at least quarterly (but preferably monthly) without restriction or incurring additional fees.
- s. The portfolio shall emphasize investments in fund-of-fund vehicles that are diversified by investment style and typically utilize multiple investment managers within a fund.

Unauthorized Investments

The endowment’s assets should not be invested in the following unless agreed to by the vice president pursuant to an approved strategy and specifically approved in writing by the vice president:

- a. Commodity trading including all futures contracts;
- b. Short selling, option trading and margin trading unless by managers approved for that strategy;
- c. Guaranteed investment contracts.

Asset Allocation

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

Asset Category	Minimum	Maximum	Target
Total Fixed Income	0.0%	60.0%	35.0%
Total Equity	0.0%	70.0%	55.0%
Total Alternatives	0.0%	25.0%	10.0%
Total Cash or Cash Equivalents	0.0%	100.0%	0.0%

The allowable asset mix for fixed income and equities is:

Fixed Income	Minimum	Maximum
US Government Bonds	0.0%	100.0%
Corporate Bonds	0.0%	50.0%

Equity	Minimum	Maximum
Domestic Equity	0.0%	100.0%
International Equity	0.0%	30.0%

Interest Rate, Credit and Foreign Currency Risks

The university will insure the safety of its invested funds by limiting interest rate, credit and foreign currency risks. Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity of an investment the greater the sensitivity of its fair value to changes in market interest rates. The vice president may diversify investment maturity to limit interest rate risk. The average weighted duration of the portfolio should not vary from industry benchmarks by more than +/- 20%.

Credit risk is the risk that an issuer or counterparty to the investment will not fulfill its obligations to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. To limit credit risk, this policy requires all securities which use long-term credit ratings to be rated the equivalent of “B” or better with the overall credit rating for the fixed income portfolio to be rated “A” or better. All short-term credit ratings must be rated at least A-2, P-2, F-2.

Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of investment. In order to mitigate this risk, international equity investments are limited to a maximum of 30% of the equity portfolio.

Gifts of Individual Securities

Gifts of individual securities will be liquidated and invested in accordance with policy guidelines and investment procedures. Exceptions to this policy are securities described as authorized investments in sections (a), (b), and (c) of the investment policy guidelines above. Such securities may be held so long as the asset allocation ranges are maintained.

Quasi-Endowments

The board may establish a quasi-endowment using unrestricted gifts. Income from funds held in quasi-endowments is available for the purpose established by the board. The corpus of such funds will be held until such time as the board abolishes the quasi-endowment, at which time the corpus is available for such purpose(s) as may be designated by the board. Quasi-endowment funds that are not considered to be public funds are governed by this policy.

Distribution Policy

The spending policy should balance the long-term objective of maintaining the purchasing power of the endowment funds with the goal of providing a reasonable, predictable, stable, and sustainable level of income to support current needs. At the end of the investment year, in consultation with the investment manager, the vice president will review the total return on the endowment accounts and recommend an annual distribution.

Performance Evaluation

The vice president will submit quarterly reports to the board on the performance of the investment portfolio. The reports will disclose the book value and market value of the portfolio at the beginning and ending of the reporting period. The reports will disclose the realized and unrealized gains/losses and total return on the portfolio for the reporting period.

Conflicts Of Interest

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

- A member of the board shall not direct nor participate in the decision to purchase or sell securities of a firm with which such member is affiliated; and
- Investments will not be purchased from or sold to a member of the board.

Audits

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

Investment Policy Adoption and Certification

Upon adoption by the Stephen F. Austin State University Board of Regents, the university's investment policy for endowment funds shall be reviewed annually to ensure current applicability and significant modifications thereto submitted to the Board of Regents for approval.

Cross Reference: Tex. Educ. Code § 51.0031; 15 U.S.C. §§ 80a-1 – 80a-64; Tex. Prop. Code Ch. 163, Investments (3.21)

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: Prompt Payment to Vendors

Policy Number: 17.13

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): The policy exists to provide guidelines to comply with the state's prompt payment law and to make prompt payments to 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:

Specific rationale for each substantive revision: Minor wording and formatting changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ms. Dannette Sales, Controller
Dr. Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Prompt Payment to Vendors

Original Implementation: April 21, 1998

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

It is the intention of Stephen F. Austin State University to comply with the state's prompt payment law and make prompt payments to vendors using the most efficient means available.

Definitions

Payment – Money owed to a vendor.

State agency – A board, commission, department, office or other agency in the executive branch of state government created by the constitution or a statute of this state, including an institution of higher education as defined by the Texas Education Code Section 61.003.

Vendor – A person *or entity* who supplies goods or a service to a state agency or another person directed by the agency. The term does not include a state agency, except for the Texas Correctional Industries. The term includes an officer or employee of a state agency when acting in a private capacity to supply goods or a service.

General

Three requirements must be met before a disbursement can be made to a vendor:

1. There must be an approved order for goods or services that has been signed/authorized by the account manager or his/her designee.
2. The goods or services must have been received. Acknowledging the *date of* -receipt of goods or services *rendered* -is the responsibility of the department ~~which~~ *that* placed the order.
3. The vendor must provide an itemized invoice to accounts payable. If an invoice is received by the department, it should be date stamped and immediately forwarded to accounts payable.

The controller's office is responsible for processing payments in a manner which ensures compliance with the prompt payment law once these three requirements have been met. In certain instances, interest will be paid to a vendor if payment is not made within 30 days of the later of:

- date the university receives the goods under the contract;
- date the vendor completes its services; or
- date the university receives an invoice for the goods or services.

To maximize the interest earned on funds held by the state, the university is required to schedule ~~their~~ *its* payments, paying vendors as close to the 30-day limit as possible. The university is not allowed to pay vendors before the payments are actually due unless the invoice is less than \$5,000 or the university has a valid business reason for paying early, or there is a specific exception to this rule.

*Potential e*Examples of when the university may make early payments to vendors are:

- If the vendor or the university has an agreement to make a payment at a certain time;
-
- If the vendor gives the agency a substantial discount for paying early;
-
- Purchase of real property;
-
- Payment for utilities;
-
- Payment for lease cost, leased space, or rent;
-
- Purchases of books or library materials paid with Higher Education Funds (HEF);
-
- Subscription services up to a maximum of six weeks before the service begins;
-
- Vendor payments for specialized goods or services if the vendor requires the payment to be made in advance.

For payment more than \$5,000, payment must be scheduled for distribution on the date identified above, unless the department can justify the cost effectiveness of making a payment early. A vendor hardship ~~DOES NOT~~ *does not* qualify as a state business reason for paying early.

Payments of \$5,000 or less are exempted from mandatory payment scheduling. The university, at its discretion, may choose to pay invoices \$5,000 or less according to the scheduling requirements or may schedule the payment due date as soon as they are processed. For groups of invoices covered by a monthly statement, the statement amount must be \$5,000 or less for the invoices to qualify for this exemption.

If the vendor payment is late, interest will be computed at a rate determined by the Texas Comptroller's Office. If the late payment is due to departmental errors, such interest payment will be charged to the department that caused the late payment. If a department requests the controller's office to process a payment outside its normal operating procedures for any reason, the department shall be assessed a special processing fee of \$50.

~~Payments of \$5,000 or less are exempted from mandatory payment scheduling. The university, at its discretion, may choose to pay invoices \$5,000 or less according to the scheduling requirements or may schedule the payment due date as soon as they are processed. For groups of invoices covered by a monthly statement, the statement amount must be \$5,000 or less for the invoices to qualify for this exemption.~~

Cross Reference: Tex. Gov't Code § 2155.382; Ch. 2251; Tex. Educ. Code § 61.003; Texas Comptroller of Public Accounts Payment Services and eXpendit State Purchase Policies

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Property Liability

Policy Number: 16.22

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): The policy exists to determine employee liability associated with fixed assets.

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

Scheduled Review Change in law Response to audit finding

Internal Review Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor changes and clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Property Liability

Original Implementation: April 22, 2003

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy acknowledges that, in accordance with Texas Government Code § 403.275, all university employees are liable for the state property that they use.

Definition

Reasonable care is defined as taking steps to ensure control and security of the property and being able to locate the property at all times.

General

All employees must complete the property liability acknowledgement form as part of new employee orientation. Employees taking equipment off campus will be required to complete a removal of property from campus *request* form acknowledging that the person responsible for property is aware of their responsibilities.

The department head will be listed as equipment manager on property records and is responsible for identifying property custodians who have been entrusted with the care and safekeeping of specific pieces of property. Equipment managers will be required to sign a certification of physical inventory when there is a change in department head, accepting responsibility for all department property within 30 days of assuming their duties.

A person is financially liable for any property loss sustained by the university if:

1. property disappears as a result of the failure of the property manager or university employee entrusted with the property to exercise reasonable care for its safekeeping;
2. property deteriorates as a result of the failure of the property manager, or university employee entrusted with the property to exercise reasonable care to maintain and service the property; or
3. property is damaged or destroyed as a result of an intentional wrongful act or of a negligent act of any state official or employee.

If the property manager has reasonable cause to believe that any property in the university's possession has been stolen, lost, destroyed, or damaged through the negligence of any state official or employee, the property manager shall report the loss, destruction, or damage to audit services, the vice president for the division, the vice president for finance and administration, the director of procurement *and property services*, the equipment manager and the property custodian. All computer losses, missing or stolen, regardless of negligence, will be reported to the ~~director of ITS~~ *chief information officer*.

The property manager in consultation with the equipment manager, the director of procurement *and*

property services and/or the vice president of finance and administration will determine whether replacement of property or reimbursement of property value best meets the needs of the university. The value of the loss to the university will be determined by considering the value of the property and the value to SFA as outlined in the property management manual.

A determination of negligence may be appealed to the property risk management committee within five working days of receiving notification of the determination. The property risk management committee will review the property manager's determination and the written appeal, and will make a final determination that may not be appealed. Appointments to the committee will be made on a case by case basis by the vice president for finance and administration with the property manager and property assistant serving as non-voting ex officio members.

If the property risk management committee upholds the determination of negligence, the negligent employee will be notified to replace the property or reimburse the university for the determined value of the property. If the employee refuses or disregards the determination and request for replacement or reimbursement, the university may pursue action against the employee through the Office of the Attorney General or employ other efforts to obtain reimbursement.

Cross Reference: Tex. Gov't Code §§ 403.275, 2203.004; Property Inventory and Management (17.14)

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Property Liability Acknowledgement; Removal of Property from Campus Request

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Proprietary Purchases

Policy Number: 17.15

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): This policy defines and explains requirements related to proprietary 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:

Specific rationale for each substantive revision: Minor wording changes and clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Proprietary Purchases

Original Implementation: September 1979

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy defines and explains requirements related to proprietary purchases.

Definition

~~A sole source is a specific item that is available from only one source.~~

General

A proprietary *purchasing* situation occurs when competition is not available. *In addition to the purchase requisition, a* written justification must be *submitted to the Department of Procurement and Property Services* ~~provided~~ 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 Department of Procurement and Property Services website.*

~~Along with the purchase requisition, the department may be asked to submit an Exclusive Acquisition Justification form. On the form, only the applicable items must be answered and must provide sufficient explanation to address the following:~~

- ~~1. an explanation of the need for the proprietary specifications; i.e. which part or parts of the —stated specification restricts the requisition to one manufacturer or provider; and~~
- ~~2. the reason competing products are not satisfactory.~~

~~Justification for proprietary purchases must be signed by the director of procurement and property services/HUB coordinator. Procurement will research the market to determine if the proprietary request is appropriate.~~

Cross Reference: *Tex. Gov't Code §§ 2155.063, .067; Purchase Requisition (17.19)*

Responsible for Implementation: Vice President for Finance and Administration

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

| **Coordinator Forms:** Purchase Requisition, **Exclusive Acquisition Justification**

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Purchase of Surplus Property

Policy Number: 17.17

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): This policy establishes guidelines for purchasing surplus property from the Texas Facilities Commission and details restrictions on the use of any federal surplus property.

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: Cross reference revision and minor changes and clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Purchase of Surplus Property

Original Implementation: September, 1987

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy establishes guidelines for purchasing surplus property from the Texas Facilities Commission and details restrictions on the use of any federal surplus property.

Definitions

Surplus property is any personal property that is in excess of the needs of the department and which is not required for the foreseeable future. Surplus property may be new or used but must have additional useful life.

Salvage property is any personal property which through use, time, or accident is so depleted, worn out, damaged, consumed, or outdated that it is obsolete and/or can no longer serve the purpose for which it was originally intended.

General

The Texas Facilities Commission (TFC) disposes of surplus and salvage personal property from Texas state agencies and manages the disposition of surplus and salvage donated to the state by federal programs. The Office of the State Comptroller advertises surplus property exclusively to state agencies, political subdivisions and assistance organizations. Surplus property not transferred within 10 business days of posting is available for sale to state agencies, political subdivisions and assistance organizations as well as the general public. Federal surplus property is available only to eligible organizations, not private citizens or the general public. Available property can be viewed at the following URLs:

[State Surplus \(State Comptroller's listing\)](#)

[State Surplus \(available at store fronts; TFC listing\)](#)

[Federal Surplus](#)

A requisition must be submitted to initiate the purchase of surplus property. A purchaser is available to research the availability, condition and cost of surplus property.

State Surplus

The agency offering the surplus equipment is to be contacted directly to determine a price and make arrangements for transfer. The requisition submitted to the purchasing office should state on the requisition 'STATE SURPLUS PROPERTY'. The name of the state agency and the agreed price, and arrangements for transfer should also be shown.

Federal Surplus

The Texas Facilities Commission manages the disposition of surplus property donated to the state by federal programs. The purchaser may make a written request for federal surplus to be held for SFA if it becomes available.

Visitation to and shopping at a federal surplus warehouse is allowed only by a certified agent of the university. The item(s) may be picked up at the time of purchase or arrangements can be made for pick up at a later date. The individual(s) picking up the merchandise do not have to be certified, but they must have the receipt in hand when arriving at the distribution center. If the SFA transportation department picks up the item(s), the department will be charged for travel and labor costs. When the merchandise is received, the itemized receipt and/or invoice should be returned to the procurement department.

Restrictions on the Use of Federal Surplus Property

Participating organizations (“donees”) are required to use the property obtained through the program for a specific amount of time before the property can be sold or transferred and must adhere to the following restrictions:

1. Property must be placed into use within the first year of possession.
2. Property must continue to be used for the *duration of the “compliance period”* before ownership is transferred to SFA.
 - ~~18 months for passenger vehicles or any item of property with original acquisition cost of \$5000 or more.~~
 - 12 months for property with an original acquisition cost less than \$5,000.
 - ~~18 months for passenger vehicles or any item of property with original acquisition cost of \$5,000 or more.~~
 -
 - 5 years for aircraft and vessels 50’ or more in length.
 - In perpetuity for combat-configured aircrafts, and firearms.
3. The property may not be sold, transferred, or otherwise disposed of during the *compliance period*. ~~required~~ If property is sold, transferred or otherwise disposed of during the required period of use, SFA may be subject to penalties and fines, as well as possible state or federal prosecution.
4. Compliance visits may be conducted by state and federal program staff during the compliance period to ensure that property is being put to its intended use. If the property is not paid for in full or is not being used or handled as required, SFA will be required, at its expense, to return the property to TFC or offer for transfer to another donee, as instructed by TFC.
5. ~~In accordance with the Single Audit Amendments of 1996 (U.S. Office of Management and Budget (OMB) Circular A-133), if the university receives \$500,000 or more in all forms of federal assistance during a fiscal year, SFA will be liable for a single audit by an independent firm.~~

As a donee, SFA must include the General Services Administration's required non-discrimination statement with information about the federal surplus program.

Cross Reference: 41 C.F.R. §§ 101, 102; ~~OMB Circular A-133~~; Purchase Requisition (17.19)

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Purchase Requisition, TFC Eligibility Application Form, TFC Update Form, TFC Authorized Representative Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Safe and Vault Combinations

Policy Number: 14.9

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): The policy exists to establish requirements for the documenting, safekeeping, and changing of safe and vault combinations.

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 and formatting changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Safe and Vault Combinations

Original Implementation: Unpublished

Date of Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy requires current combinations for safes or vaults holding cash, checks, or other valuables ~~documents~~ to be on file in the office of the vice president for finance and administration.

General

The department head must submit a memorandum indicating the location of the safe or vault, the combination, date of last combination change if known, and the names of all employees ~~that~~ *who* have access to the ~~vault~~ combination. The memorandum must be delivered to the vice president for finance and administration in a manner such that no unauthorized person is able to access the confidential information.

The vice president for finance and administration must be notified when changes are made to safe or vault combinations, when a safe or vault is moved or transferred to another department, or when a safe or vault is removed from university property records. Safe and vault combinations must be changed anytime an employee who knows the combination terminates employment *or is transferred*.

Annually, the vice president for finance and administration will request the safe or vault custodian in each department to verify the information on file.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Fiscal Appeals

Policy Number: 6.19

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): The policy exists to provide direction for student fiscal appeals.

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 and formatting changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Student Fiscal Appeals

Original Implementation: January 30, 2007

Last Revision: ~~January 31, 2017~~ January 28, 2020

Purpose

This policy establishes ~~guidelines for appeals of student charges and describes~~ the process of evaluation and resolution of all student fiscal appeals.

General

The Fiscal Appeals Panel will consider appeals related to Stephen F. Austin State University (SFA) fiscal policy as it applies to student charges. The panel will be appointed by the vice president for finance and administration, ~~is~~ chaired by the bursar, and ~~will~~ include academic and administrative representation. The panel will make its decision based on the written information submitted.

Appeals will be considered when a student believes that extenuating circumstances justify removal or modification of charges. Appeals must be submitted in written form and must be based on extenuating circumstances, such as (but not limited to) catastrophic illness, injury, death in the family, or call-up for military service. Appeals of the penalty for excessive time to graduation and repetition of a course may be based on economic hardship for the student, and will be considered on a case by case basis. Appeals pertaining to the requirements to maintain eligibility for certain exemptions and waivers may also be based on economic hardship for the student or other good cause, and will be considered on a case by case basis.

Unless there are extenuating circumstances, appeals should be filed within 60 days of the date of the charge on the student's account that the student is requesting to appeal. Appeals will be considered only for the specific charge and specific term for which the appeal is requested.

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

Specific procedures for making an appeal are found in the Student Fiscal Appeals Guidelines, Procedures, and Form located on SFA's business office website and at the business office.

Cross Reference: Tex. Educ. Code § 54.014, .2001; 19 Tex. Admin. Code § 13.108; Tuition Rebate (6.21); Student Fiscal Appeals Guidelines, Procedures, and Form

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: ~~None~~ *Student Fiscal Appeal Form (part of the Student Fiscal Appeals Guidelines, Procedures, and Form)*

Board Committee Assignment: Finance and Audit

GRANT AWARDS

Explanation:

For fiscal year 2020, the multi-year grant award total is currently \$12,768,680. Of this total, grant awards allocable to fiscal year 2020 are currently \$5,674,600, an increase of \$280,508 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.

Recommendation:

The administration recommends approval and ratification of the additional fiscal year 2020 grant awards that total \$280,508. The grant awards are detailed in Appendix X.

Grant Report to the Board of Regents – January 2020
 Grants¹ awarded between and October 5, 2019 and December 31, 2019
 Prepared by the Office of Research & Graduate Studies

Fiscal Year 2020 – as of December 31, 2019

Amounts allocable to FY20 (detailed in this report)	
Federal Funds (direct and pass-through)	\$ 199,508
State Funds (direct and pass-through)	\$ 37,000
Private, Local Government, Other	\$ 44,000
TOTAL	\$ 280,508
New awards, FY20 (detailed in this report, all project years)	\$ 324,892
Cumulative amount allocable to FY20	\$ 5,674,600
Cumulative award total FY20, all project years	\$12,768,680

Note: Amounts are based on award notices as they are received from the funding entity, not on expenditures or available balances. To reflect the approximate availability of funds in a given fiscal year, some current year awards are estimates based on the total award amount spread over the entire award period.

New, Additional, or Previously Unreported Awards for FY20

Federal Funds (direct and pass-throughs)

Title ****Ethnographic Overview and Assessment of African Americans at Arkansas Post National Memorial***
Sponsor: National Park Service, US Dept. of the Interior
 (Great Lakes Northern Forest CESU)
 CFDA 15.945
Award Term: September 1, 2019 – September 30, 2021
PI/PD: Dr. Pat Stephens-Williams, Forestry
Total Award: \$93,912 **Amount allocable to FY20:** \$46,956

This research project includes an assessment of associated ethnographic resources within the Arkansas Post National Memorial.

Title ****2019-20 MLK Day of Service***
Sponsor: Corporation for National and Community Services
 CFDA 94.012
Award Term: October 10, 2019 – September 30, 2022
PI/PD: Veronica Beavers, Multicultural Affairs
Total Award: \$8,000 **Amount allocable to FY20:** \$8,000

This service project will see 500 volunteers performing community service in various Nacogdoches locations for the Martin Luther King Jr. Day of Service in 2020.

**New awards or additional funds added to a current award.
¹For purposes of this report, 'grant' includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller's Office or the VP of Finance & Administration.*

Grant Report to the Board of Regents – January 2020
Grants¹ awarded between and October 5, 2019 and December 31, 2019
Prepared by the Office of Research & Graduate Studies

Previously Described Awards:

***Texas AHEC East, Piney Woods Region, Federal FY20**

Debra Kiesel, AHEC Center, Sciences and Mathematics

Award Total: \$114,480 **Amount allocable to FY20:** \$114,480

***McIntire-Stennis Cooperative Forestry Research Program FY19**

Dr. Hans Williams, Forestry

Award Total: \$473,182 ***Amount allocable to FY20:** \$30,072

Subtotal amounts allocable to FY20 (this report) = \$199,508
Subtotal new federal funds = \$216,392

State Funds (direct and pass-through)

Previously Described Awards

***Disability Services – Reader Services FY20-22**

Tiffany Rivers, Disability Services

Award Total: \$64,000 **Amount allocable to FY20:** \$32,000

***Regional 60x30TX Targets FY20**

Dr. Marc Guidry, Academic Affairs

Award Total: \$5,000 **Amount allocable to FY20:** \$5,000

Subtotal amounts allocable to FY20 (this report) = \$37,000
Subtotal new state funds = \$69,000

Private Entity, Local Government, and Other Awards

Title: ***Building a Technology Pathway for Distance Learners in Interior Design**

Sponsor: IFDA Educational Foundation, Elizabeth Brown Grant for Interior Design Programs

Award Term: September 1, 2019 to August 31, 2020, 2020

PIs/PDs: Dr. Sally Anne Swearingen, School of Human Sciences

Total Award \$2,500 **Amount allocable to FY20:** \$2,500

Grant funds will assist with purchasing visual, sound, and interactive technology equipment for the interior design drafting studio which will enhance student learning in the Houston area and for other students who are not located in Nacogdoches.

**New awards or additional funds added to a current award.*

¹For purposes of this report, 'grant' includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller's Office or the VP of Finance & Administration.

Grant Report to the Board of Regents – January 2020
 Grants¹ awarded between and October 5, 2019 and December 31, 2019
 Prepared by the Office of Research & Graduate Studies

Previously Described Awards:

***Tallow Control on the Greens Bayou Wetlands Mitigation Bank, Phase II**
 Dr. Jeremy Stovall, Forestry
Award Total: \$30,000 **Amount allocable to FY20:** \$30,000

***Poultry Science Education Student Recruitment FY20**
 Dr. Joey Bray, Agriculture
Award Total: \$7,000 **Amount allocable to FY20:** \$7,000

Economics Reading Group
 Dr. Ryan Phelps, Economics and Finance
Award Total: \$41,920 ***Amount allocable to FY20:** \$4,500

Subtotal amounts allocable to FY20 (this report) = \$44,000
Subtotal new private and local fund = \$39,500

Previously Unreported from Previous Years

FY18 Update - (not included in ORGS totals)
State and State Pass-through Awards

Previously Described Awards
SFA Charter School (ADA, non-grant), FY09-FY18
 Lysa Hagan, Charter School
Award Total: \$222,257 **Amount allocable to FY18:** \$47,511

**New awards or additional funds added to a current award.*
¹*For purposes of this report, 'grant' includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller's Office or the VP of Finance & Administration.*

Presidents Report:

- Change in reporting lines
- Financial Aid Leveraging
- Community College tour
- Recent Presentations
- Faculty Salary Study

Board of Regents Report

January 28, 2020

Fall Semester ended on a positive note:

- Basketball beat Duke
- Football brought Chief Caddo back home
- Over 600 students received SFA rings during Big Dip Ceremony
- Over 900 students graduated and received their diplomas
- Graduation Ceremonies with terrific commencement speaker – alumnus Mitch Weatherly
- Wonderful Theatrical performance of “A Christmas Carol”
- Had great attendance at the Holiday Reception for faculty and staff
- Celebrated the Holiday Extravaganza and Campus lighting
- Honored some of SFAs greatest donors, friends, and faculty at the Annual SFA Gala

Spring Semester off to a great start:

- Classes began on January 16
- Opened the semester with a national expert on Student Success – Ed Venit from the Educational Advisory Board – over 600 attended or watched via live-stream
- Student Success is and will continue to be the main focus of what we do – will talk more about this in a moment
- January 31st – 12th day of classes (Census Day)
- February 22nd – Showcase Saturday
- Spring Break – March 9-13
- March 28 – Showcase Saturday
- April 9 and 10 Easter Holiday

- April 16 and 17 Lone Star Legislative Summit
- April 19-21 next BOR meeting
- Very active with Athletic and Performing Arts activities – check webpage for schedules of all Athletic and Fine Arts performances
- Southland Conference Tournament March 11-15

Update on Activities

Continuing to make important connections both on and off campus – with the goal of increased visibility across the state and continued visibility, communication and transparency on campus – examples include:

- I held breakfast with the President for faculty, staff and students with several hundred folks showing up – will do again this spring
- I continue meeting with various groups to discuss vision for SFA – including student groups and student leadership
- On February 11th, the Executive Leadership team will hold a Breakfast for discussing the results of the mid-point strategic plan survey
- Will hold open forums on budget 101 – in February – this will allow us to continue sharing budget information including:
 - sources of revenue
 - expenditures
 - as well as the new campus budget prioritization model
- Joined students for the Late Night Breakfast before finals hear about their fall semester wins, challenges, dreams and aspirations

- February and March looking forward to Charlotte and I visiting with approximately 15 key elected officials to prepare for January 2021 legislative session

Presented and attended events to promote SFA across the state:

- Presentation to Nacogdoches Rotary about all things SFA
- Working with NEDCO and the Pegasus group to develop a plan for area industry attraction – will be a win-win for SFA and the region
- Continued involvement with NEDCO – Executive Committee, provided keynote for Annual Luncheon in late October
- Presented last week to the Rotary of the Woodlands – an area of the state where we need more presence
- I also Attended Woodlands Economic Development Corporation meetings
- Attended the Alliance for I69 Texas Board meeting in Houston and spoke about my experiences with I69 and importance of collaboration and partnerships and how SFA can take a leading role
- Attended SACS annual meeting President Day Activities
- Last week, Ryan Ivey and I attended the Houston Sports Authority Awards
- Later this month, I will be one of 30 US College and University Presidents invited to LinkedIn Headquarters to meet with CEO Jeff Weiner – and to talk about student success and developing an engaging and talented workforce in a rapidly changing world.
- Keynote for Concerned Black Mend of Nacogdoches Scholarship Gala
- Keynote Nacogdoches Opportunity for a Better Learning Experience banquet

In order to improve relations, develop partnerships and increased numbers of transfer students, I have embarked on a Community College Friendship Tour which will continue through the spring semester:

- Angelina
- Kilgore
- Panola
- Northeast Texas
- TJC
- Navarro CC
- Trinity Valley CC
- Lone Star College (Feb. 17)

February 24th hosting CCs at SFA – discuss collaboration and partnerships

As mentioned in the last BOR meeting and highlighted over the last few days – student enrollment and success is paramount to everything we do.

- Last meeting I discussed areas that need immediate attention include enrollment and retention:
 - Financial Aid Leveraging
 - Tiger Team
 - Community College “friendship” Tour
 - Advising Task Force
 - Enrollment Management reporting lines – directly to me

- To date we have contracted with Ruffalo Noel Levitz to perform a Financial Aid Leveraging study to adjust our institutional aid packages
- The Tiger Team has identified and we have removed barriers for students to enroll, register and re-enroll at SFA.
- The Advising task force is continuing to review advising models that would work for SFA and we are re-launching the Navigate tool for increased advising effectiveness and communication
- We developed the LAN-CAT team to identify courses where demand is greater than available seats and have worked to increase seats so students can take the classes they need, when needed, and not have to fill schedules with unnecessary classes.
- LAN-CAT is working to identify high demand, gateway, and general education courses for the summer in order to maximize enrollment, assist students in progressing towards their degrees and alleviate pressure on high enrollment fall courses.
- I have done some administrative reorganization as well in order to make sure the resources and attention is placed on enrollment, retention and student success – Enrollment Management will report directly to me. Enrollment Management includes the registrar, financial aid and scholarships, admissions and the one-stop shop.
- CIO reporting directly to me.
- Fall 15 to finish campaign
- Must take care of our employees and promote the culture of transparency and fairness. Since my arrival heard about faculty salaries in some areas being low and impeding our ability to recruit and retain top notch faculty. We have contracted with Hanover Research to perform a Faculty Salary Study which will help us analyze areas we need to address and formulate a plan to address those issues over time.
- Revamping Intercollegiate Athletics Council and FAR Role

- Visiting SHSU with Nacogdoches Medical Center Leadership – possible DO School Partnership
- Strategic Plan Midway Assessment/Review (Strategic Planning Implementation and Execution Survey – SPIES – will be refocusing our efforts and will report on this at the April Board meeting

Faculty Senate Chair's Report
Jeremy Stovall, PhD, Chair 2019-20
Address to SFA Board of Regents
January 28, 2019

1. Faculty Senate Updated on SFA Budget
2. Faculty accomplishments since October board meeting
3. Upcoming Non-Tenure Track Amendment to Faculty Senate Constitution
4. Investigating No-Test Option
5. Opportunity for questions

FACULTY ACCOMPLISHMENTS
STEPHEN F. AUSTIN STATE UNIVERSITY
October 12, 2019 – January 17, 2020

NELSON RUSCHE COLLEGE OF BUSINESS

- Journal Article, Academic Journal. William Forbes, Brian Murphy, Marc Guidry, Wilma Cordova, Stephen Kosovich. Sustainability as livability: Two community case studies in East Texas. 12 21-43.
[http://scrjournal.org/SCR%20Spring%202019/Volume%2012\(1\).pdf](http://scrjournal.org/SCR%20Spring%202019/Volume%2012(1).pdf)
- Journal Article, Academic Journal. Sanjay Goel, Lin Xiu, Sheila Hanson, Raymond Jones. HR Flexibility if family firms: Integrating family functioning and family business leadership. Organization Management Journal. 16 311-323.
<https://www.tandfonline.com/doi/abs/10.1080/15416518.2019.1681254>
- Journal Article, Academic Journal. William Kirkpatrick. Managerial Values- Panel Discussions and Guest Speakers Informing Ethics, Professionalism, and Leadership. Journal of Business Ethics Education. 16 43854.
- Journal Article, Professional Journal. Wenjing Li. Managing Major Accident Risk from a Temporal and Spatial Perspective: A Historical Exploration of Workplace Accident Risk in China.
- Book Review. Robert McDermand. Book Review – Sport Cyberpsychology. Journal of Sport Behavior. 42.
https://www.southalabama.edu/colleges/artsandsci/psychology/Journal_of_Sport_Behavior.html
- Journal Article, Academic Journal. Rajat Mishra, Randy Napier, Mahmut Yasar. Do competitors respond to capacity changes? Evidence from U.S. manufacturers. Operations Management Research.
- Journal Article, Academic Journal. Jason Reese. The Mud Run. Case Studies in Sport Management. 8 25-32. journals.humankinetics.com/loi/cssm
- Academic International Paper Accepted. Marsha Bayless, Lucia Sigmar, Laurie Rogers. Focus on Experiential Learning to Enhance the Job Resume. 84th Annual International Conference of Association for Business Communication, Association for Business Communication, Detroit, Michigan
- Academic Regional Oral Presentation Accepted. Rebecca Davis. Abate or Exit? The Impact of Mercury Regulation on Coal Generator Retirements. Southern Economic Association 89th Annual Meetings, Southern Economic Association and Association of Environmental and Resource Economists, Fort Lauderdale, FL
- Academic International Oral Presentation Accepted. Gina Harden, Peggy Lane, Mike Ellis. Teaching MIS to MBA Students. Decision Sciences International, DSI, New Orleans, LA
- Academic International Poster Accepted. Robert McDermand, Jason Reese. BSR Surf Resort. Sport Marketing Association Annual Conference, Sport Marketing Association, Chicago, IL

Academic International Oral Presentation Accepted. Christopher McKenna. My Favorite Assignment. Eighty-Fourth International Annual ABC Conference, Association for Business Communication, Detroit, MI

Academic International Paper Accepted. Christopher McKenna. Reconsidering BCOM Classroom Pedagogies: Written vs. Oral (and other) Skill-based Assignments. Eighty-Fourth International Annual ABC Conference, Association for Business Communication, Detroit, MI

Academic National Oral Presentation Accepted. Rajat Mishra, Randy Napier. Value based pricing in service firms. DSI, DSI, New Orleans

Academic International Poster Accepted. Jason Reese, Robert McDermand. Cryptocurrency and Collegiate Athletics: A Case Study. Sport Marketing Association Annual Conference, Sport Marketing Association, Chicago, IL

Academic International Paper Accepted. Pamela Rogers, Matthew Lindsey. Assessing applied business concepts: How do we know they are learning? Decision Sciences Institute Annual Meeting - New Orleans, Decision Sciences Institute, New Orleans, LA

Academic State Oral Presentation Accepted. Laurie Rogers, Marsha Bayless. Step by Step: Telling a Story for Business. TBTEA Conference: Securing Your Future, Texas Business and Technology Educators Association, Athens Texas Trinity Valley

Academic Regional Oral Presentation Accepted. Andrew Thornley. The Copyright Act's Mandatory-Deposit Requirement: Unnecessary and Unconstitutional. Regional Meeting, Academy of Business Research, Las Vegas, Nevada

Academic State Oral Presentation Accepted. Carol Wright. #Trending: Engagement Through Social Media. TBTEA District VII Conference, Texas Business and Technology Educators Association, Athens, TEXAS

JAMES I PERKINS COLLEGE OF EDUCATION

Broadcast Media. Lauren Burrow. AERA Service-Learning and Experiential Education SIG 041 podcast.

Journal Article, Professional Journal. Lauren Burrow, Chrissy Cross. STREAMing Engineering. Science & Children. 57 90 - 96.

Book, Chapter in Scholarly Book-New. Erik Byker, Vicki Ezelle-Thomas, Patty Hall. Critical Water Literacy: Engaging the Global Water Crisis with Service Learning. NOVA SCIENCE Publishers, Inc. Critical Water Literacy: Engaging the Global Water Crisis with Service Learning
Critical Water Literacy: Engaging the Global Water Crisis with Service Learning.
<https://novapublishers.com/shop/elementary-education-global-perspectives-challenges-and-issues-of-the-21st-century/>

Journal Article, Academic Journal. Erik Byker, Tingting Xu. Developing Global Competencies through Study Abroad: Using Critical Cosmopolitan Theory to Compare Teacher Candidates' Perceptions. Frontiers: The Interdisciplinary Journal of Study Abroad. XXXI.

Journal Article, Academic Journal. Morgan Cooley, Jennifer Newquist, Heather Thompson, Marianna Colvin. A systematic review of foster parent preservice training. Children and Youth Services Review. 107.

Journal Article, Professional Journal. Nina Ellis-Hervey. Best practices in serving African American women seeking mental health care: From barriers to beyond. Texas Psychologist. 79.

Journal Article, Academic Journal. Flora Farago, Natalie Eggum-Wilkens, Linlin Zhang. Ugandan Adolescents' Descriptive Gender Stereotypes About Domestic and Recreational Activities, and Attitudes about Women. Youth & Society.

Journal Article, Academic Journal. Peter Goh, C Lee, P Bansal, Luis Aguerrevere, A Rucker. Interpretability and external validity of a bifactor model of ADHD in young adults: an assessment of general and specific factors. Psychopathology and Behavioral Assessment.
<https://link.springer.com/article/10.1007%2Fs10862-019-09774-7>

Book, Non-Scholarly-New. Steven Josephsen. How Do You Start Keeping Bees? Archway Publishing. 80.

Book, Chapter in Scholarly Book-New. Barbara Qualls. X Chromosome in a Y-Dominant World: What Could Possibly Go Wrong? Information Age Publishing. 1 171-183. infoagepub.com

Journal Article, Academic Journal. Benjamin Solomon, Lexy Payne, Kayla Campana, Erin, Carmela Battista. Precision of single-skill math CBM time series data: The effect of probe stratification and set size. Journal of Psychoeducational Assessment/SAGE. 16.
<https://doi.org/10.1177/0734282919894096>Academic

National Poster Accepted. Kristina Doyle, Raul Prezas. Accessibility of voice therapy in the Latino Transgender Community: A review. American Speech-Language-Hearing Association Convention, American Speech-Language-Hearing Association, Orlando, FL

Academic State Poster Accepted. Courtney Elliott, Dustin Joubert. Comparison of Heart Rate Intensity in Practice, Conditioning, and Games in NCAA Division I Basketball Players. TAHPERD Annual Meeting, TAHPERD, Arlington, TX

- Academic State Oral Presentation Accepted. James Ewing. 5 Strategies to Engage Emergent Bilinguals (ELs) in Math. California Mathematics Council- South 60th Annual Conference, California Mathematics Council-South, Palm Springs, California
- Academic State Other Invited. James Ewing. Engaging ELs. California Mathematics Council-South 60th Annual Conference, California Mathematics Council-South, Palm Springs, California
- Academic State Oral Presentation Accepted. James Ewing. Uno, Dos, Tres. Developing ELLs' Language in Mathematics Class. Texas ASCD Annual Conference 2019, Texas Association for Supervision and Curriculum Development (ASCD), Austin, TX
- Academic International Paper Accepted. Vicki Ezelle-Thomas, Tingting Xu. Cultural competency in words and actions through intentional study abroad experiences. Hawaii International Conference on Education Annual Conference, Hawaii International Conference on Education, Honolulu, HI
- Academic State Oral Presentation Accepted. Vicki Ezelle-Thomas, Bryan Henry. Revitalizing Civic Education in the Lone Star State. 67th Annual Conference of the Texas Council for the Social Studies, Texas Council for the Social Studies, Austin, Texas
- Academic International Paper Accepted. Flora Farago, Lisa Mize. (Un)critical Literacy in the Classroom: Educators Reading about Race and Gender. Reconceptualizing Early Childhood Education Conference, Reconceptualizing Early Childhood Education (RECE), Las Cruces, NM
- Academic State Paper Accepted. Brittany Fish. Fostering Career Readiness: Preparing Gen. Z for Family Consumer Sciences. Family and Consumer Sciences Teachers Association of Texas Midwinter Conference, Family and Consumer Sciences Teachers Association of Texas, San Antonio, Texas
- Academic State Paper Accepted. Jaime Flowers. Development of a Rating Scale for the Measurement of Other- Esteem: The Other-Esteem Rating Scale (OthERS). California Association of School Psychologist 2020 Fall Conference, California Association of School Psychologist, Longbeach, CA
- Academic Regional Poster Accepted. Jaime Flowers. Minding the Gap: Addressing the gap in School Psychologist' behavior assessment training. California Association of School Psychologist Fall 2020 Conference, California Association of School Psychologist, Long Beach, CA
- Non-Academic Local Oral Presentation Invited. Brandon Fox. From exclusion to inclusion through tolerance, acceptance, and appreciation affirmation. SFASU Early Childhood Organization, SFASU Early Childhood Organization, Stephen F. Austin State University - ECRC
- Academic State Poster Accepted. Shamia Gipson, Derek Cegelka. Gender Segregation in Occupational Therapy. 2019 TOTA Annual Conference- Where Science, Creativity, and Compassion Intersect, Texas Occupational Therapy Association, Austin, Texas
- Academic International Paper Accepted. Paula Griffin, Leah Kahn. Wild About Science: A Field Experience Collaboration. Kappa Delta Pi International Convocation, Kappa Delta Pi, Norfolk, VA
- Non-Academic National Poster Accepted. Gurley, Campbell, Lydia Richardson. Speech therapists' use of music in direct therapy services. ASHA Annual Convention, American Speech-Language-Hearing Association, Orlando, Florida
- Academic National Paper Accepted. Ali Hachem. Action Research as a formalizing project: A textual eventualist critique. American Educational Studies Association Conference, American Educational Studies Association, Baltimore, MD

- Academic National Other Accepted. Ali Hachem. Discussions regarding challenges and strengths of participatory action research, action research, and community engaged research. American Educational Studies Association Conference, American Educational Studies Association, Baltimore, MD
- Academic International Paper Accepted. Tracey Hasbun, Tingting Xu. Ethnographic Inquiry of an Early Childhood Research Center: Exploring Caregiver Guidance in Language and Literacy within Two Toddler Classrooms. Hawaii International Conference on Education-Annual Conference, Hawaii International Conference on Education, Honolulu, Hawaii
- Academic National Paper Accepted. Tracey Hasbun, Tingting Xu. Evaluating the Effectiveness of One Teacher Preparation Program: Teacher and Principal Perceptions. Critical Questions in Education Symposium (CQiE), Critical Questions in Education Symposium (CQiE), Chicago, Illinois
- Academic International Oral Presentation Accepted. Yuan He. A Child's Journey between Language and Culture. International Literacy Association, ILA, New Orleans
- Academic State Poster Accepted. James Hutson, Dustin Joubert. Impact of Heart Rate Intensity on Shooting Accuracy during Games in NCAA Division I Women Basketball Players. TAHPERD Annual Meeting, TAHPERD, Arlington, TX
- Academic National Oral Presentation Accepted. Praphul Joshi, Mihae Bae. Impact of screen-time on mental well-being among youth. National Social Science Association Fall Professional Development Conference, National Social Science Association, Albuquerque, New Mexico
- Academic Local Oral Presentation Invited. Rachel Jumper. Quick as Lightning Debates. Faculty Teaching & Learning Cohort Presentation, Center for Teaching & Learning, Nacogdoches
- Academic National Poster Accepted. Rachel Jumper, Jennifer Newquist, Carla Coffee. Themes of childlessness in textbooks: An evaluation of textbooks used in Texas High Schools. National Council on Family Relations Annual Conference 2019, National Council on Family Relations, Ft. Worth, TX
- Non-Academic Local Oral Presentation Invited. Ginny Love Watkins. Basic Behavior Strategies. Basic Behavior Strategies, ECHL, ECHL
- Academic National Poster Accepted. Carolyn Macduff, Savannah Brumley, Raul Prezas. University student perceptions of apparent vs. non-apparent disabilities. American Speech-Language-Hearing Association Convention, American Speech-Language-Hearing Association, Orlando, FL
- Academic National Poster Accepted. Jacquelyn Mallette, Morgan Cooley, Evin Richardson. A scoping review of foster youth and family characteristics, relationships, and outcomes. 2019 Annual Conference, National Council on Family Relations, Ft. Worth, TX
- Academic State Oral Presentation Accepted. Ronda McClain. The Online Teacher Candidate: Making a Way for Paraprofessionals and NonTraditional Students. CSOTTE Clinical Practice Challenges and Celebrations, Consortium of State Organizations for Texas Teacher Organizations (CSOTTE), Frisco, TX
- Academic Local Reading of Creative Work/Performance Invited. Amanda Moore. Informal Concert 2019. Informal Concert, SFASU Dance, SFASU

- Academic Local Lecture Invited. Heather Munro. Ableism and the Social Exclusion of Disability. Guest lecture for Dr. James Standley's AED 633 class, SFASU, Nacogdoches TX
- Academic National Poster Accepted. Jennifer Newquist, Morgan Cooley, Jacquelyn Mallette. An examination of foster parent breaks from fostering. 2019 Annual Conference, National Council on Family Relations, Ft. Worth, TX
- Academic State Keynote/Plenary Address Invited. Adam Peck. Putting Marketable Skills in Motion. Texas Association of College and University Personnel Administrators, Texas Association of College and University Personnel Administrators, San Marcos, TX
- Academic State Poster Accepted. Casey Pederson, Dustin Joubert. The Relationship between Objective and Subjective Markers of Training Stress in NCAA Division I Collegiate Basketball Players. TAHPERD Annual Meeting, TAHPERD, Arlington, TX
- Academic International Oral Presentation Accepted. Raul Prezas, Paul Shockley. Worldview thinking and best practices for service delivery of CLD populations. American Speech-Language-Hearing Association Convention, American Speech-Language-Hearing Association, Orlando, FL
- Academic National Paper Accepted. Barbara Qualls. Superintendent Termination Accessories: Pink Slips and Golden Parachutes. Education Law Association Annual Conference, Education Law Association, Norfolk, Virginia
- Academic State Paper Accepted. Susan Reily, Deborah Williams, Tracey Hasbun. CAEP Standard 4: An Analysis of Measures used to Assess Teaching Effectiveness. CSOTTE Fall Teacher Education Conference, CSOTTE, Frisco, Texas
- Academic State Paper Accepted. Amanda Rudolph, Calla Rudolph. Perspectives of giftedness and schooling: Gen X talks with Gen Z. Texas Association of Gifted and Talented Conference, Texas Association of Gifted and Talented, San Antonio, TX
- Academic National Oral Presentation Accepted. Nancy Shepherd. Using Traveling Trunks for Curriculum. ACTE Vision, FCS Best Practices Session at ACTE Vision, Anaheim, CA
- Academic International Oral Presentation Accepted. Lorna Sheriff. Adapting Books for Young Children with Dual-Sensory Impairments in Inclusive Environments. Building Bridges With and For Literacy: For A World of Literacy (ALER), Association of Literacy Educators & Researchers, Corpus Christi, Texas
- Academic National Poster Accepted. D Smiley, D Alexander, N Benafield. ASHA's leadership academy, leadership community, and leadership mentoring program. American Speech-Language-Hearing Association Convention, American Speech-Language-Hearing Association, Orlando, FL
- Academic State Oral Presentation Accepted. Sarah Straub. Celebrando Nuestra Identidad Bicultural/Bilingue: A Case Study on Four Pre-Service BESO Student Officers. Texas Association for Bilingual Education Conference, TABE, Corpus Christi, TX
- Academic National Poster Invited. Sarah Straub. Using Memory Triggers as a Starting Point for Analyzing Bias for Future Classroom Implications. National Association for Multicultural Education Conference, NAME, Tucson, Arizona

- Academic National Oral Presentation Accepted. Vicki Thomas, Patty Hall. What if I'm the One? Cultivating Voice and Informed Action. 99th Annual Conference for The National Council for the Social Studies, National Council for the Social Studies, Austin, Texas
- Academic Local Oral Presentation Invited. Kristina White. Formation of Women Scholars: Mentoring the Next Generation of Academic Women. The Character of the University, Baylor University, Waco, Texas
- Academic National Oral Presentation Accepted. Dawn Williams, Jerry Williams, Students. Let's Talk About Race. AMLE, Association of Middle Level Education, Nashville, TN
- Academic Regional Paper Accepted. Deborah Williams, Tingting Xu. Perceptions of Research: Comparing Pre-service Teachers with Other Majors. CSOTTE Fall 2019 Teacher Education Conference, CSOTTE, Dallas-Frisco, TX
- Academic National Paper Accepted. Dawn Williams, Claudia Whitley, Elizabeth Gound. Teacher Teams That Work. AMLE, Association of Middle Level Education, Nashville, TN
- Non-Academic Local Oral Presentation Accepted. Louann Williams. The Importance of Learning Centers. Training for the Teacher Assistants in the Early Childhood Lab, Early Childhood Lab, ECRC
- Academic National Paper Accepted. Tingting Xu. Community-based experiences: What did pre-service teachers say? Critical Questions in Education Symposium, Academy for Educational Studies, Chicago, IL
- Academic Regional Paper Accepted. Tingting Xu, Christina Sinclair, Joseph Strahl. Establishing reliability and validity of instruments used for CAEP accreditation. . CSOTTE Fall 2019 Teacher Education Conference, CSOTTE, Dallas-Frisco, TX
- Academic International Paper Accepted. Tingting Xu, Tracey Hasbun. Evaluating teacher preparation programs: A case study for CAEP accreditation. Hawaii International Conference on Education Annual Conference, Hawaii International Conference on Education, Honolulu, HI
- Academic National Oral Presentation Accepted. Adam Akerson, Mark Montgomery. Moving from Feedback to Feedforward in Co-Teaching Partnerships. National Conference on Co-Teaching, St. Cloud State University, Bloomington, MN
- Academic State Oral Presentation Accepted. Mihae Bae, Sharon Rice. Benefits of Connecting vocabulary and Movement Concepts. TAHPERD 96th Annual Convention, Texas Association for Health, Physical Education, Recreation, and Dance, Arlington, Texas
- Academic National Oral Presentation Accepted. Mihae Bae, Praphul Joshi. Trend in violent behaviors among high school students. National Social Science Association Fall Professional Development Conference, National Social Science Association, Albuquerque, New Mexico
- Academic National Oral Presentation Accepted. Linda Black. The Big Bad Wolf: Engaging Students through Children's Literature. 99th Annual Conference of the National Council for the Social Studies, National Council for the Social Studies, Austin, Texas
- Academic International Poster Accepted. Lauren Burrow, Heather Olson Beal. Using Middle/High School Student-Authored Mentor Texts to C.R.E.A.T.E. Socially Responsible Teacher Candidates. International Literacy Association (ILA), International Literacy Association (ILA), New Orleans, LA

Academic State Keynote/Plenary Address Invited. Gina Causin. Students' perceptions of engagement of a mandatory programmatic service learning. HEAT 2019 Conference, Hospitality Educators Association of Texas, Glen Rose, Texas

Academic Local Oral Presentation Invited. Shannon Darst. Assistive Technology for Students with Visual Impairment: Evaluation, Programming, and Implementation. . Education Service Center Region 17 Visual Impairment Professional Development, Education Service Center Region 17, Lubbock, Texas

Academic Regional Oral Presentation Accepted. Shannon Darst, Heather Munro, Rona Pogrund. Beyond the O&M VISSIT: Advocating for Appropriate Service Intensity. Southwest Orientation and Mobility Association, (SWOMA), Nacogdoches TX

Academic Local Oral Presentation Invited. Shannon Darst. Visual Impairment Scale of Service Intensity of Texas – VISSIT: Practice Session Using the VISSIT to Determine Service Intensity. . Education Service Center Region 6 Professional Development, Education Service Center Region 6, Huntsville, Texas

Academic National Poster Accepted. Kmbely Davidson, Flora Farago, Kaitlyn McLeod. Cultural (Dis)continuity and Ethnic-racial Socialization in Head Start Classrooms. Society for the Study of Human Development, Society for the Study of Human Development (SSHD), Portland, OR

Academic Local Oral Presentation Invited. Erica Dillard. Small Group Instruction and Learning Styles- Grades 1 & 2 and Paraprofessionals. San Augustine Elementary School, San Augustine Elementary School, San Augustine Elementary School

Academic Local Oral Presentation Invited. Erica Dillard. Teacher Effectiveness and Small Group Instruction in Grades 1 & 2. San Augustine Elementary School, San Augustine Elementary School, San Augustine Elementary School

Dance - Choreograph piece Academic, Nacogdoches, TX, U.S. Amanda Moore. ...and the story goes, Repertory Dance Company,

Dance - Choreograph piece Academic, NACOGDOCHES. Sarah Sanchez. Dia de los Muertos Fiesta. Flamenco Fire, Repertory Dance Company,

Dance - Perform multiple pieces Non-Academic, College Station, TX, U.S. Amanda Moore. Brazzo's Dance Festival, Dimensions Contemporary Ballet, TAMU

COLLEGE OF FINE ARTS

Journal Article, Professional Journal. Mario Ajero. Preparing TMTA's Next Generation. Texas Music Teacher. 1. www.tmta.org

Journal Article, Professional Journal. Christopher Ayer. CD review of "Unheard-of Ensemble//Dialogues". International Clarinet Association. 47 83-84.

Journal Article, Professional Journal. Abby Held. The Viennese Oboe and its Classical/Romantic Traditions. . 42 102-126. <https://www.idrs.org/publications/double-reed-vol-42-no-3/#page=102>

Other. Stephen Lias. The Knobstone Trail. Alias Press/Theodore Presser. 40 (score). <https://www.presser.com/496-00129-the-knobstone-trail.html>

Other. Michael Murphy. Ubi Caritas.

Academic Local Oral Presentation Invited. Neal Cox. Counting Grids. Counting Grids, Angelina College, Lufkin, Texas

Academic Regional Oral Presentation Invited. Neal Cox. Neal Cox: Cameras and Images. Art Cafe, THE ARTS Gallery at Collin College, McKinney, Texas, USA

Academic Regional Lecture Accepted. Abby Held, Lee Goodhew. Dealing with Nerves. SFA's Oboe Etude Workshop Day, Stephen F. Austin State University, Tom and Peggy Wright Music Building

Academic National Other Invited. Richard Jones. Staging Plays in Translation at Universities and Colleges. American Literary Translators Association, American Literary Translators Association, Rochester, NY

Academic State Other Accepted. Margaret Leysath. The Three C's of Social Justice and Community-Based Art Education: Connections, Collaboration and Creativity. TAEA Conference, Texas Art Education Association, Galveston

Academic State Demonstration Accepted. William Nieberding. From Ether to Aura: Exploring Tintype Photography. Texas Art Education Association Annual Conference, Texas Art Education Association, Galveston, TX

Art - Art Works in Publication Non-Academic, Houston, TX. Eden Collins. Life and Work with Eden Collins

Art - Exhibition, Competitive Non-Academic, Houston, TX, USA. Wesley Berg. Assistance League of Houston Celebrates Texas Art 2020, Assistance League of Houston

Art - Exhibition, Competitive Academic, Adrian, MI, USA. Amanda Breitbach. SPE Multicultural Caucus Exhibition, Society for Photographic Education Multicultural Caucus

Art - Exhibition, Competitive Academic, Lubbock, TX, USA. Amanda Breitbach. SPE SC Educators Exhibition

Art - Exhibition, Competitive Non-Academic, Greenville, North Carolina, USA. Neal Cox. The Schwa Show: A National Juried Art Exhibition, Emerge Gallery

- Art - Exhibition, Competitive Non-Academic, Richmond, IN. Lauren McAdams. 2019-2021 Outdoor Sculpture Exhibit at Indiana University East, Indiana University East
- Art - Exhibition, Competitive Academic, Hermosa Beach, CA, US. Shaun Roberts. The Intergalactic Open, ShockBoxx Gallery
- Art - Exhibition, Group Academic, Nacogdoches, TX, USA. Amanda Breitbach. SFA Faculty Exhibit 2019, SFA School of Art
- Art - Exhibition, Group Academic, Nacogdoches, TX. Lauren McAdams. Faculty Exhibition, Cole Art Center
- Art - Exhibition, Group Non-Academic, El Paso, TX. Lauren McAdams. Not-So-Lone-Star Studios: A Gathering of Texas Makers, Not-So-Lone-Star Studios, Rubin Center for the Visual Arts
- Art - Exhibition, Group Academic, Nacogdoches, TX, United States. William Nieberding. 2019 Faculty Exhibition, Stephen F. Austin State University
- Art - Exhibition, Invitational Non-Academic, US Embassy, Podgorica, Montenegro. Peter Andrew. Art In Embassies Program, US Dept of State
- Art - Exhibition, Invitational Non-Academic, Los Angeles, CA, USA. Kenneth Verdugo. "Open Source", Los Angeles Center for Digital Art
- Art - Exhibition, One-Person Non-Academic, Kensington, MD, USA. Wesley Berg. The Infinite in the Intimate, Adah Rose Gallery
- Music - Adjudicator, Clinician, or Consultant Non-Academic, Houston, TX, USA. Mario Ajero. 2019 Critics' Corner Festival, Independent Music Teachers Association of Houston
- Music - Adjudicator, Clinician, or Consultant Academic, Mt. Enterprise, TX. Tamey Anglley. Mt. Enterprise High School marching band drill, Mt. Enterprise High School,
- Music - Adjudicator, Clinician, or Consultant Non-Academic, Huntsville, TX. Jennifer Dalmas. MTNA Strings competition State Judge
- Music - Adjudicator, Clinician, or Consultant Non-Academic, Tyler, TX. Jennifer Dalmas. Judge for ETYO concerto competition
- Music - Adjudicator, Clinician, or Consultant Academic, Houston, Texas, USA. Tod Fish. CE King HS Clinician, CE King HS Choirs, Anthony Allen and Jennifer Stone
- Music - Adjudicator, Clinician, or Consultant Academic, Katy, Texas, USA. Tod Fish. Clinician at Beckendorf Junior High School, BJHS Choirs, Bonnie Hulse and Julie Moore
- Music - Adjudicator, Clinician, or Consultant Academic, Nacogdoches, Tx USA. Tod Fish. Area Audition Clinic, Livingston HS Choir, Tom Myers
- Music - Adjudicator, Clinician, or Consultant Academic, Huffman, Texas, USA. Tod Fish. Area Audition Clinic, Hargrave HS Choir, Brice Campbell

- Music - Adjudicator, Clinician, or Consultant Academic, San Antonio, TX, USA. Bradley Meyer. Invitation to present clinic at TMEA,
- Music - Adjudicator, Clinician, or Consultant Academic, Waco, TX, USA. Bradley Meyer. ATSSB/CENTEX Percussion Clinic at Valley Mills HS,
- Music - Adjudicator, Clinician, or Consultant Non-Academic, Waco, TX, USA. Bradley Meyer. ATSSB Percussion Clinic at China Springs HS,
- Music - Adjudicator, Clinician, or Consultant Academic, Waco, TX, USA. Bradley Meyer. ATSSB Percussion Clinic at China Springs MS,
- Music - Adjudicator, Clinician, or Consultant Academic, Elkhart, TX, USA. Bradley Meyer. ATSSB Clinic at Elkhart High School,
- Music - Adjudicator, Clinician, or Consultant Academic, Palestine, TX, USA. Bradley Meyer. ATSSB Clinic at Westwood High School,
- Music - Adjudicator, Clinician, or Consultant Academic, Houston, TX, USA. Bradley Meyer. TMEA Clinics at SFA High School,
- Music - Adjudicator, Clinician, or Consultant Academic, Houston, TX, USA. Bradley Meyer. TMEA Clinic at Travis High School,
- Music - Adjudicator, Clinician, or Consultant Academic, Pearland, TX, USA. Bradley Meyer. TMEA All-State Clinic at Pearland High School,
- Music - Adjudicator, Clinician, or Consultant Academic, Needville, TX, USA. Bradley Meyer. ATSSB Clinic for South Houston High Schools,
- Music - Adjudicator, Clinician, or Consultant Academic, Barbers Hill, TX, USA. Bradley Meyer. TMEA Clinic at Barbers Hill High School,
- Music - Adjudicator, Clinician, or Consultant Academic, Milledgeville, GA, USA. Bradley Meyer. Clinic at Georgia College,
- Music - Adjudicator, Clinician, or Consultant Academic, Oslo, Norway. Michael Murphy. Clinician for Conducting Masterclass at Norwegian Academy of Music, Norwegian Academy of Music
- Music - Adjudicator, Clinician, or Consultant Academic, Hamar, Norway. Michael Murphy. Fidelity to the Score lecture presentation at Inland Norway University, Inland Norway University
- Music - Adjudicator, Clinician, or Consultant Academic, Oklahoma City, OK, USA. Michael Murphy. Southwest American Choral Directors Association Conducting Competition, ACDA
- Music - Adjudicator, Clinician, or Consultant Non-Academic, Dallas, TX. Andrew Parr. JUDGE for Pre-Screening Round of the Colin County Young Artists Piano Concerto Competition,
- Music - Adjudicator, Clinician, or Consultant Academic, Lone Star College, Kingwood. Andrew Parr. PRESENTED A LECTURE FOR THE KINGWOOD MUSIC TEACHERS ASSOCIATION

- Music - Adjudicator, Clinician, or Consultant Non-Academic, Huntsville, TX. Evgeni Raychev. MTNA String Competition - State Judging
- Music - Adjudicator, Clinician, or Consultant Non-Academic, Nacogdoches, TX. Evgeni Raychev. Cello Club - "Around the World" - 6th concert
- Music - Adjudicator, Clinician, or Consultant Academic, Dallas, Texas. Debra Scott. All-Region Jazz Conductor, Region 20 TMEA, Waxahachie High School
- Music - Adjudicator, Clinician, or Consultant Non-Academic, Lufkin, TX. Benjamin Tomlinson. Clinician for Hudson High School
- Music - Adjudicator, Clinician, or Consultant Academic, Denton, Texas, USA. Joseph Turner. 2019 Texoma NATS Conference
- Music - Adjudicator, Clinician, or Consultant Academic, Nederland, TX, USA. Joseph Turner. High School UIL - Region 10
- Music - Adjudicator, Clinician, or Consultant Non-Academic, Longview Texas USA. Jamie Weaver. LSO Community Children's concert, Longview Symphony Orchestra Chamber Players, Longview Symphony Orchestra
- Music - Adjudicator, Clinician, or Consultant Non-Academic, Longview Texas USA. Jamie Weaver. Longview Community Chamber concert, Longview Symphony Orchestra Chamber players, Longview Symphony Orchestra
- Music Composition - Major Work, Performance Non-Academic, Orlando, FL, USA. James Adams. Music Composition/Cloud Control, Project Wonder Studio
- Music Composition - Major Work, Performance Academic, Carmel, IN, USA. Stephen Lias. The Knobstone Trail (12/12/19), Carmel High School Symphony Orchestra,
- Music Composition - Major Work, Performance Non-Academic, Chicago, IL. Stephen Lias. The Knobstone Trail (12/18/19), Carmel High School Symphony Orchestra, The Midwest International Band and Orchestra Clinic
- Music Composition - Major Work, Performance, Prof Ensemble Non-Academic, Athens, Greece. Stephen Lias. Crown of the Continent (12/24/19 through 1/5/20), Athens Philharmonia Orchestra,
- Music Composition - Other Work, Performance Academic, Nacogdoches. Alexander Amato. In Campanile-Ephesians 2:14, FUMCNAC Bell Choir,
- Music Composition - Other Work, Performance Academic, Carson, CA. Stephen Lias. Jeffrey Pine (10/15/19), Brightwork New Music, Cal State Dominguez Hills
- Music Composition - Other Work, Performance Non-Academic, Pasadena, CA, USA. Stephen Lias. Jeffrey Pine (10/20/19), Brightwork New Music, Vine Theater
- Music Composition - Other Work, Performance Academic, Grand Rapids, MI, USA. Stephen Lias. Jeffrey Pine (10/25/19), Grand Valley State University New Music Ensemble, Nomad Gallery

- Music Composition - Other Work, Performance Non-Academic, San Bernadino, CA, USA. Stephen Lias. Jeffrey Pine (10/27/19), Brightwork New Music, Cal State San Bernadino
- Music Composition - Other Work, Performance Academic, Cincinnati, OH, USA. Stephen Lias. Songs of a Sourdough (10/29/19), Stephen Hanna and Matthew Umphreys, Mount St. Joseph University
- Music Composition - Other Work, Performance Academic, Taipei, Taiwan. Stephen Lias. Flight of Fancy (11/6/19), Aleksandr Haskin, University of Taipei
- Music Composition - Other Work, Performance Academic, Milwaukee, WI, USA. Stephen Lias. Jeffrey Pine (11/9/19), Grand Valley State University New Music Ensemble, Milwaukee Art Museum
- Music Composition - Other Work, Performance Academic, Ithaca, NY, USA. Stephen Lias. Ebullience (11/10/19), Ithaca College Trumpet Ensemble,
- Music Composition - Other Work, Performance Academic, Milwaukee, WI, USA. Stephen Lias. Jeffrey Pine (11/10/19), Grand Valley State University New Music Ensemble, Milwaukee Art Museum
- Music Composition - Other Work, Performance Non-Academic, New York, NY, USA. Stephen Lias. Songs of a Sourdough (11/18/19), Cheah-Chan Duo, Church of St. Luke in the Fields
- Music Composition - Other Work, Performance Non-Academic, Northridge, CA. Stephen Lias. Jeffrey Pine (12/1/19), Brightwork New Music, Cal State Northridge
- Music Composition - Other Work, Performance Academic, Tuscaloosa, AL, USA. Stephen Lias. Particle Accelerator (1/15/20), Vuorovesi Trio, University of Alabama
- Music Conducting - Regional, All-State, or Prof Ensemble Non-Academic, Nacogdoches, TX, USA. Daniel Chapa. 2018 Trunk-or-Treat, SFA Tuba-Euphonium Ensemble,
- Music Conducting - Regional, All-State, or Prof Ensemble Non-Academic, Nacogdoches, TX, USA. Daniel Chapa. 2019 TubaChristmas Nacogdoches, Nacogdoches Regional Tuba-Euphonium Choir, Harvey Phillips Foundation
- Music Conducting - University or Other Ensemble Academic, Nacogdoches, TX, USA. Bradley Meyer. SFA Percussion Ensemble's Fall 2019 Concert B,
- Music Conducting - University or Other Ensemble Non-Academic, Indianapolis, IN, USA. Bradley Meyer. SFA Percussion Quartet Competed at the PASIC Concert Chamber Percussion Ensemble Competition,
- Music Conducting - University or Other Ensemble Non-Academic, Tyler, TX, USA. Michael Murphy. Chamber Singers at Tidings of Joy Concert, SFA Chamber Singers, Christ Episcopal Church
- Music Conducting - University or Other Ensemble Non-Academic, Nacogdoches, TX, USA. Michael Murphy. SFA Chamber Singers - Mid-Day Noels, SFA Chamber Singers, Westminster Presbyterian Church
- Music Conducting - University or Other Ensemble Academic, Nacogdoches, TX, USA. Jorge Salas. TubaWeen Concert, SFA Tuba-Euphonium Ensemble, International Tuba-Euphonium Association-SFA Chapter

- Music Conducting - University or Other Ensemble, Regular Academic, Nacogdoches, Tx, USA. Alexander Amato. Vivaldi Gloria, TOD WAYNE FISH, First United Methodist Church Nacogdoches
- Music Conducting - University or Other Ensemble, Regular Academic, Nacogdoches, TX. Tamey Anglley. Magic Show drill, Lumberjack Marching Band,
- Music Conducting - University or Other Ensemble, Regular Academic, Nacogdoches, TX. Tamey Anglley. Pregame drill,
- Music Conducting - University or Other Ensemble, Regular Academic, Nacogdoches, TX. Tamey Anglley. The Music of James Syler, Wind Symphony,
- Music Conducting - University or Other Ensemble, Regular Academic, Nacogdoches, TX. Tamey Anglley. Region 21 Marching Contest Exhibition, The Lumberjack Marching Band,
- Music Conducting - University or Other Ensemble, Regular Academic, Nacogdoches, TX. Tamey Anglley. Kaleidoscope Concert, Wind Symphony,
- Music Conducting - University or Other Ensemble, Regular Academic, Nacogdoches, TX, USA. Tod Fish. A Holiday Celebration, SFA Combined Choirs and Brass Ensemble,
- Music Conducting - University or Other Ensemble, Regular Non-Academic, Nacogdoches, TX, USA. Tod Fish. Handel's Messiah Community Sing-along, SFA A Cappella Choir and community singers,
- Music Conducting - University or Other Ensemble, Regular Academic, Nacogdoches, TX, United States. Christopher Kaatz. Symphonic Band Concert - Wanderlust, Symphonic Band,
- Music Conducting - University or Other Ensemble, Regular Academic, Nacogdoches, TX, USA. Michael Murphy. SFA A Cappella Choir: When the Poet Sings, SFA A Cappella Choir,
- Music Conducting - University or Other Ensemble, Regular Academic, Nacogdoches, TX, USA. Michael Murphy. SFA Chamber Singers - Tapestry of Sound, SFA Chamber Singers,
- Music Conducting - University or Other Ensemble, Regular Non-Academic, Nacogdoches, TX, USA. Michael Murphy. SFA Chamber Singers performing at The Rotary Club, SFA Chamber Singers, Nacogdoches Rotary Club
- Music Conducting - University or Other Ensemble, Regular Non-Academic, Nacogdoches, TX. Benjamin Tomlinson. Concert at the Early Childhood Research Center, SFA Steel Band,
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Mario Ajero. Alexander Leon & Hannah Renfrow Senior Trombone Recital, Alexander Leon & Hannah Renfrow, Trombone - Mario Ajero, pianist, SFA School of Music
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX USA. David Campo. Wind Ensemble "Autumn Concert", SFA Wind Ensemble,
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Tod Fish. Elemental: Songs about Earth, Wine, and Fire, SFASU Women's Choir, Stephen F. Austin State University

- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Hyun Ji Oh. Marilyn & Kaitlyn duo recital, Stephen F. Austin State University
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Hyun Ji Oh. Jamal Brown Saxophone senior degree recital, Stephen F. Austin State University
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Hyun Ji Oh. Diana Navarro Euphonium senior degree recital, Stephen F. Austin State University
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Hyun Ji Oh. Emily Carcano Clarinet senior degree recital, Stephen F. Austin State University
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Hyun Ji Oh. Christian Benavides Saxophone senior degree recital, Stephen F. Austin State University
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Hyun Ji Oh. Alexa Silver Clarinet senior degree recital, Stephen F. Austin State University
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Hyun Ji Oh. Aaron Cantu Saxophone senior degree recital, Stephen F. Austin State University
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Hyun Ji Oh. Ian Allen Tuba senior degree recital, Stephen F. Austin State University
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Hyun Ji Oh. Preston Stickles Voice senior degree recital, Stephen F. Austin State University
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Hyun Ji Oh. Sara Williford Saxophone senior degree recital, Stephen F. Austin State University
- Music Performance - Accompanist/Church Organist Academic, Nacogdoches, TX, USA. Hyun Ji Oh. Amy Wong Violin graduate degree recital, Stephen F. Austin State University
- Music Performance - Accompanist/Church Organist Non-Academic, SFA. Ronald Petti. SFA Fall A Cappella Choir Concert,
- Music Performance - Accompanist/Church Organist Non-Academic, Denton, TX. Ronald Petti. NATS Annual Conference,
- Music Performance - Accompanist/Church Organist Non-Academic, SFA. Ronald Petti. SFA Sing-A-Long Messiah Concert,
- Music Performance - Accompanist/Church Organist Non-Academic, SFA. Ronald Petti. SFA Masterworks Concert,
- Music Performance - Free-lance Non-Academic, Longview, TX, USA. Abby Held. East Texas Symphonic Band, East Texas Symphonic Band,
- Music Performance - Free-lance Non-Academic, Lufkin, TX. Debra Scott. Angelina Brewery, Jazz Trio,
- Music Performance - Full Chamber Recital Non-Academic, Kilgore, TX, USA. Christopher Ayer. Zodiacal Light pipe organ festival performance, East Texas Pipe Organ Festival

- Music Performance - Full Chamber Recital Non-Academic, SFASU, Nacogdoches. Christopher Ayer. Stone Fort Wind Quintet,
- Music Performance - Full Chamber Recital Non-Academic, Nacogdoches, TX. Christopher Ayer. Stone Fort Wind Quintet Fall Concert, Stone Fort Wind Quintet, SOM/CFA
- Music Performance - Full Chamber Recital Non-Academic, Nacogdoches, TX. Christopher Ayer. Mid-Day Noels, Stone Fort Quintet, Westminster Presbyterian Church
- Music Performance - Full Chamber Recital Non-Academic, Longview, TX. Jennifer Dalmas. Bach's Lunch Concert Series, Hachidori Duo,
- Music Performance - Full Chamber Recital Non-Academic, Longview, TX, USA. Jennifer Dalmas. Longview Symphony Chamber Concert, Longview Symphony Orchestra
- Music Performance - Full Chamber Recital Academic, Nacogdoches. Charles Gavin. Annual Brass Day, SFA Faculty Brass Quintet,
- Music Performance - Full Chamber Recital Non-Academic, Nacogdoches, TX, USA. Charles Gavin. SFA Brass Day, The Pineywoods Brass Quintet,
- Music Performance - Full Chamber Recital Academic, Nacogdoches TX. Charles Gavin. SFA Brass Day, SFA Brass, SOM
- Music Performance - Full Chamber Recital Academic, Nacogdoches, TX, USA. Nathan Nabb. Nathan NAbb and Hyun Ji Oh faculty recital, Stephen F. Austin State University
- Music Performance - Full Chamber Recital Non-Academic, Kilgore, TX. Ronald Petti. East Texas Pipe Organ Festival,
- Music Performance - Full Chamber Recital Non-Academic, SFA. Ronald Petti. Guest Artist Recital-Frank Kowalsky, cl.,
- Music Performance - Full Chamber Recital Non-Academic, Longview, TX. Evgeni Raychev. Bach's Lunch Concert Series - Hachidori Duo concert, Hachidori Duo,
- Music Performance - Full Chamber Recital Non-Academic, Longview, TX. Evgeni Raychev. LSO cellos pre-concert presentation,
- Music Performance - Full Solo Recital Academic, Milledgeville, GA, USA. Bradley Meyer. Solo Recital at Georgia College,
- Music Performance - Full Solo Recital Academic, Nacogdoches, TX, USA. Bradley Meyer. Solo Recital at SFA,
- Music Performance - Major Participant Oratorio Non-Academic, Cape Coral, Florida. James Held. Coronation Mass, Symphonic Chorale of Southwest Florida,
- Music Performance - Major Participant Oratorio Non-Academic, Cape Coral, Florida, USA. James Held. Te Deum, Symphonic Chorale of Southwest Florida,

- Music Performance - Major Participant Oratorio Non-Academic, Muskogee, OK. Scott LaGraff. Messiah. Handel, Muskogee Community Chorus,
- Music Performance - Major Participant, Opera/Musical Non-Academic, Nacogdoches, TX, USA. Nita Hudson. Nunsense II (D. Goggin): Major Role of Sister Amnesia, Lamp-Lite Theatre
- Music Performance - Major Participant, Opera/Musical Non-Academic, The Villages, FL, USA. Scott LaGraff. Greatest Moments in Opera, Central Florida Lyric Opera,
- Music Performance - Minor Participant, Opera/Musical Academic, Nacogdoches, TX, USA. Bradley Meyer. Performed with the SFA Women's Choir,
- Music Performance - Partial Chamber Recital Non-Academic, Kilgore, TX. Christopher Ayer. Zodiacal Light chamber concert, Performed with SFA colleagues Guenther, Petti, Goodhew, East Texas Pipe Organ Festival
- Music Performance - Partial Chamber Recital Non-Academic, Longview, TX. Jennifer Dalmas. Longview Symphony Chamber Music Concerts, Longview Symphony members,
- Music Performance - Partial Chamber Recital Non-Academic, Woden, TX. Jennifer Dalmas. Music in the Schools Performance with Hachidori Duo, Hachidori Duo,
- Music Performance - Partial Chamber Recital Non-Academic, Nacogdoches, TX, USA. Charles Gavin. Kaleidoscope, The Pineywoods Brass Quintet,
- Music Performance - Partial Chamber Recital Non-Academic, Longview, TX. Christina Guenther-Scott. Longview SO Chamber Music Concert,
- Music Performance - Partial Chamber Recital Non-Academic, Woden, TX. Evgeni Raychev. Music in the School Performance with Hachidori Duo,
- Music Performance - Participation Non-Academic, Nacogdoches, TX. Jennifer Dalmas. SFA Women's Choir Concert Performance, SFA Women's Choir,
- Music Performance - Participation Academic, Dallas metropolitan area. Charles Gavin. Performing tour of DFW metroplex, Stone Fort Wind Quintet,
- Music Performance - Participation Academic, Nacogdoches, TX, USA. Nita Hudson. Texas Forestry Association Alumni Conference: Patriotic Presentation,
- Music Performance - Participation Non-Academic, Troup, TX, USA. Nita Hudson. Christmas Cantata - Canticle of Joy (J. Martin): Mezzo-Soprano Soloist, First Presbyterian Church
- Music Performance - Participation Academic, Nacogdoches, TX, USA. Bradley Meyer. SFA Faculty Jazz Group performance at Lugnutz,
- Music Performance - Participation Non-Academic, Richmond, VA, USA. Bradley Meyer. Performed "Ojibwe Song" at the Third Practice EMF,
- Music Performance - Participation Non-Academic, Cole Concert Hall. Evgeni Raychev. Frank Kowalsky - Guest artist recital,

- Music Performance - Participation Academic, Nacogdoches, Texas, USA. Joseph Turner. Fall Choir Concert, SFA Men's Choir,
- Music Performance - Participation Non-Academic, Nacogdoches, TX USA. Jacob Walburn. Jazz Faculty at LugNutz,
- Music Performance - Symphony Orchestra Member, Other Non-Academic, Longview, TX, USA. Christina Guenther-Scott. Longview Symphony Home for the Holidays, Longview Symphony Orchestra,
- Music Performance - Symphony Orchestra Member, Other Non-Academic, Shreveport, Louisiana, USA. Jacob Walburn. Shreveport Symphony Orchestra,
- Music Performance - Symphony Orchestra Member, Principal Non-Academic, Longview, TX. Jennifer Dalmas. Longview Symphony Holiday Concert, Longview Symphony,
- Music Performance - Symphony Orchestra Member, Principal Non-Academic, Livingston, TX. Jennifer Dalmas. Livingston FUMC orchestra choir concert, SFA faculty and students (mainly),
- Music Performance - Symphony Orchestra Member, Principal Non-Academic, St. Louis, Missouri, USA. Nathan Nabb. Symphonic Dances, St. Louis Symphony Orchestra,
- Music Performance - Symphony Orchestra Member, Principal Non-Academic, Houston, Texas, USA. Nathan Nabb. Pictures at an Exhibition, Houston Symphony Orchestra,
- Music Performance - Symphony Orchestra Member, Principal Non-Academic, Longview, TX. Evgeni Raychev. Longview SO - concert,
- Music Performance - Symphony Orchestra Member, Principal Non-Academic, Livingston, TX. Evgeni Raychev. Livingston FUMC orchestra choir concert,
- Music Performance - Symphony Orchestra Member, Principal Non-Academic, Longview, TX, USA. Jorge Salas. Home for The Holidays, The Longview Symphony, Suzanne Cook & Company
- Music Performance - Symphony Orchestra Member, Principal Non-Academic, Shreveport, LA. Debra Scott. Broadmoor Methodist Church Christmas Program,
- Music Performance - Symphony Orchestra Member, Principal Non-Academic, Longview, TX. Benjamin Tomlinson. Concert and rehearsal sequence, Longview Symphony Orchestra,
- Other Non-Academic, Nacogdoches. James Adams. The Four Horsemen Quartet, James Adams, J.D. Salas
- Other Non-Academic, Nacogdoches. James Adams. Music Production. LMB - Tuner Experiment, James Adams, Fine Arts
- Other Academic, Nacogdoches, TX. Barrett Billew. Theatre - Fight Choreography. Titus Andronicus, SFA Mainstage,
- Other Academic, Nacogdoches, TX. Christopher Kaatz. Marching Band Drill. Lumberjack Marching Band Drill - Cars Show, Lumberjack Marching Band,
- Other Non-Academic, Nacogdoches, Texas. James Taylor. Studio Recording. Recorded EP for Ed Meyer, Ed Meyer,

Other Non-Academic, Nacogdoches, Texas. James Taylor. Studio Recording. Recorded and produced song for Kathy Gordon, Kathy Gordon,

Other Non-Academic, Nacogdoches, Texas. James Taylor. Studio Recording. Recorded and produced EP for Lindsey Cox, Lindsey Cox,

Theatre - Compose play's musical score Academic, Vancouver, Canada. Stephen Lias. Death of a Salesman (11/5-9/19), St. George's School

Theatre - Design scenery Academic, Nacogdoches, TX, USA. Kenneth Verdugo. "Titus Andronicus", SFA School of Theatre, Stephen F. Austin State University

Theatre - Direct play Academic, Nacogdoches, TX. Barrett Billew. Pullman, WA by Young Jean Lee, SFA Downstage,

Theatre - Direct play Academic, Nacogdoches, TX. Richard Jones. The Wolves, SFA Theatre,

ARTHUR TEMPLE COLLEGE OF FORESTRY AND AGRICULTURE

Research Report. Yuhui Weng, Jason Grogan. East Texas Pine Plantation Research Project Report 76. 21 pages.

Journal Article, Academic Journal. Jiang Ying, Yuhui Weng, Brian Oswald, Hanguo Zhang. Variation in carbon concentrations and allocations among *Larix olgensis* populations growing in three field environments. *Annals of Forest Science*. 76

Academic Local Poster Accepted. John Arnett, Connor Adams, Carmen Montana-Schalk. Mediterranean House Geckos exploit novel resources in a recipient lizard assemblage. Arthur Temple College of Forestry and Agriculture Undergraduate Research Conference, Arthur Temple College of Forestry and Agriculture, Nacogdoches, TX

Academic Local Poster Accepted. Brandon Baker, Jasmin Alfred, Kasey Jobe. Calling phenology of a winter-breeding assemblage of anurans in a coastal prairie ecosystem. Arthur Temple College of Forestry and Agriculture Undergraduate Research Conference, Arthur Temple College of Forestry and Agriculture, Nacogdoches, TX

Academic International Poster Accepted. Jade Buckley, Brian Oswald, Jeremy Stovall. Canopy Bulk Density estimates of open-grown and closed canopy Scots Pine (*Pinus sylvestris*) in the Netherlands. 8th International Fire Ecology and Management Congress, AFE, Tucson, AZ

Academic Regional Oral Presentation Invited. I-Kuai Hung, Daniel Unger, David Kulhavy. Positional Accuracy Assessment on Drone's "Return to Home" Landing in a Wooded Area. 12th Southern Forestry and Natural Resource Management GIS Conference, University of Georgia, Athens, Georgia

Academic Local Poster Accepted. Kasey Jobe, Krista Ward, Nick Schiwitz. On the diversity of erosion control products: Implications for snake entanglement. . ATCOFA's Undergraduate Research Conference, ATCOFA, Nacogdoches, TX

Non-Academic National Oral Presentation Accepted. David Kulhavy, Yanli Zhang, Joseph Gerland. 3D Preservation of Koo-Hoot Kiwat, Caddo Mound State Historical Park. Society of American Foresters National Convention, Society of American Foresters, Louisville, Kentucky

Non-Academic Local Lecture Invited. Frantisek Majs. Understanding and Using the Soil Report. Gregg and Upshur Counties Soil Program, Gregg-Upshur Soil & Water Conservation District #417, Gilmer, TX

Non-Academic Local Lecture Invited. Frantisek Majs. Understanding and Using the Soil Report. Nacogdoches Co hay show, Nacogdoches County Texas A&M AgriLife Extension, Nacogdoches, TX

Academic Regional Oral Presentation Invited. Robert Milecz, I-Kuai Hung, Kenneth Farrish. Land Suitability Analysis for Wind Farm Development in Texas. 12th Southern Forestry and Natural Resource Management GIS Conference, University of Georgia, Athens, Georgia

Academic International Oral Presentation Accepted. Deborah Nemens, J. Varner, Kathryn Kidd. Can recurring wildfires provoke type conversion of mixed-conifer forests? 8th International Fire Ecology and Management Congress, Association for Fire Ecology, Tucson, AZ

- Academic International Poster Invited. Brian Oswald, Nienke Brouwer, Ester Willimsen. US-Dutch Collaborative Fuel Loading Assessment: 2012-2019. 8th International Fire Ecology and Management Congress, AFE, Tucson, AZ
- Academic Local Poster Accepted. Katherine Redburn, Sally Shroyer, Kathryn Kidd. Topographic position influences loblolly pine climate-growth responses. ATCOFA Undergraduate Research Showcase, ATCOFA, Stephen F. Austin State University, Nacogdoches, TX
- Academic International Oral Presentation Accepted. Rachel Reyna, Pat Stephens Williams, Beth Brantley. Women in Forestry IV: Paying it Forward. SAF National Conference, Society of American Foresters, Louisville, KY
- Non-Academic Regional Oral Presentation Accepted. Bryce Rutledge, Yanli Zhang, David Kulhavy. Measuring Horizontal Distance Using Geographic Information Science. GIS Day 2019: East Texas GIS & GPS User Group Annual Meeting, East Texas GIS & GPS User Group Annual Meeting, Nacogdoches, Texas
- Academic Local Poster Accepted. Bryce Rutledge, Yanli Zhang, David Kulhavy. Measuring Horizontal Distance Using Geographical Information Science. Arthur Temple College of Forestry and Agriculture Undergraduate Research Showcase, Arthur Temple College of Forestry and Agriculture, Nacogdoches, Texas
- Academic Local Poster Accepted. Christopher Schalk, Dylan Thompson, Madeline Cullins. Anuran calling phenology of a summer breeding guild in a coastal prairie ecosystem. ATCOFA's Undergraduate Research Conference, ATCOFA, Nacogdoches, TX
- Academic Local Poster Accepted. Brian Smith, Steven Harbuck, Taylor Massey. Comparative Calling Phenology of Anurans Across Ecosystems. Arthur Temple College of Forestry and Agriculture Undergraduate Research Conference, Arthur Temple College of Forestry and Agriculture, Nacogdoches, TX
- Academic National Oral Presentation Accepted. Rolonda Teal, Pat Stephens Williams, Ray Darville. Solutions for Inclusive Interpretation. NAI National Conference, National Association of Interpretation, Denver, CO
- Academic Local Poster Accepted. Dylan Thompson, Connor Adams, Daniel Saenz. Increased Management Frequency Decreases Lizard Abundance in Forest Ecosystems. Arthur Temple College of Forestry and Agriculture Undergraduate Research Conference, Arthur Temple College of Forestry and Agriculture, Nacogdoches, TX
- Academic International Poster Accepted. Mike Tiller, Brian Oswald, Mathijs Schuijn. Flammability comparison of Sea Buckthorn (*Hippophae rhamnoides*) in the Netherlands to East Texas and Southern California shrub species. 8th International Fire Ecology and Management Congress, AFE, Tucson, AZ
- Non-Academic Regional Oral Presentation Accepted. Reid Viegut, David Kulhavy, Christopher Schalk. Spatial Analysis of Roadkills of Texas using iNaturalist. GIS Day 2019: East Texas GIS & GPS User Group Annual Meeting, East Texas GIS & GPS User Group Annual Meeting, Nacogdoches, Texas
- Academic National Poster Accepted. Stephen Wagner, Josephine Taylor, David Creech. Effect of Mycorrhizae Amendment on Three Cypress Genotypes Grown in Hurricane Impacted Soils. ASA CSSA SSSA Annual Meeting, Soil Science Society of America, San Antonio, TX

Academic Local Poster Accepted. Krista Ward, Nick Schiwitz, Kasey Jobe. Does installation method affect snake entanglement in erosion control blankets? ATCOFA's Undergraduate Research Conference, ATCOFA, Nacogdoches, TX

Academic International Poster Accepted. Gary White, Brian Oswald, Kathryn Kidd. Does loblolly, shortleaf and longleaf pine hybridization result in fire resilience with future climate change in east Texas? 8th International Fire Ecology and Management Congress, AFE, Tucson, AZ

COLLEGE OF LIBERAL AND APPLIED ARTS

- Journal Article, Academic Journal. Kwame Antwi-Boasiako, John Hasband. Terrorism and the Military Institution: History and Definitions. *International Journal of Political Science (IJPS)*. 5(4): 35-47 35-47. <https://www.arcjournals.org/pdfs/ijps/v5-i4/6.pdf>
- Instructor's Manual. Jose Carbajal. EMDR Basic Training Curriculum. EMDRIA.
- Journal Article, Public or Trade Journal. Robert Hurt, Michelle Janis-Thompson, Robert Shankle, James Morris. LumberJack QR Codes: Social Work in the Clouds. *The New Social Worker*. Spring 2019 . <https://www.socialworker.com/>
- Book Review. Linda Levitt. Review of History Through Material Culture. *Material Culture*. 51 62-64.
- Journal Article, Academic Journal. Mark Ludorf. Editor's Notes (Volume 13 Issue 3). *Journal of Leadership Studies/Wiley*. 13 1 page.
- Journal Article, Academic Journal. Rebekah Mohr, Jose Carbajal, Bonita Sharma. The influence of educational attainment on teenage pregnancy in low income countries: A systematic literature review. *Journal of Social Work in the Global Community*.
- Book Review. Aaron Moulton. "New Perspectives in Latin American-US Relations," on Marc Becker, *The FBI in Latin America: The Ecuador Files* (Durham, NC: Duke University Press, 2017), John Lindsay-Poland, *Plan Colombia: U.S. Ally Atrocities and Community Activism* (Durham, NC: Duke University Press, 2018), and James W. Martin, *Banana Cowboys: The United Fruit Company and the Culture of Corporate Colonialism* (Albuquerque, NM: University of New Mexico Press, 2018). *The Latin Americanist*. 63 449-453.
- Newsletter. Aaron Moulton. A History of Influencing Presidential Children to Change Policy. *History News Network*.
- Other. Burle Pettit, Kenneth Untiedt. *A Boyhood Dream Realized: Half a Century of Texas Culture, One Newspaper Column at a Time*. UNT Press.
- Book Review. Jessica Sams. Review of Grammatical Complexity in Academic English. *LinguistList*. 30. <https://linguistlist.org/issues/30/30-4515.html>
- Book, Scholarly-New. Paul Sandul, Morgan Sosebee. *Lone Star Suburbs: The Metropolitan Frontier in Texas*. University of Oklahoma Press. 1 266.
- Book Review. Paul Sandul. Review of Andrew C. Baker, *Bulldozer Revolutions: A Rural History of the Metropolitan South*. *Southwest Historical Quarterly*. 123 264-65.
- Book Review. Paul Sandul. Review of Michael R. Adamson, *Oil and Urbanization on the Pacific Coast: Ralph Bramel Lloyd and the Shaping of the Urban West*. *Journal of American History*. 106.
- Book, Chapter in Scholarly Book-New. Paul Sandul. *Texas Suburbia Rising*. University of Oklahoma Press.
- Journal Article, Academic Journal. Louise Stoehr. Five Poems from *Born Into* by Uwe Kolbe. *Transference*. 7 59-67. <https://scholarworks.wmich.edu/transference/vol7/iss1/11>
- Newspaper. Michael Tkacik. Killing of Soleimani Unlikely to Lead to Major Escalation. *Asia Times*. www.asiatimes.com

- Journal Article, Academic Journal. Jack Watson, Karol Chandler-Ezell. Does group size matter? The impact of reciprocity on giving in local faith communities. *Journal of Faith, Education, and Community*. 4 21. <https://scholarworks.sfasu.edu/jfec/vol4/iss1/1>
- Non-Academic Local Oral Presentation Invited. Jennifer Beisel. Rev. George L. Crocket. Literati Club - Monthly Meeting, Literati Club, Nacogdoches
- Academic International Paper Accepted. Lisa Bentley, Paul Sandul, Linda Mastali. Oral History with Diverse Subcultures of East Texas. *Intimate Stories, Challenging Histories, Oral History Australia with State Library of Queensland, Brisbane, AU*
- Academic International Paper Accepted. Courtney Carney. "'Headed Out for the Western Skies': Bob Dylan and the Question of the American West". Pacific Ancient & Modern Language Association, PAMLA, San Diego, CA
- Academic Regional Oral Presentation Accepted. Leslie Cecil, Prudence Rice. Broken Terminal Early and Middle Preclassic Figures from El, Petén Guatemala: Evidence of Fragmentation Theory? . South Central Mesoamerican Conference, LSU, LSU
- Academic Regional Paper Accepted. Suparna Chakraborty. *Inscribed in the Body: Medical Investigation of a Cultural Crime*. Southwest Conference on Asian Studies. St. Edwards University, Austin, Texas, Austin, Texas
- Academic Regional Paper Accepted. Aryendra Chakravartty. *Mithila and the Indian Imagination: Writing the History of a Place*. SouthWest Conference on Asian Studies, St. Edward's University, Austin, TX
- Academic International Oral Presentation Accepted. Sam Copeland, Mary Jo Monahan, Jenifer Henkel. *Professional Gatekeeping: Prespective From Educators and Regulators*. 65th Annual Program Meeting, Council on Social Work Education, Denver Colorado
- Academic Local Oral Presentation Invited. Dianne Dentice. *The Social Psychology of White Supremacy*. NA, Department of Anthropology, Geography and Sociology, SFA
- Non-Academic Regional Lecture Invited. George Franks. *A Normative Model for Ethical Decision Making*. East Texas Association of Professional Landmen Fall Seminar, East Texas Association of Professional Landmen, Tyler, TX
- Academic State Lecture Accepted. Hollie Gammel-Smith. *Leadership development in paraprofessionals*. . Texas Association of Colleges and University Student Personnel Administrators Conference, TACUSPA, San Marcos, TX
- Academic Regional Paper Accepted. Michael Given. *A Reader Response Based Writing Assignment for Evaluating and Assessing Core Level Literature Courses*. Conference for Higher Education English Professors, Tyler Junior College, Tyler Texas
- Academic International Paper Accepted. Hunter Hampton. *Salvation on the Gridiron: A Historical Perspective on College Football at Christian Colleges*. Second Global Congress on Sport and Christianity, Second Global Congress on Sport and Christianity, Grand Rapids, MI
- Academic Regional Paper Accepted. Julie Harrelson-Stephens. *Human Rights in the Age of Trump: or how I learned to start worrying about the future of human right*. Southwestern Political Science Association Annual Meeting, Southwestern Social Sciences, San Diego, CA

- Academic National Paper Accepted. Casey Hart. A Linguistic Analysis of Sexual Content and Emotive Language in Contemporary Music Genres. NCA National Convention, National Communication Association, Baltimore, MD
- Academic Regional Reading of Creative Work/Performance Invited. Sara Henning, Mark Sanders, Juan Urena. A Night of Poetry: Stephen F. Austin State University. A Night of Poetry, Stephen F. Austin State University Press, Nacogdoches, TX
- Academic National Other Invited. Sara Henning. Visiting Writer and Two Class Visits. Nilsen Visiting Writers Series: Southeast Missouri State University, Southeast Missouri State University, Cape Girardeau, MO
- Academic Regional Paper Accepted. Milton Hill. Police Anomie and the Development of a Measure for Police Anomia. Developing Academic and Professional Partnerships for a Better Criminal Justice System, Southwestern Association of Criminal Justice (SWACJ), Houston, TX
- Academic National Oral Presentation Accepted. Edward Iglesias. Restructuring Library Technology A Year After Unification. Internet Librarian 2019, Information Today, Monterey, California
- Academic National Paper Accepted. Larry King. Surviving the God Problem: Methodological Issues in Religious Communication Research. National Communication Association 104th Annual Convention, National Communication Association, Baltimore, MD
- Academic International Oral Presentation Invited. Eralda Lameborshi. "Why not Compare? Interdisciplinarity, Transnationalism, and Precarity." Association for Slavic, East European, and Eurasian Studies Convention, Cambridge University, San Francisco CA
- Academic International Oral Presentation Accepted. Eralda Lameborshi. Micro Spaces of the Cold War: Small Nation Autonomy and the Politics of Non-Alignment. Association for Slavic, East European, and Eurasian Studies Convention, Cambridge University, San Francisco, CA
- Academic International Oral Presentation Accepted. Mark Ludorf. Publishing, Reviewing, and Editing Opportunities with the Peer-Reviewed Journal of Leadership Studies. 21st Annual International Leadership Association Conference, International Leadership Association, Ontario, Canada
- Non-Academic Local Oral Presentation Invited. Emmerentie Oliphant. Truth and Reconciliation: Exploring the Origins of Truth, Racial Healing & Transformation. Dallas Truth and Healing all grantee conference, Dallas Truth and Healing, Dallas
- Academic International Oral Presentation Invited. Laura Osborne. Be a Quiz Master: 25 Tips and Techniques for Building Better Quizzes. D2L Brightspace Community Webinar Series, D2L, Online webinar
- Non-Academic Local Reading of Creative Work/Performance Accepted. Jose Recinos. Romance sonámbulo. IV International Poetry Reading, Division of Multidisciplinary Programs, Nacogdoches
- Non-Academic National Exhibit Invited. Thomas Reynolds. "BLEED OUT". Screening of HBO documentary "BLEED OUT"/ Q&A with director Steve Burrows, Department of LCC, Baker Patillo movie theater
- Academic Regional Oral Presentation Accepted. Janie Richardson, Sara Henning, Shannon Bowman. The Importance of Information Literacy and Collaborating with Librarians. Wordmeisters: A Conference for Lovers of Words, Tyler Junior College, Tyler, TX

- Academic International Paper Accepted. Paul Sandul. Oral History with Diverse Subcultures of East Texas. 2019 Biennial Conference of Oral History Australia, Oral History Australia, Queensland, Brisbane, Australia
- Academic National Paper Accepted. Louise Stoehr. Paranoid Readings of Utz Rachowski's Poetry. Rocky Mountain Modern Language Association Annual Meeting, Rocky Mountain Modern Language Association, El Paso, Texas
- Academic National Oral Presentation Accepted. Michael Tkacik, David Funk, Ryan Button. Applied Disruption: Involving Two-Year Colleges in Four-Year College Undergraduate Research Conferences. National Collegiate Honors Council, National Collegiate Honors Council, New Orleans, LA
- Academic National Paper Accepted. James Towns. Deescalating Relationships: From Brokenness to Wholeness. National Communication Association Conference, National Communication Association, Baltimore, MD
- Academic Local Oral Presentation Invited. James Towns. Learning How to Prepare for Seminary. Pre-Seminary Day at SFA, Stephen F. Austin State University Multidisciplinary Studies, Nacogdoches, TX
- Academic Local Other Invited. Kenneth Untiedt, Kevin West. Discussion of Luis Alberto Urrea's "Into the Beautiful North". The Big Read, Judy McDonald Public Library, Nacogdoches
- Academic International Oral Presentation Accepted. Kevin West. Representations of Prayer in Hemingway and Antonio Monda. 19th International Hemingway Society Conference, Hemingway Society, WY and MT
- Academic Regional Oral Presentation Accepted. Sue Whatley. Do The Math: Committed Teaching/Professionalism While Protecting our Personal Lives. Tyler Junior College Regional Conference on Composition: 2019 Word-Meisters, Tyler Junior College, Tyler, Texas
- Academic International Oral Presentation Accepted. Sue Whatley, Jill Graper-Hernandez. Forgiveness after Atrocity: a Relational Critique of Symmetrical Ethics. CFP: Toward an Asymmetrical Ethics: Power, Relations, and the Diversity of Subjectivities, Södertörn University, Södertörn University, Stockholm, Sweden
- Academic State Oral Presentation Accepted. Carolyn White. Thinking Through the Past: Strategies for Teaching History in a College Classroom. East Texas Historical Association Fall Meeting, East Texas Historical Association, Nacogdoches, Texas
- Academic International Paper Accepted. Jerry Williams. Poetry and Meaning: Negotiating the Boundaries of Finite Provinces of Meaning. Annual Meeting, Society for Phenomenology and the Human Sciences, Pittsburg, PA
- Nonfiction - Print Journal Academic, Baton Rouge, LA, USA. Andrew Brininstool. Above and Below, The Southern Review
- Nonfiction - Print Journal Academic, Williamsburg, VA. Christine McDermott. "Water Hemlock", College of William & Mary
- Other Academic, Wayne, Nebraska. Mark Sanders. Invited Poetry Reading. PLAINS WRITERS SERIES, Wayne State College

Other Academic, Yankton, SD. Mark Sanders. Invited poetry reading. GREAT PLAINS WRITERS TOUR, Mount Marty College

Other Academic, Kearney, Nebraska. Mark Sanders. Invited Poetry Reading. Visiting Writer, University of Nebraska-Kearney, Department of English

Other Academic, Yankton, SD. Kimberly Verhines. Lecture. Publishing and Narrative Craft, Mount Marty College

Other Academic, Yankton, SD. Kimberly Verhines. Public Reading of my nonfiction. "The Blue Hour Before Sunrise", Mount Marty College

Poetry - Online Journal Non-Academic, Philadelphia, PA. Jerri Bourrous. "On Cherry Valance, Longing",

Poetry - Online Journal Academic, Nacogdoches, TX. Sara Henning. "Terra Firma",

Poetry - Online Journal Academic, Salem, VA. Christine McDermott. "Sale Pending", Roanoke College

Poetry - Online Journal Academic, Salem, VA. Christine McDermott. "Lime", Roanoke College

Poetry - Print Journal Academic, Williamsburg, VA. Christine McDermott. "Here is the Green Apple", College of William & Mary

Poetry - Print Journal Academic, Mississippi State University. Christine McDermott. "Perennial" (forthcoming),

Poetry - Print Journal Academic, Mississippi State University. Christine McDermott. "Datura Innoxia" (forthcoming),

Poetry - Print Journal Academic, Albuquerque, NM. Mark Sanders. "Coneflowers" and "Remembering Nixon", BOSQUE

Short Fiction - Print Journal Non-Academic, St. Louis, MO. John McDermott. "A Pathology of Cornucopias", Natural Bridge literary journal

Theatre – Playwright, Non-Academic, Nacogdoches, Texas, US. Kenneth Untiedt. What We Need, Lamp-Lite Theatre, Wrote an original play, "What We Need." Did a reading of the play in April of 2019, and then had the play produced in November of 2019.

Professor of History Steve Taaffe's book *Washington's Revolutionary War Generals* is one of five finalists for the *Journal of the American Revolution's* book-of-the-year award.

COLLEGE OF SCIENCES AND MATHEMATICS

- Journal Article, Academic Journal. Mariam Bakshi, Tae Kim, Lindsay Porter, Waithaka Mwangi, Albert Mulenga. *Amblyomma americanum* ticks utilizes countervailing pro and anti-inflammatory proteins to evade host defense. PLoS Pathogens. 15.
<https://www.ncbi.nlm.nih.gov/pmc/articles/PMC6897422/>
- Journal Article, Academic Journal. Matthew Beauregard, Sarah Boon, Thomas Griffin, Harley Conaway, Jingjing Lyu. Optimal Control and Analysis of a Modified Trojan Y-Chromosome Strategy. Ecological Modeling. 416.
https://www.sciencedirect.com/science/article/pii/S030438001930362X?dgcid=rss_sd_all
- Journal Article, Academic Journal. Matthew Beauregard, Pamela Schofield, Kristen Reaver, Jingjing Lyu, Rana Parshad. A comparison of the Trojan Y chromosome strategy to harvesting models for eradication of non-native species. Natural Resource Modeling.
- Conference Proceeding. Zachery Case, Russell Nielson. STRATIGRAPHIC, DEPOSITIONAL ENVIRONMENTAL AND PALEONTOLOGIC ANALYSIS OF THE HARRISBURG MEMBER OF THE KAIBAB FORMATION IN NORTH CENTRAL ARIZONA. Southcentral Geological Society. .
- Conference Proceeding. Puntitra Glendowne, Dae Glendowne. Interpretability of API Call Topic Models: An Exploratory Study. Hawaii International Conference on System Sciences. 10.
- Journal Article, Academic Journal. Xiaozhen Han, Sarah Whitfield, Jacob Cotton. Synthesis, characterization and CO-releasing property of palladium (II) bipyridine flavonolate complexes. Transition Metal Chemistry. <https://link.springer.com/article/10.1007/s11243-019-00373-9>
- Journal Article, Academic Journal. Travis LaDuc, Martin Terry, Marsha May, June Wolfe, III, Shannon Hill. The Proposed U. S. - Mexico Border Barrier: The Writing is on the Wall. The Texas Journal of Science. 71 8. https://doi.org/10.32011.txjsci_71_1_Editorial_2
- Journal Article, Academic Journal. Edward Michaels. A Photometric Study of Five Low Mass Contact Binaries. Journal of the American Association of Variable Star Observers. 47 12 pages.
www.aavso.org/apps/jaavso/article/3514/
- Journal Article, Academic Journal. Montana-Schalk, C. G., Ou, C., Keppeler, F. W., Winemiller, K. O. (in press). Functional and trophic diversity of fishes in the Mekong-3S river system: comparison of morphological and isotopic patterns. Environmental Biology of Fishes. 16 pp.
- Conference Proceeding. Russell Nielson. Development of Tool Marks on the Beach Face in Sea Rim State Park, Texas. Texas Academy of Science.
- Conference Proceeding. Russell Nielson, Zachery Case. Paleontologic and Stratigraphic Analysis of the Harrisburg Member of the Kaibab Formation in North Central Arizona. Texas Academy of Science.
- Journal Article, Academic Journal. Kefa Onchoke. Data on GC/MS Elution profile, 1H and 13C NMR Spectra of 1-, 3-, and 6-Nitrobenzo[a]pyrenes. Data in Brief. 12 pages.
<https://doi.org/10.1016/j.dib.2019.104995>
- Conference Proceeding. Jessica O'Neal, Russell Nielson, Michael Read. Lamniform and Carcharhiniform sharks of the Weches Formation, Nacogdoches County, Texas. Texas Academy of Science.

- Journal Article, Academic Journal. Michael Read, Merlynd Nestell. Lithostratigraphy and fusulinid biostratigraphy of the Upper Pennsylvanian-Lower Permian Riepe Spring Limestone at Spruce Mountain Ridge, Elko County, Nevada, U.S.A. *Stratigraphy*. 16 195-247.
- Journal Article, Academic Journal. Bidisha Sengupta. Conformational Polymorphism in Organic Crystals: Structural and Functional aspects - A Review. *Current Research in Materials Chemistry*. 1 43838.
- Academic Local Oral Presentation Accepted. Christopher Aul. AIAA Propulsion and Energy Forum Review. SFASU Physics, Engineering, and Astronomy Seminar, SFASU, SFASU: Cole STEM Building 103
- Academic Local Poster Accepted. Matthew Beasley, Benjamin Mason, Bidisha Sengupta. Banana Peel Extract: Behavior in DNA motifs and Amyloid Beta Peptide. Show Case Saturday, SFASU, STEM
- Academic International Oral Presentation Invited. Matthew Beauregard. Large and Small Data Blow-Up Solutions in the Trojan Y Chromosome Model. Seventh International Conference on Mathematical Modeling and Analysis of Populations in Biological Systems, Society of Mathematical Biology and National Science Foundation, Arizona State University, Tempe, AZ
- Academic National Demonstration Accepted. Jeremy Becnel, Nicholas Long. Calculus in Virtual Reality (CalcVR). Joint Mathematics Meeting, MAA and AMS, Baltimore
- Academic Regional Oral Presentation Accepted. Julie Bloxson. Building Reliable Local Earth Models of Utica Shale Reservoirs in the Presence of Missing Values and Sparse Data: An integration of Classic Statistics, Spatial Statistics, and Machine Learning. ES-AAPG, AAPG, Columbus, OH
- Academic Regional Oral Presentation Invited. Julie Bloxson. Far-field Tectonic Controls on Deposition of the Ordovician Utica/Point Pleasant Play, Ohio using Core Logging, Well Logging, and Multi-variate Analysis. ES-AAPG, AAPG, Columbus, OH
- Academic Regional Poster Accepted. Julie Bloxson, Beverly Saylor, Barbara Kemeh. Varimax-Rotated Visible Derivative Reflectance Spectroscopy of the Utica Shale/ Point Pleasant Formation in Ohio. ES-AAPG, AAPG, Columbus, OH
- Academic Regional Oral Presentation Invited. William Bruton. Opportunities for Dual Credit Courses at SFA. Longview ISD Administrators, Longview ISD, Longview, TX
- Academic International Paper Accepted. Puntitra Glendowne. Interpretability of API Call Topic Models: An Exploratory Study. Hawaii International Conference on System Sciences 2020, Information Technology Department of the Shidler College of Business, University of Hawaii at Manoa, Maui, HI
- Academic Local Oral Presentation Invited. Lynn Greenleaf. Tornado Mechanics. MYH 463, senior seminar, Department of mathematics, Nacogdoches, TX
- Academic Local Poster Invited. Bailey Jameson, Su Sandi, John Gary. Designing a Simple Catalytic System for Organic Oxidation Using Iron-Tetradentate Amine Complexes. Showcase Saturday Undergraduate Research Feature, College of Sciences and Mathematics, Stephen F. Austin State University
- Academic International Oral Presentation Accepted. Clara Lebow, Donald Burt, Josephine Taylor. Glare Reduction Properties of Dark Avian Facial Markings. SICB, Society for Integrative and Comparative Biology, Austin, Texas

- Non-Academic Local Oral Presentation Invited. Jane Long. Stand Back. Foundations of Teaching and Learning, Center for Teaching and Learning, Nacogdoches, TX
- Academic Local Oral Presentation Invited. Nicholas Long, Brittney Falahola. Standards Based Grading. Chemistry Department Seminar, SFASU Chemistry Dept., Math 113
- Academic Local Lecture Accepted. Jane Long. Valuations of sequences generated by polynomials. R.W. Yeagy Colloquium, SFASU Department of Mathematics and Statistics, Nacogdoches, TX
- Academic Local Lecture Accepted. Jane Long. Valuations of sequences generated by polynomials. Sam Houston State University Mathematics Colloquium, SHSU Department of Mathematics, Huntsville, TX
- Academic Local Lecture Accepted. Jane Long. Valuations of sequences generated by polynomials. Lamar University Math Department Seminar, Lamar University Math Department, Beaumont, TX
- Academic Local Other Invited. Jonathan Mitchell. Catenaries and Canaries. East Texas Math Teacher Circles, Department of Mathematics and Statistics, SFASU, Cole STEM Building, Room 401
- Academic National Oral Presentation Invited. Carmen Montana. Stable Isotope Analysis: a tool in ecological research of freshwater ecosystem. NSF Workshop "Understanding Freshwater Ecosystem Change through Analysis of Long-term Samples from Regional U.S. Fish Collections", National Science Foundation, Fort Collins, Colorado
- Academic Local Oral Presentation Invited. Hector A Ochoa Gutierrez. Artificial Muscles? Flying Worms? GPU Programming? Radars and Antennas? What are they doing in STEM 315 (Radar Signal Processing Laboratory)? Physics Seminar, Department of Physics, Engineering and Astronomy at SFA, Stephen F. Austin State University
- Academic National Poster Accepted. Dorothy Selman, Christopher Ryan. Evaluating the Impact of National Council Licensure Examination Review Courses Integrated Into Nursing Capstone. UT Tyler 4th Annual Evidence-Based Practice Conference, UT Tyler Health Sciences, Tyler, Texas
- Academic Local Other Accepted. Bidisha Sengupta. PROCESS-ORIENTED GUIDED INQUIRY LEARNING (POGIL): What is it?. Foundation of Teaching and Learning, CTL at SFASU, Education Building, room 451, SFASU
- Academic Regional Poster Accepted. Michael Solis, Julie Bloxson. Silurian through Middle Devonian Far-Field Tectonics during the Appalachian Orogen in Ohio. ES-AAPG, AAPG, Columbus, OH
- Academic Regional Poster Accepted. Katy Trotty, Shelley Hunt, Sheree Barrios. Using Simulation to Improve Interprofessional Awareness and Communication in Nursing, Athletic Training, and EMS Students. Interprofessional Evidence-Based Practice Conference, University of Texas at Tyler, Tyler, TX
- Academic National Poster Accepted. Stephen Wagner, Josephine Taylor, David Creech. Effect of Mycorrhizae Amendment on Three Cypress Genotypes Grown in Hurricane Impacted Soils. ASA CSSA SSSA Annual Meeting, Soil Science Society of America, San Antonio, TX
- Video - Other Academic, Nacogdoches, TX, USA. Harry Downing. PHY/EGR 250 YouTube Problems

Student Government Association Report Topics

- Fall Accomplishments
- Spring Goals
- Environmental Services Fee