REPORT TO THE
BOARD OF REGENTS

January 27-28, 2014
Meeting 286

STEPHEN F. AUSTIN
STATE UNIVERSITY
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**BOARD OF REGENTS MEETING 286**

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MINUTES FOR APPROVAL

October 20 and 21, 2013 Board Meeting and December 12, 2013, Board Meeting
APPENDICES

Appendix 1 – Resolution to Acknowledge Review of Investment Policy and Strategy

Appendix 2 – Resolution to Approve Qualified Financial Institutions and Investment Brokers

Appendix 3 – Grant Awards

Appendix 4 – Policy Revisions
Board of Regents Committee of the Whole
Call to Order in Open Session

Recess for Committee Meetings:

Finance and Audit Committee, 8 am to 12 noon

Building and Grounds Committee, 3 pm to 3:30 pm

Academic and Student Affairs Committee, 3:30 pm to 4 pm
| Finance and Audit Committee Meeting  
(Scheduled for 8 am) |
|---------------------------------|
| Call to Order in Open Session  
Members: Ralph Todd, Ken Schaefer, Steve McCarty |
| Scott Coleman  
Committee Chair |
| Rebranding Campaign: Creative and Media  
Richards Carlberg |
| Jill Still  
VP for University Advancement |
Presentation and Committee Action on Agenda Item 13:

APPROVAL OF THE REBRANDING CAMPAIGN CONCEPT AND INCREASE OF THE MARKETING INITIATIVE BUDGET:

Explanation:

Richards Carlberg has presented the proposed rebranding campaign concept including logo, media and creative design for the board’s approval. Additionally, in order to make sufficient media buys to launch the rebranding campaign in April 2014, Richards Carlberg recommends the marketing initiative budget be increased by $200,000. This raises the overall budget for the initiative to a total of $1,250,000. Designated funds will be used for the marketing budget increase.

Recommendation:

The administration recommends approval of the rebranding campaign as presented by Richards Carlberg and to increase the overall marketing initiative budget by $200,000 to a maximum of $1,250,000. Designated funds will be used for the marketing budget increase.
<table>
<thead>
<tr>
<th>Quarterly Investment Report</th>
<th>Danny Gallant</th>
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<td>Karl Lindekugel, Merrill Lynch</td>
<td>VP for Finance and Administration</td>
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<th>Bond Review</th>
<th>Danny Gallant</th>
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<td>Mary Williams, Bond Financial Advisor</td>
<td>VP for Finance and Administration</td>
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<th>Budget/Funds Review</th>
<th>Danny Gallant</th>
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<td>VP for Finance and Administration</td>
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Presentation and Committee Action on Agenda Item 14:

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

Explanation:

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

The audit services report as presented includes Dean of the College of Forestry and Agriculture Audit, Agriculture Farms Audit, Scholarship Audit, Follow-Up Audit as of December 31, 2013, and update on annual audit plan.

Recommendation:

The Finance and Audit committee recommends that the Board of Regents acknowledge receipt of the audit services report as presented.
Presentation and Committee Action on Agenda Item 15:

APPROVAL OF THE SFA CHARTER SCHOOL 2012-2013 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, 2013, and will be submitted to the Texas Education Agency as required.

Recommendation:

The administration recommends approval of the August 31, 2013, SFA Charter School audited financial statements.
Presentation and Committee Action on Agenda Item 16:

APPROVAL OF THE FISCAL YEAR 2012-13 ANNUAL FINANCIAL REPORT

Explanation:

As required by state law, Stephen F. Austin State University submitted the Annual Financial Report on November 20, 2013, for the fiscal year that ended August 31, 2013, to the Governor’s Office, Comptroller of Public Accounts, Legislative Budget Board, Texas Higher Education Coordinating Board, Legislative Reference Library, Texas State Library and the State Auditor’s Office.

Recommendation:

The administration recommends approval of the August 31, 2013, Stephen F. Austin State University Annual Financial Report as submitted.

Danny Gallant
VP for Finance and Administration
Presentation and Committee Action on Agenda Item 17:

RESOLUTION TO ACKNOWLEDGE REVIEW OF INVESTMENT POLICY AND STRATEGY

Explanation:

In accordance with the Texas Public Funds Investment Act, 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, included in Appendix 1, acknowledges the board's annual review of Policy 3.21, Investments. Policy 3.21 is included in the policy revisions, Appendix 4.

Recommendation:

The administration recommends approval of the Resolution to Acknowledge Review of Investment Policy and Strategy as presented in Appendix 1.
Presentation and Committee Action on Agenda Item 18:

RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS

Explanation:

The Texas Public Funds Investment Act requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The following brokers/investment managers are listed in the resolution, submitted in Appendix 2: Texas A&M University System, Bank of America, Citizens 1st Bank, Austin Bank, BancorpSouth, Commercial Bank of Texas, First Bank and Trust, Regions Bank, Regions Morgan Keegan Trust, Huntington State Bank, Wells Fargo, US Bank, Texas Bank; Texpool, Texas Class, and Texstar.

Recommendation:

The administration recommends approval of the financial institutions, investment managers and brokers presented in Appendix 2.
Presentation and Committee Action on Agenda Item 19:

GRANT AWARDS

Explanation:

To date in fiscal year 2014, the university has received multi-year grant awards totaling $21,501,809. Of that total, grant awards allocable to fiscal year 2014 are $6,802,863, an increase of $816,951 since the last report. The fiscal year 2014 increase includes a $282,365 grant award from the Texas Parks and Wildlife Department (TPWD) for a turkey-tracking project. Terms of that contract between SFA and TPWD required a time-sensitive purchase of GPS-capable, tracking transmitters that totaled $198,430.

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 grant awards allocable to fiscal year 2014 that total $816,951. Further, the administration recommends the approval and ratification of the $198,430 equipment purchase associated with the SFA/TPWD wild turkey interagency research agreement. Grant funds provided by TPWD were used for the purchase. The total grant awards are detailed in Appendix 3.
Presentation and Committee Action on Agenda Item 20:

LEGAL SERVICES – TAX

Explanation:

Under Section 402.0212 of the Texas Government Code, the Office of the Attorney General must approve of any contract for legal services between an attorney and the university. Additionally Title 1, Section 57 of the Texas Administrative Code requires the university to issue a request for qualifications for outside counsel prior to seeking the attorney general’s permission to enter into such a contract. The university issued RFQ LEGAL2-2014 seeking counsel wishing to be included on the university’s pre-approved list of law firms or attorneys in the field of tax law. Outside counsel would ordinarily be selected from that list as needed by the university. The request for qualifications and list is valid through August 31, 2016.

Recommendation:

It is recommended that the Board of Regents approve selection of the following firm for inclusion on the university’s pre-approved list of outside counsel in the field of tax law through August 31, 2016: Gardere Wynne Sewell LLP. It is further recommended that the president be authorized to sign any associated contracts for legal services not requiring specific board deliberation.

Damon Derrick
General Counsel
Presentation and Committee Action on Agenda Item 21:

LEGAL SERVICES – WILLS, TRUSTS, AND ESTATES

Explanation:

Under Section 402.0212 of the Texas Government Code, the Office of the Attorney General must approve of any contract for legal services between an attorney and the university. Additionally Title 1, Section 57 of the Texas Administrative Code requires the university to issue a request for qualifications for outside counsel prior to seeking the attorney general’s permission to enter into such a contract. The university issued RFQ LEGAL2-2014 seeking counsel wishing to be included on the university’s pre-approved list of law firms or attorneys in the field of wills, trusts and estates. Outside counsel would ordinarily be selected from that list as needed by the university. The request for qualifications and list is valid through August 31, 2016.

Recommendation:

It is recommended that the Board of Regents approve selection of these firms for inclusion on the university’s pre-approved list of outside counsel in the field of wills, trusts and estates through August 31, 2016: Gardere Wynne Sewell LLP; Haglund Law Firm, P.C.; Lewis Brisbois Bisgaard & Smith LLP; and Potter Minton, P.C. It is further recommended that the president be authorized to sign any associated contracts for legal services not requiring specific board deliberation.

Damon Derrick
General Counsel
Presentation and Committee Action on Agenda Item 22:

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 in Appendix 4:

- Central Receiving (17.2)
- Computer Replacement Policy (17.4)
- Gifts, Loans, Endowments and Bequests (3.17)
- Investments (3.21)
- Investments - Endowment Funds (3.20)
- Prompt Payment to Vendors and Employees (17.13)
- Property Inventory and Management (17.14) Property Liability (16.22)
- Proprietary Purchases (17.15)
- Purchase of Electronic and Information Resources (17.16)
- Purchase of Surplus Property (17.17)
- Safe and Vault Combinations (14.9)
- Student Fiscal Appeals (6.19)
- Working Hours and Holidays (12.24)

<table>
<thead>
<tr>
<th>Adjourn Finance and Audit Committee (Approximately 12 noon)</th>
<th>Scott Coleman</th>
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<tr>
<td>Return to Committee of the Whole and Recess Meeting until 3 pm</td>
<td>Steve McCarty</td>
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*Board members will attend the Lumberjack Lunch at 12 noon in the Athletic Field House and then continue to the Ribbon Cutting and Open House at 1:30 pm for the newly constructed Ina Brundrett Conservation Education Building. A quorum is expected to attend but no action will be taken.*
Building and Grounds Committee Meeting  
(Scheduled at approximately 3 pm)

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<tr>
<th>Call to Order in Open Session</th>
<th>Members: David Alders, Bob Garrett, Steve McCarty</th>
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<tr>
<td>Presentation and Committee Action on Agenda Item 9:</td>
<td>Ken Schaefer, Committee Chair</td>
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<tr>
<td><strong>LEGAL SERVICES – REAL ESTATE</strong></td>
<td>Damon Derrick, General Counsel</td>
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Explanation:

Under Section 402.0212 of the Texas Government Code, the Office of the Attorney General must approve any contract for legal services between an attorney and the university. Additionally Title 1, Section 57 of the Texas Administrative Code requires the university to issue a request for qualifications for outside counsel prior to seeking the attorney general’s permission to enter into such a contract. The university issued RFQ LEGAL2-2014 seeking counsel wishing to be included on the university’s pre-approved list of law firms or attorneys in the field of real estate. Outside counsel would ordinarily be selected from that list as needed by the university. The request for qualifications and list is valid through August 31, 2016.

Recommendation:

It is recommended that the Board of Regents approve selection of these firms for inclusion on the university’s pre-approved list of outside counsel in the field of real estate through August 31, 2016: Andrews Kurth; Gardere Wynne Sewell LLP; Haglund Law Firm, P.C.; Jameson & Powers, P.C.; Lewis Brisbois Bisgaard & Smith LLP; and Potter Minton, P.C. It is further recommended that the president be authorized to sign any associated contracts for legal services not requiring specific board deliberation.
Presentation and Committee Action on Agenda Item 10:

LEGAL SERVICES – OIL AND GAS, MINERAL INTERESTS, AND/OR UTILITIES MATTERS

Explanation:

Under Section 402.0212 of the Texas Government Code, the Office of the Attorney General must approve of any contract for legal services between an attorney and the university. Additionally Title 1, Section 57 of the Texas Administrative Code requires the university to issue a request for qualifications for outside counsel prior to seeking the attorney general’s permission to enter into such a contract. The university issued RFQ LEGAL2-2014 seeking counsel wishing to be included on the university’s pre-approved list of law firms or attorneys in the field of oil and gas, mineral interests, and/or utilities. Outside counsel would ordinarily be selected from that list as needed by the university. The request for qualifications and list is valid through August 31, 2016.

Recommendation:

It is recommended that the Board of Regents approve selection of these firms for inclusion on the university’s pre-approved list of outside counsel in the field of oil and gas, mineral interests, and/or utilities through August 31, 2016: Andrews Kurth; Borgelt Law; Gardere Wynne Sewell LLP; Lewis Brisbois Bisgaard & Smith LLP; and Potter Minton, P.C. It is further recommended that the president be authorized to sign any associated contracts for legal services not requiring specific board deliberation.

Damon Derrick
General Counsel
**Presentation and Committee Action on Agenda Item 11:**

**APPROVAL OF FIBER OPTIC CABLE INSTALLATION FOR THE CC-NIE NETWORKING PROJECT**

**Explanation:**

The university has received a three-year grant award from the National Science Foundation for the CC-NIE Networking Infrastructure project. The purpose of the project is to provide major upgrades to network infrastructure, connectivity, and the science DMZ to support expanded research and teaching capabilities and improve capacity for data-driven research across a variety of STEM disciplines. Network enhancements to be constructed consist of two fiber optic installation builds, including material and installation of 17 miles of fiber optic cable, which are budgeted for $444,648. At least one contract is expected to exceed $100,000. Selection of contractors is pending.

**Recommendation:**

The administration recommends that the fiber optic cable installation project be approved in an amount not to exceed $444,648. It is further recommended that the president be authorized to sign the resulting contract(s) that exceed $100,000
Presentation and Committee Action on Agenda Item 12:

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 in Appendix 4:

Austin Building Conference Rooms (16.5)

Current Construction Report

Adjourn Building and Grounds Committee (Scheduled for approximately 3:30 pm)
### Academic and Student Affairs Committee Meeting

**Call to Order in Open Session**

Members: Barry Nelson, Connie Ware, Matt Logan, Steve McCarty

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**Presentation and Committee Action on Agenda Item 5:**

**LEGAL SERVICES – FEDERAL COMMUNICATIONS COMMISSION (FCC)**

**Explanation:**

Under Section 402.0212 of the Texas Government Code, the Office of the Attorney General must approve of any contract for legal services between an attorney and the university. Additionally Title 1, Section 57 of the Texas Administrative Code requires the university to issue a request for qualifications for outside counsel prior to seeking the attorney general’s permission to enter into such a contract. The university issued RFQ LEGAL2-2014 seeking counsel wishing to be included on the university’s pre-approved list of law firms or attorneys for Federal Communications Commission (FCC) related matters. Outside counsel would ordinarily be selected from that list as needed by the university. The request for qualifications and list is valid through August 31, 2016.

**Recommendation:**

It is recommended that the Board of Regents approve selection of these firms for inclusion on the university’s pre-approved list of outside counsel for FCC related matters through August 31, 2016: Best Best & Krieger LLP; Gardere Wynne Sewell LLP; Law Office of Raul Magallanes, PLLC; Potter Minton, P.C.; Spiegel & McDiarmid, LLP; and Wilkinson Barker Knauer, LLP. It is further recommended that the president be authorized to sign any associated contracts for legal services not requiring specific board deliberation.
Presentation and Committee Action on Agenda Item 6:

LEGAL SERVICES – HEALTH LAW

Explanation:

Under Section 402.0212 of the Texas Government Code, the Office of the Attorney General must approve of any contract for legal services between an attorney and the university. Additionally Title 1, Section 57 of the Texas Administrative Code requires the university to issue a request for qualifications for outside counsel prior to seeking the attorney general’s permission to enter into such a contract. The university issued RFQ LEGAL2-2014 seeking counsel wishing to be included on the university’s pre-approved list of law firms or attorneys in the field of health law. Outside counsel would ordinarily be selected from that list as needed by the university. The request for qualifications and list is valid through August 31, 2016.

Recommendation:

It is recommended that the Board of Regents approve selection of the following firm for inclusion on the university’s pre-approved list of outside counsel in the field of health law through August 31, 2016: Gardere Wynne Sewell LLP. It is further recommended that the president be authorized to sign any associated contracts for legal services not requiring specific board deliberation.
Presentation and Committee Action on Agenda Item 7:

Explanation:

APPROVAL OF STRATEGIC PLAN 2020

The Strategic Planning Committee is now ready to release the new strategic plan.

Recommendation:

It is recommended by the administration that approval be given to the Strategic Plan 2020, as presented.
Presentation and Committee Action on Agenda Item 8:

**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 in Appendix 4:

- Academic Facilities for Non-Academic Activities (16.1)
- Animals on University Property (13.2)
- Annual Disclosure of Crime Statistics (13.3)
- Compensation Plan for Exempt and Non-Exempt Staff (12.2)
- Designation of School Status (4.5)
- Doctoral Students: Allowable Credit Hours and Completion Times (6.11)
- Electronic Personnel Action Form (11.8)
- Fair Labor Standards (11.14)
- Graduate Student Advisement (6.13)
Guest Lecturers (7.15)
Out of State Course Delivery (5.15)
Overtime and Compensatory Time (12.14)
Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs (4.8)
Records Management (2.9)
Residence Requirement (6.15)
Sick Leave (12.18)
Small-Size Classes (7.26)
Stone Fort Museum Collections (5.17)
Student Employment (10.6)
Student Media (10.8)
Student Service Fee Allocations (10.11)
Student Travel (10.12)
Summer Teaching Appointments (7.28)
Vacation/Sick Leave/Compensatory Time Reporting (12.2)

Community College 2008 Student Cohort Report

Faculty Salaries/ Faculty Retention

Adjourn Academic and Student Affairs Committee
(Scheduled approximately 4 pm)
Reconvene Board of Regents Committee of the Whole

Recess to Executive Session
(Scheduled for approximately 4 pm)

Steve McCarty  
Chair

Board Consideration of the following items:

Deliberation Regarding the Deployment, or Special Occasions for Implementation, of Security Personnel or Devices (Texas Government Code, Section 551.076)
  - Update from Chief Information Officer

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 institutional compliance, intellectual property, regent responsibilities, Christian Cutler v. Baker Pattillo, et al.; Joann Fields and Rose Trotty v. Stephen F. Austin State University; Maria Martinez, individually and as next of friend of Aileen Maria Martinez v. Charles Lane Feazell and Stephen F. Austin State University; and In Re: Dr. and Mrs. J.E. Watkins Scholarship Trust. (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 vice presidents and the president (Texas Government Code, Section 551.074)

Adjourn Executive Session
(Scheduled for approximately 5 pm)

Steve McCarty  
Chair

Reconvene Board of Regents in Open Session.

Recess Board of Regents Meeting to 9 am
Tuesday, January 28, 2014
### Call to Order (Scheduled 9:00 a.m.)

**Steve McCarty**  
Board Chair

| Pledge to the Flags | Ken Schaefer  
|---------------------|-------------  
| I pledge allegiance to the Flag of the United States of America, and to the Republic for which it stands, one Nation under God, indivisible, with liberty and justice for all.  
| Honor the Texas flag, I pledge allegiance to thee; Texas, one state under God, one and indivisible. |  

| Invocation | Bob Garrett  
|------------|-------------  
|            | Regent  

| Special Recognitions | Baker Pattillo  
|----------------------|-----------------  
| Soccer Team  
Football Coaches  
SFA Press  
Voice Students from National Association of Teachers of Singing Regional Competitions  
French Exchange Students in Rusche College of Business | President  


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<th>BOARD CONSIDERATION OF PAST MINUTES</th>
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Board Action on Agenda Item 1:

APPROVAL OF MINUTES OF OCTOBER 20 AND 21, 2013, AND DECEMBER 12, 2013, BOARD OF REGENTS MEETINGS

Explanation:

The minutes of the October 20 and 21, 2013, regular meeting and the December 12, 2013, special telephone meeting of the Board of Regents are included in this report.

Recommendation:

It is recommended by the administration that the minutes of the October 20 and 21, 2013, and the December 12, 2013, meetings be approved.

Steve McCarty  
Board Chair
Presentation and Board Action on Agenda Item 2:

**STAFF APPOINTMENTS FOR 2013 – 2014**

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**

John Calahan, Space Coordinator, at an annual salary of $54,000 for 100 percent time, effective October 14, 2013.

**ATHLETICS**

William Best, Assistant Football Coach, at a 10.5-month salary of $78,000 for 100 percent time, effective December 20, 2013.

Randall Champion, Director of Athletic Media Relations, at an annual salary of $52,000 for 100 percent time, effective December 9, 2013.

Clint Conque, Head Football Coach, at an annual base salary of $185,000 for 100 percent time, effective December 19, 2013.
Adam Federle, Assistant Football Coach, at a 10.5-month salary of $55,000 for 100 percent time, effective January 7, 2014.

Jeremy Hammock, Assistant Football Coach, at a 10.5-month salary of $51,000 for 100 percent time, effective December 20, 2013.

Matthew Kubik, Assistant Football Coach, at a 10.5-month salary of $80,000 for 100 percent time, effective December 20, 2013.

Demosesneeds Odems III, Assistant Football Coach, at a 10.5-month salary of $66,000 for 100 percent time, effective January 14, 2014.

Terry Mills, Assistant Football Coach, at a 10.5-month salary of $52,000 for 100 percent time, effective January 7, 2014.

Jeremy Moses, Assistant Football Coach, at a 10.5-month salary of $42,000 for 100 percent time, effective February 1, 2014.

Michael Walton, Assistant Football Coach, at a 10.5-month salary of $70,000 for 100 percent time, effective January 7, 2014.

Matt Williamson, Assistant Football Coach, at a 10.5-month salary of $86,000 for 100 percent time, effective December 20, 2013.

**Campus Recreation**

Jessica Varlack, Aquatics/Safety Coordinator, at an annual salary of $38,000 for 100 percent time, effective October 21, 2013.

Jessica Waguespack, Employee Wellness Coordinator, at an annual salary of $35,000 for 100 percent time, effective January 6, 2014.
EDUCATION

Kathleen Snyder, Certification Officer and Post Baccalaureate Initial Certification Program Manager, at an annual salary of $41,000 for 100 percent time, effective December 11, 2013.

LIBERAL AND APPLIED ARTS

Robert Selden, Research Associate-Center for Regional Heritage Research, at an annual salary of $40,000 for 100 percent time, effective September 1, 2013.

PUBLIC SAFETY

Johann Cox, Director of Public Safety Technology, at an annual salary of $65,000 for 100 percent time, effective October 28, 2013.

STUDENT AFFAIRS

Lindsey Chronister, Assistant Director of Student Engagement, at an annual salary of $44,000 for 100 percent time, effective December 2, 2013.

John Fontenot, Veteran Resource Center Coordinator, at an annual salary of $35,000 for 100 percent time, effective October 7, 2013.

STUDENT SERVICES

Andrei Bucur, Graphics Shop Supervisor, at an annual salary of $30,000 for 100 percent time, effective October 21, 2013.
Presentation and Board Action on Agenda Item 3:

**CHANGES OF STATUS FOR 2013-2014**

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.

**ALUMNI AFFAIRS**

Dale Green, from Director of Marketing and Membership in Alumni Affairs at an annual salary of $56,599 for 100 percent time, to Interim Executive Director of Alumni Affairs at an annual salary of $56,599 for 100 percent time with additional interim pay of $20,000 for 10 months, effective November 6, 2013.

**ASSESSMENT**

Dan Su, from Assistant Director of Assessment at an annual salary of $53,000 for 100 percent time, to Assistant Director of Assessment with a change in job assignment and a merit pay increase at an annual salary of $54,590 for 100 percent time, effective September 1, 2013.
ATHLETICS

Jeremy Hammock, from Assistant Football Coach at a 10.5-month salary of $51,000 for 100 percent time, to Assistant Football Coach at a 10.5-month salary of $55,000 for 100 percent time, effective January 1, 2014.

Jeremy Moses, from Assistant Football Coach at a 10.5-month salary of $40,050 for 100 percent time, to Assistant Football Coach at a 10.5-month salary of $42,000 for 100 percent time, effective February 1, 2014.

Kyle Rogers, from Athletic Media Relations Assistant at an annual salary of $33,373 for 100 percent time, to Assistant Director of Athletics Media Relations at an annual salary of $37,000 for 100 percent time, effective October 16, 2013.

BUSINESS

Carrie Baker, from Certificate and Degree Education Coordinator at an annual salary of $43,497 for 100 percent time, to Academic Advisor at an annual salary of $40,300 for 100 percent time, effective September 23, 2013.

EDUCATION

Sara Cole, from Certification Officer and Post Baccalaureate Initial Certification Program Manager at an annual salary of $44,290 for 100 percent time, to Academic Advisor at an annual salary of $38,872 for 100 percent time, effective November 18, 2013.

Julie Stadler, from Academic Advisor at an annual salary of $38,872 for 100 percent time, to Certification and Assessment Coordinator at an annual salary of $40,872 for 100 percent time, effective November 4, 2013.
INTERNATIONAL PROGRAMS

Heather Catton, from International Programs Specialist at an annual salary of $38,661 for 100 percent time, to Director of International Studies at an annual salary of $62,000 for 100 percent time, effective November 1, 2013.

LIBERAL AND APPLIED ARTS

Thomas Madison, from Assistant Professor of Mass Communications at an academic year salary of $55,000 for 100 percent time, to Assistant Professor of Mass Communications at an academic year salary of $52,000 for 100 percent time, effective September 1, 2013.

Sherry Williford, from Instructor of Mass Communications at an academic year salary of $56,558 for 100 percent time, to Instructor of Mass Communications and Curriculum Coordinator at an academic year salary of $56,558 with an additional supplement of $338 per month for 9 months, effective September 1, 2013.

LIBRARY

Dillon Wackerman, from Archivist at an annual salary of $44,054 for 100 percent time, to Archivist with a change in job assignment at an annual salary of $49,054 for 100 percent time, effective November 1, 2013.

MARKETING COMMUNICATIONS

Donna Parish, from Marketing Communications Specialist at an annual salary of $44,250 for 100 percent time, to Assistant Director of Marketing Communications for Creative Services at an annual salary of $66,000 for 100 percent time, effective November 1, 2013.
SCiences and Mathematics

Kimberly Childs, from Dean of Sciences and Mathematics at an annual salary of $169,404 for 100 percent time, to Dean of Sciences and Mathematics with additional STEM Center responsibilities at an annual salary of $176,178 for 100 percent time, effective September 1, 2013.

Student Affairs

Whitney Koltonski, from Counselor at an annual salary of $40,000 for 100 percent time, to Counselor with a change in job assignment at an annual salary of $41,200 for 100 percent time, effective November 1, 2013.

Telecommunication and Networking

Robert Brown, from Technical Support Specialist III at an annual salary of $40,589 for 100 percent time, to Virtual Desktop Interface Administrator I at an annual salary of $42,000 for 100 percent time, effective November 1, 2013.

James McLaughlin, from Technical Support Specialist III at an annual salary of $44,970 for 100 percent time, to Virtual Desktop Interface Administrator II at an annual salary of $48,000 for 100 percent time, effective November 1, 2013.
Presentation and Board Action on Agenda Item 4:

RETIREMENTS

Explanation:

Retirements are initiated at the departmental level and processed through administrative channels.

Recommendation:

It is recommended by the administration that the following retirements be accepted:

Vikki Boatman, Assistant Professor Elementary Education, James I. Perkins College of Education

Robert Choate, Professor of Human Services, James I. Perkins College of Education

Melissa McCormack, Lead Teacher, Charter School

Melanie McGill, Professor of Human Services, James I. Perkins College of Education

Kathy Springfield, Academic Advisor, James I. Perkins College of Education

Sharon Swindell, Assistant Director of Admissions
Report and Board Action on Agenda Item 5:

LEGAL SERVICES – FEDERAL COMMUNICATIONS COMMISSION (FCC)

Explanation:

Under Section 402.0212 of the Texas Government Code, the Office of the Attorney General must approve of any contract for legal services between an attorney and the university. Additionally Title 1, Section 57 of the Texas Administrative Code requires the university to issue a request for qualifications for outside counsel prior to seeking the attorney general’s permission to enter into such a contract. The university issued RFQ LEGAL2-2014 seeking counsel wishing to be included on the university’s pre-approved list of law firms or attorneys for Federal Communications Commission (FCC) related matters. Outside counsel would ordinarily be selected from that list as needed by the university. The request for qualifications and list is valid through August 31, 2016.

Recommendation:

It is recommended that the Board of Regents approve selection of these firms for inclusion on the university’s pre-approved list of outside counsel for FCC related matters through August 31, 2016: Best Best & Krieger LLP; Gardere Wynne Sewell LLP; Law Office of Raul Magallanes, PLLC; Potter Minton, P.C.; Spiegel & McDiarmid, LLP; and Wilkinson Barker Knauer, LLP. It is further recommended that the president be authorized to sign any associated contracts for legal services not requiring specific board deliberation.
Report and Board Action on Agenda Item 6:

LEGAL SERVICES – HEALTH LAW

Explanation:

Under Section 402.0212 of the Texas Government Code, the Office of the Attorney General must approve of any contract for legal services between an attorney and the university. Additionally Title 1, Section 57 of the Texas Administrative Code requires the university to issue a request for qualifications for outside counsel prior to seeking the attorney general’s permission to enter into such a contract. The university issued RFQ LEGAL2-2014 seeking counsel wishing to be included on the university’s pre-approved list of law firms or attorneys in the field of health law. Outside counsel would ordinarily be selected from that list as needed by the university. The request for qualifications and list is valid through August 31, 2016.

Recommendation:

It is recommended that the Board of Regents approve selection of the following firm for inclusion on the university’s pre-approved list of outside counsel in the field of health law through August 31, 2016: Gardere Wynne Sewell LLP. It is further recommended that the president be authorized to sign any associated contracts for legal services not requiring specific board deliberation.
Report and Board Action on Agenda Item 7:

APPROVAL OF STRATEGIC PLAN 2020

Explanation:

The Strategic Planning Committee is now ready to release the new strategic plan.

Recommendation:

It is recommended by the administration that approval be given to the Strategic Plan 2020, as presented.
Report and Board Action on Agenda Item 8:

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 in Appendix 4:

- Academic Facilities for Non-Academic Activities (16.1)
- Animals on University Property (13.2)
- Annual Disclosure of Crime Statistics (13.3)
- Compensation Plan for Exempt and Non-Exempt Staff (12.2)
- Designation of School Status (4.5)
- Doctoral Students: Allowable Credit Hours and Completion Times (6.11)
- Electronic Personnel Action Form (11.8)
- Fair Labor Standards (11.14)
- Graduate Student Advisement (6.13)
- Guest Lecturers (7.15)
- Out of State Course Delivery (5.15)
- Overtime and Compensatory Time (12.14)
- Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs (4.8)
- Records Management (2.9)
- Residence Requirement (6.15)
Sick Leave (12.18)
Small-Size Classes (7.26)
Stone Fort Museum Collections (5.17)
Student Employment (10.6)
Student Media (10.8)
Student Service Fee Allocations (10.11)
Student Travel (10.12)
Summer Teaching Appointments (7.28)
Vacation/Sick Leave/Compensatory Time Reporting (12.2)
Report and Board Action on Agenda Item 9:

LEGAL SERVICES – REAL ESTATE

Explanation:

Under Section 402.0212 of the Texas Government Code, the Office of the Attorney General must approve of any contract for legal services between an attorney and the university. Additionally Title 1, Section 57 of the Texas Administrative Code requires the university to issue a request for qualifications for outside counsel prior to seeking the attorney general’s permission to enter into such a contract. The university issued RFQ LEGAL2-2014 seeking counsel wishing to be included on the university’s pre-approved list of law firms or attorneys in the field of real estate. Outside counsel would ordinarily be selected from that list as needed by the university. The request for qualifications and list is valid through August 31, 2016.

Recommendation:

It is recommended that the Board of Regents approve selection of these firms for inclusion on the university’s pre-approved list of outside counsel in the field of real estate through August 31, 2016: Andrews Kurth; Gardere Wynne Sewell LLP; Haglund Law Firm, P.C.; Jameson & Powers, P.C.; Lewis Brisbois Bisgaard & Smith LLP; and Potter Minton, P.C. It is further recommended that the president be authorized to sign any associated contracts for legal services not requiring specific board deliberation.
Report and Board Action on Agenda Item 10:

LEGAL SERVICES – OIL AND GAS, MINERAL INTERESTS, AND/OR UTILITIES MATTERS

Explanation:

Under Section 402.0212 of the Texas Government Code, the Office of the Attorney General must approve of any contract for legal services between an attorney and the university. Additionally Title 1, Section 57 of the Texas Administrative Code requires the university to issue a request for qualifications for outside counsel prior to seeking the attorney general’s permission to enter into such a contract. The university issued RFQ LEGAL2-2014 seeking counsel wishing to be included on the university’s pre-approved list of law firms or attorneys in the field of oil and gas, mineral interests, and/or utilities. Outside counsel would ordinarily be selected from that list as needed by the university. The request for qualifications and list is valid through August 31, 2016.

Recommendation:

It is recommended that the Board of Regents approve selection of these firms for inclusion on the university’s pre-approved list of outside counsel in the field of oil and gas, mineral interests, and/or utilities through August 31, 2016: Andrews Kurth; Borgelt Law; Gardere Wynne Sewell LLP; Lewis Brisbois Bisgaard & Smith LLP; and Potter Minton, P.C. It is further recommended that the president be authorized to sign any associated contracts for legal services not requiring specific board deliberation.
Report and Board Action on Agenda Item 11:

**APPROVAL OF FIBER OPTIC CABLE INSTALLATION FOR THE CC-NIE NETWORKING PROJECT**

Explanation:

The university has received a three-year grant award from the National Science Foundation for the CC-NIE Networking Infrastructure project. The purpose of the project is to provide major upgrades to network infrastructure, connectivity, and the science DMZ to support expanded research and teaching capabilities and improve capacity for data-driven research across a variety of STEM disciplines. Network enhancements to be constructed consist of two fiber optic installation builds, including material and installation of 17 miles of fiber optic cable, which are budgeted for $444,648. At least one contract is expected to exceed $100,000. Selection of contractors is pending.

Recommendation:

The administration recommends that the fiber optic cable installation project be approved in an amount not to exceed $444,648. It is further recommended that the president be authorized to sign the resulting contract(s) that exceed $100,000.
Report and Board Action on Agenda Item 12:

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 in Appendix 4:

Austin Building Conference Rooms (16.5)
Report and Board Action on Agenda Item 13:

APPROVAL OF THE REBRANDING CAMPAIGN CONCEPT AND INCREASE OF THE MARKETING INITIATIVE BUDGET:

Explanation:

Richards Carlberg has presented the proposed rebranding campaign concept including logo, media and creative design for the board’s approval. Additionally, in order to make sufficient media buys to launch the rebranding campaign in April 2014, Richards Carlberg recommends the marketing initiative budget be increased by $200,000. This raises the overall budget for the initiative to a total of $1,250,000. Designated funds will be used for the marketing budget increase.

Recommendation:

The administration recommends an increase to the overall marketing initiative budget by $200,000. Designated funds will be used for the marketing budget increase.
Report and Board Action on Agenda Item 14:

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

Explanation:

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

The audit services report as presented includes Dean of the College of Forestry and Agriculture Audit, Agriculture Farms Audit, Scholarship Audit, Follow-Up Audit as of December 31, 2013, and update on annual audit plan.

Recommendation:

The Finance and Audit committee recommends that the Board of Regents acknowledge receipt of the audit services report as presented and request that a Follow Up Audit to the Agriculture Farms Audit be presented at the July 2014 board meeting.
Report and Board Action on Agenda Item 15:

APPROVAL OF THE SFA CHARTER SCHOOL 2012-2013 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, 2013, and will be submitted to the Texas Education Agency as required.

Recommendation:

The administration recommends approval of the August 31, 2013, SFA Charter School audited financial statements.
Report and Board Action on Agenda Item 16:

APPROVAL OF THE FISCAL YEAR 2012-13 ANNUAL FINANCIAL REPORT

Explanation:

As required by state law, Stephen F. Austin State University submitted the Annual Financial Report on November 20, 2013, for the fiscal year that ended August 31, 2013, to the Governor’s Office, Comptroller of Public Accounts, Legislative Budget Board, Texas Higher Education Coordinating Board, Legislative Reference Library, Texas State Library and the State Auditor’s Office.

Recommendation:

The administration recommends approval of the August 31, 2013, Stephen F. Austin State University Annual Financial Report as submitted.
Report and Board Action on Agenda Item 17:

RESOLUTION TO ACKNOWLEDGE REVIEW OF INVESTMENT POLICY AND STRATEGY

Explanation:

In accordance with the Texas Public Funds Investment Act, 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, included in Appendix 1, acknowledges the board's annual review of Policy 3.21, Investments. Policy 3.21 is included in the policy revisions, Appendix 4.

Recommendation:

The administration recommends approval of the Resolution to Acknowledge Review of Investment Policy and Strategy as presented in Appendix 1.
Report and Board Action on Agenda Item 18:

RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS

Explanation:

The Texas Public Funds Investment Act requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The following brokers/investment managers are listed in the resolution, submitted in Appendix 2: Texas A&M University System, Bank of America, Citizens 1st Bank, Austin Bank, BancorpSouth, Commercial Bank of Texas, First Bank and Trust, Regions Bank, Regions Morgan Keegan Trust, Huntington State Bank, Wells Fargo, US Bank, Texas Bank; Texpool, Texas Class, and Texstar.

Recommendation:

The administration recommends approval of the financial institutions, investment managers and brokers presented in Appendix 2.
Report and Board Action on Agenda Item 19:

GRANT AWARDS

Explanation:

To date in fiscal year 2014, the university has received multi-year grant awards totaling $21,501,809. Of that total, grant awards allocable to fiscal year 2014 are $6,802,863, an increase of $816,951 since the last report. The fiscal year 2014 increase includes a $282,365 grant award from the Texas Parks and Wildlife Department (TPWD) for a turkey-tracking project. Terms of that contract between SFA and TPWD required a time-sensitive purchase of GPS-capable, tracking transmitters that totaled $198,430.

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 grant awards allocable to fiscal year 2014 that total $816,951. Further, the administration recommends the approval and ratification of the $198,430 equipment purchase associated with the SFA/TPWD wild turkey interagency research agreement. Grant funds provided by TPWD were used for the purchase. The total grant awards are detailed in Appendix 3.
Report and Board Action on Agenda Item 20:

LEGAL SERVICES – TAX

Explanation:

Under Section 402.0212 of the Texas Government Code, the Office of the Attorney General must approve of any contract for legal services between an attorney and the university. Additionally Title 1, Section 57 of the Texas Administrative Code requires the university to issue a request for qualifications for outside counsel prior to seeking the attorney general’s permission to enter into such a contract. The university issued RFQ LEGAL2-2014 seeking counsel wishing to be included on the university’s pre-approved list of law firms or attorneys in the field of tax law. Outside counsel would ordinarily be selected from that list as needed by the university. The request for qualifications and list is valid through August 31, 2016.

Recommendation:

It is recommended that the Board of Regents approve selection of the following firm for inclusion on the university’s pre-approved list of outside counsel in the field of tax law through August 31, 2016: Gardere Wynne Sewell LLP. It is further recommended that the president be authorized to sign any associated contracts for legal services not requiring specific board deliberation.
Report and Board Action on Agenda Item 21:

LEGAL SERVICES – WILLS, TRUSTS, AND ESTATES

Explanation:

Under Section 402.0212 of the Texas Government Code, the Office of the Attorney General must approve of any contract for legal services between an attorney and the university. Additionally Title 1, Section 57 of the Texas Administrative Code requires the university to issue a request for qualifications for outside counsel prior to seeking the attorney general’s permission to enter into such a contract. The university issued RFQ LEGAL2-2014 seeking counsel wishing to be included on the university’s pre-approved list of law firms or attorneys in the field of wills, trusts and estates. Outside counsel would ordinarily be selected from that list as needed by the university. The request for qualifications and list is valid through August 31, 2016.

Recommendation:

It is recommended that the Board of Regents approve selection of these firms for inclusion on the university’s pre-approved list of outside counsel in the field of wills, trusts and estates through August 31, 2016: Gardere Wynne Sewell LLP; Haglund Law Firm, P.C.; Lewis Brisbois Bisgaard & Smith LLP; and Potter Minton, P.C. It is further recommended that the president be authorized to sign any associated contracts for legal services not requiring specific board deliberation.
Report and Board Action on Agenda Item 22:

**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 in Appendix 4:

- Central Receiving (17.2)
- Computer Replacement Policy (17.4)
- Gifts, Loans, Endowments and Bequests (3.17)
- Investments (3.21)
- Investments - Endowment Funds (3.20)
- Prompt Payment to Vendors and Employees (17.13)
- Property Inventory and Management (17.14)
- Property Liability (16.22)
- Proprietary Purchases (17.15)
- Purchase of Electronic and Information Resources (17.16)
- Purchase of Surplus Property (17.17)
- Safe and Vault Combinations (14.9)
- Student Fiscal Appeals (6.19)
- Working Hours and Holidays (12.24)
| REPORTS |
|------------------|-----------------|
| **Report from the President** | Baker Pattillo |
| • Upcoming Dates | President |
| • Search for Executive Director of Alumni Relations | |
| • Search for Dean of Nelson Rusche College of Business | |
| • Student Regent Applications | |
| • Possible Telephone Board Meeting in March Lone | |
| • Star Legislative Summit | |
| • Engineering Degree | |
| **Report from the Faculty Senate** | Dana Cooper |
| • Undertakings to Date | Faculty Senate Chair |
| • Giving Back to Both Communities | |
| • Faculty Activities and Accomplishments | |
| **Report from the Student Government Association** | Marquice Hobbs |
| • Recap of Fall 2013 | SGA President |
| • Preview of Spring 2014 | |
| • SGA Elections | |
| **Report from Nominating Committee and Election of 2014-2015 Board Officers** | Steve McCarty |
| | Chair |
| **Adjournment of Meeting** (Approximately 10:30 a.m.) | Steve McCarty |
| | Chair |
Sunday, October 20, 2013

The regular meeting of the Board of Regents was called to order in open session at 1:30 p.m. Sunday, October 20, 2013, in the Austin Building Board Room by Chair Steve McCarty.

PRESENT:

Board Members: Mr. Steve McCarty, Chair
Mr. David Alders
Dr. Scott Coleman
Mr. Bob Garrett
Ms. Brigettee Henderson
Mr. Matt Logan, student member
Mr. Barry Nelson
Mr. Ken Schaefer
Mr. Ralph Todd
Ms. Connie Ware

President: Dr. Baker Pattillo

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

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

The Finance and Audit Committee convened at 1:30 p.m. and adjourned at 4:37 p.m. The Building and Grounds Committee meeting convened at 4:37 p.m. and adjourned at 4:55 p.m. The Academic and Student Affairs Committee convened at 4:55 p.m. and adjourned at 5:25 p.m.

The board chair reconvened the Committee of the Whole at 5:45 p.m. and immediately called for an executive session to consider the following items:
Deliberations Regarding the Deployment, or Special Occasions for Implementation, of Security Personnel or Devices (551.076)
  • TAC 202

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

Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations (551.073)

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 executive director of alumni affairs, former equine center director, poultry science director, chair of the Department of Agriculture, dean of students/assistant vice president for university affairs, interim dean of the Nelson Rusche College of Business, vice presidents, and the president. (551.074)

Consultation with Attorney regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to institutional compliance, intellectual property, recent state legislation, federal regulations, EEOC filings, alcohol, Christian Cutler v. Baker Pattillo, et al, and JoAnn Fields and Rose Trotty v. Stephen F. Austin State University.

The executive session ended at 7:35 p.m. The Board of Regents meeting returned to open session and recessed for the evening with no further action.
Monday, October 21, 2013

The regular meeting of the Board of Regents was called to order in open session at 9:00 a.m. Monday, October 21, 2013, in the Austin Building Board Room by Chair Steve McCarty.

PRESENT:

Board Members: Mr. Steve McCarty, Chair
Mr. David Alders
Dr. Scott Coleman
Mr. Bob Garrett
Ms. Brigetee Henderson
Mr. Matt Logan, student member
Mr. Barry Nelson
Mr. Ken Schaefer
Mr. Ralph Todd
Ms. Connie Ware

President: Dr. Baker Pattillo

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

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regent Alders led the pledge to the flags and Regent Coleman provided the invocation.

RECOGNITIONS

Robert Hill introduced the Men’s and Women’s Outdoor Track Teams, both winners of the Southland Conference Outdoor Track Championships. Phil Olsen was recognized as Coach of the Year again. Scott Shaddock introduced the Rose Bruford College exchange students. Ric Berry introduced members of the Core Curriculum Advisory Committee. Kim Childs introduced faculty members participating in a National Science Foundation Grant. Tara Newman from the Office of High Impact Practices recognized faculty involved on campus in those activities.
APPROVAL OF MINUTES

BOARD ORDER 14-01
Upon motion by Regent Ware, seconded by Regent Todd, with all members voting aye, it was ordered that the minutes of the July 15 and 16, 2013, regular meeting and the August 16, 2013, special meeting of the Board of Regents be approved as presented.

PERSONNEL

BOARD ORDER 14-02
Upon motion by Regent Garrett, seconded by Regent Ware, with all members voting aye, it was ordered that the following personnel items be approved.

FACULTY APPOINTMENTS FOR 2013 – 2014

EDUCATION

Jane Grayson, Assistant Professor of Kinesiology (Athletic Training), Ph.D. (University of Queensland, Australia), at an academic year salary of $57,000 for 100 percent time, effective September 1, 2013.

Susan Reily, Assistant Professor of Elementary Education, Ed.D. (Mary Hardin Baylor), at an academic year salary of $53,000 for 100 percent time, effective September 1, 2013.

James Rowe, Instructor of Kinesiology and Health Science, M.S. (Texas Christian University), at an academic year salary of $51,000 for 100 percent time, effective September 1, 2013, contingent upon completion of doctorate by August 31, 2014.

Nancy Shepherd, Assistant Professor of Human Sciences, Ph.D. (Texas Tech University), at an academic year salary of $53,000 for 100 percent time, effective September 1, 2013.

Vicki Thomas, Assistant Professor Elementary Education, Ph.D. (University of Southern Mississippi), at an academic year salary of $53,000 for 100 percent time, effective September 1, 2013.

FINE ARTS

Richard Ellis, Visiting Assistant Professor of Theatre, M.F.A. (New York University) at an academic year salary of $45,835 for 100 percent time, effective September 1, 2013.

Tod Fish, Visiting Assistant Professor of Music, D.M.A. (University of Kansas), at an academic year salary of $44,000 for 100 percent time, effective September 1, 2013.

Bradley Meyer, Visiting Assistant Professor of Music, D.M.A. (University of Kentucky), at an academic year salary of $44,000 for 100 percent time, effective September 1, 2013.
Staci Spring, Lecturer of Music, M.M. (Florida State University), at an academic year salary of $35,000 for 100 percent time, effective September 1, 2013.

LIBRARY

Erica Chapman, Librarian I, M.L.S. (Texas Woman’s University), at an annual salary of $45,000 for 100 percent time, effective September 2, 2013.

Marlinda Karo, Librarian I, M.A. (Pacific University), at an annual salary of $40,000 for 100 percent time, effective August 12, 2013.

Corrie Marsh, Associate Director of Library Information Services, M.S. (Louisiana State University) at an annual salary of $80,000 for 100 percent time, effective September 1, 2013.

SCIENCES AND MATHEMATICS

Candace Carter, Clinical Instructor of Nursing, M.S. (University of Texas), at an academic year salary of $54,000 for 100 percent time, effective September 1, 2013.

Melissa Huggins, Clinical Instructor of Nursing, B.S.N. (Stephen F. Austin State University), at an academic year salary of $45,000 for 100 percent time, effective September 1, 2013.

Vance Imhoff, Coordinator Lab Biology, B.S. (University of Texas) at an academic year salary of $35,000 for 100 percent time, effective September, 2013.

Stacia Prince, Lecturer of Mathematics and Statistics, M.S. (Stephen F. Austin State University), at an academic year salary of $49,000 for 100 percent time, effective September 1, 2013.

Celina Serna, Clinical Instructor of Nursing, M.S. (University of Phoenix), at an academic year salary of $54,000 for 100 percent time, effective September 1, 2013.

Veronica Sjolander, Clinical Instructor of Nursing, M.S.N. (Kaplan University), at an academic year salary of $54,000 for 100 percent time, effective September 1, 2013.

STAFF APPOINTMENTS FOR 2013 – 2014

ALUMNI AFFAIRS

Derek Synder, Coordinator of Alumni Marketing Communications, at an annual salary of $39,000 for 100 percent time, effective July 22, 2013.
ATHLETICS

Shane Carlisle, Coordinator of Athletic Marketing, at an annual salary of $36,000 for 100 percent time, effective September 1, 2013.

Casey Finnell, Athletic Academic Services Assistant, at an annual salary of $35,000 for 100 percent time, effective July 1, 2013.

Brent Gallagher, Coordinator of Athletic Marketing, at an annual salary of $38,000 for 100 percent time, effective September 1, 2013.

Jamila Ganter, Assistant Women’s Basketball Coach, at a 10.5-month salary of $43,088 for 100 percent time, effective June 24, 2013.

James Hoefer, Assistant Football Coach, at a 10.5-month salary of $63,000 for 100 percent time, effective June 24, 2013.

Josh Lammert, Athletic Trainer, at an annual salary of $39,609 for 100 percent time, effective July 29, 2013.

Maureen McReynolds, Coordinator of Athletic Marketing, at an annual salary of $40,000 for 100 percent time, effective September 1, 2013.

Erik Pastrana, Assistant Men’s Basketball Coach, at a 10.5-month salary of $70,000 for 100 percent time, effective June 24, 2013.

Ted Smith, Director of Athletic Development, at an annual salary of $50,000 for 100 percent time, effective September 1, 2013.

AUDIT SERVICES

Justin McAninch, Risk and Compliance Auditor, at an annual salary of $60,000 for 100 percent time, effective July 1, 2013.

CAMPUS RECREATION

Steven Whitman, Coordinator of Outdoor Pursuits, at an annual salary of $32,800 for 100 percent time, effective September 16, 2013.

Jessica Varlack, Coordinator of Aquatics and Safety, at an annual salary of $38,000 for 100 percent time, effective October 21, 2013.

COUNSELING AND CAREER SERVICES

Jeffrey Schulz, Counselor, at an annual salary of $40,000 for 100 percent time, effective September 3, 2013.
EDUCATION

Stephanie Strahl, Academic Advisor, at an annual salary of $35,000 for 100 percent time, effective September 16, 2013.

Sarah Lammert, Charter School Teacher, at a 10.5-month salary of $38,100 for 100 percent time, effective September 1, 2013.

Eileen Meyers, Charter School Teacher, at a 10.5-month salary of $42,000 for 100 percent time, effective September 1, 2013.

ENVIRONMENTAL HEALTH, SAFETY AND RISK MANAGEMENT

Matthew Romig, Officer Safety, at an annual salary of $47,000 for 100 percent time, effective July 1, 2013.

FORESTRY AND AGRICULTURE

Hannah Berlund, Academic Advisor, at an annual salary of $40,300 for 100 percent time, effective August 12, 2013.

John Sperry, Academic Advisor, at an annual salary of $40,300 for 100 percent time, effective August 19, 2013.

INFORMATION TECHNOLOGY SERVICES

Daniel Davis, Programmer/Analyst I, at an annual salary of $35,000 for 100 percent time, effective June 24, 2013.

LIBRARY

Kerron Joseph, Director of Academic Assistance and Resource Center Program, at an annual salary of $46,000 for 100 percent time, effective August 19, 2013.

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Jamie Peno, Compliance Officer, at an annual salary of $62,000 for 100 percent time, effective September 16, 2013.

PHYSICAL PLANT

Jessica DeWitt, Project Coordinator, at an annual salary of $38,200 for 100 percent time, effective October 1, 2013.
RESIDENCE LIFE

Courtney Douglas, Coordinator of Residence Life Programs, at an annual salary of $32,960 for 100 percent time, effective September 3, 2013.

Hannah Ko, Hall Director, at an annual salary of $28,500 for 100 percent time, effective July 15, 2013.

Jessica Stout, Hall Director, at an annual salary of $28,500 for 100 percent time, effective July 8, 2013.

SCIENCES AND MATHEMATICS

Mallory Maisel, Assistant Lab Coordinator (Nursing), at an annual salary of $40,000 for 100 percent time, effective August 12, 2013.

Julie Sandifer, Coordinator of Science, Technology, Engineering, Mathematics (STEM) Outreach, at a 10-month salary of $47,000 for 100 percent time, effective September 1, 2013.

STUDENT RIGHTS AND RESPONSIBILITIES

Anita McGee, Early Intervention Coordinator, at an annual salary of $41,200 for 100 percent time, effective September 9, 2013.

UNIVERSITY POLICE DEPARTMENT

Clayton Harrington, Director of Parking and Traffic, at an annual salary of $68,250 for 100 percent time, effective July 15, 2013.

CHANGES OF STATUS FOR 2013-2014

ACADEMIC ADVISING

Brandy Bishop, from Administrative Assistant at an annual salary of $29,458 for 100 percent time, to Academic Advisor at an annual salary of $33,000 for 100 percent time, effective July 22, 2013.

ADMISSIONS

Kevin Davis, from Associate Director of Admissions at an annual salary of $55,700 for 100 percent time, to Associate Director of Admissions with a change in job assignment at an annual salary of $58,371 for 100 percent time, effective September 1, 2013.
ATHLETICS

Kenneth Bybee, from Athletics Media Relations Assistant at an annual salary of $28,325 for 100 percent time, to Assistant Director of Athletics Media Relations at an annual salary of $37,000 for 100 percent time, effective June 21, 2013.

Steven Condon, from Athletic Trainer at an annual salary of $39,609 for 100 percent time, to Athletic Trainer with at an annual salary of $44,697 for 100 percent time, effective August 1, 2013.

Steven Condon, from Athletic Trainer at an annual salary of $44,697 for 100 percent time, to Athletic Trainer at an annual salary of $45,335 for 100 percent time, effective September 1, 2013.

Jamilia Ganter, from Assistant Women’s Basketball Coach at an 10.5-month salary of $43,088 for 100 percent time, to Assistant Women’s Basketball Coach at a 10.5-month salary of $48,088 for 100 percent time, effective September 1, 2013.

James Hoefer, from Assistant Football Coach at a 10.5-month salary of $63,000 for 100 percent time, to Assistant Football Coach at a 10.5-month salary of $73,000 for 100 percent time, effective September 1, 2013.

Joshua Lammert, from Athletic Trainer at an annual salary of $39,609 for 100 percent time, to Athletic Trainer at an annual salary of $41,500 for 100 percent time, effective September 1, 2013.

Mark Mitchell, from Athletics Strength and Conditioning Assistant at an annual salary of $32,500 for 100 percent time, to Athletics Strength and Conditioning Assistant at an annual salary of $36,339 for 100 percent time, effective July 8, 2013.

Mark Mitchell, from Athletics Strength and Conditioning Assistant at an annual salary of $36,339 for 100 percent time, to Athletics Strength and Conditioning Assistant at an annual salary of $37,431 for 100 percent time, effective September 1, 2013.

BUSINESS

Deborah DuFrene, from Associate Dean at an annual salary of $137,315 for 100 percent time, to Associate Dean at an annual salary of $137,315 with additional annual pay of $8,220 for a 12-month interim assignment for 100 percent time, effective September 1, 2013.

Jack Ethridge, from Professor of Accounting at an academic year salary of $110,529 for 100 percent time, to Professor of Accounting and Director of MBA Program at an annual salary of $110,529 with academic year supplement of $2,250 for the additional responsibilities for 100 percent time, effective September 1, 2013.
Geralyn Franklin, from Interim Dean at an annual salary of $137,315 for 100 percent time, to Interim Dean at an annual salary of $137,315 with additional annual pay of $33,200 for a 12-month interim assignment for 100 percent time, effective September 1, 2013.

George Hunt, from Associate Professor of Business at an academic year salary of $110,964 for 100 percent time, to Associate Professor and Interim Director of the School of Accountancy at an academic year salary of $110,964 for 100 percent time with additional annual salary supplement of $14,036 for a 12-month interim assignment, effective September 1, 2013.

Mikhail Kouliavtsev, from Associate Professor of Economics and Finance at an academic year salary of $83,714 for 100 percent time, to Associate Professor and Director of MBA Program at an academic year salary of $83,714 with a 9-month supplement of $7,200 for additional duties for 100 percent time, effective September 1, 2013.

Laura Turner, from Academic Advisor at an annual salary of $40,300 for 100 percent time, to Academic Advisor at an annual salary of $40,300 with an annual supplement of $6,000 for additional interim duties, effective September 1, 2013.

CONTROLLER

Jacob Seamans, from Plant Operations Specialist in Physical Plant at an annual salary of $35,064 for 100 percent time, to Accountant II at an annual salary of $42,000 for 100 percent time, effective September 10, 2013.

DEVELOPMENT

April Smith, from Assistant Director of Development at an annual salary of $54,741 for 100 percent time, to Associate Director of Development at an annual salary of $60,215 for 100 percent time, effective September 1, 2013.

Craig Turnage, from Major Gift Officer at an annual salary of $78,448 for 100 percent time, to Development Officer at an annual salary of $88,448 for 100 percent time, effective September 1, 2013.

Joel Turner, from Major Gift Officer at an annual salary of $76,163 for 100 percent time, to Executive Director of Development at an annual salary of $104,000 for 100 percent time, effective September 1, 2013.

EDUCATION

Deborah Buswell, from Associate Professor of Kinesiology at an academic year salary of $63,923 for 100 percent time, to Associate Professor and Interim Chair of the Department of Kinesiology and Health Science at an academic year salary of $63,923 with additional pay of $2,776 per month for a 12-month interim for 100 percent time, effective September 1, 2013.
Deborah Cady, from Clinical Instructor in Human Services at an academic year salary of $52,530 for 100 percent time, to Clinical Instructor in Human Services with a merit increase at an academic year salary of $54,106 for 100 percent time, effective September 1, 2013.

Barbara Davis, from Project Director of GEAR UP at an annual salary of $81,847 for 100 percent time, to Project Director of GEAR UP with a change in job assignment at an annual salary of $84,301 for 100 percent time, effective September 1, 2013.

Sandra Delgado, from Associate Director of Project CTE at an annual salary of $76,500 for 100 percent time, to Associate Director of Project CTE with a merit increase at an annual salary of $78,795 for 100 percent time, effective September 1, 2013.

Brenda Hill, from Associate Project Director of GEAR UP, at an annual salary of $70,040 for 100 percent time, to Associate Project Director GEAR UP with a merit increase at an annual salary of $72,141 for 100 percent time, effective September 1, 2013.

Patrick Jenlink, from Professor of Secondary Education, at an academic year salary of $96,670 for 100 percent time, to Professor of Secondary Education and Doctoral Program Coordinator at an annual salary of $96,670 with a salary supplement of $3,000 for a 4-month assignment for 100 percent time, effective September 1, 2013.

Cyndra Krogen-Morton, from Visiting Lecturer in Kinesiology, at an academic year salary of $45,000 for 100 percent time, to Visiting Instructor of Kinesiology at an academic year salary of $46,350 for 100 percent time, effective September 1, 2013.

Olegario Madera, from Outreach Coordinator of GEAR UP at an annual salary of $44,000 for 100 percent time, to Outreach Coordinator of GEAR UP with a merit increase at an annual salary of $45,320 for 100 percent time, effective September 1, 2013.

Jana McCall, from Charter School Teacher at an annual salary of $55,100 for 100 percent time, to Charter School Teacher with additional intervention duties for student accountability reporting at an annual salary of $55,100 with an additional $2,000 annual supplement for 100 percent time, effective August 15, 2013.

Nola Schmidt, from Project Director of Confianza at an annual salary of $65,000 for 100 percent time, to Projector Director of Confianza with a merit increase at an annual salary of $66,950 for 100 percent time, effective September 1, 2013.

Louann Williams, from Lead Teacher in the Early Childhood Lab at an annual salary of $38,853 for 100 percent time, to Master Teacher at an annual salary of $40,013 for 100 percent time, effective September 1, 2013.
FINE ARTS

Jeffrey Brewer, from Visiting Assistant Professor of Art at an academic year salary of $41,000 for 100 percent time, reappointed to Visiting Assistant Professor of Art at an academic year salary of $41,000 for 100 percent time, effective September 1, 2013.

FORESTRY AND AGRICULTURE

Jason Grogan, from Research Specialist at an annual salary of $46,000 for 100 percent time, to Research Specialist with a merit increase at an annual salary of $48,801 for 100 percent time, effective September 1, 2013.

Ping Wang, from Research Scientist-Medicinal Plants at an annual salary of $38,192 for 100 percent time, to Research Scientist-Medicinal Plants with a merit increase at an annual salary of $38,678 for 100 percent time, effective September 1, 2013.

INFORMATION TECHNOLOGY SERVICES

Travis Killen, from Tech Support Specialist III at an annual salary of $38,000 for 100 percent time, to Systems Programmer I at an annual salary of $44,185 for 100 percent time, effective August 1, 2013.

LIBERAL AND APPLIED ARTS

Kelley Snowden, from Research Associate in the Cultural Heritage Center at an annual salary of $36,000 for 100 percent time, to Research Associate with a position change at an annual salary of $40,000 for 100 percent time, effective September 1, 2013.

SCIENCES AND MATHEMATICS

Lurah Bryant, from Assistant Director Area Health Education Center at an annual salary of $38,000 for 100 percent time, to Assistant Director Area Health Education Center with a merit increase at an annual salary of $39,140 for 100 percent time, effective September 1, 2013.

Mary Elizabeth Lockhart, from Research Associate STEM Center at an academic year salary of $39,185 for 100 percent time, to Coordinator of STEM Academics at an academic year salary of $42,300 for 100 percent time, effective September 1, 2013.

John Moore, from Professor of Chemistry, at an academic year salary of $74,600 for 100 percent time, to Professor and Interim Chair of the Department of Chemistry at an academic year salary of $74,600 with an 11-month supplemental pay of $23,089 for interim duties for 100 percent time, effective September 1, 2013.

Jana Redfield, from Project Coordinator in STEM Center at an annual salary of $41,200 for 100 percent time, to Assistant Director of STEM Center at an annual salary of $75,000 for 100 percent time, effective September 1, 2013.
Horace Strong, from Project Coordinator in Nursing at an annual salary of $41,200 for 100 percent time, to Academic Advisor of Nursing at an annual salary of $35,000 for 100 percent time, effective September 1, 2013.

Randall Scott, from Director of Area Health Education Center at an annual salary of $53,560 for 100 percent time, to Director of Area Health Education Center with a merit increase at an annual salary of $54,631 for 100 percent time, effective September 1, 2013.

STUDENT AFFAIRS

Jamie Bouldin, from Assistant Director of Student Engagement at an annual salary of $39,997 for 100 percent time, to Assistant Director of Student Engagement with a change in job assignment at an annual salary of $42,000 for 100 percent time, effective September 1, 2013.

Whitney Koltonski, from Coordinator of Early Intervention at an annual salary of $40,000 for 100 percent time, to Counselor at an annual salary of $40,000 for 100 percent time, effective August 1, 2013.

James Maple, from Head Coach of Spirit Teams at an annual salary of $28,840 for 100 percent time, to Head Coach of Spirit Teams at an annual salary of $28,840 for 100 percent time with an annual pay supplement of $4,800 for a 12-month period, effective September 1, 2013.

Michael Walker, from Associate Professor of Psychology at an academic year salary of $58,217 for 100 percent time, to Assistant Dean of Student Affairs for Support Services at an annual salary of $74,200 for 100 percent time, effective July 8, 2013.

STUDENT SERVICES

Gary Wallace, Postal Clerk III at an annual salary of $22,365 for 100 percent time, to Assistant Manager of Post Office at an annual salary of $30,000 for 100 percent time, effective September 1, 2013.

RETIREMENTS

The following retirements were accepted:

Billy Duren, Office of the Controller
Richard Kennedy, Information Technology Services
Benjamin Koerth, Temple College of Forestry and Agriculture
James Kroll, Professor of Forestry, Temple College of Forestry and Agriculture
Madalene Miller, Rusche College of Business
Joseph Ormsby, Professor or Management, Marketing and International Business
Bernice Wright, Steen Library
TENURE

Academic tenure was awarded to the following individuals, effective fall semester 2013.

Manny Brand, Music

PROMOTION

Promotion was granted for Wendy Donnell to the rank of Assistant Professor of Nursing, effective September 1, 2013.

PROFESSOR EMERITUS

The title of professor emeritus was awarded upon the following:

Betty Alford, Education
James Kroll, Forestry and Agriculture
Sandra McCune, Education

FACULTY LEAVE OF ABSENCE WITHOUT PAY

WHEREAS, the board considered the following: The university may grant a leave of absence to a faculty member when departmental needs allow, provided the request has been approved through administrative channels. Leaves of absence without pay for faculty members must be approved by the Board of Regents upon recommendation by the president in accordance with university policy 12.11, Leave of Absence (Faculty):

THEREFORE, faculty leave of absence without pay was approved for one semester in spring 2014 to Dr. Tara Newman, Assistant Professor of Human Sciences and Director of High Impact Practices, in pursuit of research and additional training.

ACADEMIC AND STUDENT AFFAIRS

BOARD ORDER 14-03
Upon motion by Regent Henderson, seconded by Regent Schaefer, with all members voting aye, it was ordered that the following academic and student affairs items be approved.

CORE CURRICULUM REVISION

WHEREAS, the board considered the following: As directed by legislation, the Texas Higher Education Coordinating Board issued rules requiring a complete overhaul of core curriculum in all Texas public institutions of higher education. Accordingly, the provost and vice president for academic affairs appointed a committee to recommend a new core curriculum for Stephen F. Austin State University, to become effective fall semester 2014. The Council of Deans and the provost have approved the final draft, which may be found in Appendix 1. The final version must be submitted to the coordinating board by November 1, 2013.
Therefore, the proposed core curriculum was approved as presented in Appendix 1.

Academic and Student Affairs Policy Revisions

The Board of Regents adopted the following policy revisions as presented in Appendix 6:

AIDS and HIV Virus (13.1)
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)
Inclement Weather and Other Emergencies (13.12)
Parking and Traffic Regulations (13.14)
Report of Abuse, Exploitation or Neglect of Elderly or Disabled Persons (13.18)
Student Code of Conduct (10.4) Combines 10.4 and 10.5
Student Discipline (10.5) To Be Deleted
Student Organization Risk Management Training (10.10)
Time Clock (11.29) To Be Deleted
Timely Warning (13.22)
Electronic Accessibility (16.9)

Building and Grounds

Board Order 14-04

Upon motion by Regent Schaefer, seconded by Regent Ware, with all members voting aye (with the exception of Regent Henderson who recused herself from the vote on the IDIQ Architectural and Engineering Services Contracts), it was ordered that the following building and grounds items be approved.

IDIQ Architectural and Engineering Services Contracts

Whereas, the board considered the following: the university maintains contractual relationships with several architectural and engineering firms for indefinite delivery/indefinite quantity (IDIQ) design and engineering services. The current contracts expire on October 31, 2013. The university recently issued a Request for Qualifications (RFQ) for IDIQ architectural and engineering services. Firm selection was made pursuant to Government Code 2254.

Therefore, the firms listed below were approved for negotiation of a 5-year contract with costs to be negotiated annually and with five optional one-year renewals subject to administrative approval. The president was authorized to sign contracts and purchase orders.

<table>
<thead>
<tr>
<th>NAME</th>
<th>CITY</th>
<th>AE SPECIALTY</th>
<th>HUB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Omniplan, Inc.</td>
<td>Dallas</td>
<td>Architect</td>
<td>No</td>
</tr>
<tr>
<td>Sutton Mitchell Beebe &amp; Babin Architects, LLC</td>
<td>Lufkin</td>
<td>Architect</td>
<td>No</td>
</tr>
</tbody>
</table>
**CONCRETE SERVICES**

**WHEREAS**, the board considered the following: The university issued a bid invitation to provide concrete services for projects that require concrete for site repair, new construction and other associated minor alterations. Projects during fiscal years 2012 and 2013 totaled approximately $60,000 and $25,000 respectively. The total cost of services that included optional renewals is expected to exceed $100,000.

**THEREFORE**, approval was given to the awarding of a contract to Cox Contractors, Inc. and Trinity Bay Construction & Development, Inc. for November 2013 through October 2014 with four additional years of renewal subject to administrative approval. The president was authorized to sign contracts and purchase orders.

**BUILDING AND GROUNDS POLICY REVISIONS**

The Board of Regents adopted the following policy revisions as presented in Appendix 6:

Homer Bryce Stadium and William R. Johnson Coliseum (16.13)
Training and Certification of University Vehicle Operators (13.23)

**SALE OF REAL PROPERTY TO TEXAS DEPARTMENT OF TRANSPORTATION**

(Executive Session Item)

**WHEREAS**, the board considered the following: The Texas Department of Transportation is seeking to purchase portions of university-owned property along Starr Avenue in furtherance of a road widening project. In order to complete the sale of university-owned property, a resolution by the Board of Regents authorizing university officials to sale the property is needed.

**THEREFORE**, the sale was approved of the requested portions of Parcels 5, 9, 10, 11, 13, 18, and 19 located along Starr Avenue, otherwise known as FM 1878, in Nacogdoches, Texas, at a price negotiated between the Texas Department of Transportation and the administration. The following resolution was adopted:
WHEREAS, The Board of Regents of Stephen F. Austin State University is authorized under Section 101.41, by means of Section 95.33, of the Texas Education Code to sell, lease, or otherwise manage, control, and use the lands under its control.

WHEREAS, Stephen F. Austin State University owns certain real property along Starr Avenue in Nacogdoches, Texas.

WHEREAS, the Texas Department of Transportation seeks to acquire portions of certain real property owned by the university along Starr Avenue in Nacogdoches, Texas, in furtherance of a road widening project.

WHEREAS, Stephen F. Austin State University desires to sell the requested portions of property to the Texas Department of Transportation at a price mutually agreeable to the parties.

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by issuance of this resolution, approve the sale of the requested portions of Parcels 5, 9, 10, 11, 13, 18, and 19 located along Starr Avenue, otherwise known as F.M. 1878, in Nacogdoches, Texas.

BE IT FURTHER RESOLVED that the president and vice president for finance and administration are authorized and directed to do any and all things deemed necessary or advisable and in the best interest of the university to cause the university to convey this property to the Texas Department of Transportation, upon such terms and conditions and for such compensation as the president and/or vice president for finance and administration deem appropriate.

BE IT FURTHER RESOLVED that the president and vice president for finance and administration are authorized to sign, execute, certify to, verify, and acknowledge, deliver, accept, file and record and any all instruments and documents, and take, or cause to be taken, any and all such action in the name and on behalf of the university, that is, in their sole judgment, necessary, desirable or appropriate to consummate the transactions contemplated by or otherwise to effect the purposes of this resolution.

BE IT FURTHER RESOLVED that all actions heretofore taken by the president and/or vice president for finance and administration, and all things done by their authority, with respect to the university, and all transactions contemplated hereby, be and the same are ratified and approved.

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the October 21, 2013 meeting of the board.
FINANCIAL AFFAIRS

BOARD ORDER 14-05
Upon motion by Regent Coleman, seconded by Regent Todd, with all members voting aye, it was ordered that the following financial affairs items be approved.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

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

The audit services report as presented includes Dean of the College of Fine Arts Audit, Dean of the James I. Perkins College of Education Audit, Texas Administrative Code Section 202 Information Security Standards Compliance, Follow-Up Review, Risk Assessment, and update on annual audit plan.

THEREFORE, the Board of Regents acknowledged receipt of the audit services report as presented, with the addition of a Follow-Up Review as of December 31, 2013, to be presented at the January 2014 board meeting. Reports of future Follow-Up Audits will indicate the original implementation date of each action plan.

APPROVAL OF ANNUAL AUDIT PLAN, AUDIT CHARTER AND REPORT

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

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

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

WHEREAS, the board considered the following: In fiscal Year 2013, the university was in receipt of multi-year grant awards totaling $26,144,018. Of that total, grant awards allocable to fiscal year 2013 were $8,245,188, an increase of $100,256 since the last report.

For fiscal year 2014, the multi-year grant award total is currently $20,626,305. Of this total, grant awards allocable to fiscal year 2014 are currently $5,985,912.

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

THEREFORE, the Board of Regents approved and ratified the additional grant awards allocable to fiscal year 2013 that total $100,256 and grand awards allocable to fiscal year 2014 that total $5,985,912 as detailed in Appendix 4.

BOND REDEMPTION AND REFINANCING

WHEREAS, the board considered the following: At the April 23, 2013, meeting the regents adopted a bond resolution that authorized the university to refinance and redeem certain outstanding bond issues. At the July 16, 2013 meeting the regents approved the selection of a financial adviser to help conduct bond transactions.

On September 11, 2013, the university refinanced the 2002 and 2004 bond issues. In addition, the 2004A issue was cash-redeemed and the debt was extinguished on October 15, 2013. In order to issue, refinance, or cash redeem bonds, the SFA governing board must authorize the respective action in a bond resolution.

In order to be prepared for favorable refinancing market conditions, the administration presents a bond resolution in Appendix 5 that provides for a one year period whereby the university is authorized to issue one or more series of bonds to refinance outstanding bonds or use cash on hand to redeem outstanding bonds. The resolution requires a minimum 3% savings threshold, and delegates the issuance process to a designated financial officer.

THEREFORE, the Board of Regents authorized the bond refunding resolution in Appendix 5. It was approved that the vice president for finance and administration serve as the designated financial officer in the functions described in the resolution.
FINANCIAL AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 6:

Annual Budget Preparation (3.2)
Food Purchases (17.6)
Gifts, Prizes and Awards (3.18)
Time Reporting for Non-Exempt Employees (11.30)

REPORTS

The president provided a report to the regents on the following topics:
- Upcoming Dates
- 90th Anniversary
- Executive Director for Alumni Affairs Search Committee
- Nelson Rusche College of Business Dean’s Search
- Graduations
- Commencement Dinner

Dr. Dana Cooper, faculty senate chair, made a report on the following topic:
- Drawing on the Past
- Faculty Perceptions Survey
- Looking to the Future
- Faculty Activities and Accomplishments

Marquice Hobbs, SGA president, gave a report on the following topics:
- Recruitment of New Senators and Appointment of Executive Board and Committee Chairs
- Fan Buses
- Joint Resolution with Sam Houston for Piney Woods Community Service Project
- Open Forum with new Parking Director
- Ideas and Initiatives

Chair McCarty appointed the following board members to serve as the nominating committee for board officers for the 2014-15 year.
Bob Garrett, Chair
Ralph Todd
Connie Ware

The meeting was adjourned at 10:35 a.m.
A special telephone meeting of the SFA Board of Regents was called to order on December 12, 2013, at 1:30 p.m. by Chair Steve McCarty.

PRESENT BY TELEPHONE:

Steve McCarty, Chair  
David Alders  
Bob Garrett  
Brigettee Henderson  
Barry Nelson  
Ken Schaefer  
Ralph Todd  
Connie Ware

PRESENT IN ROOM 307:

President: Dr. Baker Pattillo

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

General Counsel Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Board Members Scott Coleman and Matt Logan were unavailable for the meeting.

The board chair immediately called for an executive session to consider the following items:

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

Considerations of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the head football coach, vice presidents and the president
Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to intellectual property

The board meeting returned to open session at 2:00 p.m.

**Board Order 14-06**

Upon motion by Regent Schaefer, seconded by Regent Todd, with all members voting aye, the following item was approved.

**STUDENT SUCCESS COLLABORATIVE PROGRAM WITH THE EDUCATION ADVISORY BOARD**

WHEREAS, the board considered the following: The university participates in a Student Success Collaborative membership program with the Education Advisory Board. The Student Success Collaborative platform allows SFA to identify at-risk students, promote retention and enhance overall student success. The university’s current membership expires on December 30, 2013.

The Education Advisory Board has offered the university a three-year discounted membership contract that begins on December 31, 2013 and ends on December 30, 2016. The annual base membership fees for each of the years are $104,999, $110,249 and $115,761, respectively. In addition to the base membership fees, annual travel and administrative fees of $7,500 must be paid.

THEREFORE, approval was given to a three-year contract for the Student Success Collaborative program with the Education Advisory Board for the period December 31, 2013 through December 30, 2016 as presented. The president was authorized to sign the contract.

The board meeting was adjourned at 2:05 p.m.
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 it 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, 2014; and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 28, 2014 meeting of the board.

Attest:

__________________________    ____________________________
Steve D. McCarty    Brigettee Henderson
Chair    Secretary
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

WHEREAS, the following firms are approved financial institutions:
   Citizens 1st Bank
   Austin Bank
   BancorpSouth
   Commercial Bank of Texas NA
   First Bank and Trust
   Regions Bank
   Regions Morgan Keegan Trust
   Huntington State Bank
   Wells Fargo
   US Bank
   Texas Bank
   Texpool
   Texstar
   Texas Class

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, 2014 meeting of the board.

_________________________________  __________________________________
Steve D. McCarty, Chair                  Brigettee Henderson, Secretary
Appendix 3
Grants awarded between September 21, 2013 and January 3, 2014

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount</th>
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<tr>
<td>Subtotal federal pass-through</td>
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<td>Subtotal state and state pass-through</td>
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<tr>
<td>Subtotal private entity and local government</td>
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</table>

Total awards (all years) for new awards (this period) $875,504
Total awards (all years) for continuing grants (this period) $272,100

Direct Federal Awards

*Sharing Knowledge and Perspectives Gained through Time: Partnering to Develop Indigenous Interpretive Curriculum and Strengthen Indigenous Interpretive Programming*

- FY 2014 Award: $50,000
- Total Award: $50,000 (Cooperative Agreement)
- Sponsor: National Park Service – U.S. Department of the Interior
- Description: The purpose of this agreement is to devise a process and design and develop indigenous interpretive curricula and degree programs for participating Tribal Colleges and Universities in Montana, Kansas, Nebraska, and South Dakota.
- PIs/PDs: Drs. Theresa Coble, Steven Bullard, and Pat Stephens-Williams, Temple College of Forestry and Agriculture; Dr. Judy Abbott, Perkins College of Education; and Dr. Carol Wright, Department of Business Communication and Legal Studies

Previously Described

*Environmental Availability and Assessment of Heavy Metals and Other Anthropogenic Contaminants in Snowy Plover Nesting Habitats in Texas, New Mexico, and Oklahoma*

- FY 2014 Award: $45,000 (additional award)
- Total Award: $170,000

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

- FY 2014 Award: $6,100 (additional award)
- Total Award: $81,100

Subtotal Current Year Awards (this report) = $101,100
Subtotal New Direct Federal Awards (total award) = $50,000

*New awards

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

*Identifying Habitat Features Supporting Eastern Wild Turkey Populations in Texas
FY 2014 Award: $282,365
Total Award: $400,518 (Interagency Agreement)
Sponsor: Texas Parks and Wildlife (U.S. Fish and Wildlife)
Term (this action): January 15, 2014 – August 31, 2016
Description: The objectives of this project include characterization of female eastern wild turkey movement and habitat use in a specific 2-4 week, post-hatching period, and evaluation over the study period of the suitability of habitat sites for use in super-stocking efforts. The project relies on travel and habitat data of translocated female wild turkeys fitted with GPS-capable, back-pack style transmitters (SirTrack, Inc.). Because of the time constraints of aspects of this project, the sponsor authorized pre-agreement costs for the purchase of GPS radiotransmitters before the turkeys were to begin the expected translocation in January. PI/PD: Dr. Chris Comer, Department of Forestry

*State Leadership Educational Excellence for CTE in Education & Training, Hospitality & Tourism, and Human Services
FY 2014 Award: $292,064
Total Award: $292,064 (Grant; renewal)
Sponsor: Texas Education Agency (U.S. Department of Education)
Term (this action): September 1, 2013 – August 31, 2014
Description: The purpose of this continuing, federally funded project is to help independent school districts implement rigorous TEKS curriculum standards and provide professional development opportunities to improve teacher effectiveness. PI/PD: Dr. Lynda Martin, School of Human Sciences

*Piney Woods AHEC (Model State-Supported Area Health Education Centers, Federal Portion)
FY 2014 Award: $94,000
Total Award: $94,000 (Subaward; renewal)
Sponsor: University of Texas Medical Branch – Galveston (U. S. Dept. of Health and Human Services)
Term: (this action) September 01, 2013 – August 31, 2014
Description: The purpose of the award is to build and maintain an integrated, community-based regional organization to effectively and efficiently address and support achievements of East Texas AHEC objectives. PI/PD: Mark Scott, Piney Woods AHEC, College of Sciences & Mathematics

*New awards

1For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Sponsored Programs.
Appendix 3

Grants\(^1\) awarded between September 21, 2013 and January 3, 2014

*Geriatric Education Center (GEC)*

FY 2014 Award: $21,600  
Total Award: $21,600 (Subcontract; renewal)  
Sponsor: U.T. Medical Branch – Galveston  
(US Dept. of Health and Human Services)  
Term (this action): July 1, 2013 – June 30, 2014  
Description: *The purpose of this federally sponsored program is to help provide high-quality, continuing education in geriatrics and to improve health care for older adults including those in rural communities. PI/PD: Mark Scott, Texas Area Health Education Center East – Piney Woods Region, College of Sciences and Mathematics*

*Statewide Longitudinal Data System (SLDS) Grant*

FY 2014 Award: $2,872  
Total Award: $2,872 (Interagency Agreement)  
Sponsor: Texas Higher Education Coordinating Board  
(U.S. Department of Education)  
Term (this action): October 1, 2013 – June 30, 2014  
Description: *Funds are provided to support collection and reporting of data required for the Statewide Longitudinal Data System grant, including course completion data. PI/PD: Ms. Karyn Hall, Institutional Research*

*Global UGRAD Cultural Ambassadors Passport to America*

FY 2014 Award: $2,700  
Total Award: $2,700 (Contract)  
Sponsor: International Research and Exchange Board (IREX)  
(U.S. Department of State)  
Term (this action): September 1, 2013 – May 31, 2014  
Description: *Funds are provided to support the Global UGRAD-Pakistan Cultural Ambassador Passport Program. PI/PD: Ms. Heather Catton, International Studies and Programs.*

Subtotal Current Year Awards (this report) = $ 695,601  
Subtotal New Federal Pass-through Awards (total award) = $ 813,754

*New awards*

\(^1\)For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Sponsored Programs.
Grants awarded between September 21, 2013 and January 3, 2014

**State and State Pass-through Awards**

*Texas School Ready Project*
- FY 2014 Award: $3,750
- Total Award: $3,750 (Interagency Agreement)
- Sponsor: U.T. Health Science Center – Houston (Texas Education Agency)
- Term (this action): September 1, 2013 – August 31, 2014
- Description: Funds are provided to support UTHSC employees to carry out the Texas School Ready project in East Texas. **PI/PD:** Dr. Shelia Lumar, School of Human Sciences

*Texas Art Quilts: 1993-2011 - Exhibit*
- FY 2014 Award: $2,500
- Total Award: $2,500 (Contract)
- Sponsor: Texas Commission on the Arts
- Term: (this action) September 1, 2013 – March 31, 2014
- Description: Funds are provided to help support the Texas Art Quilts exhibit to be presented in the Cole Art Center. **PI/PD:** John Handley, SFA Art Galleries

*MS Clinical Update: Review of Safety and Efficacy of Treatments of Multiple Sclerosis*
- FY 2014 Award: $1,500
- Total Award: $1,500 (Interagency Vendor Contract)
- Sponsor: University of North Texas Health Science Center (Novartis)
- Term: (this action) November 1, 2013 – December 31, 2013
- Description: Funds are provided to promote and coordinate a live meeting in support of the project objectives. **PI/PD:** Mark Scott, AHEC East Piney Woods Region

**Private Entity and Local Government Awards**

*SFA Recreational Trails (award to the SFA Foundation)*
- FY 2014 Award: $1,000
- Total Award: $1,000 (Challenge Grant)
- Sponsor: Outdoor Foundation
- Term (this action): November 1, 2013 – May 31, 2014
- Description: The project utilizes volunteers in order to improve nature trails for community use. **PI/PD:** Mr. Steven Whitman, Campus Recreation

*New awards

¹For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Sponsored Programs.
Grants awarded between September 21, 2013 and January 3, 2014

*Broiler Performance Research Grant
FY 2014 Award: $ -
Total Award: $ -
Sponsor: Once Innovations, Inc.
Term: (this action) October 1, 2013 – September 30, 2014
Description: Equipment is provided to SFA for a research project as defined by the sponsor. PI/PD: Dr. Joey Bray, Department of Agriculture

Previously Described Awards

Guest Speakers, Undergraduate Research, and Reading Group
FY 2014 Award: $8,500 (additional award) Total Award: $ 21,000

*Poultry Science Education Student Recruitment FY14
FY 2014: $3,000 (renewal) Total Award: $ 3,000

Subtotal Current Year Awards (this report) = $ 12,500
Subtotal New Private and Local Government Awards (total award) = $ 4,000

Note: Amounts are based on award notices as they are received from the funding entity, not on expenditures or balances in funds/accounts. To reflect the approximate availability of funds in a given fiscal year, some current year awards are estimates based on the total amount awarded spread over the award period.

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

**January 28, 2014**

<table>
<thead>
<tr>
<th>Policy Name</th>
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<th>BOR Cte</th>
<th>Action/Change</th>
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<tr>
<td>Academic Facilities for Non-Academic Activities</td>
<td>16.1</td>
<td>ASA</td>
<td>Minor rewording.</td>
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<td>Animals on University Property</td>
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<td>Inclusion of therapy animals.</td>
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<td>Austin Building Conference Rooms</td>
<td>16.5</td>
<td>B&amp;G</td>
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<td>Central Receiving</td>
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<td>Computer Replacement Policy</td>
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<td>Doctoral Students: Allowable Credit Hours and Completion Times</td>
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<td>Electronic Personnel Action Form</td>
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<td>Changes in reasons for EPAF instigation.</td>
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<td>Gifts, Loans, Endowments, and Bequests</td>
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<td>Added donor database responsibility. Added conflict of interest statement.</td>
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<td>Graduate Student Advisement</td>
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<td>Out-of-State Course Delivery</td>
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<td>Overtime and Compensatory Time</td>
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<td>Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs</td>
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<td>Property Liability</td>
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<td>Stone Fort Museum Collections</td>
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<td>Student Fiscal Appeals</td>
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<td>Working Hours and Holidays</td>
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Academic Facilities for Non-Academic Activities

Original Implementation: 1979
Last Revision: January 25, 2011, January 28, 2014

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 academic facilities for non-academic activities.

Academic Facilities may be made available for non-academic activities upon request and approval of the dean of the college or the facility director, subject to established regulations and policies. Efforts should be made to accommodate these requests whenever possible. Extensive or repeated use of the facility may require implementation of a facility use agreement. Procedures for requiring property deposits or facility use agreements must be in writing and have the approval of the president, provost and general counsel. Questions relating to contractual conditions should be directed to the dean of the college or facility director, who may as necessary, consult with the university attorney, general counsel. The use of all facilities is subject to permissible assignment and scheduling.

Cross Reference: Use of University Facilities (16.33); Turner Auditorium (16.30)

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

Contact for Revision: Provost and Vice President for Academic Affairs, Vice President for University Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs
Animals on University Property

**Original Implementation:** Unpublished
**Last Revision:** April 19, 2011 January 28, 2014

The university seeks to uphold federal, state, and local laws and regulations; 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. Students with documented disabilities residing in university housing may request as an accommodation that an assistance *or therapy* animal be allowed to reside in the student’s campus residence. 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 must be taken into account when providing for the maintenance and hygiene of service animals. Additionally, specific guidelines have been established concerning service and therapy animals living in a campus residency environment.

Section I: Definitions

**A. Handler:**
A person with a disability using a service animal; *a person who has received approval for a therapy animal accommodation; 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. Therapy Animals:
An animal that works, provides assistance, or performs tasks for the benefit of an individual with a disability or provides emotional support or therapeutic benefits that alleviate one or more of the identified symptoms or effects of a person’s disability; however, the animal is not required to be individually trained or certified to perform such task. Therapy animals include “emotional support animals” and “assistive animals” used to support individuals with mental disabilities. These animals may provide crime deterrent effects or emotional support, well-being or comfort.

C.D. PetRecreational Animals:
A domestic animal housed used for sport, companionship, or other non-service/assistance functions. PetRecreational animals are not allowed within inside university facilities. An exception would be small birds in cages and fish in a 10 gallon or less aquarium.

D.E. Unauthorized Animal:
Any animal not controlled by a 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 lease 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 therapy animals.

A pet or any animal that is neither a service animal, nor that is on campus for the specified limited use of classroom education or research.

Section II: Service Animals

A. Faculty, Staff, and Student University Responsibility

1. PermitAllow 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. Do notNot to pet, feed, or deliberately startle/disturb a service animal.

3. Do notNot 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 and Animal Owner’s Responsibility
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;
   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 a reasonable accommodation.

Section III: Therapy Animals

A. Inquiries

1. If the animal does not meet the definition of service animal a student must engage in a reasonable accommodation request with Residence Life or Disability Services staff.

2. 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 a therapy animal. The individual is not required to disclose medical information that is overly intrusive and invasive in order to receive an accommodation.

3. 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
There is an identifiable relationship between the disability and the assistance the animal provides.

B. Exceptions
   1. Therapy animals may be denied or removed if:
      a. The specific therapy animal would impose an undue financial and administrative burden or would fundamentally alter the nature of the residence halls.
      b. The specific therapy 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 therapy animal in question would cause substantial physical damage to the property of others that cannot be reduced or eliminated by another reasonable accommodation.

Section IV: Handler or Owner Responsibility

A. Authorized Animals
   1. For classroom or campus residence life settings, handlers must provide appropriate documentation to either the Department of Residence Life or Disability Services. Handlers must provide residence life or disability services with information confirming the service animal is required because of a disability and detailing what work or task the animal has been trained to perform.
   2. The animal must have specific training to work the handler’s disability.
   3. Handlers must abide by all state laws, Nacogdoches city ordinances related to animals in the city of Nacogdoches, and SFA guidelines related to animals in the city of Nacogdoches, including but 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 renewed annually.
      b. The handler is required to provide a collar or harness for the license and vaccination tags to be affixed. Handler shall see that the animal wears the collar and tags at all times.
   2. Handler is liable for damages caused by the service animal, therapy animal, or recreational animal.
   3. Handler is responsible for the care and supervision of a service animal, therapy animal, or recreational animal.
   4. Use of miniature horses as a service animal will be reviewed based on the inquiries and appeal process listed below.
   5. Handler must have full control of the animal at all times. Animals are expected not to 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 service animal’s ability to function appropriately.
   5. Observe housing and food service establishment guidelines.
6. Animal’s health/cleanliness: All service animals must have an annual clean bill of health from a licensed veterinarian. Also, cleanliness is mandatory in the campus situation.

6.5. Disturbing animal vocalization must be kept to an absolute minimum.

6.6. Handlers must relieve animals in designated locations and properly dispose of waste.

7. Handler must observe housing and food service establishment guidelines.

8. All service/therapy animals must have an annual clean bill of health from a licensed veterinarian. Animal’s cleanliness is mandatory in the campus environment.

8.9. Vaccinations must be current and based on the veterinarian’s recommendations.

9.10. 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 residence life department will exterminate the property and assess the student 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. Residence Life and Food Service Guidelines: Occupants of university housing are not permitted to keep pets, except small birds in cages and small fish in aquariums.

2. 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. Therapy 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. Service/therapy 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.

7. Service animals will be kept under control; and will always be on a leash except in the student’s room with the door closed, the handler is unable because of disability to use a leash or harness, or unless it restricts the service animal’s ability to function appropriately.

1. Disturbing animal vocalization will be kept to an absolute minimum.

2. Handlers must relieve animals in designated locations.

5. Animal food should be kept in a covered storage container to deter pests.

8. Animal’s paws must be kept off tables, trays, and food service counters at all times.

Section VI: Information and Appeals

Unauthorized Animals:

The University Police Department should be notified of any unauthorized animal discovered on, or in, university property. Upon receipt of a report, an officer will be dispatched to take appropriate action. Occupants of university housing are not permitted to keep pets except as provided in this policy.

Questions and concerns regarding the use of service/therapy 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 (2.2). 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 (6.6). For issues related to Discrimination or Harassment, refer to university policy 11.52.11, Discrimination Complaints/ Sexual Harassment (11.5).

Inquiries and Appeals:

Questions and concerns regarding the use of service animals on university property should be directed to the ADA coordinator who serves as an advisor for procedures and access to programs and services.
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/ Sexual Harassment (11.52.11)

Responsible for Implementation: Vice President for University Affairs

Contact For Revision: Chief of University Police and Director of Disability Services, and Director of Residence Life

Forms: None

Board Committee Assignment: Academic and Student Affairs
Annual Disclosure of Crime Statistics

Original Implementation: October 30, 2007
Last Revision: October 18, 2010 January 28, 2014

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 Police Department of Public Safety (SFADPSPD) prepares an Annual Security and Fire Safety Report to comply with the Clery Act and HEOA. 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.

DPSFSPD 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 at http://ope.ed.gov/security/GetOneInstitutionData.aspx.

The university’s Annual Security and Fire Safety Report (ASR) is updated each year and it is available on the SFA Web site at: http://www.sfasu.edu/upd/. Copies of the ASR may also be obtained at the SFA Police 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; and
- 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; and
- Procedures victims should follow if a sex offense, domestic violence, dating violence, sexual assault, or stalking has occurred, including information on the important 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, retraining 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:

Arson is any willful or malicious burning or attempt to burn, with or without intent to defraud, a dwelling house, public building, motor vehicle or aircraft, personal property of another, etc.

Aggravated Assault is an unlawful attack by one person upon another for the purpose of inflicting severe or aggravated bodily injury. This type of assault usually is accompanied by the use of a weapon or by means likely to produce death or great bodily harm.

Burglary is the unlawful entry of a structure to commit a felony or a theft.

Destruction/Damage/Vandalism of Property (except "Arson") is to willfully or maliciously destroy, damage, deface, or otherwise injure real or personal property without the consent of the owner or the person having custody or control of it.

Domestic Violence includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction.

- Physical abuse: any intentional unwanted contact with the victim’s body by either the perpetrator or an object within the perpetrator’s control, regardless of whether such contact causes pain or injuries to the victim.
- Emotional abuse: the intentional infliction of mental or emotional distress by threat, coercion, stalking, humiliation, or unwanted other verbal or nonverbal conduct.
- Sexual abuse: any sexual behavior or contact by the perpetrator that is unwanted by the victim and/or interferes with the victim’s ability to consent to or control the circumstances of sexual behavior.

Dating Violence means violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim and where the existence of such a
relationship shall be determined based on a consideration of the following factors: (i) the length of the relationship; (ii) the type of relationship; and (iii) the frequency of interaction between the persons involved in the relationship.

Drug Law Violation is defined as the violation of laws prohibiting the production, distribution and/or use of certain controlled substances and the equipment or devices utilized in their preparation and/or use; the unlawful cultivation, manufacture, distribution, sale, purchase, use, possession, transportation or importation of any controlled drug or narcotic substance; arrests for violations of state and local laws, specifically those relating to the unlawful possession, sale, use, growing, manufacturing and making of narcotic drugs. The relevant substances include: opium or cocaine and their derivatives (morphine, heroin, codeine); marijuana; synthetic narcotics-manufactured narcotics which can cause true addiction (Demerol, methadone); and dangerous non-narcotic drugs (barbiturates, Benzedrine).

Hate Crime is a criminal offense committed against a person or property which is motivated, in whole or in part, by the offender’s bias against a race, religion, disability, sexual orientation, or ethnicity/national origin, disability, gender identity, or national origin.

1. Race: A preformed negative attitude toward a group of persons who possess common physical characteristics (e.g., color of skin, eyes, and/or hair; facial features, etc.) genetically transmitted by descent and heredity which distinguish them as a distinct division of humankind (e.g., Asians, blacks, whites).
2. Gender: A preformed negative opinion or attitude toward a group of persons because those persons are male or female. Gender bias is also a Clery Act-specific term, not found in the FBI’s Hate Crime Data Collection Guidelines.
3. Religion: A preformed negative opinion or attitude toward a group of persons who share the same religious beliefs regarding the origin and purpose of the universe and the existence or nonexistence of a supreme being (e.g., Catholics, Jews, Protestants, atheists).
4. Sexual orientation: A preformed negative opinion or attitude toward a group of persons based on their sexual attraction toward, and responsiveness to, members of their own sex or members of the opposite sex (e.g., gays, lesbians, heterosexuals).
5. Ethnicity/national origin: A preformed negative opinion or attitude toward a group of persons of the same race or national origin who share common or similar traits, languages, customs and traditions (e.g., Arabs, Hispanics).
6. Disability: A preformed negative opinion or attitude toward a group of persons based on their physical or mental impairments/challenges, whether such disability is temporary or permanent, congenital or acquired by heredity, accident, injury, advanced age or illness.
7. Gender Identity: A preformed negative opinion or attitude toward a group of persons based on actual or perceived gender-related characteristics.
6.8 National Origin: A preformed negative opinion or attitude toward a group of persons of the same national origin who share common or similar traits, languages, customs and traditions.

**Illegal Weapons Possession** is defined as the violation of laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession, concealment, or use of firearms, cutting instruments, explosives, incendiary devices or other deadly weapons. This classification encompasses weapons offenses that are regulatory in nature.

**Intimidation** is to unlawfully place another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.

**Larceny-Theft** is the unlawful taking, carrying, leading, or riding away of property from the possession or constructive possession of another. (Note: Constructive possession is defined by Black’s Law Dictionary, 6th ed. as “where one does not have physical custody or possession, but is in a position to exercise dominion or control over a thing.”)

**Liquor Law Violations** is defined as the violation of state or local laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession, or use of alcoholic beverages, not including driving under the influence and drunkenness. Included in this classification is the furnishing, possessing, etc., of intoxicating liquor; maintaining unlawful drinking places; bootlegging; operating still; furnishing liquor to a minor or intemperate person; underage possession; providing liquor to a minor or intemperate person; underage possession; using a vehicle for illegal transportation of liquor; drinking on train or public conveyance; and attempts to commit any of the above.

**Motor Vehicle Theft** is the theft or attempted theft of a motor vehicle.

**Murder and Non-Negligent Manslaughter** is defined as the willful (non-negligent) killing of one human being by another.

**Negligent Manslaughter** is defined as the killing of another person through gross negligence.

**Robbery** is the taking or attempting to take anything of value from the care, custody, or control of a person or persons by force or threat of force or violence and/or by putting the victim in fear.

**Sex Offenses – Forcible** is defined as any sexual act directed against another person, forcibly and/or against that person’s will; or not forcible or against the person’s will where the victim is incapable of giving consent.
Sex Offenses – Non-forcible are incidents of unlawful, non-forcible sexual intercourse. Only two types of offenses are included in this definition; incest and statutory rape.

Simple Assault is an unlawful physical attack by one person upon another where neither the offender displays a weapon, nor the victim suffers obvious severe or aggravated bodily injury involving apparent broken bones, loss of teeth, possible internal injury, severe laceration, or loss of consciousness.

Stalking means engaging in a course of conduct directed at a specific person that would cause a reasonable person to —

- fear for his or her safety or the safety of others
- suffer substantial emotional distress

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

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 (SFAPD). The Clery Act definition of a campus security authority includes SFA personnel beyond SFAPD 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. The intent of including non-law enforcement personnel as campus security authorities is to acknowledge that many individuals and students in particular are hesitant about reporting crimes to the police, but may be more inclined to report incidents to other campus-affiliated individuals.

**Counselors Confidential Reporting**

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.

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.

**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 Policy (13.22)

**Responsible for Implementation:** Vice President for University Affairs

**Contact for Revision:** Chief of University Police

**Forms:** None

**Board Committee Assignment:** Academic & Student Affairs
Austin Building Conference Rooms

Original Implementation: June 10, 1986
Last Revision: January 25, 2011January 28, 2014

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
Central Receiving

Original Implementation: Unpublished
Last Revision: January 25, 2014

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 Pcards or Rush Orders;
2. items that require installation by the contractor;
3. items specifically authorized by the Department of Procurement and Property Services-Department.

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. Timely entry of receiving information is essential to avoid late payment penalties, and to effectively handle freight claims, shortages, or discrepancies.

Vehicle Delivery of Vehicles

1. All vehicles delivered to Central Receiving will be checked for meeting specifications, and delivered to the transportation manager for identification as a state vehicle and recording State Vehicle Fleet Management Plan information.
2. All vehicles picked up from the dealer (usually long-term leased or lease-purchased vehicles) must be delivered immediately upon pick-up to the transportation manager for identification as a state vehicle and recording State Vehicle Fleet Management Plan information. Vehicle pick-up may be completed by the end user or by the Transportation Department.

Other Delivery Services of Other Goods

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 Banner System 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.
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.
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 delays 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: None

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
Compensation Plan for Exempt and Non-Exempt Staff

**Original Implementation:** February 3, 2005  
**Last Revision:** January 25, 2011 January 28, 2014

**Objective:** It is the intent of Stephen F. Austin State University to maintain a compensation program which:

- Considers the external market, while focusing primarily on ensuring internal equity and emphasizing the advantages of a collegial work environment;
- Rewards and retains those individuals who exceed defined performance expectations;
- Provides flexibility in implementation and process to meet the needs of the university;
- Encourages progression and mobility to excellent performers through job enrichment and promotions from within; and
- Encourages and rewards the acquisition of skills.

**Compensation Principles:**

- The values of jobs will be based on a blend of SFA values and culture reflected through core factors and external market values.
- Total compensation for all jobs will take into account funding considerations, appropriate internal job relationships and market relationship.
- Compensation plans, including methodologies and practices, will be well communicated to all employees at the university.
- Performance management requires a cooperative effort between employees and supervisors. Employees and supervisors will work together to clarify and meet performance objectives and expectations.
- The Performance Management Plan will provide ongoing performance feedback and reward meritorious performance.

**Communicating Pay Information:** The Human Resources office will provide information concerning job classification and pay ranges upon request. Furthermore, as a regular part of their jobs, managers and supervisors are responsible for actively and openly communicating the organization's pay program and associated policies to employees on an ongoing basis. Managers and supervisors should discuss the following areas with new and reclassified employees as they pertain to each individual employee's situation:

- The job description covering the employee's duties and responsibilities.
- The employee's potential for progression within his/her pay range
- Job performance and its relation to promotional opportunities and pay increases
Administrative Responsibility: Department heads are responsible for administering pay for employees in their organizational unit in accordance with university policies, procedures, and guidelines and for making recommendations to the human resources office. Additionally, they are responsible for:

- Communicating with their employees about program policies and individual compensation issues, to include providing the most current job descriptions to supervisory and managerial personnel;
- Working with the Human Resources office on compensation matters, to include the updating of job descriptions as necessary; and
- Ensuring that salary increase procedures are followed.

Issues that are identified by managers and supervisors that are not covered by these guidelines should be referred to the Human Resources office.

The director of Human Resources has ultimate authority and responsibility for the university's compensation objectives, structures and policies. Any exceptions to, or major revisions in, the program must be approved by the director. The director will be responsible for ensuring these duties are completed:

- Drafting/recommending new or revised compensation policies and procedures
- Administering the daily operation of the salary administration function, including the approval of salary actions
- Preparing, maintaining, and approving job descriptions
- Monitoring the evaluation of new jobs and re-evaluation of existing jobs
- Reviewing the pay structure annually to maintain market competitiveness and internal equity
- Reviewing compliance with the Fair Labor Standards Act (FLSA), Equal Employment Opportunity Commission (EEOC), and other governmental regulations as they relate to the compensation function
- Appraising program effectiveness and recommending program revisions as necessary.

Exempt/Non-Exempt Designation: The terms and provisions of the Fair Labor Standards Act (FLSA) provide the basis for exempt versus non-exempt status and overtime pay requirements. The exempt or non-exempt status of each employee, with regard to the payment of overtime, is determined by the position to which the employee has been hired, transferred or promoted. The director of Human Resources is responsible for determining the correct FLSA status when the job is classified in a pay grade. Each manager must ensure that the employee performs job duties as described in the job description and that time worked is reported appropriately to ensure compliance with overtime provisions of the FLSA.
**Job Descriptions**: All benefits-eligible staff positions covered by this compensation program shall have a generic job description that includes the official SFA job title, a general job summary, a list of essential (major) duties and responsibilities, and job requirements (i.e. minimum education, experience, and other qualification requirements that an individual should have to fill the position).

The official job title on the job description will be used for all personnel records and publications (For internal purposes, however, departments may use a different functional title.) New official job titles may be created only with the prior review and approval by the director of Human Resources.

Job descriptions are used to:

- Evaluate and classify jobs to determine appropriate internal position relationships.
- Communicate to new or existing employees the fundamental duties and responsibilities of their jobs.
- Provide job information that can be used to determine competitive pay relationships in the labor market.
- Provide job information which can be used in the recruitment and selection process.
- Provide job information which can be used in employee relations matters, such as performance appraisal, employee orientation, grievance resolution, and identification of training and development needs.
- Ensure compliance with government legislation.

Changes in the duties of a job may require re-analysis and re-evaluation of a job. Where changes are judged significant by the supervisor and/or manager, he/she should complete a Job Analysis Questionnaire (JAQ), which can be obtained from the director of Human Resources.

**Job Evaluation**: The job evaluation method of determining the salary ranges for each position is a market pricing and slotting method. Salary ranges are determined on the basis of competitive pay rates for jobs of comparable duties and value to SFA. Extensive studies of compensation in nationwide competitive universities are made to ensure that our the salary structure is competitive. The competitive salary survey data become the basis for calculating salary ranges, and, in turn, individual salary targets within the salary ranges. Benchmark jobs are chosen, priced by analysis of survey data and ranked. All other jobs are then slotted in relation to these benchmarks. Benchmark jobs are those with characteristics similar enough to jobs performed in other organizations that they can serve as market anchor points.

**Requests for Evaluation or Re-Evaluation of Jobs**: New and/or significantly revised positions or jobs must be evaluated by the Human Resources office in order to assign them to their appropriate grades. Requests for jobs to be evaluated or re-evaluated will be made in writing by the appropriate dean or department head to the director of Human Resources. The re-evaluation
The college or department head completes a "Request for Position Evaluation" form. Additionally, if a new classification is requested, a completed Job Analysis Questionnaire (JAQ) must be submitted with the form. If a re-evaluation of an existing position is requested, a copy of the current job description should be attached with the proposed changes indicated.

Human Resources may ask that the Job Analysis Questionnaire be completed to provide more complete information to evaluate the position.

Pay Grade Structures: SFA uses one combined grade structure to establish compensation limits for jobs.

The structure is based on competitive practices and internal equity considerations, and provides the possibility for progression to more responsible jobs with higher and broader pay ranges. The pay structure is intended to:

- Define the competitive pay position of jobs for the university to the relevant external market;
- Establish differential pay levels between jobs to recognize differing demands; and
- Establish lower and upper limits of value for each job.

Midpoints of the pay ranges represent SFA's desired competitive position to the external market and are determined by a statistical calculation based on external salary survey data for benchmark jobs in each pay grade. The minimum and maximum of each pay range represent the
minimum and maximum values, respectively, to the university of all jobs assigned to that particular pay range.

In most cases, up to the top of the first quartile is considered the range of value for a newly hired employee who meets the minimum qualifications of the job. Thus, most employees should be hired within the first quartile of the range, but departments have full authority to hire or promote into non-exempt positions up to midpoint. Hiring exempt employees above the first quartile or non-exempt employees above midpoint requires prior approval by the director of Human Resources.

Hiring employees below the minimum of the pay range is contrary to university policy and is not permitted. Conversely, the maximum of the pay range is the upper limit of pay for a job. An employee’s rate of pay may not normally exceed the respective maximum for the job.

Review of Pay Structures: As part the budget process each year, the director of Human Resources will review the competitiveness of its pay structures. The review will include (1) comparisons of the competitive status of SFA’s midpoints to the relevant external market; (2) a review of anticipated average movement of pay structures by peer and comparison organizations.

Based on findings of the review, a recommendation will be prepared for consideration by the director of Human Resources concerning adjustments to the pay structures. The recommendation will include detailed cost analyses and will be provided to senior management for consideration.

Pay Above Maximum: If, for any reason, an incumbent’s base pay exceeds the maximum of the grade, the employee’s pay will be “red circled”. This means that all base pay rate increases will be given in lump sum form until the employee’s base pay rate falls within range, at which time the incumbent will be eligible for future increases. Any exception to this policy requires prior approval by the director of Human Resources.

New Hire Rates: Employees meeting the minimum qualifications of the job should normally be paid within the first quartile of the pay range. However, pay rates for new employees possessing qualifications in excess of the minimum qualifications may be placed at pay rates above the first quartile, with the appropriate levels of approval.

The hiring department has full discretion for placing a new exempt employee’s salary rate within the first quartile and a new non-exempt employee’s pay up to midpoint. Hiring rates in the second and third quartiles for exempt employees and the third quartile for non-exempt employees above midpoint require prior approval by the director of Human Resources. Hiring rates in the fourth quartile may be established only with the approval of the director of Human Resources.

In determining hiring rates, consideration will be given to the resulting position in the pay range,
whether the rate allows sufficient room for future growth, and relationships to rates paid to similarly qualified or more experienced employees in the job. External salary survey data will also be considered, if it is available.

In establishing new hire rates, SFA will continue to comply with all federal and state rules and regulations, including the Equal Pay Act of 1963, which prohibits pay differentials on jobs that are essentially equal in terms of skill, effort, responsibility and working conditions, except when these are the result of a bona fide seniority or merit system, or any other job-related factor other than gender.

**Salary Adjustments:** Decisions on all salary adjustments must be implemented in accordance with legislative requirements. Department heads are also responsible for insuring compliance with all applicable federal and state rules and regulations regarding compensation.

**Annual Salary Budget:** Each year as part of the budget planning process, SFA will prepare a salary budget that specifies the average increase amount, if any, to be given to employees during the fiscal year. The salary budget will be based on a comparison of the university's pay rates to external salary survey data, as well as the salary budgets projected by other peer and comparison organizations. The salary budget will reflect dollars available to fund general and/or merit increases.

**Merit Increases:** SFA policies permit the awarding of merit increases on a semi-annual basis to be effective either on September 1 and/or March 1. Only benefits-eligible employees who have completed six months of continuous employment at SFA as of the effective date of the merit program are eligible to receive a merit increase.

Merit increases are based on an employee's documented job performance and are intended to reward individual performance, increased productivity, improved quality, and/or reduced costs. To be eligible for a merit increase, individuals must have a current performance appraisal with a rating of fully acceptable or above on file in the Human Resources office. Employees receiving an unsatisfactory or needs improvement rating will not be eligible for a merit increase without approval from the director of Human Resources.

Whenever a merit increase program is funded and authorized, the Human Resources office, in conjunction with the budget office, will prepare and distribute detailed guidelines to department heads. The guidelines will include the authorized merit increase amount, funding requirements, performance level required to be eligible to receive a merit increase, and other program criteria. Merit increases must be approved by the board of regents prior to their implementation.

**Equity Pay Adjustments:** The Human Resources office periodically audits pay rates within classifications to identify potential pay problems. It is also the responsibility of the department head to bring to the attention of the director of Human Resources any significant pay problems
that may exist in their department.

A department head may initiate a pay equity adjustment once per year during the planning of the budget whenever he or she determines that the present level of compensation of an employee or group of employees is at a level where:

- It results in an unusual level of turnover of employees in the group; or,
- It results in the affected department experiencing significant difficulty in recruiting candidates to fill vacant positions; or,
- It results in a disparity in current paid rates for similarly classified employees in that unit; or,
- The level of compensation is substantially below the comparable level of compensation for similar employment outside SFA; and,
- The present level of compensation has substantially reduced the university's ability to deliver services.

Individual equity increases shall be based on one or more of the following:

- Internal equity
- External competitiveness
- Longevity
- Quartile within salary range

All equity pay adjustments are subject to review and approval by the appropriate vice president and the director of Human Resources. Normally, funds for any approved equity pay adjustment must come from the authorized budget of the affected division.

**Promotions:** When an individual is promoted, his or her pay will normally be adjusted to reflect the new level of responsibility. In isolated situations, when an individual's base pay rate is at a higher level than rates paid to incumbents, an individual may be granted a promotion with no change in pay.

Any promotional increase should raise the employee's pay rate to at least the minimum of the pay range. Conversely, a promotional increase may not increase the employee's pay rate above the maximum of the new pay range.

The hiring department has full discretion for placing the salary rate of an exempt employee within the first quartile and the pay rate of a non-exempt employee up to the midpoint. Recommended promotional increases which fall outside of these parameters are governed by normal university hiring procedures and approval processes. All promotional actions must be reviewed by the director of Human Resources.

In determining recommended promotional increase amounts, the following factors are
considered:

- Rates paid to incumbents in the new position, both within hiring college or division and in other colleges and divisions throughout the university;
- Pay range for the new position and the difference in the number of pay grades between the old position and the new position;
- Qualifications of the individual versus qualifications of incumbents in the same job in the college or division;
- External salary survey data, if it is available; and
- Change in FLSA designation or overtime designation; i.e., a change from non-exempt job to an exempt job.

The affected employee should not be notified of the proposed promotional increase amount until it has been approved by Human Resources.

Position Re-evaluations: Employees whose jobs are re-evaluated to a higher pay grade may require adjustments to their base pay rates. Calculations of pay adjustments, if any, will normally be handled in the same manner as promotions. Any pay adjustment granted should raise an employee's pay to at least the minimum of the new pay range.

Re-evaluating a classification to a lower pay grade will not normally result in a reduction to an employee's pay. Nonetheless, a downgrade will require that if the current pay of any employee is above the new maximum, the employee's pay will be "red-circled" and all increases will be withheld until the compensation level is equal to or less than the new maximum.

Demotions: New base pay rates of employees who are demoted to jobs assigned to lower pay grades will be based primarily on the base pay rates of incumbents in the new classification. A demotion may or may not result in a reduction in the employee's base pay rate. The new pay rate, however, must fall within the pay range of the new job. If the employee's pay falls above the maximum of the new pay range, the employee's pay must be reduced to at least the maximum of the pay range.

All demotions require prior approval by the director of Human Resources.

Lateral Reclassifications: Lateral reclassifications occur when job responsibilities have changed, but are similar in scope and responsibilities. The overall job requirements are comparable in the new job with the same pay grade as the old job.

Normally, there will be no change to the base pay rate of an employee who is laterally transferred. Under extraordinary circumstances and in extremely rare situations, an employee may receive a salary increase on a lateral move. Any increase granted on a lateral move requires the approval of the director of Human Resources.

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Request for Position Evaluation form; Job Analysis Questionnaire (JAQ)

Board Committee Assignment: Finance and Audit
Computer Purchase and Replacement Policy

Original Implementation: January 30, 2007
Last Revision: July 20, 2014 January 28, 2014

Purpose

To establish a policy for replacing university personal computers on a regular basis. This policy complies with standards issued by the Texas Department of Information Resources (DIR).

Provisions

1. The university will replace computers on a four-year cycle. The four year cycle may be deferred for additional years as needed due to budget constraints or administrative discretion. Any computers replaced during the deferment period will still be subject to the replacement requirements of this policy.

2. Both desktop and laptop computers are included wherever they may be used—office, classrooms, and laboratory. Organizational units are encouraged to replace monitors and speakers less frequently than every four years.

3. Base hardware configurations for desktop CPU units and laptop/tablet computers will be specified. The university’s goal is to provide computers that will perform robustly over their life-cycle. These configurations will constitute the minimally acceptable computers for all purchases. No personal computers with hardware capabilities less than the base configurations may be purchased regardless of source of funds, unless approved as an exception by the provost/vice president of academic affairs. The configurations of the base machines will be reviewed at least annually.

4. The base hardware configurations will be the basis for PC brand selection and best value negotiations with prospective vendors for both Macintosh computers and PCs.

5. The approved replacement computer brands will be ordered from the approved vendor(s) unless an exception is allowed by the provost/vice president of academic affairs. Dedicated university replacement funds will support replacement costs to the level of the least expensive base machine. Additional costs, including those for enhancements beyond a base hardware configuration, will be borne by the organizational unit. However, any computers replaced during the deferment period must be funded in full by the organizational unit.

6. If the computers being replaced are high performance workstations, the capabilities and hardware specifications of the workstations must be superior to the base configurations.
Dedicated university replacement funds will support replacement costs to the level of the least expensive base machine. Additional costs will be borne by the organizational unit. However, any high performance workstations replaced during the deferment period must be funded in full by the organizational unit.

7. Computers purchased using funds from external grants are excluded from being replaced under this replacement policy during the award period of the grant. After the termination of the grant, the computers will be placed in the replacement cycle.

8. Computers designated as surplus, salvage, or historical during the annual inventory process are not eligible for replacement with dedicated university replacement funds, unless extenuating circumstances indicate that replacement should be allowed.

9. Servers are not eligible for replacement.

10. Once a computer has been through the replacement cycle, or has been surplused, it is not eligible for replacement.

11. When a replacement computer is received, the computer identified for replacement must be turned in to surplus, unless approved as an exception by the provost/vice president of academic affairs.

Purpose

Prescribe policy for the replacement and purchase of university computers and workstations. This policy complies with standards issued by the Texas Department of Information Resources (DIR).

Definitions

Computer – is defined as a desktop cpu (tower, small form factor, etc.) or laptop, notebook etc. and is either a PC or a Macintosh.

Workstation – is defined as a general-purpose computer with a higher performance level than a standard computer.

Tablet – is defined as a complete computer contained entirely in a flat touch screen, normally operating by fingertip or stylus (e.g. iPad, Slate, Surface) and are excluded from this policy.

Servers – are identified in property records by asset class and are excluded from this policy.

Computer Standards
Base hardware configurations for computers and workstations will be established by a committee appointed by the provost/vice president for academic affairs. The base hardware configurations will be reviewed at least annually and published on the procurement website.

The base hardware configurations will be the basis for a pre-approved brand and vendor selection after best value negotiations for both Macs and PCs. Pre-approved brands and vendors will be published on the procurement website.

**Computer Purchases**

All computers and workstations purchased by the university will meet the base hardware configurations established by the university and will follow guidelines and restrictions on the procurement website.

New computer purchases that increase the total number of computers on campus will only be allowed for new positions, new programs, etc., or as otherwise approved by the provost/vice president for academic affairs.

**Computer Replacement Cycle**

The university will replace computers and workstations in campus academic and administrative units on a four-year cycle. The four-year cycle may be deferred for additional years as needed due to budget constraints or administrative discretion. Any computers or workstations replaced during a deferment period will still be subject to the requirements of this policy.

Departments may replace computers and workstations that are less than four years old subject to the requirements of this policy.

When a new computer or workstation is received, the computer or workstation identified for replacement must be transferred to surplus unless approved as an exception by the provost/vice president of academic affairs. Such transfers should take place within 30 days of the computer or workstation being taken out of service. No technical support will be provided for those devices that are replaced but not transferred to surplus.

**Cross Reference:** General Appropriations Act, Article IX, Sec. 9.04; Property Inventory and Management (17.14)

**Responsible for Implementation:** Vice President for Finance and Administration; Provost/Vice President of Academic Affairs
Contact for Revision: Director of Procurement and Property Services/HUB Coordinator; Director of Information Technology Services

Forms: None

Board Committee Assignment: Finance and Audit
Designation of School Status

Original Implementation: February 3, 2005
Last Revision: October 18, 2010, January 28, 2014

I. Introduction

Stephen F. Austin State University is subdivided into colleges for the purpose of accommodating broad program areas with common academic interests. The colleges are further subdivided into academic units designated as departments or divisions to enable smaller scholarly communities to devote attention to specific degree programs.

An academic unit seeking school status shall be evaluated using the following guidelines:

1. The unit should offer primarily professional programs and degrees.
2. The programs of the unit should have professional accreditation.
3. The unit should have a total enrollment of at least 150 students majoring in its programs.
4. The unit may have been the recipient of a substantial endowment or gift.

II. Proposal Review and Approval

An academic unit seeking “school” status should develop a proposal that provides qualitative and quantitative justifications for acquiring the designation. The proposal, endorsed by a two-thirds vote of full-time faculty members (tenured and tenure-track) within the unit, should be organized around the following:

1. A concise statement should outline the rationale for the request. This statement should address the distinctiveness of the discipline and the advantages of school status to future graduates of the program. A clear discussion should demonstrate how the request addresses the university’s guidelines for awarding designation as a school.
2. The impact of the change on staffing (faculty and administrative) and resources should be examined in detail. If available, peer programs at other universities should be presented for comparison purposes, if available. Recommendations and/or letters of support from professionals or practitioners in the field should be attached and referenced in the discussion.
3. A quality enhancement plan should describe how school status will be leveraged over the next five year period to improve academic programs.
4. A discipline-specific self-study completed within the last five years (with appropriate updates) should accompany the proposal. Copies of visitors’ reports and annual assessment documents should be included, if available.
Upon endorsement by the faculty of the academic unit, the proposal shall be forwarded to the college’s dean. If recommended by the dean, the proposal shall be reviewed by the Deans Council and provost and vice president for academic affairs. If recommended, the proposal shall be forwarded to the president, who may present it to the Board of Regents for consideration. For final approval, a request shall be forwarded to the Texas Higher Education Coordinating Board.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs
Doctoral Students: Allowable Credit Hours and Completion Times

Original Implementation: April 21, 1998
Revision Date: October 18, 2010
January 28, 2014

The doctoral degree typically requires a minimum number of credit hours beyond a master’s degree. After three years of full-time enrollment, a formal review of each student’s doctoral progress will be conducted within the 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.
- may be terminated from the program by the dean of graduate school in consultation with the academic dean and academic unit head of the program.

Students who have completed ninety-nine (99) or more credit hours beyond a master’s degree shall be ineligible for student employment at Stephen F. Austin State University (SFA).

If terminated from a program, a student who is terminated from a program may request a post-termination review, conducted by the department chair, graduate program advisor, and dean of the college. 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.

The post-termination review may result in a recommendation for reinstatement to the dean of graduate studies.

A student’s written appeal for reinstatement beyond the post-termination review must be made to the dean of graduate studies to be placed on the agenda of the University Graduate Council for final resolution.


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
Electronic Personnel Action Form

Original Implementation: Unpublished
Last Revision: January 25, 2011

The Electronic Personnel Action Form (EPAF) is used to obtain administrative approval and to notify Payroll/Human Resources (HR) of changes in employment status for all employees, including graduate students and undergraduate students. Detailed instructions for the completion of the EPAF are available from HR. EPAFs are to be completed as explained in the procedures described on the HR Web site. Most of the required information is easily accessible.

Originators and approvers of EPAFs must be trained and complete authorization forms before they will be allowed to access the EPAF through Self-Service Banner. Further information regarding this training and the proper forms can be obtained from HR.

EPAFs should be prepared for the following reasons:

1. Employment of exempt or non-exempt positions including graduate students and undergraduate students;
2. A change in the employee's title, salary (outside of the annual budget process), FTE percentage, account number, funding, or department, or if an employee is being reappointed, has an overload, or is receiving a salary supplement;
3. Whenever an employee is going on leave without pay, a return to work from leave without pay, or a faculty development leave; or
4. Whenever an employee is separating from employment with the university including retirements, voluntary and involuntary terminations, and at the end of an assignment when the employee will not be returning the next semester; or
5. Reemployment of those employees not included in the budget process each fiscal year, such as grant employees.

EPAFs should be completed, electronically approved, and routed to HR before the employee starts to work, immediately at the time of the change of status, or immediately at the end of the assignment. An employee who has questions regarding the procedures may contact HR for assistance.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources
Forms: Electronic Personnel Action Form available through Self Service Banner

Board Committee Assignment: Academic and Student Affairs
**Fair Labor Standards**

**Original Implementation:** February 3, 2005  
**Last Revision:** January 25, 2011, January 28, 2014

SFA will comply with the Fair Labor Standards Act (FLSA) and related federal and state laws. 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.

**MINIMUM WAGE PROVISIONS**

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.

Nonexempt Employees - Nonexempt employees 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.

Graduate students that are simultaneously performing research under grants and contracts 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 and Procedure Manual: Overtime and Additional Compensation 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. If an employee believes that an improper deduction has been made to his or her salary, the employee should immediately report this information to his or her direct supervisor or the director of human resources.

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, 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, 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 with the assurance of timely and thorough consideration. 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 Additional Compensation *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
Gifts, Loans, Endowments, and Bequests

Original Implementation: July 18, 1981
Last Revision: January 31, 2012

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 of 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 of the university 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 for purposes 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.
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.

**Alumni/Donor Database System**

The university is the owner of the official university’s alumni/donor database system, currently Raiser’s Edge. The database system is shared between the Office of Development and the Office of Alumni Relations for the purpose of conducting business with alumni and donors of the university. The Office of Information Technology Services is responsible for the technical support of the alumni/donor database system.

The university has designated the Office of Development as the manager of the alumni/donor database system. Therefore, the Office of Development is responsible for the administration of records, coordination of all gift information, reporting, monitoring of user access and the security of the database system.

**Solicitation of Gifts**

The Office of Development is responsible for soliciting, coordinating, approving and reporting all gifts and fundraising efforts from the private sector. 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 and the related 501(c)(3) entities are responsible for coordinating and clearing all fundraising projects funded by individuals, foundations and corporations before-the-fact 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 insure accurate recording of all private support for the institution and to properly acknowledge private donors’ gifts, the Office of Development will coordinate the acknowledgment of gifts.
a. All offices are responsible for forwarding any gifts received to the Office of Development for receipting and reporting purposes. This will ensure accurate recording of all private support for the institution, 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 located at www.sfasu.edu/giving/documents/gift_in_kind.pdf.

b. 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 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, 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 Alumni Association, Inc., or the Stephen F. Austin Alumni Foundation, 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 or more and all real estate gifts 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 institution.
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 institution, without private gain for the individual expending the funds, are as follows: awards that recognize or promote faculty development, excellence in teaching, academic achievement, athletic achievement, scholarship, or service;

1. costs related to the promotion of the communication of intellectual ideas among students, faculty, staff and administrators of the university;
2. support of student events and activities sponsored by the university;
3. the recruitment of highly qualified students, faculty and staff;
4. 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;
5. costs related to the conduct of accrediting agency visits, visits by other officials from other institutions or representatives outside higher education;
6. 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 state statute.

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 Public Affairs, 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 vice president for development.

Foundation Support

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

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.

A minimum gift of $20,000 shall be required to establish any endowment. An endowment can be initiated with an amount less than the stated minimum with the understanding that all future gifts and all income must become part of the endowment to assist in bringing the endowment assets to the $20,000 level, and if after five years from the date of the original gift, the value of the assets has not reached $20,000, the endowment may cease and the existing assets of the fund shall be transferred to a separately established Restricted Fund and expended consistent with the terms and conditions of the original gift. Exceptions to the $20,000 minimum level may be made if a donor made contributions with the understanding that a prior minimum amount was required, contributions were made toward that minimum and the minimum is reached during the applicable five year period.

Specific minimum endowment levels for academic positions are established as follows:
$1,000,000 - Endowed Chair or equivalent title, depending upon the area;

$250,000 - Endowed Distinguished Professorship or equivalent title, depending upon the area; and

$125,000 - Endowed Professorship or equivalent title, depending upon the area

**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, Texas Gov’t Code Ch. 2256.

**Responsible for Implementation:** Vice President for Development, University Advancement

**Contact for Revision:** Vice President for Development, University Advancement

**Forms:** Gift-in-Kind Form

**Board Committee Assignment:** Finance and Audit
Graduate Student Advisement

Original Implementation: October 31, 2000
Last Revision: October 18, 2010

Academic units participating in graduate course work should ensure that must provide effective academic advising is provided to students enrolled in their graduate programs. Additionally, academic units that house graduate degrees should and assign each student in the program, whether full-time or part-time, to a graduate faculty member to who shall serve as the academic advisor. The unit should also arrange an orientation that introduces new students to departmental organization, administration, key personnel, facilities, degree requirements, and procedures.

The responsibilities of the academic advisor shall include, but are not limited to, informing advisees of the following:

- University resources, guidelines, procedures, and policies, and graduate student The program's relationship to the college, university, and external agencies
- The registration process and its key dates
- Degree requirements such as core or required courses, proper sequencing of courses, minimum credit hours, minimum grade point averages, removal of withheld grades, thesis v. non-thesis option, transfer courses, and time limits for completion of degree programs
- Graduate school requirements, such as maintaining good academic standing, comprehensive examinations, and thesis/dissertation procedures
- Standards of academic honesty in the classroom and in research
- Rights and responsibilities. Advising topics include, but are not limited to, registration process, degree requirements, proper sequencing of courses, thesis/non-thesis options, time limits for completion of program, and comprehensive examination expectations, that relate to the graduate experience

Departmental orientation and advising programs must be evaluated as part of the annual unit assessment report, including information on how the results of assessment results will be used to enhance effective assistance to students.

Cross Reference: Graduate Bulletin, Graduate Student Handbook, Student Handbook

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Dean of Graduate Studies
**Forms:** None

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

**Original Implementation:** October 1, 1980

**Last Revision:** October 18, 2010, January 28, 2014

Guest lecturers may add a significant intellectual dimension to a course. When guest lecturers not affiliated with the university are utilized in the conduct of a class, the instructor-of-record **will/shall** ensure that the principles of academic responsibility are upheld. Except when officially absent from class, the instructor-of-record **will/shall** be present during the delivery of a guest lecture.

**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
Investments

Original Implementation: April 30, 1996
Last Revision: July 16, 2013 January 28, 2014

Policy Statement

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. Secondarily, 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. This policy is promulgated in accord with the Public Funds Investment Act (Government Code, Chapter 2256), and related portions of the Texas Education Code.

Scope

This policy establishes rules for the investment of all university funds that are governed by Chapter 2256 of the Government Code. Endowment funds are invested in accordance with a separate policy approved by the Board of Regents. Quasi-endowment funds that are considered to be public funds will be governed by this policy.

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.

Investments shall incur no unreasonable risk in order to maximize potential income.

Investments shall remain sufficiently liquid to meet all reasonably anticipated operating requirements.

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.
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 (TEC) Section 51.0031. Credit rating requirements will be monitored at least monthly for securities that are subject to Chapter 2256 of the Government Code. If or when a rating drops below the established minimum, the investment will be liquidated as soon as prudently possible. Securities authorized by Chapter 2256 of the Government Code 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. certificates of deposit issued and share certificates by a depository institution that has its main office or a branch office in Texas that is:
   1. guaranteed or insured by the Federal Deposit Insurance Corporation or its successor or the National Credit Union Share Insurance Fund or its successor;
   2. secured by obligations that are described in Authorized Investments section A-E listed above, including mortgage backed securities directly issued by a federal agency or instrumentality that have a market value of not less than the principal amount of the certificates, but excluding those mortgage backed securities of the following nature:
      a. obligations whose payment represents the coupon payments on the outstanding principal balance of the underlying mortgaged-backed security collateral and pays no principal;
      b. obligations whose payment represents the principal stream of cash flow from the underlying mortgage-backed security collateral and bears no interest;
      c. collateralized mortgage obligations that have a stated final maturity date of greater than 10 years; and
      d. collateralized mortgage obligations the interest rate of which is determined by an index that adjusts opposite to the changes in a market index.
3. In addition to the authority to invest funds in certificates of deposit in Section (F), an investment in certificates of deposit made in accordance with the following conditions is an authorized investment under Subchapter 2256.010:

a. the funds are invested by an investing entity through a broker that has its main office or a branch office in Texas and is selected from a list adopted by the investing entity as required by Section 2256.025; or

b. the broker or the depository institution selected by the investing entity under Subsection (a) arranges for the deposit of the funds in certificates of deposit in one or more federally insured depository institutions, wherever located, for the account of the investing entity;

c. the full amount of the principal and accrued interest of each of the certificates of deposit is insured by the United States or an instrumentality of the United States;

d. the investing entity appoints the depository institution selected by the investing entity under Subsection (a), an entity described by Section 2257.041(d), or a clearing broker-dealer registered with the Securities and Exchange Commission (SEC) and operating pursuant to SEC Rule 15c3-3 (17 C.F.R. Section 240.15c3-3) as custodian for the investing entity with respect to the certificates of deposit issued for the account of the investing entity.

G. fully collateralized repurchase agreements with a definite termination date, secured by a combination of cash and obligations described by Authorized Investments section A-E, requiring the securities being purchased by the entity or cash held by the entity to be pledged to the entity, held in the entity’s name, and deposited at the time the investment is made with the entity or with a third party selected and approved by the entity; and placed through a primary government securities dealer, as defined by the Federal Reserve, or a financial institution doing business in this state;

H. bankers acceptances having a stated maturity of 270 days or fewer from the date of issuance, to be liquidated in full at maturity, eligible for collateral for borrowing from a Federal Reserve bank, and accepted by a bank organized and existing under the laws of the United States of America or any state, if the short-term obligations of the bank, or of a bank holding company of which the bank is the largest subsidiary, are rated not less than A-1 or P-1 or an equivalent rating by at least one nationally recognized credit rating agency;

I. commercial paper that has a stated maturity of 270 days or fewer from the date of its issuance, and is rated not less than A-1 or P-1 or an equivalent rating by at least two nationally recognized credit rating agencies or one nationally recognized credit rating agency and is fully secured by an irrevocable letter of credit issued by a bank organized and existing under the laws of the United States of America or any state;

J. no-load money market mutual funds registered and regulated by the Securities and Exchange Commission, having a dollar-weighted average stated maturity of 90 days or fewer, and including in their investment objectives the maintenance of a stable net asset value of $1 for each share; and no-load mutual funds that conform to Section 2256.014 of the Government Code;
K. guaranteed investment contracts conforming to Section 2256.015 of the Government Code;
L. investment pools conforming to Sections 2256.016 and 2256.019 of the Government Code;
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));
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;
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;
P. assets and/or funds reportable within the scope of the university's annual financial report may not be invested in or used to purchase securities, including obligations, of a private corporation or other private business entity that owns 10% or more of a corporation or business entity which records or produces any song, lyrics or other musical work that explicitly describes, glamorizes or advocates
   1. acts of criminal violence, including murder, assault, assault on police officers, sexual assault, and robbery;
   2. necrophilia, bestiality, or pedophilia;
   3. illegal use of controlled substance;
   4. criminal street gang activity;
   5. degradation or denigration of females; or
   6. violence against a particular sex, race, ethnic group, sexual orientation, or religion.

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 and pursuant 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. Eligible repurchase agreements shall be documented by a specific agreement noting the collateral pledged in each agreement. Collateral shall be reviewed monthly by the controller and director of financial 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 a third party depository.

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.

Investment Strategy

All investments will be made in accordance with the university’s investment policy. Investments may be diversified as needed to provide investment suitability to 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 of the type to provide sufficient liquidity and marketability for any operating requirements. The investment portfolio may be diversified with authorized securities to accommodate changing market conditions. Diversification may include investment pooling with another public institution as authorized in TEC 51.0031.. An investment decision shall consider yield only after the requirements for principal preservation, liquidity, and marketability have been met.

Investments may be categorized and described as:

A. Short Term - less than 90 days Funds needed to meet short term operating requirements normally will be invested in either investment pools or overnight sweep accounts established with banking institutions. The benchmark is the average three month Treasury Bill yield.
B. Intermediate Term - 90 days to one year United States Treasury and Agency securities, 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.
C. Long Term - over one year United States Treasury and Agency securities are the primary investment vehicles. Normally, investments are laddered so that most principal is returned over a five year period in increments sufficient to meet anticipated operating and capital needs. The 30 Year Treasury Bond rate is the benchmark for long term funds.
D. Maturity - The length of time for investments within this policy will vary according to fund type and will be dependent on funding requirements. As a general rule, funds will be invested for the time periods indicated:

Current Unrestricted and Restricted Funds - 2 days to one year

Plant Funds- 3 months to 3 years

**Delegation of Authority**

The vice president for finance and administration (VPFA) of Stephen F. Austin State University is responsible for investment management decisions and activities. The VPFA delegates the day-to-day management of the investment activities to the director of financial services.

The VPFA 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 VPFA 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 VPFA and director of financial 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 VPFA 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.

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 VPFA 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.

**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.

**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’ office.

**Investment Authority**

The VPFA or director of financial services shall invest only those funds regulated by this policy and shall purchase only those securities authorized by the Authorized Investments section of this policy. The governing board may contract with institutions to invest all or part of the university’s funds in accordance with TEC 51.0031.

**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 TEC 51.0031. For funds subject to Chapter 2256 of the 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.

**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 Advisors
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.

**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:

1. 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;
2. 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;
3. 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.

**Diversification**

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:

<table>
<thead>
<tr>
<th>Category</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>U. S. Treasury securities and securities having principal and interest guaranteed by the U. S. Government</td>
<td>100%</td>
</tr>
<tr>
<td>U. S. Government agencies, instrumentalities and government sponsored enterprises (excluding mortgage backed securities)</td>
<td>50%</td>
</tr>
<tr>
<td>Collateral mortgage backed securities</td>
<td>25%</td>
</tr>
<tr>
<td>Fully insured or collateralized certificates of deposit</td>
<td>100%</td>
</tr>
</tbody>
</table>
The VPFA 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 affect the sale. The weighted average maturity of the entire portfolio shall be maintained at no more than 10 years and shall be reported quarterly to the Board of Regents. Pooled fund groups eligible for university investment shall have a maximum weighted average maturity of 10 years.

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.

**Safekeeping and Collateralization**

All securities transactions, including collateral for repurchase agreements, but excluding mutual funds and investment pools, must be settled on a delivery versus payment basis. Collateral for certificates of deposit shall be held by a third party custodian in the name of the university. The third party custodian shall be required to issue a safekeeping receipt to the university listing the specific instrument, rate, maturity, safekeeping receipt number, and other pertinent information. Any collateral safekeeping receipt shall be clearly marked on its face that the security is "pledged to Stephen F. Austin State University". Collateralization shall be required on certificates of deposit and repurchase agreements. The collateralization level shall be no less than 100% of the market value of the principal and interest due on these instruments. Collateral for certificates of deposit and repurchase agreements shall consist of any of the securities authorized for investment within this policy.

<table>
<thead>
<tr>
<th>Investment Type</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bankers' acceptances</td>
<td>25%</td>
</tr>
<tr>
<td>Commercial paper</td>
<td>50%</td>
</tr>
<tr>
<td>Repurchase agreements</td>
<td>100%</td>
</tr>
<tr>
<td>Registered money market funds</td>
<td>80%</td>
</tr>
<tr>
<td>Local Government Investment Pool</td>
<td>100%</td>
</tr>
<tr>
<td>Corporate Bonds</td>
<td>50%</td>
</tr>
</tbody>
</table>
Performance Evaluation

The VPFA and director of financial services shall submit quarterly reports to the Board of Regents through its finance/audit committee 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: (1) beginning market value for the reporting period; (2) ending market value for the period; and (3) 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.

Training

The investment officer(s) will attend 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.


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 be held by a third party custodian in the name of the university. A safekeeping receipt will be issued to the university listing the specific instrument, rate, maturity, safekeeping receipt number, and other relevant information. The signature of the president, VPFA or director of financial services is required for release of pledged securities from safekeeping. Only changes in the level of collateralization require approval by the president, VPFA or director of financial services. 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 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.
Investments - Endowment Funds

**Original Implementation:** Unpublished
**Last Revision:** April 23, 2013 January 28, 2014

### GENERAL

This Investment Policy Statement (IPS) applies to all Stephen F. Austin State University (the "university") endowment funds. These funds are given to the university by individuals and 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. Quasi-endowment funds that are not considered to be public funds may be governed by this policy.

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 insure 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.

Separate fund balance accounts are maintained for all funds. Funds may be restricted either by the donor or the board. Restricted funds are available primarily for specific purposes considered beneficial to the university.

The investment of the endowment funds is governed by Section 51.0031 of the Texas Education Code. This section 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… As used in this section, ‘prudent person standard’ is the standard of care 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.”

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. Consideration will be given to the need for safety of principal, liquidity, diversification, yield and quality.
The overall objective of the IPS 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. The IPS clearly and concisely states the responsibilities of all parties involved with the endowment funds. The IPS will assist the board, the finance/audit committee ("committee") and the university administration in effectively communicating with and monitoring the investment manager(s) and the investment firm(s) that will be engaged from time to time to facilitate the management of the endowment assets of the university. It states the boards' attitudes, guidelines and objectives in the investment of the endowment assets.

**RESPONSIBILITIES**

The university acknowledges that the ultimate responsibility for satisfactory investment results rests with the board. The board believes that this responsibility is best discharged by delegating certain authority to the university administration and by appointing one or more investment management organizations to assume certain responsibilities.

The specific responsibilities of the board in the investment process include and are limited to developing a sound and consistent investment policy, developing sound and consistent investment policy guidelines, establishing reasonable investment objectives, allocating the endowment assets between equity and fixed-income investments, and other investment mediums which it may deem appropriate and prudent, communicating clearly the major duties and responsibilities of those accountable for investing the endowment assets and achieving investment results, evaluating performance results, and abiding within all applicable laws, including conflict of interest provisions therein.

The vice president for finance and administration (vice president) and director of financial services are designated as the investment officers for the university. As such, the vice president or designee are responsible for accounting for investments, monitoring and evaluating performance results, and ensuring that policy guidelines are being adhered to and investment objectives are being met. In addition, the vice president is responsible for the purchase, sale, assignment, transfer and management of investments, for communicating with investment managers, brokers and dealers, for compiling performance results, and for determining the proper distribution of investment returns to the various accounts. The vice president is also responsible for determining the appropriate distribution of income in accordance with the distribution policy in the distribution policy section. The vice president, or designee, will submit an annual investment perspective to the Board of Regents.

The vice president 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.

**INVESTMENT POLICY**

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 and higher current income 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 is willing to trade off some potential opportunities for gain from high-risk investments (with high loss potential) by assuming 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 adverse to large downward fluctuations in the value of its investments resulting from volatile market value fluctuations, such year-to-year volatility should be minimized.

**INVESTMENT POLICY GUIDELINES**

For the purpose of this policy, all individual securities which use long-term credit ratings must be rated the equivalent of “BBB” or better by a nationally recognized credit rating service. 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.

The following categories of securities are permissible investments:

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. Taxable obligations of U.S. state and local governments 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. Common stock and preferred stock issued by United States domiciled corporations and common stocks of foreign companies listed on the major U.S. or foreign security exchanges.

f. 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.

g. Bankers’ acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.

h. 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).

i. Direct Security Repurchase Agreements. Direct Repos must be fully secured (collateralized) by securities authorized under the sections (a) through (f) above. Such collateral must be held by a third party. All agreements will comply with Federal Reserve Bank guidelines.

j. 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 (h) above.

k. Shares of Exchange Traded Funds, known as ETFs, are permissible investments under this section.

l. Certain types of transactions and purchase of certain types of securities are specifically prohibited by this policy. Commodity trading including all futures contracts, purchasing of letter stock, short selling, option trading, and margin trading are specifically prohibited. Neither tax-exempt debt of state and local governments, private placements, nor guaranteed investment contracts may be purchased. No investments will be made in derivative products as defined by the Financial Accounting Standards Board in Statements of Financial Accounting Standards, No. 133. Collateralized mortgage obligations that do not pass the Federal Financial Institution’s Examination Council test may not be purchased.

m. Assets and/or funds reportable within the scope of the university’s annual financial report may not be invested in or used to purchase securities, including obligations, of a private corporation or other private business entity that owns 10% or more of a corporation or business entity which records or produces any song, lyrics or other musical work that explicitly describes, glamorizes or advocates: (1) acts of criminal violence, including murder, assault, assault on police officers, sexual assault, and robbery; (2) necrophilia, bestiality, or pedophilia; (3) illegal use of controlled substance; (4) criminal street gang
activity; (5) degradation or denigration of females; or (6) violence against a particular sex, race, ethnic group, sexual orientation, or religion.

n. No more than six percent (6%) of the portfolio, including convertible securities, can be invested in any one company. This will be measured on a cost basis. No more than ten percent (10%) of the portfolio can be invested at any time in one company based on the market value of the stock and portfolio. This section is not applicable to investments in U.S. government securities.

o. No more than fifteen percent (15%) of the portfolio can be invested in any one industry sector, as defined by Standard and Poor’s broad categories, based on the cost value of the portfolio. No more than thirty percent (30%) of the portfolio can be invested in any one industry sector based on the market value of the portfolio. The holdings do not have to be invested in industry groups that represent a cross-section of the economy.

p. Permitted alternative investments in the portfolio may include hedge funds, managed futures funds, private equity funds, or real estate. Investments in other strategies shall be reviewed and recommended by the investment officer prior to purchase. 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. Mutual funds securities that are rated below A must comprise less than 1 percent of the holdings in the alternative portion of the endowment portfolio and must have a minimum B rating. Any investment vehicles where the portfolio’s liability can exceed the value of the portfolio’s investment are strictly prohibited. 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. The portfolio, however, may invest in single manager funds, but these investments shall not comprise the majority of the investment. 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. The maximum allocation to any one fund shall not exceed 25% of the total investment portfolio. If the allocation to alternative investments exceeds the limit at any point in time, the investment officer shall rebalance the allocation to the fund at the next opportunity when the fund permits liquidation of fund holdings. For the alternative portion of the portfolio, an allocation that exceeds 10% of the total endowment portfolio shall require approval of the investment officer and the investment committee.

q. All of the equities purchased for the portfolio (based at market value) should have a minimum market capitalization of $250 million. The allowable range and target asset allocation for the endowment funds is:

<table>
<thead>
<tr>
<th>Class</th>
<th>Allowable Range</th>
<th>Target</th>
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Appendix 4
For the equity portion of the portfolio, the International Equities should represent at a maximum 30% and minimum 0%.

For the fixed income portion of the portfolio, the asset mix should be: maximum U.S. government bonds 100%, minimum government bonds 0%, maximum corporate bonds 50%, minimum corporate bonds 0%, maximum cash 100%, minimum cash 0%. Gifts of individual securities will be liquidated or transferred to an equity fund manager currently employed by the university under the Use of Investment Firms section. The liquidation or transfer will take place as soon as possible. If liquidated, the proceeds will be invested in accordance with the allowable range and target asset allocation set forth in this policy. Exceptions to this policy are securities described by sections (a), (b) and (c) above. Such securities may be held so long as the asset allocation ranges are maintained. The policy in this section can be overridden by a written directive from a donor.

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 investments in US dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations to be rated the equivalent of “BBB” or better using long-term ratings and at least A-2, P-2, F-2 or equivalent using short-term credit ratings.

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, foreign investments are limited to a maximum of 30% of the portfolio.

### USE OF INVESTMENT FIRMS
The vice president or designee is responsible for the selection of brokers and dealers for the execution of security transactions and for the safekeeping of securities. Sales, purchases and exchanges will be transacted through well-capitalized, nationally recognized investment firms which are major participants in the equity and fixed-income markets. Firms should be selected to provide the maximum benefit to the university. The vice president may choose to use a request for proposals to select the firm or firms with which the university deals.

Selection of outside investment managers will follow these guidelines:

a. The vice president or designee, within statutory and other regulatory authority, may place selected funds of the university with investment managers outside the university for investment purposes. The investment of such funds will be subject to the provisions of this investment policy statement. The vice president or designee is authorized to negotiate with outside investment managers for the benefit of the university.

b. Outside investment manager(s) will receive a copy of the IPS and a Letter of Instructions outlining investment instructions and asset allocation parameters expressed in writing by the vice president or designee. The Letter of Instructions will state return objectives that are reasonable and achievable within the guidelines provided herein. These return objectives should be achieved over a reasonable time frame, thus it is not necessary for the outside manager(s) to exceed the return expectations each quarter. In addition, each outside investment 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.

c. Consistent with this investment policy statement and their Letter of Instruction, the outside investment manager(s) will be responsible for making decisions on a discretionary basis. This includes buy, hold, sell and timing decisions. The outside manager(s) must make responsible decisions in the selections of specific securities and the general timing of purchases and sales necessary to achieve a satisfactory overall return for the assets.

d. Outside manager(s) will invest only into the security class(es) for which they were retained to manage. The manager(s) have discretion to place funds into cash, however, their performance will be measured against an index which measures their security class without deducting the cash position.

The overall portfolio and the individual managers will be evaluated on a periodic basis using industry benchmarks.

The annualized Alpha should exceed both individual managers’ and total portfolio fees. Alpha measures the excess return for the amount of risk taken. Portfolio turnover will be monitored. If the performance results of the portfolio meet the objectives stated herein, the rate of turnover in
the portfolio will not be an evaluative factor. However, a portfolio turnover higher than the average of similar fund managers is considered a negative. Files will be maintained on investment firms with which the university deals. The files will contain information that supports the financial stability of the firms. These files will be updated annually. A list of approved brokers and firms will be maintained and changes will be approved by the Board of Regents.

**DISTRIBUTION POLICY**

The spending policy should balance the long-term objective of maintaining the purchasing power to 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 investment officer will review the total return on the endowment accounts and recommend an annual distribution. The target distribution will be between 4% and 5%. The investment officer will recommend an amount up to 5.00% of the average invested balance for the purposes delineated in the endowment memorandum of understanding. If returns permit, an amount equal to the rate of inflation will be added back to each endowment principal balance. If there are positive total returns beyond the inflation rate, then the investment officer will recommend that this amount be added to a contingency reserve that may be distributed during years of poor investment performance as determined by the officer. When the contingency reserve has reached a balance in excess of two years of normal distributions, the investment officer may recommend that additional distributions be made from the contingency reserve.

**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 by the type of asset and fund type invested. The reports will disclose the realized and unrealized gains/losses on the portfolio for the reporting period. Additions and changes in the market value of the portfolio during the period will be reported. The reports will show the pooled fund value as well as individual assets by fund type. The reports will state the maturity date of each asset that has a maturity date. The total return on the portfolio, on each asset class and for each manager will be reported.

The performance of the total portfolio, each asset class and each manager will be compared to appropriate benchmarks and included in the quarterly reports to the board. The report will contain sufficient information for the board to determine if actions should be taken to correct any deficiencies that may exist.

**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. 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
b. investments will not be purchased from or sold to a member of the board.

DISCLOSURE REQUIREMENTS

Disclosure Requirements for Outside Financial Advisors

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.

Disclosure Requirements for Investment Officers

Pursuant to Texas Government Code Sec. 2256.005(i), 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:

1. 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;
2. 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
3. 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.
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 ensure compliance with the endowment investment policy.


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
Out-of-State Course Delivery

Original Implementation: September, 1981
Last Revision: April 20, 2010 January 28, 2014

Out-of-state course delivery relies upon the use of natural or cultural resources outside of Texas, and occur when the majority of instruction takes place beyond the state’s borders. It does not include a course in which incidental travel to another state occurs for enrichment activities or is online. Prior approval is required for any out-of-state course offering, with different forms and routing processes for domestic and international travel.

1. The approval process consists of two stages.
   A. The first stage involves tentative approval prior to formal arrangements and an agreement with a licensed carrier or travel agency, if required. Criteria for approval shall be those set by the Texas Higher Education Coordinating Board (THECB) and stated as follows:
      i. The purpose for offering an out-of-state course must be educational, not entrepreneurial, and may not result solely in a financial gain for faculty and/or staff. Courses shall not be permitted which offer credit primarily for travel, recreation, or pleasure.
      ii. Out-of-state courses shall not be offered if intended exclusively to serve non-Texas residents unless they are degree candidates at Stephen F. Austin State University (SFA).
      iii. All out-of-state courses must be in the approved course inventory and be applicable to a program approved by the THECB.
      iv. Any academic unit proposing an out-of-state course shall submit a course request, including itinerary and syllabus, to the THECB through the standard course proposal procedure. A statement must be included describing in detail how the course or group of courses shall utilize academic, cultural, and/or physical resources not reasonably available in Texas.
      v. The instruction in all out-of-state courses must conform to SFA’s academic policies.
      vi. Any financial benefits provided by travel agents, carriers, or hotels must be remitted to SFA and not be made as gifts to faculty members or their families. Except for funds specifically appropriated for international activities (e.g., state incentive programs, scholarships, etc.), state funds shall not be used for faculty and student travel, meals and lodging, or other incidental expenses.
      vii. Financial aid must be available to students registering for out-of-state courses on the same basis as for students seeking financial aid for on-campus instruction. Additional student financial aid may be furnished by the university as appropriate.
Minimum course enrollments shall conform to the same standards as applicable to on-campus courses.

B. The second stage involves final approval for the out-of-state course. This approval shall be based upon the final submission of a comprehensive itinerary, plan of study, and any promotional materials.

2. Deadlines for approval are as follows:
   A. Tentative approval
      i. Fall semester: Prior to February 1
      ii. Spring semester: Prior to June 1
      iii. Summer semester: Prior to November 1
   B. Final approval and submission to the THECB
      i. Fall semester: May 1
      ii. Spring semester: September 1
      iii. Summer semester: February 1

3. Any agreement with the travel agency, carrier or vendor shall be reviewed by the Office of the General Counsel prior to execution. The Office of the General Counsel shall review the agreement for legal issues relevant to the nature and location of the proposed course of study. This may include, but is not limited to, transportation, safety, lodging, sightseeing, food services, and any other services in connection with the itinerary.

4. Students must be informed in writing that any contract for transportation, lodging, or food is made with the travel agency or carrier and that SFA is responsible only for instruction and academic credit.

5. Student deposits for contract travel shall be made with the appropriate university office which shall issue a check payable to the agency or carrier once the deadline for reservations has passed. If a course does not enroll a sufficient number of students, refunds shall be made to the students who have paid deposits. For courses not using contract travel, deposits shall be made immediately on receipt to the appropriate university account.

6. All purchases are subject to the state bid procedures. Trip directors must submit requests for bids or justifications for contracts with specific vendors or agents.

7. The salary paid to the instructor shall be provided in one of the following ways:
   A. The instructor’s regular salary will be paid from the department’s budget, or
   B. The instructor’s salary shall be paid through the appropriate college (out-of-state domestic travel) or through the Office of International Programs (international travel) prorated on the basis of enrollment, not to exceed the instructor’s regular salary.

8. There shall be no travel allowance for the instructor unless a specific exception is made by the provost and vice president for academic affairs.
The Texas Higher Education Coordinating Board (THECB) establishes the following rules for any out-of-state course:

- The purpose for offering an out-of-state course must be educational, not entrepreneurial, and may not result solely in a financial gain for faculty and/or staff. Courses will not be permitted which offer credit primarily for travel, recreation or pleasure.
- Out-of-state courses will not be offered if intended exclusively to serve non-Texas residents unless they are degree candidates at Stephen F. Austin State University (SFA).
- All out-of-state courses must be in the approved course inventory and be applicable to a program approved by the THECB.
- Any academic unit proposing an out-of-state course will submit a course request, including itinerary and syllabus, to the THECB through the standard course proposal procedure.
- The instruction in all out-of-state courses must conform to SFA’s academic policies.
- Any financial benefits provided by travel agents, carriers or hotels must be remitted to SFA and not be made as gifts to faculty members or their families. Except for funds specifically appropriated for international activities (e.g., state incentive programs, scholarships, etc.), state funds will not be used for faculty and student travel, meals and lodging, or other incidental expenses.
- Financial aid must be available to student registering for out-of-state courses on the same basis as for students seeking financial aid for on-campus instruction. Additional student financial aid may be furnished by the university as appropriate.
- Minimum course enrollments will conform to the same standards as applicable to on-campus courses.

The deadlines for tentative approvals by appropriate administrators are as follows:

- Prior to February 1 for delivery in the following fall semester
- Prior to June 1 for delivery in the following spring semester
- Prior to November 1 for delivery in the following summer semester
- Prior to May 1 for delivery of any international course as early as summer of the following year

Any agreement with a travel agency, carrier or vendor will be reviewed by the Office of the General Counsel prior to implementation.

Students must be informed in writing that any contract for transportation, lodging or food is made with the travel agency or carrier and that SFA is responsible only for instruction and academic credit.

Student deposits for contract travel will be made with the appropriate university office which will issue a payment to the agency or carrier once the deadline for reservations has passed. If a course does not enroll a sufficient number of students, refunds will be made to the students who have paid deposits. For courses not using contract travel, deposits will be made immediately on receipt to the appropriate university account.
State bid procedures must be followed. Trip directors may be required to submit requests for bids or justifications for contracts with specific vendors or agents.

There will be no travel allowance for the instructor unless a specific exception is made by the provost and vice president for academic affairs.


Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Out-of-State Travel/Study Course Request Form (available in the Associate Provost’s office); Study Abroad Planning Proposal and Study Abroad Final Proposal (found on the Office of International Programs website at http://www.sfasu.edu/oip/183.asp) International Travel/Study Course Request Form (available in Office of International Studies and Programs)

Board Committee Assignment: Academic and Student Affairs
Overtime and Compensatory Time

Original Implementation: Unpublished
Last Revision: July 16, 2013 January 28, 2014

This policy does not apply to faculty.

Non-Exempt Employees:

A non-exempt employee who works in excess of 40 hours in a workweek is entitled to compensation for the excess hours through one of the following methods:

1. The employee should be allowed (or required) to take compensatory time off within twelve (12) months following the end of the workweek in which the overtime occurred at the rate of 1-1/2 hours off for each hour of overtime. Time that is to be taken is at the discretion of the supervisor and must be authorized in advance.

2. When granting compensatory time off is impractical, the employee receives pay for the overtime at the rate of 1-1/2 times the employee's regular rate of pay. Payment must be made for all overtime in excess of 240 hours, which is 160 straight time hours.

Any paid leave or holidays taken are not counted as hours worked in determining overtime hours under the preceding paragraph. In situations in which the employee has not worked more than 40 hours in a workweek but the total hours worked and hours of paid leave or paid holidays exceeds 40 hours, the employee shall be allowed equivalent compensatory time off for the excess hours. The compensatory time must be taken during the 12-month period following the end of the workweek in which the compensatory time was accrued or it lapses. Compensatory time under this paragraph may not be carried forward past the end of the 12-month period and only in specially approved instances may an employee, whose compensatory time off would be disruptive to normal teaching, research or other critical function, be paid for the unused time.

With authorization of the president or the president’s designee, an employee may be paid for the hours of compensatory time the employee earns for work directly related to a disaster or emergency declared by the appropriate officer of the state or federal government.

Non-exempt part-time employees must be paid for hours worked over their designated hours; they may not accrue compensatory time. Exceptions to the workweek overtime calculation for University Police Department law enforcement officers shall be made in accordance with the Fair Labor Standards Act.
To receive overtime pay:

1. Semi-monthly and monthly paid non-exempt employees record all time worked in the approved timekeeping system. The system calculates overtime based on the rules established in this policy.

2. Non-exempt employees must obtain approval from their appropriate vice president to receive overtime pay in lieu of compensatory time off. If the employee is to be paid for overtime, the employee's name, CID, and dates worked as overtime are to be recorded on the Time Record (http://www.sfasu.edu/documents/time-record.pdf) and submitted to the Payroll Department. If the overtime is to be paid from a funding source different from the employee’s regular task code, the department head must approve and submit a Time Record to the appropriate vice president for signature, then route to the Payroll Department for payment.

Non-exempt employees (or their estate) must be paid for any unused accumulated compensatory time at the time of separation from employment or when transferring to an exempt classification.

Exempt Employees:

An exempt employee is not subject to the overtime provisions of the FLSA and may be allowed compensatory time off for hours in excess of 40 hours in a work week in which the combination of hours worked, paid leave, and holidays exceeds a total of 40 hours. Each department is responsible for submitting the “Comp Time Earned Record” (found on the SFA Business Forms website) for all exempt employees in the department. The form must contain the employee’s name, CID, total comp time hours earned for the month and the signature of each employee. The department head must sign the report and then route to the Payroll Department for processing. Forms must be submitted by the due date established by the Payroll Department. If time is not submitted by the due date, no compensatory time will be reported as earned during that pay period.

An exempt employee, may be allowed compensatory time off during the 12-month period following the end of the workweek in which the overtime was accrued, at a rate not to exceed equivalent time, but limited to 80 hours during any one fiscal year. An exempt employee will not be paid for any unused compensatory time earned in this manner. It is the department head’s responsibility to ensure that no more than 80 hours of compensatory time are is taken in a fiscal year for each exempt employee. If an employee reports more than 80 hours of compensatory time used, the Payroll Department will adjust the leave to report it as vacation time used.
With authorization of the president or the president’s designee, an employee may be paid for the hours of compensatory time the employee earns for work directly related to a disaster or emergency declared by the appropriate officer of the state or federal government.

Part-time exempt employees may accrue compensatory time when the number of hours worked plus holiday or other paid leave taken during that week exceeds the number of hours that the employee was designated to work.

Time that is to be taken is at the discretion of the supervisor and must be authorized in advance on a Vacation, Comp Time, Sick Leave Request form which is maintained in the employee's departmental file.

**All Employees:**

Except as otherwise provided by law no employee may accrue compensatory time for work performed at any location other than the employee's regular place of employment or duty point. An employee may accumulate compensatory time off for hours worked during any calendar week at the employee’s personal residence if approved in advance by the president or president’s designee.

If an employee submits a written request to use accrued compensatory time not later than the 90th day before the date on which the accrued compensatory time will lapse, the department head must approve in writing the employee’s request or provide the employee with an alternate date on which the employee may use the compensatory time. The department head should make an effort to accommodate the employee’s use of the accrued compensatory time before it lapses.

*Specific instruction on how to report and approve time and leave are available on the controller’s website at [http://www.sfasu.edu/controller/payroll/index.asp](http://www.sfasu.edu/control/er/payroll/index.asp).*


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

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

**Forms:** Vacation/Comp Time/Sick Leave Request; Comp Time Earned -Exempt Employees Only; both forms are available on the SFA Business Forms website.
Board Committee Assignment: Academic and Student Affairs
Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs

Original Implementation: December 6, 1979
Last Revision: October 18, 2010 January 28, 2014

The provost and vice president for academic affairs (VPAA) will shall conduct an annual performance review of with each administrator who reports directly to the provost’s office. The performance review will shall focus on whether responsibilities outlined by university policy or included in specific assignments have been fulfilled.

During the second year of service and once every three years thereafter, the performance review will shall be augmented by written input from peers (deans, chair/directors) and appropriate faculty and administrative staff. The provost and VPAA vice president for academic affairs will shall develop the survey questions in consultation with appropriate administrators and the president.

Once completed, the provost and VPAA vice president for academic affairs will shall submit all review reports to the individual reviewed and the president.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs
Prompt Payment to Vendors and Employees

Original Implementation: April 21, 1998
Last Revision: January 25, 2011

It is the intention of Stephen F. Austin State University to comply with the state's Prompt Payment Act and make prompt payments to both vendors and employees. It is also the intention of the university to process these payments using the most efficient means available.

Payment to Vendors

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 designee.
2. The goods or services must have been received. Acknowledging the receipt of goods or services is the responsibility of the department which 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 Act 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:

1. the date the university receives the goods under the contract
2. the date the service is completed
3. the 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 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. Examples when the university may make early payments to vendors are:

- If the vendor or the university have 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 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.

3. 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 qualify as a state business reason for paying early.

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. Payment to Employees

Two requirements must be met before a payroll disbursement can be made to an employee:

1. The employment must be approved via an Electronic Personnel Action Form (EPAF).
2. There must be appropriate documentation that the employee performed services during the pay period. This usually requires employee time-keeping records and may include the data entry of a specified number of hours for hourly-paid employees.

The controller’s office will process payroll checks for employees in compliance with the State of Texas payroll calendar, or as approved by the university president.

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.

Definitions:

Payment – Money owed 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 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.

Cross Reference: Tex. Gov’t Code Ch. 2251; Texas Comptroller of Public Accounts

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: None

Board Committee Assignment: Finance and Audit
Property Inventory and Management

**Original Implementation:** September 28, 1996
**Last Revision:** July 16, 2013

Stephen F. Austin State University will comply with Texas Government Code § 403.2715, university policies, and procedures outlined in the property management manual. Property acquired under federal or state grants and contracts will be identified and maintained according to the same guidelines as the university's centralized property management and control described herein, except as otherwise stipulated by the grant.

**PROPERTY RESPONSIBILITY AND ACCOUNTABILITY**

All references to financial responsibility are understood to apply only when employee negligence is involved; see Property Liability (16.22).

Director of procurement and property services and property managers - The president has delegated to the director of procurement and property services and two the property managers responsibility for the overall management of university property, maintenance and control of centralized property records, and disposition of surplus and salvage property.

Equipment manager - The chair or administrative head of a department is designated equipment manager for the department. The equipment manager may not delegate this responsibility. The equipment manager may be held financially responsible is liable for any property listed on his/her department property records.

Designee - The equipment manager may name up to two designees to receive and submit property communications on his/her behalf. The designee(s) does not assume property responsibility or accountability liability in lieu of the equipment manager. The designee(s) may sign property documents on behalf of the equipment manager.

*Property Custodian* - The property custodian is any employee who is listed on property records as entrusted with the care and safekeeping of specific pieces of property, and may be held financially responsible is liable for any university property assigned to him/her. If the equipment manager or his/her designee, fail to assign property to a property custodian, the equipment manager shall be listed on property records as the property custodian.

All University Employees - All employees will receive are required to sign the property liability acknowledgement form advising that he/she may be entrusted with university property. The property liability acknowledgement described in Property Liability (16.22)
advises the employee that he/she will be held financially responsible for any property determined to be damaged, destroyed, missing, or stolen due to employee negligence, regardless of whether the employee is listed identified as a property custodian on property records.

**PROPERTY DEFINITIONS**

Property is defined and will be accounted for in accordance with Texas Government Code § 403.272. The property managers, in conjunction with the director of procurement, and with appropriate administrative approval may define additional equipment to be tracked in property records. Property definitions include purchased or donated property. The department is responsible to notify the property manager of any donations to determine if the property must be added to property records.

**PROPERTY VALIDATION**

Each equipment manager and property custodian is to exercise care and control over the property for which he/she is responsible. Property should is to be monitored on a perpetual basis both by the property office and by university employees. Various procedures for property validation and updating include, but are not limited to:

- **Annual Property Inventory Audit** - Once per year a property inventory audit will be conducted one of two ways: 1) physical count by department, or 2) RFID scan by the property office. An official property report and certification must be returned to the property manager by the deadline stated in the annual property inventory instructions. Reports in campus mail will not be considered received.

Departments failing to return the official property report and certification to the property manager by 5:00 p.m. on the deadline date will be given a 2nd deadline and will have all ordering, including p-cards, shut down until the official property report and certification are received in the property manager's office. Reports in campus mail will not be considered received.

Failure to return the official property report and certification to the property manager by 5:00 p.m. on the 2nd deadline will result in all ordering continuing to be shut down until the official property report and certification are received in the property manager’s office, and In addition, department information, including, but not limited to, department name, department head and property values being will be reported to the Board of Regents at the next regularly scheduled meeting. Reports in campus mail will not be considered received.

- **Computer Inventory** - Departments must complete an annual computer inventory to
facilitate the purchase of campus-wide software licenses and annual analysis of computers for the university computer replacement plan.

**Spot-Check Audit - Property** Spot-check audits will be conducted by property personnel throughout the year except during annual property inventory.

**Monthly Transaction Statements** - Transaction information for all additions and deletions to each department’s property records will be provided--emailed monthly to the equipment manager and his/her designee(s), along with a request to update location and custodian information.

**Adjustment Of Property Records** - The following property information must be updated throughout the year as changes occur in the following information.

1. Equipment Manager - procedures apply to both outgoing and incoming department heads (interim or permanent); information regarding the change must be completed within 30 days of assuming or relinquishing duties.

2. Property Custodian - procedures apply upon transfer or termination of any employee listed as a property custodian on department property records; information regarding the change must be completed within 30 days of the transfer or termination.

3. Permanent location changes including building room number and/or transfer to another department.

**Detailed Department Property Control Plan** – Departments may be required to write a detailed plan for monitoring and accounting for department property. A template for the plan will be provided by the property manager.

**USE OF STATE PROPERTY**

In accordance with Texas Government Code § 2203.004 university property may be used only for state/university purposes. University property in the custody of any Stephen F. Austin State University employee may not be loaned, sold, traded, thrown away, cannibalized, or disposed of in any manner without the prior authorization of the property manager.

**Removal of Property from Campus** – University property may be taken off campus only for official business of the university or another state agency. The individual taking equipment off campus assumes financial responsibility and must complete a removal of property from campus form.
Items containing potentially sensitive, private or confidential information are not to be stored in any leased premises unless specifically authorized in writing by the President. These items include but are not limited to computers, electronic or digital storage devices, and paper documents. Certain off-campus facilities may lack the security necessary to protect such sensitive information.

**Loaning Property to Another Agency** – University property may be loaned to another state agency or institution of higher education. The president must approve the loan of the property in writing and receipt of the property must be acknowledged in writing by the head of the borrowing agency.

**TRAINING**

Mandatory training is required for all equipment managers, designees, and property custodians. After initial training, refresher updates are required every two (2) years. All training is documented in the university’s myTraining system.

Failure to complete training within 30 days of notification (equipment manager, designee, or property custodian) will result in having the individual’s p-card inactivated. Failure to complete training within 60 days of notification will result in all ordering for the department, including p-cards, being shut down until the individual employee completes training.

The property manager may extend the training timeframes for employees on FMLA leave, out of the country, or as otherwise deemed appropriate and approved by the Director of Procurement & Property Services/HUB Coordinator.

**SALVAGE AND SURPLUS PROPERTY**

**Salvage Property** – 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. Salvage property may be discarded or retained for cannibalization of parts, but should be identified for deletion from property records with appropriate documentation and property manager approval. *Data processing equipment can never be declared salvage.*

**Surplus Property** – Surplus property is any personal property that is in excess of the needs of the department and which is not required for its foreseeable future. Surplus property may be new or used but must have additional useful life. Surplus property may be traded in, transferred to another department or transferred to surplus with appropriate documentation.

**PROPERTY DISPOSAL**
University property is to be disposed of as allowed and described in the property management manual, with the exception that disposition of property acquired through federal or state grants and contracts must respect the terms of the grant or contract under which it was acquired. The property manager will determine the disposal option that complies with Texas Government Code § 2175.304 and § 2175.905 and best meets the needs of the university.

All property sales, including scrap metal, are to be overseen by the property office. All funds from sale proceeds will be deposited to the surplus sales fund and or account, unless otherwise approved by the vice president for finance and administration. Such approval will be restricted to situations where the proceeds will be returned to an income-generating department such as the soils lab, agriculture farms, etc. or where the proceeds will provide an off-set to a large project purchase such as a road bus, etc.

Where possible hard drives (“loose”, internal or external), memory cards from printers or scanners, or copiers must have all data removed before final disposal of the property.

- Memory cards from printers or scanners will be destroyed by the property manager.
- Hard drives will be degaussed, destroyed, or overwritten and the disposal will be documented in accordance with Title 1, Texas Administrative Code Section 202.78, for re-use or destroyed by information technology services.
- Procurement will work with departments to document that data stored on copiers is removed before a copier leaves the campus.

MISSING OR STOLEN PROPERTY

Stolen Property – Stolen Property is any personal property that has disappeared by known theft, whether by forced removal, burglary, theft by employee, or other criminal act. Stolen property must be reported immediately to the property manager in conjunction with immediately filing a stolen report with university police.

A missing or stolen property report must be completed within 24 hours of reporting the stolen property. The property office will make a determination of negligence on the part of the equipment manager and/or property custodian, or any other employee; see Property Liability (16.22). Failure to report stolen property to the property manager and/or university police immediately may result in a determination of negligence.

Missing Property – Missing property is any personal property that has disappeared with no explanation, the loss of which must be reported immediately to the property manager.

A missing or stolen property report must be completed within 24 hours of reporting the missing property. As part of the report the department head must...
make a determination of negligence on the part of the responsible party, equipment manager and/or property custodian, or any other employee; see Property Liability (16.22). Failure to report missing property to the property manager immediately may result in a determination of negligence.

**DEPARTMENTAL FINES AND REQUIREMENTS**

The following fines and requirements will be imposed for missing property:

1. The department will be fined as follows:
   a) $1000 – for two items valued at $500 or more each, reported missing in the same fiscal year
   b) $2500 – for three to five items of any value reported missing in the same fiscal year
   c) $5000 – for more than five items of any value reported missing in the same fiscal year
   d) in the following fiscal year if additional property is reported missing the above fines will double
   e) if missing property is found within 30 days of the fine’s being assessed, the value of the equipment will be refunded up to a maximum of $500 per item, but never exceeding the amount of the original fine

2) Within 30 days of notification of a fine, all employees identified by the property office will be required to complete property training. The employees identified may include equipment manager, designee, property custodian, or any other employee. Failure to complete the training within 30 days of notification will result in all ordering (requisition and p-card) being shut down for the entire department until the training is completed by all identified employees. Extensions of the 30-day limit may be made by the property manager as deemed appropriate and approved by the director of procurement & property services.

3) Within 60 days of notification of a fine, the equipment manager will be required to prepare a detailed department property control plan using the template provided by the property office. Failure to complete the plan within 60 days of notification will result in all ordering (requisition and p-card) being shut down for the entire department until the plan is received.

4) Any appropriations withheld from the university due to exceeding the allowed value threshold of missing property, as defined in the General Appropriations Act, will be deducted from the budget of the department responsible for the property. The value threshold is defined in the General Appropriations Act.
Stolen Property

Stolen Property is any personal property that has disappeared by known theft, whether by forced removal, burglary, theft by employee, or other criminal act. Stolen property must be reported immediately to the property manager in conjunction with immediately filing a stolen report with university police.

A missing or stolen property report must be completed within 24 hours of reporting the stolen property. As part of the report the department head must make a determination of negligence on the part of the responsible party, Property Liability (16.22). Failure to report stolen property to the property manager and/or university police immediately may result in a determination of negligence.

**INDIVIDUAL EMPLOYEE NEGLIGENCE**

In accordance with Texas Government Code § 403.275 all university employees are liable for the State of Texas property that they use. A determination of negligence will result in one or more employees being held liable to replace property or reimburse the university the determined value of property. See Property Liability (16.22) and the property management manual for definitions and requirements associated with negligence.

**Cross Reference:** Tex. Gov’t Code §§ 403.2715, 403.272, 403.273(h), 403.275; Tex. Gov’t Code § 2054.003(3)(A); Tex. Gov’t Code §§ 2175.304, .905; Tex. Gov’t Code § 2175.304; Tex. Gov’t Code § 2203.004; 1 Tex. Admin. Code § 202.78; Property Liability (16.22)

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

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

**Forms:** Annual Property Inventory Audit Certification (provided with Annual Property Inventory Packet), Certification of Physical Inventory with Change In Department Head (ITS Forms Server), Missing, Damaged or Stolen Property Report (ITS Forms Server), Police Report (available from University Police Department), Property Liability Acknowledgement (HR), Property Transfer Form – Department to Department (ITS Forms Server), Property Transfer Form – Department to Surplus (ITS Forms Server), Removal of Property from Campus Request (available on the ITS Forms Server), Responsible Party Termination/Transfer (ITS Forms Server), Salvage Property Request (ITS Forms Server)

**Board Committee Assignment:** Finance and Audit

17.14 Property Inventory and Management
Property Liability

**Original Implementation:** April 22, 2003  
**Last Revision:** April 23, 2013

Any university employee entrusted with state property may be held financially liable for damaged, destroyed, lost, or stolen property as outlined in *In accordance with Texas Government Code § 403.275.*

All university employees are liable for the state property that they use. All employees must complete the property liability acknowledgement form at new employee orientation.

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 with change in department head, accepting responsibility for all department property within 30 days of assuming their duties. The department head will be listed as equipment manager on property records and is responsible for identifying custodians who have been entrusted with the care and safekeeping of specific pieces of property.

Employees taking equipment off campus will be required to complete a removal of property from campus form. These forms will include, including the following statement:

“I understand that I may be held financially liable for lost, damaged and stolen property as outlined in Texas Government Code § 403.275.”

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

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

Reasonable care is defined as follows. Examples are outlined in the property management manual.

**1. Steps have been taken to ensure control of property.**
2. Steps have been taken to ensure the security of property.
3. Property can be located anytime it is requested.
4. Documentation is available showing that the person responsible for property is aware of their responsibilities.

After conducting an investigation, if the property manager has reasonable cause to believe that any property in the agency'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, the equipment manager and the property custodian, the director of ITS (computer only), and UPD (stolen equipment only). All computer losses, missing or stolen, regardless of negligence, will be reported to the director of ITS.

In addition, the property manager in consultation with the equipment manager, the director of procurement and/or audit services, 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: Texas 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

Board Committee Assignment: Finance and Audit
**Proprietary Purchases**

**Original Implementation:** September, 1979  
**Last Revision:** January 25, 2011, January 28, 2014

A proprietary situation occurs when competition is not available. When the specification requirement limits consideration to one manufacturer, one product, or one service provider, a written justification must be provided.

A sole product may be available from more than one source and is subject to best value procurement rules.

A sole source is a specific item that is available from only one source.

Along with the Purchase Requisition the department must may be asked to submit a *Sole Source/Product 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:** 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, *Sole Source/Product Justification*

**Board Committee Assignment:** Finance and Audit
Purchase of Electronic and Information Resources

**Original Implementation:** July 21, 2009

**Last Revision:** January 25, 2014

All electronic and information resources (EIR) developed, procured or changed by an institution of higher education shall comply with the standards and specifications of Chapter 206 and/or Chapter 213 of *Title 1 of the Texas Administrative Code*, Part 10 unless an exception is approved by the university president in accordance with 1 TAC, Part 10, Chapter 213, Subchapter C.

This policy does not apply to information technology that is acquired by a contractor or grantee incidental to a contract or grant, provided the technology does not become SFA property upon the completion of the contract. Nothing in this policy is intended to prevent the use of designs or technologies as alternatives to “electronic and information resources” defined herein, provided such alternative results in substantially equivalent or greater access to and use of a product for people with disabilities.

The term "electronic and information resources" as used in this policy refers to the definition in 1 TAC Part 10, Chapter 213, Subchapter A: “information technology and any equipment or interconnected system or subsystem of equipment that is used in the creation, conversion, duplication, or delivery of data or information. The term electronic and information resources includes, but is not limited to, telecommunications products (such as telephones), information kiosks and transaction machines, websites, multimedia, and office equipment such as copiers and fax machines. The term does not include any equipment that contains embedded information technology that is used as an integral part of the product, but the principal function of which is not the acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. For example, HVAC (heating, ventilation, and air conditioning) equipment such as thermostats or temperature control devices, and medical equipment where information technology is integral to its operation, are not information technology.”

To comply with this requirement, the university will include an appropriate statement in all purchase order terms and conditions and in contracts for electronic and information resources where an exception is not granted by the president.

If a vendor is unable to comply with the statement, and no other vendor is available to provide the EIR, and the department has a need that cannot be met with a different EIR, then the department and the procurement office will complete an “Electronic and Information Resources (EIR) Accessibility Exception Request” for review by the university general counsel and approval by the president.

Responsible for Implementation: President

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

Forms: Electronic and Information Resources (EIR) Accessibility Exception Request

Board Committee Assignment: Finance and Audit
Purchase of Surplus Property

Original Implementation: September, 1987
Last Revision: January 25, 2011

The Texas Facilities Commission (TFC) disposes of salvage and surplus 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 days of posting is turned over to the Texas Facilities Commission 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. Your 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 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.
Restricted 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. Purchases of Federal Surplus Property are subject to the Single Audit Act of 1984 as required by OMB Circular A-133 and amended in 1996.

1. Property must be used for the program approved for participation in the Federal Surplus Property Program.

2. 1. Property valued at less than $5,000 in original cost must be used for 12 months from the date put into use. Property must be put into use within the first year.

2. 2. All vehicles and property valued at $5,000 or more in original cost must be used for 18 months from the date put into use. Property must continue to be used for the "compliance period" before ownership is transferred to SFA.

3. 4. 18 months for passenger vehicles or any item of property with original acquisition cost of $5000 or more. Donee organizations do not obtain title or ownership to property designated "perpetual use" by the federal government. The period of use is considered to be "perpetual" or ongoing on these items.

4. 5. 12 months for property with an original acquisition cost less than $5000. All property must be placed into use within the first year of possession.

5. 6. 5 years for aircraft and vessels 50' or more in length. State and federal program staff perform scheduled and unscheduled onsite property compliance visits to ensure the property is being used as represented.

6. 7. In perpetuity for combat-configured aircrafts, and firearms. If the property is not paid for in full or is not being used or handled as required, the donee will be required, at its expense, to return the property to TFC or another donee, as instructed by TFC.

7. The property may not be sold, transferred or otherwise disposed of during the required period of use. If property is sold, transferred or otherwise disposed of during the required period of use, the donee SFA may be subject to penalties and fines, as well as possible state or federal prosecution.

8. 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 another donee, as instructed by TFC.

9. 5. Program participants are required to complete reports regarding property use as a condition of participating in the program. 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. Required Notice for Participants In...
The Federal Surplus Property Program

**IT IS THE LAW**

In accordance with federal law and the General Services Administration's (GSA) regulations and policies, this institution is prohibited from discriminating on the basis of race, color, national origin, sex, age, and disability.

To learn more about GSA's Nondiscrimination in Federal Financial Assistance Programs or to file a complaint, you may contact GSA's Office of Civil Rights, as follows:

Write to the Office of Civil Rights, U. S. General Services Administration, 1800 F Street, NW, Suite 5127, Washington, DC 20405; or

Call (202) 501-0767 or 1-800-662-6376 (voice); FAX (202) 219-3369.
Individuals with hearing impairments: TDD 1-888-267-7660 or the Federal Relay Service at 1-800-877-8339.

**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
Records Management

Original Implementation: February, 1975

The university shall adhere to state regulations for the management of its records. All university records, regardless of medium (including print or electronic), created by or received by an office or employee in connection with the normal course of business are considered state records. Extra copies maintained only for reference are not subject to this university Records Management Policy retention schedule. The retention schedule lists the university’s records series and identifies legal, audit, archival and/or retention requirements. Statutory confidentiality requirements must be maintained.

Certain inactive records are retained to meet legal and fiscal requirements, or future administrative needs, or because of historical significance.

Department Unit heads are responsible for the management of their department’s university records, including the records of all staff and faculty within their departments. In managing their records, they should adhere according to the following guidelines:

1. University Records of the official activities of university officers and offices are the property of the university.
2. University Official records must not be destroyed without the approval of the officer in charge of the department where the records accumulate. They should be destroyed in accordance with the approved SFA Records Retention Schedule.
3. Records that are not listed on the Records Retention Schedule may not be destroyed without the approval of the Records Management Division of the State of Texas State Library and Archives Commission. In addition, the approval of the State Auditor is required in the case of the destruction of a state record of a fiscal or financial nature.
4. When Records with archival value cease to have current value for an office and when they are listed on the Records Retention Schedule as having archival value, the officer in charge shall arrange for their systematic transfer to the East Texas Research Center of the library. For records determined to have archival value, but not listed as such on the schedule, contact the Director of the East Texas Research Center university archivist.
5. Administrative officers shall consult with the general counsel on any question of compliance with the Texas Public Information Act.
6. Each administrative office shall designate an individual to consult with the East Texas Research Center's Records Retention Assistant university archivist with questions regarding implementation of the records management program in his/her office.
the following: The name and telephone number of this person should be given to the ETRC Records Retention Assistant.

A. Each department is responsible for evaluating files at least once a year to ensure that records are being retained in accordance with the approved SFA Records Retention Schedule.

B. Records determined to be obsolete records with no archival value by the department should be disposed of according to the SFA Records Retention Schedule.

C. If a department has records not listed on the schedule, special permission from the state must be obtained to dispose of them. Records exempted from the need to be listed on the Records Retention Schedule by rules adopted by the State Library do not require approval for destruction. The Records Retention Assistant should be contacted for specific instructions.

D. Before final disposition of records, regardless of whether the records are listed on the Records Retention Schedule, a Records Disposition Log must be prepared. Enter the records series title, retention period, inclusive dates of the records, and appropriate disposition method on the log. The person authorizing disposition of the records series, usually the department head, must sign the log. List all records on the Records Disposition Log before destruction, maintain the log until the end of the fiscal year and forward the log to the university archivist.

E. After the log authorizing disposition is signed by the department head, the records must be disposed of in the appropriate manner. If a records series has archival requirements as indicated by the schedule, contact the Records Retention Assistant for specific instructions. If records are to be destroyed, destruction is to be accomplished by shredding if the records are confidential; by recycling or trash if the records are open; and by erasure if the records are electronic. Enter the volume and actual date of records disposition on the log.

F. The records disposition log is maintained in the department responsible for disposing of the records until the end of the fiscal year and is then forwarded to the Records Retention Assistant at Steen Library, Box 13055.

Records Retention Schedule

1. The approved SFA Records Retention Schedule establishes the official life span for records series maintained in university offices. This schedule shall be reviewed and approved by the State Library and State Auditor as periodically required by the State Records Administrator.

2. The Records Retention Schedule is a listing of SFA’s records series; it identifies special considerations regarding a records series, such as legal, audit, or archival requirements, and the length of time a records series must be retained before final disposition. Statutory-
Confidentiality requirements must be maintained regardless of the special identifications noted on the Records Retention Schedule.

3. The university's Records Retention Schedule, detailing the length of time records series must be retained (examples of records series include correspondence, time sheets, travel requests, expenditure vouchers, and numerous others) is available in the East Texas Research Center and in university departments upon request from the Records Retention Assistant in ETRC.

4. The Records Retention Assistant in the East Texas Research Center of the Ralph W. Steen Library is the central contact person for information about policy compliance in records retention and disposal procedures.

Cross Reference: Tex. Gov’t Code §§ 441.180-.205; 13 Tex. Admin. Code Ch. 6

Responsible for Implementation: President

Contact for Revision: SFA Records Administrator; General Counsel

Forms: Records Inventory Worksheet (RMD 103); Records Disposition Log; Request to Dispose of Records not listed in Records Retention Schedule (RMD 102); and Records Retention Schedule (SLR 105C)

Board Committee Assignment: Academic and Student Affairs
In-Residence Requirement

Original Implementation: January 25, 2000
Last Revision: October 18, 2010

The term "in-residence" includes all of the following types of courses: on-campus, off-campus, distance education, field-based, practicum, internship, and thesis/and dissertation work for master's/and doctoral degrees. Extension courses are not considered in residence and do not count toward residence requirements. Only courses offered by Stephen F. Austin State University shall will be counted toward the in-residence requirements.

Undergraduate Degree Programs

Undergraduate degrees require a minimum of 42 semester hours in-residence, of which 36 hours must be advanced work (300-400 level).

First majors consist of at least 30 semester hours in the discipline and must include at least 18 hours of advanced work, of which at least 12 hours must be advanced work completed in-residence.

Second majors consist of at least 24 semester hours, of which at least 12 hours must be advanced work completed in-residence.

Minors consist of 18 - 24 semester hours, of which generally at least nine hours must be advanced work and six of which must be completed in-residence.

Graduate Degree Programs

Master's degrees require a minimum of 24 semester hours completed in-residence.

Doctoral degree in-residence requirements are determined by each college.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs
Safe and Vault Combinations

**Original Implementation:** Unpublished  
**Date of Last Revision:** January 25, 2011, January 28, 2014

Current combinations for safes or vaults holding cash, checks, or other valuable documents must be on file in the office of the vice president for finance and administration.

The department head must submit a memorandum indicating the location of the safe or vault, combination, date of last combination change, if known, and the names of all employees that 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 the safe or vault is moved or transferred to another department, or when the 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.

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
Sick Leave

Original Implementation: Unpublished
Last Revision: October 22, 2012, January 28, 2014

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

Accrual of Sick Leave

Employees of the university, whose positions do not require as a condition of employment that they be enrolled and regularly attending classes, shall, without deduction in salary, be entitled to sick leave subject to the following conditions. Employees of the SFA Charter School will earn sick leave according to Charter School policy.

Sick leave entitlement shall be earned, beginning on the first day of employment, at the rate of eight (8) hours for each month or fraction of a month of employment, and shall accumulate with the unused amount of such leave carried forward each month. An employee who is on leave the first day of the month may not use the sick leave that the employee accrues for that month until after a return to duty. Such leave accrual shall terminate on the last day of duty. An employee's accrued sick leave balance will be transferred when an employee moves from employment in one state agency to another, provided the employment is uninterrupted. Part-time employees working at least 20 hours per week accrue sick leave proportionately to their FTE.

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

Separation from Employment

Employees of the university who separated from employment under a formal reduction in force are entitled to have their sick leave balances restored if they are re-employed by the state within 12 months. Employees separated from the university, for reasons other than a formal reduction in force, and re-employed by SFA may have their sick leave balances restored only if:

1. The employee is re-employed by the university within 12 months after the end of the month in which the employee separates from employment, but only if there has been a break in employment from the university of at least 30 calendar days; or
2. The employee is re-employed by a different state agency or institution of higher education within 12 months after the end of the month in which the employee separated from the university.
The university has no authority to pay out an employee's accrued but unused sick leave balance upon termination. An employee who is restored to employment at the university following military service is entitled to have his or her sick leave balance restored. Employee Retirement System (ERS) retirees who return to state employment will not have their sick leave balances restored.

Funds appropriated for salaries and wages may be paid for all of the employee's accumulated vacation leave and for one-half of his/her accumulated sick leave, or for 336 hours of sick leave (whichever is less), to the estate of an employee when said employee dies while employed by the university. The employee must have had continuous employment with the university for at least 6 months at the time of death. The payment shall be calculated at the rate of compensation being paid the employee at the time of death.

Sick Leave Utilization

Sick leave with pay may be taken when sickness, injury, or pregnancy and confinement prevent the employee's performance of duty, or when a member of the employee's immediate family is actually ill. For purposes relating to regular sick leave, immediate family is defined as those individuals related by kinship, adoption or marriage who are living in the same household or, if not in the same household, are totally dependent upon the employee for personal care or services on a continuing basis. An employee who is the legal guardian of a child by court appointment may use sick leave to care for the child. Sick leave may be used for the adoption of a child under the age of three. An employee who must be absent from duty because of illness shall notify their supervisor or cause the supervisor to be notified of that fact at the earliest practical time.

To be eligible for accumulated sick leave with pay during a continuous period of more than three (3) working days, an employee absent due to illness shall send to the administrative department head a doctor's certificate showing the cause or nature of the illness, or some other written statement of the facts concerning the illness which is acceptable to such administrative head verifying the employee was out due to medical reasons. If an illness results in the absence of three (3) working days or less, the administrative head has the discretion to require documentation of the illness. Upon returning to duty after sick leave, an employee shall immediately complete a Request for Vacation, Compensatory Time, Sick Leave Taken form.

An employee may use sick leave while he or she is on annual leave.

Participation by any employee in an organized work stoppage has been declared to be against the public policy of the state of Texas. In any case when there is substantial evidence to indicate that an organized work stoppage exists in any division or department of the university, an employee
reporting ill shall send to the administrative head of his/her department or division a doctor's certificate showing the cause or nature of the illness to be entitled to sick leave.

**Sick leave utilization for faculty: Faculty are allowed to use their sick leave for personal or family illness and for personal leave within these guidelines:**

- If a faculty member needs to take time off to handle personal business, personal leave may be used for that purpose with prior approval from their department head.
- If a faculty member misses a class, even if a substitute covers the class, the time missed is to be reported.
- If a faculty member is out on a continuous basis, two days or more, they must turn in leave for 8 hours for each day.
- If a faculty member misses office hours, due to illness or personal business, they must turn in leave for the time missed.

Extension of Sick Leave: Pursuant to sections 661.202(i) and (j) of the Texas Government Code, an extension of sick leave may be granted through the university policies of Sick Leave Pool (12.19), Family and Medical Leave (12.9), or Leave of Absence (12.12 or 12.11). An employee may use up to eight (8) hours of sick leave each calendar year to attend parent-teacher conference sessions, school sponsored educational activities for employees of the employee's children who are in pre-kindergarten through 12th grade, including a parent-teacher conference, tutoring, volunteer program, field trip, classroom program, school committee meeting, academic competition, and athletic, music or theater program.

**Cross Reference:** Tex. Gov’t Code §§ 661.001-.038, .201-206; Tex. Gov’t Code Ch. 617; Non-Academic Employee Handbook; Organized Work Stoppage (11.18); Sick Leave Pool (12.19); Family and Medical Leave (12.9); Leave of Absence (Non-Academic) (12.12); Leave of Absence (Faculty) (12.11); Texas. Educ. Code § 51.961.

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

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

**Forms:** Request for Vacation, Compensatory Time, Sick Leave Taken (available from Human Resources)

**Board Committee Assignment:** Academic and Student Affairs
Small-Size Classes

Original Implementation: November 4, 1977
Last Revision: July 21, 2009 January 28, 2014

1. This policy applies to courses whose primary mode of instruction is lecture, laboratory, or seminar.

2. Small-size classes are undergraduate classes with fewer than 10 registered students and graduate classes with fewer than 5 registered students. Minimum enrollment requirements for off-campus, face-to-face courses are addressed in Policy 5.13, Off-Campus Courses.

No small-size classes will be offered in any term except as authorized by the Board of Regents of Stephen F. Austin State University.

3. Only small-size classes that meet one or more of the following requirements may be authorized to be taught:

   a. A course is required for graduation. (This course must not be offered each semester or term, and, if cancelled, may affect the date of graduation of those enrolled).

   b. A course is required for majors in the field that should be completed in a given semester (term) in order to keep the proper sequencing of courses.

   c. A course in a newly established degree program, concentration, or support area.

   d. Interdepartmental (cross-listed) courses taught as a single class by the same faculty at the same station, provided that the combined courses do not constitute a small class.

   e. The first time offering of a course.

   f. A course the class size of which is limited by accreditation or state licensing standards.

   g. A course the class size of which is limited by the availability of laboratory or clinical facilities.

   h. A course voluntarily offered by a faculty member in excess of the institutional teaching load requirement and for which the faculty member receives no additional compensation.

4. A small-size class of the same course may not be offered in consecutive semesters or summer terms.

5. The university shall file a small class report with the Texas Higher Education Coordinating Board through its uniform reporting system.

Procedure:

1. An academic unit head submits a small-size class approval form to the appropriate dean requesting approval to offer small-size class(es).

2. The dean approves/disapproves the request and forwards the form to the associate provost and vice president for academic affairs (VPAA), with a copy to the registrar.

3. The associate provost approves/disapproves the request and sends copies of the
small class form to the dean, *academic unit head*, and the registrar. The provost submits the report of small-size classes to the Board of Regents for final approval.

**Cross Reference:** Faculty Handbook; *Texas Tex. Educ. Code*; § 51.403

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

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

**Forms:** Small-size Class *Approval Request* Form
Stone Fort Museum Collections

Original Implementation: April, 1982
Last Revision: October 18, 2010 January 28, 2014

The Stone Fort Museum houses a selectively collects selective collection of artifacts that which the museum's curator determines useful in interpreting the prehistory and history of East Texas prior to 1900. Special emphasis is placed on the Spanish and Mexican periods that began in 1690 with the establishment of the Spanish Mission Tejas and ended with the overthrow of the Mexican government in 1836 by Texas revolutionists.

Permanent Acquisition Policies

1. Objects are added to the collection by means of gifts, bequests, purchases, exchanges, or any transaction by which title to the object passes to the museum. Criteria for acceptance to the permanent collection are the following:
   a. Consistency with the museum's focus
   b. A clear title available from the source of acquisition
   c. Adequacy of documentation
   d. Acceptable condition
   e. Ability of the museum to care properly for and use the acquisition
   f. Research potential
   g. Educational, interpretive, and exhibit potential
   h. Intrinsic value associated with important events, individuals, or age and typicality of objects.

2. Potential donors must present evidence of a clear and legal title to any gift, and must complete a "Gift Agreement" form for each donation. Items of questionable provenance or obtained through illicit trade shall not be acquired.

3. In accepting any collection, the museum must acquire any copyright, patent, and/or trademark rights that may legally restrict full use of the acquisition.

4. All donations are tax deductible; however, the museum assumes no responsibility for evaluating donations.

5. All donations become state property and must be outright and unconditional gifts used at the discretion of the museum’s curator.

5. The museum does not accept a gift that contains a condition requiring that it be kept intact, exhibited, either temporarily or permanently, or kept permanently.

b. The museum curator reserves the right to restore, reconstruct, refurbish, or repair any part of any gift.
In the event that a gift is tendered but not accepted by the museum curator, it must be removed from the Stone Fort Museum within thirty (30) days of notification. All items not removed by this deadline will automatically become the property of the museum and will be subject to disposal.

**Incoming Loan Policies**

1. The museum curator does not accept artifacts on loan for extended periods. Temporary loans are considered for special exhibits or programming, but only for assigned time periods. An "Incoming Loan Agreement" form must be completed prior to the loan of objects.
2. All material loaned to the museum is subject to collections care procedures governing permanent collections as outlined in the Stone Fort Museum Policy Manual.
3. All loan items must be removed from the Stone Fort Museum on the date stated on the "Incoming Loan Agreement" form. Any item not removed within thirty (30) days of the deadline will automatically become the property of and subject to the policies of the Stone Fort Museum and subject to its policies. Under Texas law, property on loan to a museum for fifteen (15) years or more and to which no person has made claim is considered abandoned. Unless an unexpired loan agreement exists to the contrary, the abandoned items will become the property of the museum once the museum’s curator notifies the lender unless an unexpired loan agreement exists to the contrary.

**Outgoing Loan Policies**

1. The museum curator loans collection material solely for educational and/or research purposes.
   Borrowed items remain the property of the museum and may not be claimed, mortgaged, loaned, assigned, used as collateral, or otherwise encumbered by the borrower. The borrower must complete an "Outgoing Loan Agreement" form.
2. The borrower is prohibited from photographing or digitally recording objects on loan without written consent of the curator, and any prints or digital recordings of the loaned material may not be published for any purposes beyond educational use without written consent of the curator.
3. Any use of the loan material will be credited to the Stone Fort Museum, Stephen F. Austin State University.
4. The borrower will exercise all reasonable precautions to protect the loan from damage, loss, destruction, or alteration. The borrower may not glue, pin, punch, drill, tape, nail, tack, or otherwise violate the integrity of the loan, nor may the borrower clean, repair, retouch, or otherwise alter the loan.
5. In the event of damage, loss, alteration, or any other change in the condition of the loan, the borrower must immediately notify the curator in writing. Damage or loss in shipment must be reported to the curator immediately.
Cross Reference: Texas Property Code §§ Ch. 81.001–008.80; Gift Reporting (3.16); Stone Fort Museum Policy Manual.

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact For Revision: Curator of the Stone Fort Museum

Forms: Gift Agreement, Incoming Loan Agreement, Outgoing Loan Agreement (available in the Stone Fort Museum), Report of Gifts Received (available in the Office of Development)

Board Committee Assignment: Academic and Student Affairs
Student Employment

**Original Implementation:** June 18, 1987

**Last Revision:** January 28, 2014

1. Students seeking on-campus employment may view on-line jobs at https://careers.sfasu.edu. Students must apply on-line and the hiring department will arrange an interview.

2. All students employed by the university are required to attend an orientation session provided by Human Resources (HR) on or before their first day of employment. It is the employing department's responsibility to ensure that all new student workers report to new student employee orientation for paperwork processing before they begin work. If students have not worked on campus previously, they should attend training provided by Career Services in the Rusk Building. It is the responsibility of the department to make sure the student workers attend this training. Once the necessary employment forms and trainings have been completed, the student may be authorized to work on campus. Students working in College Work-Study positions must obtain a College Work--Study Permit from the Financial Aid Office each semester they intend to work. International Students must also provide Forms I-20 and I-94 as part of their student employment paperwork process.

The hiring department will complete an EPAF to set up the student's job assignments. Rate changes and new account assignments must also be completed on the EPAF. Terminations from employment with the university and the ending of a job assignment are also documented through completion of the proper EPAF. Departments must also complete the Administrative Account Disablement form when a student terminates their assignment or employment.

3. In the fall and spring semesters, student employees of the university will be restricted to no more than twenty (20) hours of work per week, unless approved by the provost and vice president for academic affairs or his/her designee, as indicated on the Departmental Approval to Work More Than 20 Hours form. This form may be found on the Student Employment page of the Human Resources Web site. To be eligible for on-campus employment during the fall or spring semesters as a student worker, a student must carry six (6) or more semester hours. It is the employing department's responsibility to ensure that student employees are enrolled for the required number of semester hours. SFA student workers enrolled for 1-5 academic hours must be approved by the dean of student affairs, as indicated on the Departmental Approval to Work While Enrolled for Fewer Than 6 Hours form. This form may be found on the Student Employment page of the Human Resources Web site.

4. During the summer, students employed as either student assistants or work--study employees, and are enrolled for three (3) or more hours of coursework, may not work more than twenty (20) hours per week, unless they receive proper authorization as instructed in
section 3.

Those students who do not attend school in the summer but have a reasonable expectation of being enrolled as SFA students in the upcoming fall semester are eligible for student assistant employment up to forty (40) hours per week in the summer. Reasonable expectation for a new student would include being accepted by the Office of Admissions.

5. Departments should contact Human Resources if they have questions concerning the appropriate pay rate. Students should be paid no less than minimum wage and no more than $15.00 per hour. If a department wants to set up an internal pay structure for their department, they may contact Human Resources for assistance.

6. Job vacancies requiring services of SFA students should be posted on the Careers at SFA website for at least three days before the employing department recommends appointment of a candidate to fill the opening. In order to be considered an applicant for a student position, students must apply online. It is the employing department’s responsibility to notify Human Resources immediately when the job is filled. Under no circumstances will a student position be filled without completing the job vacancy and posting requirements.

7. College Work-Study (CWS) is a federally-funded program designed to provide financial aid to those students choosing to earn a portion of their educational expenses. The Student Financial Aid Office determines the student's eligibility for CWS employment in accordance with established federal guidelines. Departments allocated CWS funds should be aware of the following procedures:
   A. The College Work-Study Program is a form of student employment and is subject to the conditions outlined above.
   B. To be eligible for the CWS program, the student must first complete the financial aid application for need-based aid by the established deadline. If the results of the need analysis indicate the student is eligible for CWS, and the student expresses an interest in the program, the Financial Aid Office will make the award accordingly.
   C. The student must reapply for CWS each academic year. If the student wishes to be employed through the CWS program in the summer, he/she must request that the Financial Aid Office review his/her file for eligibility in the preceding spring semester.
   D. Before beginning employment, each student must present to the employing department a copy of their current year award notification from their MySFA account. This notification will indicate the maximum amount of money the student may earn during a given semester(s) of employment by the university on a college work-study account. It is important to note that this amount is the maximum amount that can be paid from a CWS budget. It is the employing department's responsibility to control the hours worked by the CWS personnel to be absolutely certain that the student does not earn more than the amount of money allowed from CWS funds. The student must accept the work-study award before he/she can accept a work-study position.

Once the student has earned the amount of his/her CWS award, the department must
terminate the student from their CWS account. At that time the department may choose to either pay the student worker out of their departmental account as a “student assistant” or terminate the student worker and must complete an EPAF to make this change.

It is recommended that departments do not employ CWS students on their CWS and department accounts simultaneously. They should first exhaust their CWS allotment funds and then appoint the student to their departmental account.

E. A fall award notification allows the student to work from August through December. A spring award notification allows the student to work from January through May. A summer award notification allows the student to work from May through August. (The division between the summer sessions is determined by the university's summer calendar.) Exact dates vary from year to year and are determined by the Student Financial Aid Office.

F. If questions arise concerning the College Work-Study Program, call the Financial Aid Office at 936-468-2403.

Foreign Students:

The Department of Homeland Security permits foreign students to be employed under the same regulations as students who are U.S. citizens. Questions about documentation and identification requirements may be answered by Human Resources.

Graduate Assistantships:

Employment authorization and processing of graduate assistants goes through the Human Resources office and the Graduate Office.

Nepotism:

University policy regarding nepotism applies to student employment. See Nepotism (11.16).


Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: College Work-Study Permit (issued by Financial Aid), Departmental Approval to Work More Than 20 Hours (online), Departmental Approval to Work While Enrolled for Fewer than 6 hours (online), I-9 Form, I-20 Form, I-94, W-4 Form (Human Resources).
Board Committee Assignment: Finance and Audit
Student Fiscal Appeals

Original Implementation: January 30, 2007
Last Revision: October 22, 2012 / January 28, 2014

The Fiscal Appeals Panel will consider appeals related to Stephen F. Austin State University (SFA) fiscal policy as it applies to student charges. 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 on the penalty for excessive time to graduation and repetition of a course may be based on economic hardship for the student, and will be considered on a case by case basis. Appeals 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. Appeals must be filed within 60 days from the date of the charge on the student’s accounts for which the student is requesting an appeal. Appeals will be considered only for the specific charge and specific term for which the appeal is requested, and will not be considered for previous or subsequent semesters.

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

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

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


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
Student Media

Original Implementation: October 26, 1999
Last Revision: January 25, 2011
January 28, 2014

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. 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 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 student publications director 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 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 director-chair of the Department of Mass Communication (committee chair)
2. The director of student publications
3. One Communication and Contemporary Culture Mass Communication faculty representative
4. One representative from the Office of Public Affairs 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 Division of Communication and Contemporary Culture 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 directors of radio and television respectively. These two faculty members shall have one-course teaching load reductions to accommodate their responsibilities as directors of the radio and television operations.

Both of these facilities are 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 communication production courses including the required 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 Division of Communication and Contemporary Culture 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 Division of Communication and Contemporary Culture 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

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

**Contact for Revision:** Director Chair, Department of Mass Communication of the Division of Communication and Contemporary Culture and Director of Student Publications

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs
Student Service Fee Allocations

**Original Implementation:** Unpublished

**Last Revision:** January 25, 2014

Student Activity Fees are distributed to various student organizations and student service operations based on the allocation process utilized by the Student Service Fee Committee. In the spring semester prior to the fiscal year of the allocations, the committee receives requests from various student service operations (i.e. Health Center, Intercollegiate Athletics, Fine Arts Programs, etc.) and university sponsored student organizations (i.e. Student Government Association, etc.). Requests are evaluated and recommendations for allocations to these groups for the coming year are 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
Student Travel

Original Implementation: October 23, 2001
Last Revision: January 25, 2011, January 28, 2014

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 seats 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. For travel by van, refer to University Policy 16.23 for passenger limitations.

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.

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Dean of Student Affairs

Forms: Student Travel Request Addendum None

Board Committee Assignment: Academic and Student Affairs
Summer Teaching Appointments

**Original Implementation:** April 20, 2004

**Last Revision:** October 18, 2010 January 28, 2014

The university offers no guarantee of a summer teaching appointment to any faculty member except as specifically contracted. All summer instructional contracts are contingent upon sufficient class enrollments and availability of funding.

Utilizing student and programmatic needs and considering faculty input, each academic unit and college is required to adopt a written policy concerning the allocation of summer teaching assignments. These policies will define priority for summer course offerings and set criteria for allocating teaching assignments among the eligible faculty, including the impact of grant funds on summer employment should be considered.

Summer teaching policies must be approved by the academic dean and the provost and vice president for academic affairs. Once final approval is obtained, a copy of the policy will be made available to the faculty. The policy must be reviewed by academic units and colleges every five years.

**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
**Vacation/Sick Leave/Compensatory Time Reporting—Faculty and Exempt Staff Employees POLICY TO BE DELETED**

**Original Implementation:** Unpublished  
**Last Revision:** July 16, 2013

This policy pertains to the requesting and reporting of leave earned and taken by faculty and exempt staff employees. Exempt refers to employees who are exempt from the provisions of the Fair Labor Standards Act.

Official leave records are to be maintained for faculty employees and exempt employees. It is the supervisor’s responsibility to instruct the employee on how and when to request and report leave. It is the employee’s responsibility to request leave and to accurately report leave, as per the supervisor’s instructions. An employee who fails to report leave taken is subject to disciplinary action.

Employees requesting leave should submit a written request to the supervisor in the format designated by the supervisor. The supervisor shall approve or disapprove the request. This form must be kept on file by each department and is backup to the on-line leave activity and balances. In addition, leave used must be reported and approved online in the Banner system by the due date established by the Payroll Department. Time taken cannot exceed the employee’s available balance. Additionally, compensatory time taken may not exceed 80 hours per fiscal year. It is the department head’s (or assigned designee’s) responsibility to verify leave taken is entered in the online system and to verify/certify through the approval process that entries accurately reflect leave taken for the applicable period. The Payroll Department may adjust leave balances when an employee’s reported time exceeds the available balance or when an employee uses compensatory time in excess of the maximum allowed. All entries and approvals must be completed by the due dates established by the Payroll Department.

Vacation and sick leave earned will automatically be added to leave balances without any action by the employee or the department. Compensatory time earned must be submitted to the Payroll Department in the format and by the due dates established by the Payroll Department. If compensatory time earned is not reported by the due date established by the Payroll Department, an employee is not eligible to subsequently use that time.

Employees can view their leave earned, used, and cumulative balances in Self Service Banner through mySFA. At year end, vacation time will be adjusted to the maximum amount allowed to be carried forward. Any discrepancies should be resolved with the Payroll Department immediately.
Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: Varies by Department

Board Committee Assignment: Academic and Student Affairs
Working Hours and Holidays

Original Implementation: Unpublished
Last Revision: January 25, 2011, January 28, 2014

University employees shall work a minimum of forty (40) hours per week. University holidays, paid time off and sick leave taken may substitute for hours worked. Non-academic offices and departments shall be open during the hours 8:00 a.m. to 5:00 p.m., Monday through Friday, and certain selected offices 8:00 a.m. to 12:00 noon on Saturday, except university holidays. Changes to the work schedule may be made by the president of the university when such changes are in the best interest of the university.

Instructional personnel shall be exempt from standard hours and shall, in turn, function as necessary to meet classes and maintain related academic duties.

Employees must, during normal working hours, conduct university business only at their regular place of business or assigned duty point unless they are on travel status or have received prior written authorization from the president. An employee's home may not be considered his or her regular place of business without the written approval of the president.

Holidays shall be those established by the Board of Regents of the university, in accordance with state law.

Only regular employees shall be eligible for paid holidays. A regular employee is defined as one who is employed to work at least 20 hours per week for a period of at least four and one-half months, excluding students employed in positions which require student status as a condition of employment.

Cross Reference: Non-Academic Employee Handbook; Tex. Gov’t Code Ch. 658, §§ 662.001-.022

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Finance and Audit