



REPORT TO THE BOARD OF REGENTS

January 27-29, 2019
Meeting 322

**STEPHEN F. AUSTIN
STATE UNIVERSITY**

Report to the Board of Regents (January 27 - 29, 2019)

Meeting 322

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**Stephen F. Austin State University
Board of Regents Board Meeting and Committee Meetings
Nacogdoches, Texas
January 27-29, 2019
Meeting 322
Austin Building 307**

The Board of Regents of Stephen F. Austin State University will convene a three-day Board Meeting and Committee Meetings according to the following agenda:

SUNDAY, January 27, 2019

1:00 p.m.

The Board of Regents will participate in a training for board portal software. A quorum is expected to be present, but there will be no discussion of public business and no action will be taken.

CALL TO ORDER IN OPEN SESSION

2:30 p.m.

Presentation and Board Action on Agenda Item 1:

1. [Approval of the SFA Charter School 2017-18 Audited Financial Statements](#)

EXECUTIVE SESSION (Scheduled at approximately 2:45 p.m.)

The board will move to executive session for consideration of the following items:

Deliberations Regarding Security Devices or Security Audits (Texas Government Code, Section 551.076)

- [Report from chief information officer](#)
- [Safety and Security Audit](#)
- [Information Technology Patching, Anti-virus, and Vulnerability Management Audit](#)

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

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

[Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers](#), including but not limited to reported complaints, EEOC charges, *Pamela Clasquin v. Stephen F. Austin State University*, and *Geralyn Franklin v. Stephen F. Austin State University* (Texas Government Code, Section 551.071)

[Consideration of Individual Personnel Matters](#) Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the vice presidents, and the president (Texas Government Code, Section 551.074)

The executive session is scheduled to end at approximately 5:00 p.m.

OPEN SESSION (Scheduled for approximately 5:00 p.m.)

Report from Executive Committee and Board Action on Agenda Item 25:

25. [Selection of Presidential Search Firm](#)

The board will recess for the evening with no further action expected.

THIS IS A CONTINUATION OF A THREE-DAY BOARD MEETING AND COMMITTEE MEETINGS AGENDA:

MONDAY, January 28, 2019

8:00 a.m.

RECONVENE BOARD MEETING IN OPEN SESSION

MEETING OF THE BUILDING AND GROUNDS COMMITTEE

(Scheduled at approximately 8:00 a.m.)

Presentation and Committee Action on Agenda Items:

8. [TxDot Easement at East College and University Streets](#)
9. [Walter C. Todd Agricultural Research Center Livestock Facility Architectural Design](#)
10. [Indefinite Delivery/Indefinite Quantity Engineering Services Contracts](#)
11. [Approval of Building and Grounds Policy Revisions](#)
 - [Issuance and Control of Campus Keys 14.7](#)
 - [Markers and Monuments 16.17](#)
 - [Norton HPE Complex 16.18](#)
 - [Smoking, Vaping and Use of Tobacco Products 13.21](#)
 - [Student Center Operations 16.26](#)
 - [Space Assignment, Management, and Planning 16.3](#)
 - [Telecommunication Services 16.28](#)
 - [Work Requests 16.37](#)

Report: [Current Construction](#)

Report: [Planned Maintenance](#)

MEETING OF THE FINANCE AND AUDIT COMMITTEE

(This meeting will convene at approximately 8:30 a.m. or following the previous committee.)

Report: [Investments](#)

Presentation and Committee Action on Agenda Items:

12. [Acknowledge Receipt of Audit Services Report](#)
13. [Approval of the 2017-18 Annual Financial Report](#)
14. [Changes in Course Fees for FY2019-20](#)
15. [Approval of FY2019-20 Board Rates](#)
16. [Designated Tuition Increase for FY2019-20](#)
17. [Fixed-Rate Tuition Increase for FY2019-2](#)

18. Approval to Waive Certain Student Recreation Center and Student Center Fees for Summer Study Abroad Students
19. Resolution to Acknowledge Review of the Investment Policy and Strategy
20. Resolution to Approve Qualified Financial Institutions and Investment Brokers
21. TexPool Investments Authorized Representatives
22. Grant Awards Ratification
23. Commencement Chairs and Equipment Purchase
24. Approval of Financial Affairs Policy Revisions
 - Investments 3.21
 - Investments – Endowment Funds 3.20
 - Moving Expenses 3.23
 - Procurement Card 17.11
 - Receipts and Deposits 3.26
 - Student Accounts Receivable 3.28
 - Withdrawal without Financial Clearance 6.22

Report: Texas Government Code Contract Reporting

MEETING OF THE ACADEMIC AND STUDENT AFFAIRS COMMITTEE

(This meeting will convene at approximately 11:00 a.m. or following the previous committee.)

7. Approval of Academic and Student Affairs Policy Revisions
 - Affirmative Action 11.1
 - Continuing Education 5.3
 - Course Add/Drop 6.10
 - Course Grades 5.5
 - Curriculum Reviews, Modifications and Approvals 5.7
 - Discontinuance of Program or Academic Unit 5.9
 - Discrimination Complaints 2.11
 - Effort Reporting and Certification for Sponsored Activities 8.1
 - Employee Affirmative Action/Recruitment Plan 11.9
 - Facilities and Administrative (Indirect) Cost Recovery, Distribution and Use 8.5
 - Faculty Code of Conduct 7.11
 - Faculty Compensation 12.6
 - Faculty/Staff Athletic Ticket Purchases 12.8
 - File Maintenance for Faculty Personnel Files 4.6
 - Final Examination Scheduling 7.14
 - Fixed Amount Awards 8.12
 - Grants and Contracts Administration 8.3
 - Health and Safety 13.10
 - Illicit Drugs and Alcohol Abuse 13.11
 - Institutional Animal Care and Use Committee 8.6
 - Mail Services 16.16
 - Meeting and Conducting Classes 7.18

Payments to Human Research Subjects 8.8
Return to Work 11.24
Satisfactory Academic Progress for Financial Aid Recipients 6.16
Selection of President, General Counsel, Chief Audit Executive and Coordinator
of Board Affairs 1.7
Student Medical Appeal 6.24 NEW
Telecommuting 11.27 NEW
Vacation Leave 12.21

Estimated adjournment of committee at 12:00 noon.

The Board of Regents meeting will recess for lunch at approximately 12:00 noon. Following lunch, members of the Board of Regents and administrators will attend dedications in the Nelson Rusche College of Business at 1:30 p.m. and receive an update on the collaboration with the Fenway Group. A quorum is expected to be present, but no action will be taken.

**RECONVENE BOARD MEETING IN OPEN SESSION
(Scheduled at approximately 3:00 p.m.)**

EXECUTIVE SESSION (Scheduled at approximately 3:00 p.m.)

The board will move to executive session for consideration of the following items:

Deliberations Regarding Security Devices or Security Audits (Texas Government Code, Section 551.076)

- Report from chief information officer
- Safety and Security Audit
- Information Technology Patching, Anti-virus, and Vulnerability Management Audit

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

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, *Pamela Clasquin v. Stephen F. Austin State University*, and *Geralyn Franklin v. Stephen F. Austin State University* (Texas Government Code, Section 551.071)

Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the vice presidents, and the president (Texas Government Code, Section 551.074)

Estimated adjournment 5:00 p.m. The board will recess for the evening with no further action expected.

THIS IS A CONTINUATION OF A THREE-DAY BOARD MEETING AND COMMITTEE MEETINGS AGENDA:

TUESDAY, January 29, 2019

9:00 a.m.

RECONVENE BOARD MEETING IN OPEN SESSION

Pledge to the Flags and Invocation

Special Recognitions

Board Action on Agenda Item 2:

2. [Approval of Minutes](#) for [October 28 and 29, 2018](#) (Meeting 318); [October 30, 2018](#) (Meeting 319); [December 14, 2018](#) (Meeting 320); and [January 16, 2019](#) (321)

Presentation and Board Action on Personnel Items 3 – 6:

3. [Faculty Appointments](#)
4. [Staff Appointments](#)
5. [Changes of Status](#)
6. [Retirements](#)

Committee Reports and Board Action:

Academic and Student Affairs Committee (Report and Board Action on Agenda Item 7):

7. [Approval of Academic and Student Affairs Policy Revisions](#)
 - Affirmative Action 11.1
 - Continuing Education 5.3
 - Course Add/Drop 6.10
 - Course Grades 5.5
 - Curriculum Reviews, Modifications and Approvals 5.7
 - Discontinuance of Program or Academic Unit 5.9
 - Discrimination Complaints 2.11
 - Effort Reporting and Certification for Sponsored Activities 8.1
 - Employee Affirmative Action/Recruitment Plan 11.9
 - Facilities and Administrative (Indirect) Cost Recovery, Distribution and Use 8.5
 - Faculty Code of Conduct 7.11
 - Faculty Compensation 12.6
 - Faculty/Staff Athletic Ticket Purchases 12.8
 - File Maintenance for Faculty Personnel Files 4.6
 - Final Examination Scheduling 7.14
 - Fixed Amount Awards 8.12
 - Grants and Contracts Administration 8.3
 - Health and Safety 13.10
 - Illicit Drugs and Alcohol Abuse 13.11
 - Institutional Animal Care and Use Committee 8.6

Mail Services 16.16
Meeting and Conducting Classes 7.18
Payments to Human Research Subjects 8.8
Return to Work 11.24
Satisfactory Academic Progress for Financial Aid Recipients 6.16
Selection of President, General Counsel, Chief Audit Executive and Coordinator
of Board Affairs 1.7
Student Medical Appeal 6.24 NEW
Telecommuting 11.27 NEW
Vacation Leave 12.21

Building and Grounds Committee (Report and Board Action on Agenda Items 8 – 11):

8. [TxDot Easement at East College and University Streets](#)
9. [Walter C. Todd Agricultural Research Center Livestock Facility Architectural Design](#)
10. [Indefinite Delivery/Indefinite Quantity Engineering Services Contracts](#)
11. [Approval of Building and Grounds Policy Revisions](#)
 - Issuance and Control of Campus Keys 14.7
 - Markers and Monuments 16.17
 - Norton HPE Complex 16.18
 - Smoking, Vaping and Use of Tobacco Products 13.21
 - Student Center Operations 16.26
 - Space Assignment, Management, and Planning 16.3
 - Telecommunication Services 16.28
 - Work Requests 16.37

Finance and Audit Committee (Report and Board Action on Agenda Items 12 – 24):

12. [Acknowledge Receipt of Audit Services Report](#)
13. [Approval of the 2017-18 Annual Financial Report](#)
14. [Changes in Course Fees for FY2019-20](#)
15. [Approval of FY2019-20 Board Rates](#)
16. [Designated Tuition Increase for FY2019-20](#)
17. [Fixed-Rate Tuition Increase for FY2019-20](#)
18. [Approval to Waive Certain Student Recreation Center and Student Center Fees for Summer Study Abroad Students](#)
19. [Resolution to Acknowledge Review of the Investment Policy and Strategy](#)
20. [Resolution to Approve Qualified Financial Institutions and Investment Brokers](#)

21. [TexPool Investments Authorized Representatives](#)

22. [Grant Awards Ratification](#)

23. [Commencement Chairs and Equipment Purchase](#)

24. [Approval of Financial Affairs Policy Revisions](#)

Investments 3.21

Investments – Endowment Funds 3.20

Moving Expenses 3.23

Procurement Card 17.11

Receipts and Deposits 3.26

Student Accounts Receivable 3.28

Withdrawal without Financial Clearance 6.22

[Report from the President](#)

- Upcoming Dates
- Legislative Session
- Capital Campaign
- SACSCOC Accreditation

[Report from the Faculty Senate](#)

- Faculty Senate Activities
- [Faculty Accomplishments](#)

[Report from the Student Government Association](#)

- Fall Recap/Accomplishments
- Goals for Spring 2019
- SGA Spring Elections
- Legacy of Dr. Pattillo

Report from the Champions Event Committee

Report from the Athletic Advisory Committee

Report from the Nominating Committee and Election of Board Officers 2019-2020

**ESTIMATED ADJOURNMENT OF BOARD MEETING
(approximately 11:00 a.m.)**

**STEPHEN F. AUSTIN STATE UNIVERSITY
CHARTER SCHOOL
ANNUAL FINANCIAL REPORT
FOR THE YEAR ENDED AUGUST 31, 2018**

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
Annual Financial Report for
the Year Ended August 31, 2018

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STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
Annual Financial Report for
the Year Ended August 31, 2018

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

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

We, the undersigned, certify that the attached annual financial reports of the above named school were reviewed and (check one) _____ approved _____ disapproved for the year ended August 31, 2018, at a meeting of the Board of Regents of Stephen F. Austin State University on the 27th day of January, 2019.

Signature of Secretary

Signature of Chairman

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

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FINANCIAL SECTION



Goff & Herrington, P.C.

P.O. Box 153320 • Lufkin, TX. 75915-3320 • (936) 875-3317 • Fax: (936) 622-6823

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

Certified Public Accountants

Independent Auditor's Report

Stephen F. Austin State University Charter School
Nacogdoches, Texas

Members of the Board of Regents:

Report on the Financial Statements

We have audited the accompanying financial statements of the governmental activities, each major fund, and the aggregate remaining fund information of Stephen F. Austin State University Charter School (School) as of and for the year ended August 31, 2018, which collectively comprise the School's basic financial statements as listed in the table of contents. These financial statements are the responsibility of the School's management. Our responsibility is to express opinions on these financial statements based on our audit.

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

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

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

Independent Auditor's Report

Members of the Board of Regents

January 10, 2019

Page 2

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

Opinions

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, each major fund, and the aggregate remaining fund information of the Stephen F. Austin State University Charter School as of August 31, 2018, and the respective changes in financial position, and, where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Emphasis of Matter

As discussed in the Notes to the financial statements, in 2018, the Charter School adopted new accounting guidance prescribed by GASB #75 for its group insurance program, a multiple-employer, cost-sharing other post employment benefit (OPEB) plan that has a special funding situation. Because GASB #75 implements new measurement criteria and reporting provisions, significant information has been added to the Government Wide Statements. Exhibit A-1 discloses the School's OPEB Liability and some deferred resource outflows and deferred resource inflows related to the School's OPEB plan. Exhibit B-1 discloses the adjustment to the School's Beginning Net Position. Our opinion is not modified with respect to the matter.

Other Matters

Required Supplementary Information

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

Independent Auditor's Report

Members of the Board of Regents

January 10, 2019

Page 3

Other Information

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

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

Other Reporting Required by Government Auditing Standards

In accordance with Government Auditing Standards, we have also issued our report dated January 10, 2019, on our consideration of the School's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with Government Auditing Standards in considering School's internal control over financial reporting and compliance.

Goff & Herrington, P.C.

GOFF & HERRINGTON, P.C.

Certified Public Accountants

January 10, 2019

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STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

MANAGEMENT'S DISCUSSION AND ANALYSIS

This section of the annual financial report presents management's discussion and analysis of the School's financial performance during the year ended August 31, 2018. Please read it in conjunction with the School's financial statements, which immediately follow this section.

FINANCIAL HIGHLIGHTS

- ▶ The School's total combined net position was \$1,869,569 as of August 31, 2018.
- ▶ During the year ended August 31, 2018, the School's net position increased by \$220,625. The School's net position decreased during the year by \$80,889 as a result of the prior period adjustment related to the implementation of GASB 75. The net change in net position for the year ended August 31, 2018 was an increase of \$139,736.
- ▶ The School generated \$2,231,941 in revenues from local and governmental activities, and the total cost of the School's programs was \$2,011,316.
- ▶ The general fund reported a total fund balance this year of \$1,971,715, of which \$976,680 is unassigned.

OVERVIEW OF THE FINANCIAL STATEMENTS

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

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

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

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

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

Government-wide Financial Statements

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

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

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

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

Fund Financial Statements

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

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

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

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

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

FINANCIAL ANALYSIS OF THE SCHOOL AS A WHOLE

Net Position. The School's combined net position was \$1,869,569 as of August 31, 2018. The following table provides a summary of the School's net position.

The School's Net Position

	Governmental Activities		
	2018	2017	% Change
Current and Other Assets	2,067,398	1,847,666	11.9%
Capital and Non-Current Asset	-	-	-
Total Assets	2,067,398	1,847,666	11.9%
Deferred outflows - TRS	14,824	24,258	(38.9)%
Total Deferred Outflows of Resources	14,824	24,258	(38.9)%
Other Liabilities	73,332	64,266	14.1%
Long Term Liabilities	107,520	56,678	-
Total Liabilities	180,852	120,944	49.5%
Deferred inflows - TRS	31,801	21,147	50.4%
Total Deferred Inflows of Resources	31,801	21,147	50.4%
Net Position:			
Unrestricted	1,869,569	1,729,833	8.1%
Total Net Position	<u>1,869,569</u>	<u>1,729,833</u>	<u>8.1%</u>

Changes in net position. The School's total revenues were \$2,231,941. A significant portion, 88.23 percent, of the School's revenue comes from state aid grants. The rest of the School's revenue comes from federal operating grants, charges for services, and other local sources.

The total cost to the School of all programs and services was \$2,011,316; 74.79 percent of these costs are for instructional and student services.

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

Governmental Activities

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

Changes in the School's Net Position

	Governmental Activities		
	2018	2017	% Change
Revenues:			
Program Revenues:			
Charges for services	157,287	155,949	0.9%
Operating grants and contributions	84,319	108,150	(22.0)%
General Revenues:			
State Foundation Program	1,969,233	1,885,720	4.4%
Miscellaneous	21,102	28,317	(25.5)%
Total revenues	2,231,941	2,178,136	2.5%
Expenses:			
Instructional and instructional related	1,311,056	1,281,000	2.3%
Curriculum and instructional staff development	39,042	40,043	(2.5)%
Instructional and school leadership	38,951	39,939	(2.5)%
Counseling	23,113	24,853	(7.0)%
Food services	170,000	170,000	0.0%
Health services	10,816	7,079	52.8%
General administration	155,133	157,295	(1.4)%
Plant maintenance	199,663	177,026	12.8%
Data processing services	63,542	57,762	10.0%
Total expenses	2,011,316	1,954,997	2.9%
Increase (Decrease) in Net Position	220,625	223,139	(1.1)%
Beginning Net Position	1,729,833	1,506,694	14.8%
Prior Period Adjustment	(80,889)	-	100.0%
Ending Net Position	<u>1,869,569</u>	<u>1,729,833</u>	<u>8.1%</u>

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

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

Net Cost of Selected School Functions

	Total cost of services			Net cost of services		
	2018	2017	% Change	2018	2017	% Change
Instruction	1,311,056	1,281,000	2.3%	1,238,307	1,184,332	4.6%
Food service	170,000	170,000	0.0%	12,713	14,051	(9.5)%
General administration	155,133	157,295	(1.4)%	147,567	149,798	(1.5)%
Maintenance & operations	199,663	177,026	12.8%	199,663	177,026	12.8%
Data processing services	63,542	57,762	10.0%	63,542	57,762	10.0%

FINANCIAL ANALYSIS OF THE SCHOOL'S FUNDS

Revenues from governmental fund types totaled \$2,249,926, an increase of 4.22 percent from the preceding year. The increase in revenues is primarily attributable to increased state program revenues.

The School's governmental funds ended the year with a reported combined fund balance of \$1,994,066, which is \$210,666 more than last year's ending balance of \$1,783,400, mainly due to increased state program revenues.

General Fund Budgetary Highlights

Over the course of the year the School revised its budget as actual results were analyzed. Actual expenditures were \$161,289 below budget amounts. The most significant positive variance was in instructional function as actual expenditures were less than anticipated.

Reported revenues were \$43,114 above the final budgeted amount, as state program revenues were higher than expected.

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL

ECONOMIC FACTORS AND NEXT YEAR'S BUDGETS

For the 2018-2019 fiscal year, the School's average daily attendance was budgeted conservatively at 238 students; Actual number of students enrolled is 252.

Amounts available for expenditure in the general fund budget for 2019 are \$2,250,853 an increase of 4.60 percent from the 2018 final budgeted revenues of \$2,151,890. Expenditures are budgeted to increase 8.58 percent to \$2,336,487. If these estimates are realized, the School's budgetary general fund balance is expected to decrease at the close of 2019.

CONTACTING THE SCHOOL'S FINANCIAL MANAGEMENT

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

Government-Wide Financial Statements

Exhibit A-1

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
STATEMENT OF NET POSITION
AUGUST 31, 2018

Data Control Codes		Primary Government		
		Governmental Activities	Business-type Activities	Total
	ASSETS			
1110	Cash and cash equivalents	2,067,398	-	2,067,398
1000	Total assets	2,067,398	-	2,067,398
	DEFERRED OUTFLOWS OF RESOURCES			
1705	Deferred outflow related to TRS Pension	14,803	-	14,803
1706	Deferred outflow related to ERS OPEB	21	-	21
1700	Total deferred outflows of resources	14,824	-	14,824
	LIABILITIES			
2160	Accrued wages payable	73,332	-	73,332
	Long Term Liabilities:			
2540	Net pension liability	37,753	-	37,753
2545	Net OPEB Liability	69,767	-	69,767
2000	Total liabilities	180,852	-	180,852
	DEFERRED INFLOWS OF RESOURCES			
2605	Deferred inflow related to TRS Pension	16,375	-	16,375
2606	Deferred inflow related to ERS OPEB	15,426	-	15,426
2600	Total deferred inflows of resources	31,801	-	31,801
	NET POSITION			
3900	Unrestricted net position	1,869,569	-	1,869,569
3000	Total net position	1,869,569	-	1,869,569

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED AUGUST 31, 2018**

Data Control Codes	1	Program Revenues	
		3	4
	Expenses	Charges for Services	Operating Grants and Contributions
Governmental activities:			
11 Instruction	1,311,056	-	72,749
13 Curriculum and staff development	39,042	-	2,097
23 School leadership	38,951	-	1,907
31 Guidance, counseling and evaluation services	23,113	-	-
33 Health services	10,816	-	-
35 Food service	170,000	157,287	-
41 General administration	155,133	-	7,566
51 Plant maintenance and operations	199,663	-	-
53 Data processing services	63,542	-	-
TP Total primary government	2,011,316	157,287	84,319

Data Control	General revenues:
Codes	
SF	State aid formula grants
GC	Grants and contributions, not restricted to specific programs
MI	Miscellaneous
TR	Total general revenues
CN	Change in net position
NB	Net position, beginning
PA	Prior period adjustment - GASB 75
NE	Net position, ending

The accompanying notes are an integral part of this statement

Exhibit B-1

Program Revenues	Net (Expense) Revenue and Changes in Net Position		
5			
Capital			
Grants and Contributions	Governmental Activities	Business Activities	Total
-	(1,238,307)	-	(1,238,307)
-	(36,945)	-	(36,945)
-	(37,044)	-	(37,044)
-	(23,113)	-	(23,113)
-	(10,816)	-	(10,816)
-	(12,713)	-	(12,713)
-	(147,567)	-	(147,567)
-	(199,663)	-	(199,663)
-	(63,542)	-	(63,542)
-	(1,769,710)	-	(1,769,710)

1,969,233	-	1,969,233
7,867	-	7,867
13,235	-	13,235
1,990,335	-	1,990,335
220,625	-	220,625
1,729,833	-	1,729,833
(80,889)	-	(80,889)
1,869,569	-	1,869,569

The accompanying notes are an integral part of this statement

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Governmental Fund Financial Statements

Exhibit C-1

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
BALANCE SHEET
GOVERNMENTAL FUNDS
AUGUST 31, 2018

Data Control Codes		10	Other Governmental Funds	98 Total Governmental Funds
ASSETS				
1110	Cash and cash equivalents	2,045,047	22,351	2,067,398
1000	Total Assets	2,045,047	22,351	2,067,398
LIABILITIES				
2160	Accrued wages payable	73,332	-	73,332
2000	Total Liabilities	73,332	-	73,332
FUND BALANCES				
Assigned Fund Balance:				
3590	Other assigned fund balance	995,035	22,351	1,017,386
3600	Unassigned fund balance	976,680	-	976,680
3000	Total Fund Balances	1,971,715	22,351	1,994,066
4000	Total Liabilities, Deferred Inflows and Fund Balances	2,045,047	22,351	2,067,398

The accompanying notes are an integral part of this statement

Exhibit C-2

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
RECONCILIATION OF THE GOVERNMENTAL FUNDS BALANCE SHEET
TO THE STATEMENT OF NET POSITION
AUGUST 31, 2018**

Total fund balances - governmental funds	1,994,066
1 Included in the items related to debt is the recognition of the District's proportionate share of the net pension liability required by GASB 68 in the amount of \$37,753, a deferred resource inflow related to TRS in the amount of \$16,375, and a deferred resource outflow related to TRS in the amount of \$14,803. This amounted to a decrease in net position in the amount of \$39,925.	(39,325)
2 The District implemented GASB 75 reporting requirements for the OPEB benefit plan through ERS. Since this is the first year of implementation, a prior period adjustment had to be made in the amount of \$80,899. The District's share of the ERS plan resulted in a net OPEB liability of \$69,767, a deferred outflow of \$21, and a deferred inflow of \$15,426. This resulted in a net difference between the ending fund balance and the ending net position of \$85,172.	(85,172)
19 Net Position of governmental activities	<u><u>1,869,569</u></u>

The accompanying notes are an integral part of this statement

Exhibit C-3

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
STATEMENT OF REVENUES, EXPENDITURES, AND CHANGES IN FUND BALANCE
GOVERNMENTAL FUNDS
FOR THE YEAR ENDED AUGUST 31, 2018

Data Control Codes		General Fund	Other Governmental Funds	Total Governmental Funds
REVENUES				
5700	Total local and intermediate sources	157,287	13,235	170,522
5800	State program revenues	2,037,717	12,555	2,050,272
5900	Federal program revenues	-	29,132	29,132
5020	Total revenues	<u>2,195,004</u>	<u>54,922</u>	<u>2,249,926</u>
EXPENDITURES				
0011	Instruction	1,284,863	48,659	1,333,522
0013	Curriculum and staff development	40,009	-	40,009
0023	School leadership	39,918	-	39,918
0031	Guidance, counseling and evaluation services	23,113	-	23,113
0033	Health services	10,816	-	10,816
0035	Food service	170,000	-	170,000
0041	General administration	158,677	-	158,677
0051	Plant maintenance and operations	199,663	-	199,663
0053	Data processing services	63,542	-	63,542
6030	Total expenditures	<u>1,990,601</u>	<u>48,659</u>	<u>2,039,260</u>
1100	Excess (deficiency) of revenues over expenditures	204,403	6,263	210,666
OTHER FINANCING SOURCES (USES)				
7915	Transfers in	-	-	-
8911	Transfers out	-	-	-
7080	Total other financing sources and uses	<u>-</u>	<u>-</u>	<u>-</u>
1200	Net change in fund balances	204,403	6,263	210,666
0100	Fund balance - September 1 (beginning)	<u>1,767,312</u>	<u>16,088</u>	<u>1,783,400</u>
3000	Fund balance - August 31 (ending)	<u>1,971,715</u>	<u>22,351</u>	<u>1,994,066</u>

The accompanying notes are an integral part of this statement

Exhibit C-4

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
RECONCILIATION OF THE GOVERNMENTAL FUNDS STATEMENT OF REVENUES,
EXPENDITURES, AND CHANGES IN FUND BALANCES
TO THE STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED AUGUST 31, 2018**

Net change in fund balances - governmental funds	210,666
Current year changes in amounts related to GASB 68 decreased fund balance during the year. The current year change in the net pension liability amounted to \$18,925, the change in deferred outflows of resources related to TRS amounted to \$9,455, and the current year change in deferred inflows related to TRS amounted to \$4,772, resulting in a decrease in net position of \$14,242.	14,242
The implementation of GASB 75 to report the District's share of the ERS OPEB plan resulted in a prior period adjustment in the amount of \$80,889. The Changes in the ending net position as a result of reporting the OPEB items was an decrease in the change in net position of \$4,283.	(4,283)
Change in net position of governmental activities	220,625

The accompanying notes are an integral part of this statement

Fiduciary Fund Financial Statements

Exhibit E-1

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
STATEMENT OF FIDUCIARY NET POSITION
FIDUCIARY FUNDS
AUGUST 31, 2018**

	Agency Funds
ASSETS	
Cash and cash equivalents	<u>2,987</u>
Total Assets	<u><u>2,987</u></u>
LIABILITIES	
Due to student groups	<u>2,987</u>
Total Liabilities	<u><u>2,987</u></u>

The accompanying notes are an integral part of this statement

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**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2018**

SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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

1. Reporting Entity

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

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

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

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

2. Basis of Presentation and Basis of Accounting

Basis of Presentation

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

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2018**

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

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

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

The School reports the following major governmental fund:

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

In addition, the School reports the following fund types:

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

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

Measurement Focus, Basis of Accounting

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

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2018**

The government-wide financial statements report using the economic resources measurement focus and the accrual basis of accounting generally including the reclassification or elimination of internal activity (between or within funds). Fiduciary fund financial statements also report using this same focus and basis of accounting. Revenues are recorded when earned and expenses are recorded when the liability is incurred, regardless of the timing of related cash flows. Grant revenues are recognized when allowable expenditures are made under the provisions of the grant.

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

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

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

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

Fund Balance Policy

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

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO THE FINANCIAL STATEMENTS
YEAR ENDED AUGUST 31, 2018**

The School's assigned fund balances represent amounts for technology and campus activities, funding for employees to meet TEA requirements, construction and renovation, and staff development.

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

3. Financial Statement Amounts

Cash and cash equivalents

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

Receivable and Payable Balances

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

Capital Assets

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

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

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

Deferred Outflows/Inflows of Resources

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

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

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Pensions

The fiduciary net position of the Teachers Retirement System of Texas (TRS) has been determined using the flow of economic resources measurement focus and full accrual basis of accounting. This includes, for the purposes of measuring the net pension liability, deferred outflows of resources and deferred inflows of resources related to pensions, pension expense, and information about assets, liabilities, and additions to/deductions from TRS's fiduciary net position. Benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value. The net pension liability related to the School is included in the net pension liability allocated to SFASU by TRS. SFASU's share of the liability based on total TRS contributions made by SFASU in the measurement year ended August 31, 2018. The School's share of the net pension liability allocated to SFASU was calculated by dividing the School's 2018 covered payroll by total SFASU covered payroll for the measurement period.

Other Post-Employment Benefits (OPEB)

The fiduciary net position of the Employees Retirement System of Texas (ERS) healthcare, life, and dental insurance benefit plan has been determined using the flow of economic resources measurement focus and full accrual basis of accounting. This includes for purposes of measuring the net OPEB liability, deferred outflows of resources and deferred inflows of resources related to other post-employment benefits, OPEB expense, and information about assets, liabilities and additions to/deductions from the ERS healthcare, life, and dental insurance benefit plan's fiduciary net position. Benefit payments are recognized when due and payable in accordance with the benefit terms. The School's share of the net OPEB liability allocated to SFASU was calculated by dividing the School's 2018 covered payroll by total SFASU covered payroll for the measurement period.

Compensated Absences

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

Use of Estimates

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

Data Control Codes

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

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DETAILED NOTES ON ALL FUNDS

A. DEPOSITS AND INVESTMENTS

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

Periodically, SFASU provides the School with statement of account showing all fund activities for the month and ending monthly balances which is then reconciled to the accounts of the School. Such deposits are insured or collateralized under SFASU agreements with their depositories. As of August 31, 2018, the carrying amount and bank balances of deposits was \$2,067,398.

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

B. DUE FROM OTHER GOVERNMENTS

The School participates in a variety of federal and state programs from which it receives grants to partially or fully finance certain activities. There were no amounts due from federal or state governments at August 31, 2018.

C. RISK MANAGEMENT

The School is exposed to various risks of loss related to torts, theft, damage or destruction of assets, errors and omissions, injuries to employees, and natural disasters. During fiscal year 2018, the School, through SFASU, was covered by commercial insurance. There were no significant reductions in coverage in the past fiscal year and there were no settlements exceeding insurance coverage for each of the past three fiscal years.

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D. PENSION PLAN

Defined Benefit Pension Plan

Plan Description. The School participates in a cost-sharing multiple-employer defined benefit pension that has a special funding situation. The plan is administered by the Teacher Retirement System of Texas (TRS). TRS's defined benefit pension plan is established and administered in accordance with the Texas Constitution, Article XVI, Section 67 and Texas Government Code, Title 8, Subtitle C. The pension trust fund is a qualified pension trust under Section 401(a) of the Internal Revenue Code. The Texas Legislature establishes benefits and contribution rates within the guidelines of the Texas Constitution. The pension's Board of Trustees does not have the authority to establish or amend benefit terms.

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

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

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

Contributions. Contribution requirements are established or amended pursuant to Article 16, section 67 of the Texas Constitution which requires the Texas legislature to establish a member contribution rate of not less than 6% of the member's annual compensation and a state contribution rate of not less than 6% and not more than 10% of the aggregate annual compensation paid to

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members of the system during the fiscal year. Texas Government Code section 821.006 prohibits benefit improvements, if as a result of the particular action, the time required to amortize TRS' unfunded actuarial liabilities would be increased to a period that exceeds 31 years, or, if the amortization period already exceeds 31 years, the period would be increased by such action.

Employee contribution rates are set in state statute, Texas Government Code 825.402. Senate Bill 1458 of the 83rd Texas Legislature amended Texas Government Code 825.402 for member contributions and established employee contribution rates for fiscal years 2014 thru 2017. The 84th Texas Legislature, GAA established the employer contribution rates for fiscal years 2016 and 2017. There were no rate changes for 2018.

	<u>2017</u>	<u>2018</u>
Member	7.70%	7.70%
Non-Employer Contributing Entity (NECE) Rate (State)	6.80%	6.80%
Employers	6.80%	6.80%
School's 2018 Employer Contributions		\$ -
School's 2018 Member Contributions		\$ 77,264
School's 2018 NECE On-Behalf Contributions		\$ 69,021

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

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

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

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

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

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

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

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

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

Valuation Date	August 31, 2017
Actuarial Cost Method	Individual Entry Age Normal
Asset Valuation Method	Market Value
Single Discount Rate	8.00%
Long-term expected Investment Rate of Return*	8.00%
Inflation	2.50%
Salary Increases*	3.50% to 9.50%
Payroll Growth Rate	2.50%
Benefit Changes During the Year	None
Ad hoc Post Employment Benefit Changes	None

The actuarial methods and assumptions are primarily based on a study of actual experience for the four year period ending August 31, 2014 and adopted on September 24, 2015.

Discount Rate. The discount rate used to measure the total pension liability was 8.0%. There was no change in the discount rate since the previous year. The projection of cash flows used to determine the discount rate assumed that contributions from plan members and those of the contributing employers and the non-employer contributing entity are made at the statutorily required rates. Based on those assumptions, the pension plan's fiduciary net position was projected to be available to make all future benefit payments of current plan members. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension liability. The long-term rate of return on pension plan investments is 8%. The long-term expected rate of return on pension plan investments was determined using a building-block method in which best-estimates ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding expected inflation.

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Best estimates of geometric real rates of return for each major asset class included in the Systems target asset allocation as of August 31, 2017 are summarized below:

Asset Class	Target Allocation	Real Return Geometric Basis	Long-Term Expected Portfolio Real Rate of Return*
Global Equity			
U.S.	18%	4.6%	1.0%
Non-U.S. Developed	13%	5.1%	0.8%
Emerging Markets	9%	5.9%	0.7%
Directional Hedge Funds	4%	3.2%	0.1%
Private Equity	13%	7.0%	1.1%
Stable Value			
U.S. Treasuries	11%	0.7%	0.1%
Absolute Return	0%	1.8%	0.0%
Stable Value Hedge Funds	4%	3.0%	0.1%
Cash	1%	-0.2%	0.0%
Real Return			
Global Inflation Linked Bonds	3%	0.9%	0.0%
Real Assets	16%	5.1%	1.1%
Energy and Natural Resources	3%	6.6%	0.2%
Commodities	0%	1.2%	0.0%
Risk Parity			
Risk Parity	5%	6.7%	0.3%
Inflation Expectations			2.2%
Alpha			1.0%
Total	100%		8.7%

** The Expected Contribution to Returns incorporates the volatility drag resulting from the conversion between Arithmetic and Geometric mean returns.*

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Discount Rate Sensitivity Analysis. The following schedule shows the impact of the Net Pension Liability if the discount rate used was 1% less than and 1% greater than the discount rate that was used (8%) in measuring the 2017 Net Pension Liability.

	1% Decrease in Discount Rate (7.0%)	Discount Rate (8.0%)	1% Increase in Discount Rate (9.0%)
School's proportionate share of the net pension liability:	\$63,645	\$37,753	\$16,195

Pension Liabilities, Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions. At August 31, 2018, the School reported a liability of \$37,753 for its proportionate share of the TRS's net pension liability. This liability reflects a reduction for State pension support provided to the School.

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

School's Proportionate share of the collective net pension liability	\$37,753
State's proportionate share that is associated with the School	674,792
Total	<u>\$712,545</u>

The net pension liability was measured as of August 31, 2017 and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of that date. The employer's proportion of the net pension liability was based on the employer's contributions to the pension plan relative to the contributions of all employers to the plan for the period September 1, 2016 thru August 31, 2017.

August 31, 2017 the employer's proportion of the collective net pension liability was 0.0001181%, which was a decrease of 21.27% from its proportion measures as of August 31, 2016.

Changes Since the Prior Actuarial Valuation - There were no changes to the actuarial assumptions or other inputs that affected measurement of the total pension liability since the prior measurement period.

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

For the year ended August 31, 2018, the School recognized pension expense of \$51,470 and revenue of \$69,021 for support provided by the State in the Government-wide Statement of Activities.

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At August 31, 2018, the School reported its proportionate share of the TRS's deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
Differences between expected and actual economic experience	\$552	\$2,036
Changes in actuarial assumptions	1,720	985
Difference between projected and actual investment earnings	-	2,751
Changes in proportion and difference between the employer's contribution and the proportionate share of contributions	12,531	10,603
Contributions paid to TRS subsequent to the measurement date	-	-
Total	<u>\$14,803</u>	<u>\$16,375</u>

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

Year Ended August 31:	Pension Expense Amount
2018	(\$502)
2019	1,908
2020	(687)
2021	(1,493)
2022	(1,169)
Thereafter	371

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E. DEFINED OTHER POST-EMPLOYMENT BENEFIT PLANS

Other Post -Employment Benefit Plan (OPEB)

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

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

Contributions. During the measurement period of 2017 for fiscal 2018 reporting, the amount of contributions recognized by the OPEB plan was \$2,467. The School does not contribute toward dental or optional life insurance. Surviving spouses and their dependents do not receive any employer contribution. The contribution requirements for the state and the members in the measurement period are presented in the table below:

Employer Contribution Rates	
Retiree Health and Basic Life Premium	
For the Fiscal Year Ended August 31, 2017	
Retiree only	\$617
Retiree and spouse	\$971
Retiree and children	\$854
Retiree and family	\$1,208

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Actuarial Assumptions. The total OPEB liability is determined by the contribution rates and an annual actuarial valuation. The table below presents the actuarial methods and assumptions used to measure the total OPEB liability as of the Aug. 31, 2017 measurement date.

Valuation Date	August 31, 2017
Actuarial Cost Method	Entry Age
Amortization Method	Level Percent of Pay, Open
Remaining Amortization Period	30 Years
Asset Valuation Method	Not Applicable
Actuarial Assumptions:	
Inflation	2.50%
Discount Rate	3.51%
Aggregate Payroll Growth Rate	3.00%
Projected Annual Salary Increases	3.50% to 9.50%
Annual Healthcare Trend Rates	8.50% for FY 2019, decreasing 0.50% per year to 4.50% for FY 2027 and later years
Retirement Age	Experience-based tables of rates that are specific to the class of employee
Mortality-State Agency Members	<u>Service Retirees, Survivors and Other Members</u> - Tables based on TRS experience with Ultimate MP Projection scale form the year 2018. <u>Disabled Retirees</u> - Tables based on TRS experience with Ultimate MP Projection scale form the year 2018 using a 3-year set forward and minimum mortality rates of four per 100 male members and two per 100 female members. <u>Active Members</u> - Sex Distinct RP-2014 Employee Mortality multiplied by 90% with Ultimate MP Projection Scale projected from year 2014.
Ad hoc Post-Employment Benefit Changes	None

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

Benefit revisions have been adopted since the prior valuation. The benefit changes for HealthSelect retirees and dependents for whom Medicare is not primary include:

- a. increase in the out-of-pocket cost applicable to services obtained at the free standing emergency facility.
- b. elimination of the copayment for virtual visits.
- c. copay reduction for Airrosti and for out of state participants and
- d. elimination of the deductible for in-network services and application of a copayment rather than coinsurance to certain services like primary care and specialist visits.

The discount rate used to measure the total OPEB liability was the municipal bond rate of 3.51 percent as of the end of the measurement year and 2.84 percent as of the beginning of the measurement year. Projected cash flows into the plan are equal to projected benefit payments out of the plan. Since the plan operates on a pay-as-you-go basis and is not intended to accumulate assets, there is no long-term expected rate of return. The investment rate of return used to calculate the projected earnings on OPEB investments was 2.84 percent.

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

	1% Decrease in Discount Rate (2.51%)	Discount Rate (3.51%)	1% Increase in Discount Rate (4.51%)
School's proportionate share of the OPEB liability:	\$83,281	\$69,767	\$59,299

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

	1% Decrease in Health Care Cost Trend Rate	Current Health Care Cost Trend Rate	1% Increase in Health Care Cost Trend Rate
School's proportionate share of the OPEB liability:	\$58,651	\$69,767	\$84,191

The OPEB plan's fiduciary net position is determined using the economic resources measurement focus and the accrual basis of accounting, which is the same basis used by ERS. Benefits and refunds of contributions are recognized when due and payable in accordance with the terms of the plan. Investments of the Other Employee Benefit Trust Fund are reported at fair value in accordance with GASB Statement No. 72. The fair value of investments is based on published market prices and quotations from major investment brokers at available current exchange rates. However, corporate bonds in general are valued based on currently available yields of comparable securities by issuers with similar credit ratings. More detailed information of the plan's investment valuation, investment policy, assets, and fiduciary net position may be obtained from ERS's fiscal 2017 CAFR:

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

At Aug. 31, 2018, the School reported a liability of \$69,767 for its proportionate share of the collective net OPEB liability. The collective OPEB liability was measured as of Aug. 31, 2017, and the total OPEB liability used to calculate the net liability was determined by an actuarial valuation as of that date. The School's proportional percentage at Aug. 31, 2017 was 0.00020476 percent. The School's proportion of the collective net OPEB liability was based on its contributions to the OPEB plan relative to the contributions of all the employers and non-employer contributing entities to the plan for the period Sept. 1, 2016 through Aug. 31, 2017.

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The schedule of changes in the School's net OPEB liability for the fiscal year ending Aug. 31, 2018, is presented below:

	Increase (Decrease)		
	Total OPEB Liability (a)	Plan Fiduciary Net Position (b)	Net OPEB Liability (a)-(b)
Balance 9/1/2017	84,386	1,028	83,358
Changes for the year			
Service cost	4,718	-	4,718
Interest	2,509	-	2,509
Difference between expected and actual experience	(1,027)	-	(1,027)
Changes in assumptions	(17,873)	-	(17,873)
Contributions - Employer	-	1,824	(1,824)
Contributions - NECE	-	95	(95)
Contributions - Employee	-	401	(401)
Contributions - Other	-	147	(147)
Net investment income	-	9	(9)
Benefit payments, including refunds of contributions	(1,492)	(1,492)	0
Administrative expenses	-	(12)	12
Other	-	(546)	546
Net Changes	(13,165)	426	(13,591)
Balance 8/31/2018	71,221	1,454	69,767

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At August 31, 2018, the School reported its proportionate share of the TRS's deferred outflows of resources and deferred inflows of resources related to other post-employment benefits from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
Differences between expected and actual economic experience	-	\$838
Changes in actuarial assumptions	-	14,588
Difference between projected and actual investment earnings	21	-
Changes in proportion and difference between the employer's contribution and the proportionate share of contributions	-	-
Contributions paid to TRS subsequent to the measurement date	-	-
Total	<u>\$21</u>	<u>\$15,426</u>

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

Year Ended August 31:	Pension Expense Amount
2018	(\$3,469)
2019	(3,469)
2020	(3,469)
2021	(3,469)
2022	(1,529)
Thereafter	-

F. DEFERRED COMPENSATION

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

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G. HEALTH CARE COVERAGE

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

H. COMMITMENTS AND CONTINGENCIES

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

I. UNIVERSITY SUPPORT

Stephen F. Austin State University (SFASU) provides support to the SFASU Charter School. In fiscal year 2006, the Texas Legislature approved tuition revenue bond funding for SFASU totaling \$30,178,000 for SFASU projects. These projects included the Early Childhood Research Center (ECRC) and deferred maintenance projects. SFASU issued tuition revenue bonds of \$20,175,000 in March 2008 to finance a portion of the ECRC. An additional \$10,200,000 of Higher Education Fund (HEF) general obligation bonds were issued in December 2008 to complete the facility. Thus, SFASU incurred \$30,375,000 in debt for the ECRC. During the fiscal year 2017, SFASU issued a 2016 Series tuition revenue bond that included \$10,375,000 that was used to refund a significant portion of 2008 series tuition revenue bonds. The ECRC houses the SFASU Charter School, Early Childhood Laboratory, and Department of Elementary Education. SFASU paid \$2,504,125 in debt service for ECRC in fiscal year 2018.

SFASU provides space, utilities, and indirect services to the School. The SFASU Charter School serves as a university laboratory setting sharing 47,929 square feet of the ECRC building square footage of 123,231. The School reimbursed SFASU a negotiated amount of \$188,600 for administrative and operational costs during fiscal year 2018.

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J. PRIOR PERIOD ADJUSTMENT

During the fiscal year 2018, the School adopted GASB Statement No. 75 for Accounting and Reporting for Other Post-Employment Benefits (OPEB). With GASB 75, the School must assume their proportionate share of the Net OPEB Liability of the Employees Retirement System of Texas. Adoption of GASB 75 required a prior period adjustment to report the effect of GASB 75 retroactively. The amount of the prior period adjustment is (\$80,889). The restated beginning net position is \$1,648,944.

Required Supplementary Schedules

Exhibit G-1

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
BUDGETARY COMPARISON SCHEDULE
GENERAL FUND
FOR THE YEAR ENDED AUGUST 31, 2018**

Data Control Codes		Budgeted Amounts		Actual Amounts	Variance With Final
				(Budgetary	Budget
		Original	Final	Basis)	Positive (Negative)
REVENUES:					
5700	Local and intermediate sources	154,305	154,305	157,287	2,982
5800	State program revenues	1,997,585	1,997,585	2,037,717	40,132
5900	Federal program revenues	-	-	-	-
5020	Total revenues	2,151,890	2,151,890	2,195,004	43,114
EXPENDITURES:					
0011	Instruction	1,406,308	1,406,308	1,284,863	121,445
0013	Curriculum and staff development	40,418	40,418	40,009	409
0023	School leadership	46,962	46,962	39,918	7,044
0031	Guidance, counseling and evaluation services	26,940	26,940	23,113	3,827
0033	Health services	12,306	12,306	10,816	1,490
0035	Food service	170,000	170,000	170,000	-
0041	General administration	171,622	171,622	158,677	12,945
0051	Plant maintenance and operations	212,600	212,600	199,663	12,937
0053	Data processing services	64,734	64,734	63,542	1,192
6030	Total expenditures	2,151,890	2,151,890	1,990,601	161,289
1100	Excess (deficiency) of revenues over expenditures	-	-	204,403	204,403
OTHER FINANCING SOURCES (USES):					
7915	Transfers in	-	-	-	-
8911	Transfers out (use)	-	-	-	-
7080	Total other financing sources (uses)	-	-	-	-
1200	Net change in fund balances	-	-	204,403	204,403
0100	Fund balance - September 1 (beginning)	1,767,312	1,767,312	1,767,312	-
3000	Fund balance - August 31 (ending)	1,767,312	1,767,312	1,971,715	204,403

The accompanying notes are an integral part of this statement

STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF THE SCHOOL'S PROPORTIONATE SHARE OF THE NET PENSION LIABILITY
TEACHERS RETIREMENT SYSTEM
FOR THE YEAR ENDED AUGUST 31, 2018

	FY 2018 Plan Year 2017	FY 2017 Plan Year 2016	FY 2016 Plan Year 2015	FY 2015 Plan Year 2014
District's Proportion of the Net Pension Liability (Asset)	0.000001181	0.000001500	0.000002237	0.000001368
District's Proportionate share of the Net Pension Liability (Asset)	\$ 37,753	56,678	\$ 79,088	\$ 36,549
State's Proportionate share of the Net Pension Liability (Asset) associated with the District	<u>674,792</u>	<u>825,120</u>	<u>785,630</u>	<u>696,294</u>
TOTAL	\$ <u>712,545</u>	<u>881,798</u>	\$ <u>864,718</u>	\$ <u>732,843</u>
District's Covered Payroll	\$ 974,070	1,022,269	973,960	\$ 971,480
District's Proportionate Share of the Net Pension Liability (Asset) as a percentage of its Covered Payroll	3.88%	5.54%	8.12%	3.76%
Plan Fiduciary Net Position as a Percentage of the Total Pension Liability	82.17%	76.23%	78.43%	83.25%

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

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

The accompanying notes are an integral part of this statement

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF SCHOOL'S PENSION CONTRIBUTIONS
TEACHERS RETIREMENT SYSTEM
FOR FISCAL YEAR 2018**

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

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

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

The accompanying notes are an integral part of this statement

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

	FY 2018 Plan Yr 2017
TOTAL OPEB LIABILITY	
Service cost	4,718
Interest (on the Total OPEB Liability)	2,509
Changes of benefit terms	-
Difference between expected and actual experience	(1,027)
Changes in assumptions	(17,873)
Benefit payments, including refunds of employee contributions	(1,492)
Net Change in Total OPEB Liability	(13,165)
Total OPEB Liability - Beginning	84,386
Total OPEB Liability - Ending (a)	71,221
PLAN FIDUCIARY NET POSITION	
Contributions:	
Employer	1,824
NECE	95
Employee	401
Other	147
Net investment income	9
Benefit payments, including refund of employee contributions	(1,492)
Administrative expense	(12)
Other	(546)
Net Change in Plan Fiduciary Net Position	426
Plan Fiduciary Net Position- Beginning	1,028
Plan Fiduciary Net Position- Ending (b)	1,454
Net OPEB (Asset)Liabilty - Ending (a) - (b)	69,767
Plan Fiduciary Net Position as a Percentage of Total OPEB Asset/Liability	2.04%
Covered Payroll	974,070
Net OPEB Asset/Liability as a Percentage of Covered Payroll	7.16%

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

NOTE: Information is provided using an August 31, 2017 measurement date.

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

The accompanying notes are an integral part of this statement

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

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

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

The accompanying notes are an integral part of this statement

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**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO REQUIRED SUPPLEMENTARY INFORMATION
YEAR ENDED AUGUST 31, 2018**

A. Notes to Schedules for TRS Pension Plan

Changes of benefit terms.

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

Changes of assumptions.

There were no changes in the actuarial assumptions or other inputs that affected measurement of the total pension liability since the prior measurement period.

B. Notes to Schedules for the ERS OPEB Plan

Significant Assumptions and Methods

Valuation Date	August 31, 2017
Actuarial Cost Method	Entry Age
Amortization Method	Level Percent of Pay, Open
Remaining Amortization Period	30 Years
Asset Valuation Method	Not Applicable
Inflation	2.50%
Discount Rate	3.51%
Aggregate Payroll Growth Rate	3.00%
Projected Annual Salary Increases	3.50% to 9.50%
Annual Healthcare Trend Rates	8.50% for FY 2019, decreasing 0.50% per year to 4.50% for FY 2027 and later years
Retirement Age	Experience-based tables of rates that are specific to the class of employee
Mortality-State Agency Members	<u>Service Retirees, Survivors and Other Members</u> - Tables based on TRS experience with Ultimate MP Projection scale form the year 2018. <u>Disabled Retirees</u> - Tables based on TRS experience with Ultimate MP Projection scale form the year 2018 using a 3-year set forward and minimum mortality rates of four per 100 male members and two per 100 female members. <u>Active Members</u> - Sex Distinct RP-2014 Employee Mortality multiplied by 90% with Ultimate MP Projection Scale projected from year 2014.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
NOTES TO REQUIRED SUPPLEMENTARY INFORMATION
YEAR ENDED AUGUST 31, 2018**

Factors that Significantly Affect Trends in Amounts Reported

The following assumptions have been changed since the previous valuation:

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

- Percentage of current retirees and retiree spouses not yet eligible to participate in the HealthSelect Medicare Advantage Plan and future retirees and retiree spouses who will elect to participate in the plan at the earliest date at which coverage can commence.
- Percentage of future retirees assumed to be married and electing coverage for their spouse.

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

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

Minor benefit changes described below have been reflected in the FY 2019 Assumed Per Capita Health Benefits Costs. Please see our previous valuation report dated November 17, 2017 for a complete list of our previous economic assumptions.

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

Combining Schedules

Exhibit H-1

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
COMBINING BALANCE SHEET
NONMAJOR GOVERNMENTAL FUNDS
AUGUST 31, 2018**

		Special Revenue Funds			
Data		224	410	461	Total
Control		IDEA	State	Campus	Nonmajor
Codes		Part B, Formula	Textbook Fund	Activity Funds	Governmental Funds
	ASSETS				
1110	Cash and temporary investments	-	-	22,351	22,351
1000	Total Assets	-	-	22,351	22,351
	FUND BALANCES				
	Assigned Fund Balance:				
3590	Other assigned fund balance	-	-	22,351	22,351
3000	Total Fund Balances	-	-	22,351	22,351
4000	Total Liabilities, Deferred Inflows and Fund Balances	-	-	22,351	22,351

Exhibit H-2

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
COMBINING STATEMENT OF REVENUES, EXPENDITURES
AND CHANGES IN FUND BALANCE - NONMAJOR GOVERNMENTAL FUNDS
FOR THE YEAR ENDED AUGUST 31, 2018**

		Special Revenue Funds			
Data		224	410	461	Total
Control		IDEA	State	Campus	Nonmajor
Codes		Part B, Formula	Textbook Fund	Activity Funds	Governmental Funds
REVENUES					
5700	Total local and intermediate sources	-	-	13,235	13,235
5800	State program revenues	-	12,555	-	12,555
5900	Federal program revenues	29,132	-	-	29,132
5020	Total Revenues	29,132	12,555	13,235	54,922
EXPENDITURES					
0011	Instruction	29,132	12,555	6,972	48,659
6030	Total Expenditures	29,132	12,555	6,972	48,659
1100	Excess (Deficiency) of Revenues Over Expenditures	-	-	6,263	6,263
OTHER FINANCING SOURCES (USES)					
7915	Transfers in	-	-	-	-
8911	Transfers out	-	-	-	-
7080	Total other financing sources and uses	-	-	-	-
1200	Net change in fund balances	-	-	6,263	6,263
0100	Fund balances, beginning	-	-	16,088	16,088
3000	Fund balances, ending	-	-	22,351	22,351

FEDERAL AWARDS SECTION



Certified Public Accountants

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

P.O. Box 153320 • Lufkin, TX. 75915-3320 • (936) 875-3317 • Fax:(936) 622-6823

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

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

Stephen F. Austin State University Charter School
Nacogdoches, Texas

Members of the Board of Regents:

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States, the financial statements of the governmental activities, each major fund, and the aggregate remaining fund information of Stephen F. Austin State University Charter School (School), as of and for the year ended August 31, 2018, and the related notes to the financial statements, which collectively comprise the School's basic financial statements, and have issued our report thereon dated January 10, 2019.

Internal Control Over Financial Reporting

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

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

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

Members of the Board of Regents

January 10, 2019

Page 2

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

Compliance and Other Matters

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

Purpose of this Report

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

Goff & Herrington, P.C.

GOFF & HERRINGTON, P.C.

Certified Public Accountants

January 10, 2019

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF FINDINGS
FOR THE YEAR ENDED AUGUST 31, 2018**

None

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
SCHEDULE OF STATUS OF PRIOR FINDINGS
FOR THE YEAR ENDED AUGUST 31, 2018**

There were no prior audit findings reported.

**STEPHEN F. AUSTIN STATE UNIVERSITY CHARTER SCHOOL
CORRECTIVE ACTION PLAN
FOR THE YEAR ENDED AUGUST 31, 2018**

None required.

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APPROVAL OF THE SFA CHARTER SCHOOL 2017-18 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, 2018, and will be submitted to the Texas Education Agency as required.

Recommendation:

The administration recommends approval of the August 31, 2018, SFA Charter School audited financial statements.

Deliberations Regarding Security Devices or Security Audits

- Report from chief information officer
- Safety and Security Audit
- Information Technology Patching, Anti-virus and Vulnerability Management Audit

Information Technology Services
Report from Chief Information Officer
January 27, 2019

The Chief Information Officer will give a verbal report.

Department of Audit Services
Safety and Security Audit
January 27, 2019

The confidential Board of Regents draft report will be handed out in Executive Session.

Department of Audit Services
Information Technology Patching, Anti-virus and Vulnerability Management Audit
January 27, 2019

The confidential Board of Regents draft report will be handed out in Executive Session.

Ron Franke, Principal with Myers and Stauffer, will present the audit.

Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to:

- Reported Complaints
- EEOC Charges
- Pamela Claquin v. SFASU
- Geralyn Franklin v. SFASU

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
- President

SELECTION OF PRESIDENTIAL SEARCH FIRM

Explanation:

Stephen F. Austin State University strongly desires to attract high quality candidates for the position of president. To assist in this endeavor, the Board of Regents desires to hire an executive search firm with experience in presidential searches.

Recommendation:

It is recommended that the university hire R. William Funk and Associates as its executive search firm for the position of president of Stephen F. Austin State University. The interim president is authorized to sign any associated contracts or purchase orders as reviewed and approved by the general counsel.

TEXAS DEPARTMENT OF TRANSPORTATION EASEMENT AT EAST COLLEGE
AND UNIVERSITY STREETS

Explanation:

The Texas Department of Transportation (TxDOT) wishes to upgrade the traffic signals, pedestrian signals, pedestrian crosswalk markings, and sidewalks at the intersection of East College Street and University Drive. TxDOT has indicated there are challenges in obtaining a new, reliable, and easily maintainable electrical service to this intersection. Currently, TxDOT utilizes service that extends from the east side of University Drive, and connects to an electrical unit at the East College and University Drive intersection.

TxDOT plans to place a new electrical unit in the southeast area of the coliseum commuter parking lot, near the East College Street and University Drive intersection. In order to establish this electrical service, TxDOT plans to bore underneath University Drive to the East College and University Drive intersection, bore underneath the SFA commuter parking lot and connect with electrical service on the southwest side of the parking lot.

Recommendation:

The administration recommends the university grant an easement to TxDOT that will support upgraded electrical service, providing the easement does not interfere or compromise university infrastructure.

WALTER C. TODD AGRICULTURAL RESEARCH CENTER LIVESTOCK FACILITY
ARCHITECTURAL DESIGN

Explanation:

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

The facility will need to be re-built and the contents replaced. The barn and associated contents are covered by insurance, however the deductible for the claim is \$250,000. The administration would like to engage an architect to design a new facility. When plans are complete, the administration will present the proposed project to the board of regents.

Recommendation:

The administration recommends the selection of an architectural firm from the current pool of Indefinite Delivery/Indefinite Quantity (IDIQ) architects to design the facility.

INDEFINITE DELIVERY/INDEFINITE QUANTITY ENGINEERING SERVICES CONTRACTS

Explanation:

The university maintains contractual relationships with several architectural and engineering firms for indefinite delivery/indefinite quantity (IDIQ) design and engineering services. The university seeks to add additional contracts for engineering services. The university recently issued a Request for Qualifications (RFQ) for the IDIQ engineering services. Firm selection was made pursuant to Government Code 2254.

Recommendation:

The administration recommends selection of the firms listed below for negotiation of a contract for one year with the option to renew for two additional one year periods with the fee structure to be negotiated annually and subject to administrative approval. The administration also recommends the president be authorized to sign purchase orders and any associated contract documents.

Campos Engineering Inc.

Estes McClure & Associates Inc.

Jones DBR Engineering Company LLC

Purdy-McGuire Inc.

Two Fifteen Consulting LLC

APPROVAL OF BUILDING AND GROUNDS POLICY REVISIONS:

Explanation:

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

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

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

Recommendation:

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

Issuance and Control of Campus Keys 14.7

Markers and Monuments 16.17

Norton HPE Complex 16.18

Smoking, Vaping and Use of Tobacco Products 13.21

Student Center Operations 16.26

Space Assignment, Management, and Planning 16.3

Telecommunication Services 16.28

Work Requests 16.37

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Issuance and Control of Campus Keys

Policy Number: 14.7

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do):

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ron Watson, Director of Physical Plant
Michaelyn Greene, Director of Administrative Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Issuance and Control of Campus Keys

Original Implementation: Unpublished

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy establishes responsibility for university security and outlines a process for the issuance and control of campus keys.

Definitions

General

The security of the university is the responsibility of several departments on campus. First, the University Police Department (UPD) is responsible for ~~the~~ overall campus security. Second, the various head administrators are responsible for their respective areas. Third, the Physical Plant Department (PPD) is responsible for maintaining access control hardware, and a campus key control system.

~~A vital part of this system is the lock and key system of the university.~~ Other than during normal working hours, all campus buildings will be locked. Faculty and staff may be issued keys to university buildings upon the request of the head administrator responsible for the building or area of the building. *An individual entering or leaving a locked building shall be responsible for securing the door and may be held liable for any loss or damage to university property resulting from failure to do so.*

An authorized individual entering or leaving a locked building shall not permit any individual to enter who would not normally be permitted to enter the building during ~~the~~ hours it is locked. An authorized individual may have guests so long as the guests stay in the proximity of the faculty or staff member having the assigned key, and the authorized individual assumes full responsibility for their presence.

~~An individual entering or leaving a locked building shall be responsible for securing the door and may be held liable for any loss or damage to university property resulting from failure to do so.~~

~~In residence halls with~~ *In spaces with* card access systems, employees shall use the appropriate card key to gain access rather than bypassing the tracking system by using hand keys *unless the card access system fails.*

Each head administrator will be responsible for the issuance of keys to the employees in their area

of responsibility and will be responsible for the level of security in that area. The ~~PPD Physical Plant Department~~ will only issue keys to individuals at the written request of the head administrator. It will be the responsibility of the head administrator of each area to maintain a record of who has been issued keys and to collect keys from departing employees. The person to whom a key has been issued shall be held responsible for the use of that key until it has been properly returned to the corresponding head administrator.

If a key is lost or stolen, it should be immediately reported to the employee's supervisor, the ~~PPD Physical Plant Department~~ and to the ~~UPD University Police Department~~. Failure to report lost or stolen keys in a timely manner may result in disciplinary action up to and including termination. Duplication of university keys is strictly forbidden. If a duplication of a key is made without university consent and the individual is identified, the key will be recovered and the individual(s) involved in duplicating keys shall be reported to their administrative supervisor for appropriate disciplinary action up to and including termination.

Employees shall not loan or transfer keys to anyone. Individuals involved in loaning keys shall be reported to their respective administrative supervisor for appropriate disciplinary action up to and including termination.

Any person found to be in possession of an unauthorized key shall be liable for its use and subject to disciplinary or legal action. Unauthorized keys shall be returned to the ~~PPD Physical Plant Department~~ immediately.

Alarm systems are available to departments through the University Police Department. The ~~PPD Physical Plant Department~~ is not responsible for the installation or maintenance of alarm systems.

The ~~PPD Physical Plant Department~~ is responsible for the maintenance and upkeep of doors and locks to campus buildings. However, loss of integrity of lock systems due to loss of keys or inadequate record keeping at the department level is not the responsibility of the ~~PPD Physical Plant Department~~. The ~~PPD Physical Plant Department~~ will re-key areas at the request of the department responsible, but there will be a charge for this service.

University Police Department is responsible for locking and unlocking buildings and for determining the hours that buildings will be open. Requests for special events, schedule changes, etc. should be directed to the ~~UPD University Police Department~~.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Physical Plant Department

Forms: None

| **Board Committee Assignment:** Buildings and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Markers and Monuments

Policy Number: 16.17

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do):

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Title changed and major revision for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Monuments and Markers Policy Committee
Ron Watson, Director of Physical Plant
Michaelyn Greene, Director of Administrative Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Markers, ~~and~~ Monuments, and Artwork

Original Implementation: July 17, 2001

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

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

Definitions

Markers, ~~and~~ monuments, or artwork include all types of permanent applications that are placed anywhere on campus including signs of a permanent nature ~~features that are erected, affixed, or otherwise installed on any institutional building or land for a time period extending beyond 14 days.~~

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

General

Markers, monuments, or artwork including historical markers or signs, may be placed on or removed from campus when it is in the best interest of the university. A committee will review all such requests. Nominations for a new marker, monument, or artwork and applications for removal of an existing marker, monument, or artwork may be found on the Physical Plant Department (PPD) website.

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

Committee

The vice president of finance and administration will appoint a markers, monuments, and artwork committee that includes one representative from each of the following: development, alumni, faculty, physical plant, university marketing and communications, and a student representative. Each faculty and staff member will serve on the markers, monuments, and artwork committee for a term of two (2) years, with the possibility of reappointment. The SFA student representative will

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

New Marker, Monument, or Artwork

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

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

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

Deaccession

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

- Safety;*
- Aesthetic merit;*
- Historical significance;*
- Accidental loss or destruction;*
- Repatriation;*
- Educational value;*
- Building access;*
- Size, scope, and relevance;*

- Condition;
- Prominence and location on campus;
- Cost of maintenance and insurance.

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

~~General~~Exceptions to Committee Review

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

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

~~Markers or monuments, including historical markers or signs, may be located at other locations on campus when it is in the best interest of the university. Such markers, monuments or signs are subject to removal or relocation when, and if, space is needed for further campus improvements.~~

~~Markers placed on campus without prior written permission will be removed by the Physical Plant Department. Markers will be held for sixty (60) days prior to disposal. Notification will be provided if possible.~~

~~Requests to place a marker should be directed to the director of the physical plant. The director of the physical plant will compare requests to the campus Long Range Plan and overall campus design. Requests may be denied or recommended for an alternate location.~~

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

Cross Reference: *Signs and Exhibits (16.24)* ~~None~~

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

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

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Norton HPE Complex

Policy Number: 16.18

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do):

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Jay Thornton, Chair of the Department of Kinesiology and Health Science
Ken Morton, Director Campus Recreation
Dr. Steve Bullard, Provost and Vice President for Academic Affairs
Dr. Adam Peck, Acting Vice President for University Affairs
Damon Derrick, General Counsel

Norton HPE Complex

Original Implementation: Summer, 1975

Last Revision: ~~January 26, 2016~~ January 29, 2019

The provisions of university policy 16.33, Use of University Facilities, govern the use of all buildings, facilities, equipment and grounds, hereinafter referred to as facilities, under the control of Stephen F. Austin State University (SFA). That policy provides that the university may establish additional procedures for the reservation and use of specific facilities; therefore, the following provisions apply to the Norton HPE complex.

The Lucille Norton HPE Complex is a shared use facility on campus between the Kinesiology and Health Science Department, the Athletic Department, and the Campus Recreation Department which also oversees the Employee Wellness program. The following guidelines have been created in an effort to maximize the use of available spaces while supporting a collaborative relationship between all users of the facility.

Facility Usage

A valid SFA ID card is required to use the facility during recreational programming. There is no charge for SFA students, faculty, or staff to use the facility. The complex is not available for use by anyone other than current SFA students, faculty, staff, and members of the Employee Wellness program unless through a contracted rental of the facility.

Non-SFA groups may rent the facility in accordance with Policy 16.33.

The facility may be used during emergency operations (i.e. evacuation shelter) when deemed necessary by the vice president for university affairs. During such use, University Affairs staff will be responsible for facility management. Every effort will be made to minimize the impact on academic classes scheduled in the HPE Complex.

Priority of Use/Scheduling

The following spaces have been designated for priority usage by the following groups. Any entity wishing to use these spaces must request them from the designated group who is responsible for the scheduling of the facility during these times. The designated group below is responsible for supervision of the space during these times, for leaving the space clean and usable for the next group and for locking the facility at the end of their use (when appropriate).

HPE Weight Room	12 am – 6 am	Campus Recreation
	6 am - Noon	Kinesiology & Health Science

	Noon – 1 pm	Campus Recreation
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Racquetball	12 am – 8 am	Campus Recreation
	8 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	-Campus Recreation
	1 pm – 4pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Indoor Pool	12 am – 8 am	Campus Recreation
	8 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	Campus Recreation
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Big Gym	12 am – 6 am	Campus Recreation
	6 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	Campus Recreation
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Gymnastics Room	12 am – 6 am	Campus Recreation
	6 am – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE/Shelton Classrooms and Labs	12 am – 12 am	Kinesiology & Health Science
	Weekends	Kinesiology & Health Science
Shelton Gym	12 am – 6 am	Campus Recreation
	6 am – 4 pm	Kinesiology & Health Science
	4 pm – 7 pm	Athletic Department
	7 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation

Intramural Fields	12 am – 8 am	Campus Recreation
	8 am – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
Tennis Courts	12 am – 8 am	Campus Recreation
	8 am – 4 pm	Kinesiology & Health Science
	4 pm – 7 pm	Athletic Department (Courts #5-8 & 11-14 only)
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation

Cross Reference: Use of University Facilities (16.33)

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

Contact for Revision: Chair of the Department of Kinesiology and Health Science; Director of Campus Recreation

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Smoking, Vaping and Use of Tobacco Products

Policy Number: 13.21

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

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Establishes SFA as a tobacco and vape free campus.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor word changes only.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dr. Steve Westbrook, Interim President
Damon Derrick, General Counsel

Smoking, Vaping and Use of Tobacco Products

Original Implementation: October 22, 1991

Last Revision: ~~January 26, 2016~~ January 29, 2019

~~Effective August 22, 2016,~~ Stephen F. Austin State University is a tobacco and vape free campus. The use of all tobacco and vape products (including but not limited to cigarettes, cigars, pipes, smokeless tobacco, e-cigarettes, vaporizers, vape pens, hookahs, blunts, pipes, snuff, and any other tobacco or vape related product) is prohibited on all property that is owned, leased, occupied, or controlled by Stephen F. Austin State University. Additionally, the sale or free sampling of tobacco or vape products is prohibited on university property. This policy applies to all employees, students, university affiliates, contractors, and visitors.

The university shall offer and promote tobacco prevention and education programming on campus as well as provide applicable resources to help individuals who want to quit using tobacco products.

Cross Reference: Tex. Educ. Code §§ 95.21, 101.41

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Center Operations

Policy Number: 16.26

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

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Student Services

Purpose of Policy (what does it do): Governs the Operations of the Student Center

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: This is a major revision of this policy. The intention is to create a clear separation between policy and procedure. Elements of this policy that have been deleted are being moved to a procedures manual that will be maintained in the Student Center Office.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Sam Smith, Director Student Services/Student Center
Adam Peck, Acting Vice President for University Affairs
Damon Derrick, General Counsel

Student Center Operations

Original Implementation: 1966

Last Revision: ~~July 29, 2014~~ January 29, 2019

GENERAL OPERATIONS

The purpose of the student center is to provide a place that brings together students, faculty, staff, alumni and guests, providing space to build community, support programs, provide services and maintain facilities that promote student learning and development.

Specific rules governing the use of the facilities are maintained in the student center administrative offices and may be reviewed upon request.

GENERAL OPERATIONS

1. *Because the student center is intended as a non-academic space, no classes, lectures, laboratories, tests or any type of class for credit shall be scheduled in the student center, except under extenuating circumstances.*
- ~~1. Reservations in the student center (SC) are made through the coordinator of university reservations and conferences (coordinator).~~
2. *For any events presented in the student center, it is the responsibility of the sponsoring agency to ensure that the programs, related activities and printed material are accessible to persons with disabilities. The university does not accept responsibility for ensuring that the programs or activities of the group are in compliance with the provisions of the Americans with Disabilities Act. Questions regarding accessibility of facilities for a specific program being held in the student center should be directed to the coordinator.*
- ~~3. Lounges are primarily intended for general use by the university community. Limited use of the areas for active programming will be allowed upon approval of the director of the student center. Approval will depend upon several variables that will include time, size and type of program.~~
- ~~4.3.~~ Animals or pets of any kind, excluding service animals, shall not be permitted in the building at any time.
- ~~5.4.~~ Individuals or groups reserving space in the student center shall be responsible for the behavior of their members and guests and also shall be responsible for any damage caused by their guest or members.
- ~~6.5.~~ Failure to comply with the operations policy, *procedures* or with requests of the persons enforcing this policy may result in suspension of privileges to use the student center and/or lead to action under the university disciplinary code.
- ~~7.6.~~ Disorderly conduct and disturbing the peace shall not be permitted in the student center and may lead to disciplinary action.

~~8. Card playing or table games may be played only in rooms reserved for such purposes. No such games will be played in any food service areas or lounge areas. Gambling in the building is prohibited.~~

~~9.1. No classes, lectures, laboratories, tests or any type of class for credit shall be scheduled in the student center, except under extenuating circumstances.~~

RESERVATIONS

1. *Reservations in the student center (SC) are made through the coordinator of university reservations and conferences.*
2. *Reservations for the next calendar year begin on the first working day of the new calendar year and assigned on a first-come, first-served basis. Reservation contracts must be confirmed and the reservations document signed or confirmed by e-mail by the reserving person two weeks prior to each event. Unconfirmed reservations after this time will automatically be canceled.*
3. *The scheduling of activities, facilities or equipment for recognized university clubs and organizations must be made by a group officer or the sponsor of the organization.*
4. *Failure to use or release a student center facility 48 hours prior to the event may result in the group paying the regular room rates.*
5. *Groups scheduling activities with an expected attendance of 300 or more are required to confirm the presence of a university police officer at the event. This confirmation must occur no later than 14 days prior to the event.*
6. *Commercial enterprises are normally not permitted to reserve or use space in the student center for purposes of promotion or selling. The director of the student center may approve a commercial enterprise entering into an agreement with the student center for solicitation within the center, provided the activity has cultural or educational value.*
7. *Off campus groups or individuals may be required to make a prepayment of three- fourths of the expected total bill two weeks before the event.*
8. *Groups and individuals with outstanding bills or debts owed to the student center may have their reservation privileges in the SC suspended.*
9. *Only food and beverage prepared by the student center food service will be served in the meeting and dining rooms of the student center. A catering booklet with menus and student center charges is available in the coordinator's office and on the catering website.*
10. *Only registered university organizations may reserve tables adjacent to the lounge areas in the student center.*
11. *Events that will continue after 9 p.m. must be scheduled at least two (2) weeks prior to the event.*
12. *Use of university facilities or services is subject to be changed or canceled based upon priority needs of the university as determined by the director of the student center.*

FACILITY USAGE BY APPROVED STUDENT ORGANIZATIONS AND UNIVERSITY DEPARTMENTS

1. *Approved student organizations and university departments will be permitted to use student center facilities for non-catered events at no charge.*
2. *Registered student organizations will be allowed to reserve up to two (2) hours per week for recurring meetings. No recurring meetings may be scheduled during university holiday periods unless approved by the coordinator. Series meetings are scheduled In order to make space available to as many groups as possible, series reservations will be canceled if two weekly series meetings are missed.*
3. *An activity scheduled to continue past midnight must be supervised by a university police officer(s). A fee will be assessed for UPD service in addition to the SC late charge.*

FACILITY USAGE BY OFF-CAMPUS GROUPS

1. *Off-campus groups that are sponsored by a university department may use the student center facilities without room charges.*
2. *Off-campus groups without a university department sponsor shall be permitted to use the facilities of the student center subject to guidelines and charges.*

SOLICITATION

1. Selling, canvassing, petitioning, fund raising, surveying and membership drives by approved student organizations will be permitted in the student center after registration with the director of the student center. University departments, faculty and staff organizations, the alumni association, and other organizations and entities officially associated with the university must seek approval from the director of the student center. Reservations for tables and space in the student center must then be made with the coordinator.
2. No group, except for university departments and the alumni association with approval, shall act as an agent for a commercial company.
3. Fund raising or charitable solicitation and the sale of products or services by community organizations or businesses are prohibited in the student center. This regulation shall not apply to university functions as defined in the university solicitation policy.
4. Solicitation for newspaper delivery may be conducted in the student center on days designated by the director of the student center in areas assigned by the coordinator. All newspaper solicitors will have equal space.
5. Commercial cable service providers under contract with Stephen F. Austin State University may conduct solicitation in the student center on days designated by the director of the student center in areas assigned by the student center coordinator.

—BUILDING HOURS

1. ~~The main portion of the student center will be open daily as supported by student traffic when classes are in session for fall and spring semesters. There will be a late charge, for those who reserve rooms, for each additional hour after 10 p.m. The student center may stay open late without charge for a university-sponsored event. The post office area will be open 24 hours daily. Food service areas will be open according to posted schedules.~~
2. ~~All events in the student center will conclude by midnight, Sunday through Thursday and by 1 a.m. Friday and Saturday. All patrons of the facilities are to vacate the center immediately after that time. No student, faculty or staff member, except by permission of the director of the student center, shall remain in the student center after it is officially closed.~~
3. ~~Hours of operations of the various areas, and closing of the building between semesters, on holidays and during summer semesters, shall be at the discretion of the director of the student center.~~

~~—DECORATIONS~~

1. ~~Organizations or individuals conducting activities in the student center may request assistance with decorating. Arrangements for decorations will be made with the coordinator.~~
2. ~~There is no charge for using the table decorations from the existing inventory, for catered meals and receptions. Groups and individuals reserving rooms are responsible for safekeeping of arrangements and will be charged for loss or damage. If SC linen tablecloths are used, no crepe paper may be used due to fading. There will be charges for the use of SC linen on non-food tables.~~
3. ~~Delivery of decorator items from the student center to other buildings is prohibited except as approved by the director of the student center and with appropriate charges.~~
4. ~~The student center will not store items overnight for patrons. All items, including balloons, brought into the center for decorating purposes must be removed immediately following the event. Trash bags may be supplied by the SC custodial service for balloon and trash removal.~~
5. ~~The student center shall not be responsible for any articles left in the building.~~
6. ~~Decorations will be attached only to self-supporting scaffolding and/or attachments provided for decorating purposes. Standards, easels, room dividers or tack boards are available and may be requested through the coordinator.~~
7. ~~Excessive decorating requests such as hanging and removing items from the ceiling or sides of the room above the existing wires and activities requiring the use of scaffolding, ladders and electrical hookups will be charged a maintenance fee. (See charges.)~~

- ~~8. The use of adhesive tape, glues including spray glue and hot glue, tacky tape, thumb tacks, masking tape or nails on doors, posts, ceilings, walls, floors or fixtures is prohibited.~~
- ~~9. The use of hay or other flammable materials will not be permitted in the SC without prior approval.~~
- ~~10. Decorations must be constructed by the organization outside the facility. Sawing, painting or hammering, other than joining complete sections, must be done outside the building.~~
- ~~11. In case of special decorating needs, check with the coordinator. A time may be established for entry into the facility for the purposes of decorating with appropriate charges.~~
- ~~12. Services and equipment provided at no charge are subject to availability and working conditions.~~
- ~~13. Glitter is not permitted for any event in the SC.~~

RESERVATIONS

- ~~1. Reservation books are opened the first working day of the new calendar year for the following calendar year. The general policy is to honor reservations on a first come, first served basis. Regular summer camps and special university functions will automatically be scheduled for the corresponding dates each year.~~
- ~~2. Reservation contracts must be confirmed and the reservations document signed or confirmed by e-mail by the reserving person two weeks prior to each event. Unconfirmed reservations after this time will automatically be canceled.~~
- ~~3. Reservations will not be accepted the day of the event.~~
- ~~4. The scheduling of activities, facilities or equipment for recognized university clubs and organizations must be made by a group officer or the sponsor of the organization.~~
- ~~5. Failure to use or release a student center facility 48 hours prior to the event may result in the group paying the regular room rates.~~
- ~~6. Groups scheduling activities with an expected attendance of 300 or more are required to confirm the presence of a university police officer at the event. This confirmation must occur no later than 14 days prior to the event.~~
- ~~7. Commercial enterprises are normally not permitted to reserve or use space in the student center for purposes of promotion or selling. The director of the student center may approve a commercial enterprise entering into an agreement with the student center for solicitation within the center, provided the activity has cultural or educational value.~~
- ~~8. Changes in physical set-up of reserved space must be arranged with the coordinator or, after office hours, with the student center night manager. Requested changes will be accommodated only as time permits and will be subject to charges.~~

9. ~~Off campus groups or individuals may be required to make a prepayment of three-fourths of the expected total bill two weeks before the event.~~
10. ~~Groups and individuals with outstanding bills or debts owed to the student center will have their reservation privileges in the SC suspended.~~
11. ~~Only food and beverage prepared by the student center food service will be served in the meeting and dining rooms of the student center. A catering booklet with menus and student center charges is available in the coordinator's office and on the catering website.~~
12. ~~Only registered university organizations may reserve tables adjacent to the lounge areas in the student center.~~
13. ~~Events that will continue after 9 p.m. must be scheduled at least two (2) weeks prior to the event.~~
14. ~~Use of university facilities or services is subject to be changed or canceled based upon priority needs of the university as determined by the director of the student center.~~

~~TECHNICAL SERVICES~~

1. ~~The student center will provide technical equipment if available. The coordinator can provide a list of available equipment and prices. The equipment and price list is also available on line on the student center website. Reservations for any needed technical equipment should be made with the coordinator at least two weeks before the event. Late additions of technical equipment to the order must be made at least 72 hours prior to the event and a late charge may be assessed (See charges).~~
2. ~~Only student center personnel will be permitted in the technical service booth above the Grand Ballroom and the movie theatre.~~
3. ~~Student center technical equipment may be taken from the student center only by student center personnel unless approved by the director of the student center. Appropriate charges will apply.~~

~~FACILITY USAGE BY APPROVED STUDENT ORGANIZATIONS AND UNIVERSITY DEPARTMENTS~~

1. ~~Approved student organizations and university departments will be permitted to use student center facilities for non-catered events at no charge.~~
2. ~~Any dance or show sponsored by a registered student organization must have prior approval from the dean of students or designee before room reservations will be made. These events are limited to one (1) per month per organization.~~
3. ~~Registered student organizations will be allowed to reserve up to two (2) hours per week for series meetings. No series meetings may be scheduled during university holiday periods unless approved by the coordinator. Series meetings are scheduled by e-mail on a first come, first served basis. Once the series is confirmed and the reservation is processed, changes will not~~

~~be made without a fee. In order to make space available to as many groups as possible, series reservations will be canceled if two weekly series meetings are missed.~~

- ~~4. An activity scheduled to continue past midnight must be supervised by a university police officer(s). A fee will be assessed for UPD service in addition to the SC late charge.~~

~~FACILITY USAGE BY OFF-CAMPUS GROUPS~~

- ~~1. Off-campus groups that are sponsored by a university department may use the student center facilities without room charges.~~
- ~~2. Off-campus groups without a university department sponsor shall be permitted to use the facilities of the student center subject to guidelines and charges.~~

~~CATERING~~

~~Detailed information about catering is available in the catering booklet available from the coordinator and on the catering website.~~

~~The service of alcohol at catered functions is governed by the Alcohol Service policy (13.7).~~

~~CAMPUS LOST AND FOUND~~

~~The student center shall maintain a campus Lost and Found Department at the Information Desk. (See Disposition of Abandoned Personal Property policy (13.6) for more information)~~

~~CHARGES~~

~~The price list for student center services is available from the coordinator and online on the SC website.~~

Cross References: Alcohol Service (13.7); Illicit Drugs and Alcohol Abuse (13.11); *Use of University Facilities* (16.33)

Responsible for Implementation: Vice President for University Affairs

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

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Space Assignment, Management and Planning

Policy Number: 16.3

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do):

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ron Watson, Director of Physical Plant
Michaelyn Greene, Director of Administrative Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Space Assignment, Management, and Planning

Original Implementation: ~~January 26, 2016~~ January 29, 2019

Last Revision: None

Purpose

This policy establishes the process for assignment, reassignment, management, planning, and modification of Stephen F. Austin State University (SFA) space to promote the most efficient stewardship of this limited resource.

Definitions

Space means all interior buildings and facilities and exterior areas owned or leased by the university.

Educational and general (E&G) space means an area which is used for academic instruction, research, and support of the institution's mission. It does not include space that is permanently unassigned, or space used for operations independent of the institution's mission.

Auxiliary enterprise space are buildings and facilities that are managed as essentially self-supporting activities. Examples are residence halls, food services, student health services, intercollegiate athletics, retail spaces, campus recreation, and student center spaces.

Space management refers to oversight of all university space and the assignment and reassignment of such to remain in compliance according to this policy and state and federal codes, regulations, and laws.

Space planning means the creation of ideas, solutions, and recommendations for space-related needs.

Space assignment means allocating/designating space to a particular individual or unit.

Space reassignment means reallocating/re-designating space from one individual or unit to another.

Routine maintenance includes expenditures made for the normal upkeep of physical properties (i.e. land, buildings, and equipment) including recurring, preventive, and on-going maintenance necessary to delay or prevent the failure of critical and non-critical building systems and *excludes work that will not* requires emergency attention, *or* alters the structure, *or supports an event*.

General

Stephen F. Austin State University (not any group, individual, or unit within it) owns and/or controls all interior and exterior spaces on campus as well as additional properties off-campus including leased properties. All space decisions are based upon the Higher Education Coordinating

Board (THECB) space utilization requirements and aligned with academic, research, clinical, administrative, or community engagement needs which are consistent with the strategic initiatives of the university. The assignment, reassignment, alteration, and/or reclassification of space are made to meet the overall needs and best interests of the university. Oversight and management of space will remain in compliance with this policy and state and federal codes, regulations, and laws.

Space Assignment, Reassignment, Construction and/or Renovation

Assignment and utilization of university space shall be the decision of the president or his/her delegate, who is authorized to assign or reassign space to any unit on campus. The president may delegate such decision-making authority.

Space modification or design requests are required for all changes to university space including, but not limited to reassignment, reclassification, and changes to capacity, use, or function, and alteration or renovation not considered routine maintenance. Space modification or design requests are reviewed by the space modification committee and recommendations are submitted to the provost and vice president for academic affairs and to the vice president for finance and administration for final approval regarding E&G space and to the vice president for university affairs and to the vice president for finance and administration for final approval regarding auxiliary space.

Vacated Space

Space vacated within an academic or administrative unit due to normal employee turnover may remain internally assigned within that unit at discretion of the president or his/her designee. Space vacated by an academic or administrative unit that occurs due to a permanent reduction in workforce, downsizing or elimination of a unit, reorganization, or relocation reverts to the university administration for re-assignment.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: President

Forms: Request for space modification or design is located on the SFA business forms webpage.

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Telecommunication Services

Policy Number: 16.28

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

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Defines and outlines SFA telecommunication services.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revision of position responsible for implementation.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Anthony Espinoza, Chief Information Officer
Mike Coffee, Deputy Chief Information Officer
Dr. Steve Westbrook, Acting President

Telecommunication Services

Original Implementation: December 8, 1987

Last Revision: ~~January 26, 2016~~ January 29, 2019

Information Technology Services (ITS) is responsible for the administration of Stephen F. Austin State University (SFA) communication services, including telecommunication services. Telecommunication services consist of the installation, maintenance, and operation of the university-owned telephone switch, connective infrastructure, associated services, cellular services (policy 3.6), and all outside telephone lines connecting to university locations and billing.

TELEPHONE USAGE

All telephone services exist primarily for the transaction of official university business (except for residence hall telephones). Personal local calls may be made but should be minimized. Personal toll calls must be charged to home telephones, personal telephone calling cards, or reimbursed to the unit. Reimbursements for personal calls on a university telephone should be coordinated with the department head (or account custodian). It is the responsibility of the department head (or account custodian) to review all telephone bills to ensure compliance with the usage policy.

All charges for telephone services, including campus telephone lines, toll-free numbers, toll calls (long distance access codes), and cellular telephones remain the responsibility of the unit head (or account custodian) until written notification is received by ITS for their discontinuance.

EQUIPMENT MAINTENANCE

Requests for installation, relocation, alteration, or repair of telephone equipment should be submitted to the ITS Help Desk. A work order will be issued, and upon completion, the appropriate account may be charged.

LONG DISTANCE ACCESS CODE

Requests for long distance access codes should be submitted by the unit head (or account custodian) to ITS. The request should include the individual's name, campus ID number, and account number. Requests for multiple long distance access codes (for charging to more than one account number) may be included in a single memorandum. However, full information must be provided for each access code requested.

TOLL-FREE TELEPHONE NUMBERS

Requests for toll-free telephone numbers should be submitted by the unit head (or account custodian) to ITS. The memorandum must include the purpose of the toll-free service, account number, existing telephone number where the toll-free number will ring, directory listing information (if appropriate), and name and telephone number of a contact person. Discontinuance of the toll-free service or changes to the ring extension require a memorandum from the unit head (or account custodian) to ITS.

Cross Reference: Cellular Telephones and Wireless Communication Devices (3.6)

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

Contact for Revision: Chief Information Officer

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Work Requests

Policy Number: 16.37

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do):

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ron Watson, Director of Physical Plant
Michaelyn Greene, Director of Administrative Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Work Requests

Original Implementation: December 7, 1987

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy outlines the responsibilities of the Physical Plant Department in regards to routine maintenance and emergency situations. It also describes the methods to request service for routine and emergency maintenance or for space modifications.

Definitions

Routine maintenance includes expenditures made for the normal upkeep of physical properties (i.e. land, buildings, and equipment) including recurring, preventive and on-going maintenance necessary to delay or prevent the failure of critical and non-critical building systems and excludes work that requires emergency attention, alters the structure, or supports an event.

Emergency maintenance requires immediate action to prevent endangerment of life and/or property damage in the opinion of the requestor.

Alterations to a structure is work that involves modifying space (i.e. moving walls, renovation) and must be submitted through the SFA space modification process and is not typically considered part of routine maintenance.

General

The Physical Plant Department (PPD) is responsible for maintaining all Education & General (E&G) space at the university. In addition, *the* PPD may perform work for auxiliary departments upon request or where service efficiency or practicality dictates. ~~;~~ ~~this work for auxiliary departments~~ is billed accordingly through the SFA inter-department transfer (IDT) process.

Work performed by *the* PPD includes mechanical maintenance (electrical, electronics, HVAC, plumbing); building trades (carpentry, painting, graphics, locksmith); custodial services; special services (waste management, move/event services); transportation services (auto repair and rental); grounds maintenance; and special and capital construction project management.

All work requested through *the* PPD must be submitted through the SFA computerized maintenance management system (CMMS). Assistance in completing a request is available by calling *the* PPD.

Any work requests to modify indoor or outdoor institutional property or estimates for work subject to space modification and design falling under the following categories are required to be submitted for vice president approval through the space modification committee: finishes; building structural change; building system change; space function change; new space request; technology, furniture and equipment that is attached to the building.

The PPD will assess charges as appropriate for services rendered outside of routine maintenance.

Routine Maintenance

The ~~PPD~~Physical Plant Department performs routine maintenance based on importance, priority and available manpower. ~~Routine maintenance includes anything of a normal nature that will not require emergency attention or alter the structure. Examples of routine maintenance~~Such requests include temperature control, minor plumbing or custodial problems, minor electrical problems, pest control, etc. Requests of this nature should be submitted through the CMMS.

Any work requested beyond the scope of routine building maintenance requires authorization from a designated official of the requesting department and will be billed accordingly through the IDT process.

~~Work that involves altering space (i.e. moving walls, renovation) must be submitted through the SFA space modification process and is not typically considered part of routine maintenance.~~

Emergencies

Emergency work requests, ~~which in the opinion of the requestor, require immediate action to prevent endangerment of life and/or property damage,~~ should be reported immediately, as follows:

During normal working hours (Monday – Friday, 7:00 a.m. through 4:00 p.m.): contact PPD
During evenings, weekends, holidays, shut-down periods: contact University Police Department

Cross Reference: ~~None~~ Physical Plant Charges (16.20), Space Assignment, Management and Planning (16.3)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Physical Plant

Forms: None

Board Committee Assignment: Building and Grounds

**Stephen F. Austin State University
Board of Regents - Building and Grounds Committee
Construction Update
January 28, 2019**



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January 28, 2019 Construction Update

Project Profiles

Stephen F. Austin State University
Construction Project Summary
Presented to the Building and Grounds Committee of the Board of Regents
January 28, 2019

Construction Projects In Progress - as of November 30, 2018 (Projects greater than or equal to \$100,000)

No.	Project Title	Start Date	Fund Source	Project Budget	Expenditures To Date	Encumbered	Total To Date	Budget Variance	Estimated % Complete	Completion Date
1	STEM Facility	Aug-15	Tuition Rev. Bond	\$ 47,250,000	\$ 40,668,817	\$ 4,727,768	\$ 45,596,585	\$ 1,653,415	95%	Feb-19
2	Steen Library Roof Replacement	May-17	HEF	\$ 800,000	\$ 750,126	\$ -	\$ 750,126	\$ 49,874	100%	Oct-18
3	Classroom & Building Safety & Security Upgrades	May-17	HEF	\$ 870,000	\$ 623,894	\$ 58,290	\$ 682,184	\$ 187,816	65%	Feb-19
4	Clark Blvd. Entrance Sign	Sep-17	HEF	\$ 200,000	\$ 170,373	\$ -	\$ 170,373	\$ 29,627	100%	Oct-18
5	Pinewoods Native Plant Center Greenhouse	Jul-17	Donations	\$ 202,960	\$ 123,658	\$ 69,399	\$ 193,057	\$ 9,903	99%	Dec-18
6	Electrical Infrastructure Repairs	Oct-17	Aux/Designated	\$ 475,000	\$ 284,223	\$ 62,776	\$ 346,999	\$ 128,001	99%	Nov-18
7	Hall 20 HVAC Upgrades	Oct-17	Auxiliary	\$ 1,400,000	\$ 1,250,371	\$ 148,014	\$ 1,398,385	\$ 1,615	99%	Nov-18
8	Hall 20 Roof Replacement	May-18	Auxiliary	\$ 178,846	\$ 155,555	\$ -	\$ 155,555	\$ 23,291	100%	Oct-18
9	Classroom Updates & Instructional Delivery Support - 2018	Jan-18	HEF	\$ 300,000	\$ 244,214	\$ -	\$ 244,214	\$ 55,786	100%	Oct-18
10	BPSC Grand Ballroom Renovation - Phase 2	Jan-18	Auxiliary	\$ 2,400,000	\$ 1,670,848	\$ 727,639	\$ 2,398,487	\$ 1,513	99%	Dec-18
11	Ferguson, Dugas, Math Exterior Renovations	Jun-18	HEF	\$ 1,210,000	\$ 446,558	\$ 31,274	\$ 477,832	\$ 732,168	75%	Aug-19
12	Business Building Renovation - Floors 3 & 4	May-18	Donations	\$ 1,250,000	\$ 1,074,618	\$ 53,977	\$ 1,128,595	\$ 121,405	100%	Oct-18
13	Basketball Strength & Conditioning Room	May-18	Designated Fund Balance	\$ 750,000	\$ 27,369	\$ 20,744	\$ 48,113	\$ 70,887	5%	TBD
14	Campus Space Realignment and Renovation	Sep-18	HEF	\$ 4,500,000	\$ 2,038	\$ -	\$ 2,038	\$ 4,497,962	5%	TBD
15	Beach Volleyball Courts	Jul-18	Designated Fund Balance	\$ 750,000	\$ 5,121	\$ 26,336	\$ 31,457	\$ 718,543	10%	May-19
16	Early Childhood Research Center Chiller	Sep-18	HEF	\$ 200,000	\$ -	\$ 151,178	\$ 151,178	\$ 48,822	75%	Jan-19
17	McKibben Education Building 1st Floor Lobby Renovations	Sep-18	HEF	\$ 150,000	\$ -	\$ 14,000	\$ 14,000	\$ 136,000	10%	Aug-19
18	Architectural Assessment for House at 1401 N. Mound St.	Sep-18	HEF	\$ 150,000	\$ 152	\$ 14,450	\$ 14,602	\$ 135,398	40%	Apr-19
19	Boyrnton Building Restroom Remodel	Sep-18	HEF	\$ 275,000	\$ -	\$ 26,000	\$ 26,000	\$ 249,000	10%	Aug-19
20	Steen Library Architectural Assessment	Sep-18	HEF	\$ 150,000	\$ -	\$ 98,100	\$ 98,100	\$ 51,900	30%	Aug-19
21	Replace College of Education Annex Air Handling Units	Jul-18	HEF	\$ 251,950	\$ 152,719	\$ 51,752	\$ 204,471	\$ 47,479	10%	Dec-18
22	Fine Arts Expansion	Dec-18	Revenue Financing Bonds	\$ 37,000,000	\$ -	\$ 18,500	\$ 18,500	\$ 36,981,500	2%	Jul-22
23	Basketball Practice Facility	Dec-18	Student Fees	\$ 26,000,000	\$ -	\$ 1,590,350	\$ 1,590,350	\$ 24,409,650	2%	Jul-21
24	Student Residential and Dining Facilities	Dec-18	Student Housing Fees	\$ 39,500,000	\$ -	\$ 26,000	\$ 26,000	\$ 39,474,000	1%	Jun-22
25	Welcome Center and Student Support Services / One Stop Shop	Dec-18	Revenue Financing Bonds	\$ 13,000,000	\$ -	\$ 3,500	\$ 3,500	\$ 12,996,500	1%	Nov-22
Totals				\$ 179,213,756	\$ 47,850,654	\$ 7,920,047	\$ 55,770,701	\$ 123,443,055		

January 28, 2019 Construction Update**Project Profiles****Project # 1****STEM Facility**

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

Scope of Work:

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

Funding source: Tuition Revenue Bonds

Key Milestones:

Begun: August 2015
 Expected completion: 4th floor – February 2019; additional projects summer 2019
 Project budget of \$46,400,000 approved by board on July 28, 2015
 Increases by \$850,000 to \$47,250,000 in October 2018

Construction Manager Guaranteed Maximum Price: \$40,992,315

Project Status:

- Base building substantial completion date was August 9, 2018
- Punch list 90% complete
- 4th floor – 80% complete. Painting, ceiling, doors in progress
- 4th floor substantial completion date is January 15, 2019
- Griffith Blvd renovation to begin during spring break

Project Budget	Expenditure	Encumbered	Total to Date	Variance
47,250,000	40,868,817	4,727,768	45,596,585	1,653,415

Project # 2**Steen Library Roof Replacement**

Project Manager – Physical Plant
 Contractor – RMS International

Scope of Work:

Steen Library was last re-roofed in 1991. The current roof is in poor condition with granule loss, blistering and is in need of replacement.

Funding source: Higher Education Fund

Key Milestones:

Begun: May 2017

Expected Completion: Completed October 2018

Project budget of \$800,000 approved by board on July 26, 2016

Project Status:

- All work completed
- Roof warranty and project documents received

Project Budget	Expenditure	Encumbered	Total to Date	Variance
800,000	750,126	0	750,126	49,874

Project # 3**Classroom and Building Safety and Security Upgrades**

Project Manager – Public Safety

Contractor – Various

Scope of Work:

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

Funding source: Higher Education Fund

Key Milestones:

Begun: May 2017

Expected Completion: February 2019

Project budget of \$600,000 approved by board on July 26, 2016

Additional funds of \$270,000 were approved by the board on July 25, 2017 for fiscal year 2018.

Project Status:

- Hardware installation on exterior doors in process (13 buildings completed)
- Pulling wire to interior doors (first phase complete; second phase in progress)
- Continuing to install interior door readers and locks; additional parts on order
- Reprioritization of project currently being discussed

Project Budget	Expenditure	Encumbered	Total to Date	Variance
870,000	623,895	58,290	682,185	187,815

January 28, 2019 Construction Update**Project Profiles****Project # 4****Clark Boulevard Entrance Sign**

Project Manager – Physical Plant
 Architect – Sutton Beebe Babin Architect, LLC
 Contractor – KDW, LTD

Scope of Work:

The university will construct an entrance sign at the south end of Clark Boulevard at East Starr Avenue similar in appearance to other signs on campus but adapted specifically for the location. The project potentially includes new sidewalks, accessible curb ramps, and other necessary modifications to the immediate area.

Funding source: Higher Education Fund

Key Milestones:

Begun: September 2017

Expected Completion: Completed October 2018

Project budget of \$200,000 approved by board on July 26, 2016

Project Status:

- All work completed by KDW, LTD on August 24, 2018
- Physical Plant Department completed lighting and landscaping

Project Budget	Expenditure	Encumbered	Total to Date	Variance
200,000	170,373	0	170,373	29,627

Project # 5***Pineywoods Native Plant Center Greenhouse***

Project Manager – Physical Plant
 Architect / Engineer – Goodwin Lasiter Strong
 Contractor – Cox Contractors

Scope of Work:

The university will construct a greenhouse to meet the needs of agricultural programs near the existing horticulture facility. The project includes site preparation, greenhouse kit, controllers, greenhouse and propagation accessories, fencing, and necessary utilities.

Funding source: Donations

Key Milestones:

Begun: July 2017

Expected Completion: December 2018

Project budget of \$182,960 approved by board on January 31, 2016;

Additional funds of \$20,000 were approved by the board on July 23, 2018 for fiscal year 2018.

Project Status:

- Equipment start-up and project punch list in progress
- Awaiting O&M manuals and as-builts

Project Budget	Expenditure	Encumbered	Total to Date	Variance
202,960	123,658	69,399	193,057	9,903

Project # 6**Electrical Infrastructure Repairs**

Project Manager – Physical Plant
Contractor – Thedford Construction

Scope of Work:

Repair failed electrical distribution system components, including one of three main substation circuit breakers, and installation of a new duct bank and underground cabling.

Funding source: Auxiliary and Designated Funds

Key Milestones:

Begun: October 2017

Expected Completion: Critical work completed

Project budget of \$275,000 approved by board on July 25, 2017

Additional funds of \$200,000 were approved by the board on July 23, 2018 for fiscal year 2018.

Project Status:

- All work necessary to bring the campus electrical distribution system functionality back to 100% has been completed.
- Received an insurance reimbursement check in the amount of \$341,440.50 for the portion of the work that was covered.
- Oncor (electrical distribution) has approached SFA about taking over all components in the electrical substation. If this does happen, then the work portion of this project is complete. If SFA maintains ownership of the breakers (as is the case now), SFA will look into re-building/testing the failed substation breaker, which appears to be in-tact except for the electrical bushings. This would give SFA a spare breaker and avoid the long lead time experienced after the failure.

Project Budget	Expenditure	Encumbered	Total to Date	Variance
475,000	284,223	62,776	346,999	128,001

Project # 7**Hall 20 HVAC Upgrades**

Project Manager – Physical Plant
 Architect – Goodwin Lasiter Strong
 Contractor – VRF Mechanical Solutions

Scope of Work:

Hall 20, opened in 1985, has 358 assignable beds. Each room has an individual Packaged Terminal Air Conditioner (PTAC) unit that is controlled by the occupant. These individual units are difficult to maintain and do not adequately handle moisture in these rooms during certain times of the year, leading to numerous complaints. The Residence Life and Physical Plant staff identified a system that would provide a more energy-efficient solution to heating and cooling the 91,000 square feet in Hall 20 while easing maintenance issues and addressing moisture problems. A Variable Refrigerant Flow (VRF) system has been selected to replace the current PTACs with a central system. This type system has been successfully deployed in other similar settings across the South to address similar issues. Once the PTACs are removed, the holes that remain will be bricked up and painted.

Funding source: Auxiliary Funds

Key Milestones:

Begun: October 2017

Expected Completion: Work completed November 2018

Project budget of \$1,400,000 approved by board on July 23, 2017

Project Status:

- All work complete
- Waiting on contractor documents to pay retainage

Project Budget	Expenditure	Encumbered	Total to Date	Variance
1,400,000	1,250,371	148,014	1,398,385	1,615

January 28, 2019 Construction Update**Project Profiles****Project # 8****Hall 20 Roof Installation**

Project Manager – Physical Plant
Contractor – Parsons Roofing

Scope of Work:

Hall 20 roof was installed in 1985 and is now 32 years old. This project will include replacing the entire roof in conjunction with the HVAC improvement project that is also scheduled for FY2018.

Funding source: Auxiliary Fund Balance

Key Milestones:

Begun: May 2018

Expected Completion: Completed October 2018

Project budget of \$178,846 approved by board on July 23, 2017

Project Status:

- All work complete
- Warranty and contractor documents received

Project Budget	Expenditure	Encumbered	Total to Date	Variance
178,846	155,555	0	155,555	23,291

January 28, 2019 Construction Update**Project Profiles****Project # 9****Classroom Updates & Instructional Delivery Support - 2018**

Project Manager – Center for Teaching and Learning & Physical Plant
 Contractor – Various

Scope of Work:

The university is continuing to modernize classrooms to enhance instructional delivery. This includes instructional equipment replacement and classroom updates. This initiative provides funds to upgrade classrooms and obtain and/or replace technology related instructional delivery equipment.

Funding source: Higher Education Fund

Key Milestones:

Begun: January 2018

Expected Completion: Completed October 2018

Project budget of \$300,000 approved by board on July 23, 2017

Project Status:

- Project complete

Project Budget	Expenditure	Encumbered	Total to Date	Variance
300,000	244,214	0	244,214	55,786

Project # 10**Baker Pattillo Student Center Grand Ballroom Renovation – Phase 2**

Project Manager – Physical Plant
 Architect – Goodwin Lasiter Strong
 Contractor – KDW Ltd.

Scope of Work:

The Grand Ballroom is part of an addition made in 1979 to the building that is now the Baker Pattillo Student Center. This proposed renovation is to be completed in two phases. Phase 1 began at the conclusion of the FY17 year and included the pre-function areas in the hallways leading to the ballroom and serving the Twilight Ballroom will be included in the project to update the look of this area and to create additional space for circulation and pre-function activities. Phase 2 includes a complete renovation of the room including the installation of updated video projection equipment, upgraded sound systems and new furniture. The first phase was proposed at a cost not to exceed \$1,100,000 but was later amended by the board to \$1,400,000. Phase 2 was approved at \$2,400,000, bringing the total project cost to \$3,800,000.

Funding source: Auxiliary Fund Balance

Key Milestones:

Begun: January 2018

Expected Completion: December 2018

Project budget of \$2,400,000 approved by board on July 23, 2017

Project Status:

- All work complete
- Waiting for contractor documents before paying retainage

Project Budget	Expenditure	Encumbered	Total to Date	Variance
2,400,000	1,670,848	727,639	2,398,487	1,513

Project # 11***Ferguson, Dugas, and Math Buildings Exterior Renovations***

Project Manager – Physical Plant

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

Scope of Work:

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

Funding source: HEF

Key Milestones:

Begun: June 2018

Expected Completion: August 2019

Project budget of \$1,210,000 approved by board on July 23, 2017

Project Status:

- All restoration work is complete
- Math building window replacement to occur during summer, 2019

Project Budget	Expenditure	Encumbered	Total to Date	Variance
1,210,000	446,558	31,274	477,832	732,168

Project # 12**Business Building Renovation - Floors 3 & 4**

Project Manager – Physical Plant
 Contractor – Timberline Construction

Scope of Work:

This project includes renovating common areas of floors three and four similar to the project completed on floors one and two of the building. Work includes new wall finishes, ceiling system and lighting, flooring, and space re-configuration.

Funding source: Donations

Key Milestones:

Begun: May, 2018

Expected Completion: October 2018

Project budget of \$1,250,000 approved by board on January 29, 2018

Project Status:

- All work complete
- Contractor documents received; retainage being processed

Project Budget	Expenditure	Encumbered	Total to Date	Variance
1,250,000	1,074,618	53,977	1,128,595	121,405

Project # 13**Basketball Strength & Conditioning Room**

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

Scope of Work:

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

Funding source: Designated Fund Balance

Key Milestones:

Begun: TBD

Expected Completion: TBD

Project budget of \$750,000 approved by board on April 23, 2018

Project Status:

- Paused

Project Budget	Expenditure	Encumbered	Total To Date	Variance
750,000	27,369	20,744	48,113	701,887

Project # 14**Campus Space Realignment and Renovation**

Project Manager – Physical Plant

Architect – Various, as needed

Contractor – TBD

Scope of Work:

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

Funding source: HEF

Key Milestones:

Begun: September 2018

Expected Completion: TBD

Project budget of \$4,500,000 approved by board on July 23, 2018

Project Status:

- Prioritizing needs and collaborating with stakeholders

Project Budget	Expenditure	Encumbered	Total to Date	Variance
4,500,000	2,038	0	2,038	4,497,962

January 28, 2019 Construction Update**Project Profiles****Project # 15****Beach Volleyball Courts**

Project Manager – Physical Plant
 Engineer – Two Fifteen Consulting
 Contractor – TBD

Scope of Work:

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

Funding source: Designated Fund Balance

Key Milestones:

Begun: July 2018

Expected Completion: June 2019

Project budget of \$750,000 approved by board on April 23, 2018

Project Status:

- Construction documents 95% complete
- SFA review period commences December 17, 2018
- Bid date January 2019

Project Budget	Expenditure	Encumbered	Total to Date	Variance
750,000	5,121	26,336	31,457	718,543

Project # 16**Early Childhood Research Center Chiller**

Project Manager – Physical Plant
 Engineer – Arklatex Mechanical
 Contractor – Arklatex Mechanical

Scope of Work:

The Early Childhood Research Center currently has one chiller. An additional chiller would provide redundancy in the event the primary unit failed or required maintenance. This project includes all necessary electrical, control work, piping, insulation, etc. to relocate (from Central Utility Plant #1), install, and integrate the chiller in the ECRC mechanical building.

Funding source: HEF

Key Milestones:

Begun: September 2018

Expected Completion: January 2019

Project budget of \$200,000 approved by board on April 23, 2018

Project Status:

- Installed shut-off valves in existing water lines during Thanksgiving break.
- Equipment pads poured; chiller set in place
- Tie-in of condenser and chilled water lines completed; chilled lines insulated
- Electrical work in progress by in-house staff

Project Budget	Expenditure	Encumbered	Total to Date	Variance
200,000	0	151,177	151,177	48,823

Project # 17**McKibben Education Building 1st Floor Lobby Renovations**

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

Scope of Work:

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

Funding source: HEF

Key Milestones:

Begun: September 2018

Expected Completion: August 2019

Project budget of \$150,000 approved by board on July 23, 2018

Project Status:

- Initial stakeholder meeting completed
- Reviewing design concept with dean

Project Budget	Expenditure	Encumbered	Total to Date	Variance
150,000	0	14,000	14,000	136,000

Project # 18**Architectural Assessment for House at 1401 N. Mound Street**

Project Manager – Physical Plant

Architect/Engineer – Goodwin-Lasiter-Strong & Two Fifteen Consulting

Contractor – NA

Scope of Work:

On July 25, 2017, the regents approved the purchase of a house located at 1401 N. Mound Street from Senator Kay Bailey Hutchison. A historical residence, the house is located adjacent to university property. The architectural firm Facilities Programming and Consulting (FP&C) has assessed the space and made recommendations for its use. The university would like to engage a comprehensive architectural design plan for the house and property.

Funding source: HEF

Key Milestones:

Begun: September 2018

Expected Completion: April 2019

Project budget of \$150,000 approved by board on July 23, 2018

Project Status:

- Design team in research and programming phase
- Purchase orders for consultants issued
- Property survey completed (for plaque and utilities)

Project Budget	Expenditure	Encumbered	Total to Date	Variance
150,000	152	14,450	14,602	135,398

Project # 19**Boynton Building Restroom Remodel**

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

Scope of Work:

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

Funding source: HEF

Key Milestones:

Begun: September 2018

Expected Completion: August, 2019

Project budget of \$275,000 approved by board on July 23, 2018

Project Status:

- Site investigation underway
- Issued purchase order to architect

Project Budget	Expenditure	Encumbered	Total to Date	Variance
275,000	0	26,000	26,000	249,000

Project # 20**Steen Library Architectural Assessment**

Project Manager – Physical Plant

Architect – Goodwin-Lasiter-Strong (negotiation in progress)

Contractor – NA

Scope of Work:

Nationally, university libraries are evolving from vast collections of books and journals into academic commons that house student support services, academic advising, collaborative study space, faculty support areas, and administrative functions as well as traditional library functions. The Steen library has significantly reduced its physical collection eliminating outdated, underutilized, and redundant volumes that can be easily accessed electronically. Development of an academic commons is a critical step towards achieving the vision of student success described in the strategic plan - reaching students where they are, using cutting-edge teaching techniques and advanced research methods both inside and outside the classroom in an open, collaborative, and engaged environment.

Funding source: HEF

Key Milestones:

Begun: September 2018

Expected Completion: August 2019

Project budget of \$150,000 approved by board on July 23, 2017

Project Status:

- Defined stakeholder needs
- Preparing program of space
- Issued purchase order to architect

Project Budget	Expenditure	Encumbered	Total to Date	Variance
150,000	0	98,100	98,100	51,900

Project # 21**College of Education Annex Air Handling Unit Replacement**

Project Manager – Physical Plant

Architect – NA

Contractor – Arklatex Mechanical

Scope of Work:

The College of Education Annex building was built in 1975 and the original air handling equipment is now 43 years old and in need of replacement.

Funding source: HEF

Key Milestones:

Begun: July 2018

Expected Completion: December 2018

Project budget of \$251,950 approved by board on July 18, 2011

Project Status:

- Purchase order issued; air handling units have been ordered.
- Work scheduled for Christmas break

Project Budget	Expenditure	Encumbered	Total to Date	Variance
251,950	152,719	51,752	204,471	47,479

January 28, 2019 Construction Update**Project Profiles****Project # 22****Fine Arts Expansion**

Project Manager – Physical Plant

Architect – Kirksey Architecture (pending negotiations)

Contractor – KDW, Ltd. (pending negotiations)

Scope of Work:

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

Funding source: Revenue Financing Bonds

Key Milestones:

Begun: December 2018

Expected Completion: December 2022

Project estimate of \$37,000,000 approved by board on October 28, 2018

Project Status:

- Negotiations with Architect and Construction Manager at Risk are underway.
- Site survey in progress

Project Budget	Expenditure	Encumbered	Total to Date	Variance
37,000,000	0	18,500	18,500	36,981,500

Project # 23**Basketball Practice Facility**

Project Manager – Physical Plant
 Architect – Populous
 Contractor – KDW, Ltd. (pending negotiations)

Scope of Work:

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

Funding source: Student Fees

Key Milestones:

Begun: December 2018

Expected Completion: November 2021

Project estimate of \$26,000,000 approved by board on October 28, 2018

Project Status:

- Programming and site survey underway
- Purchase order and Notice to Proceed issued for Architect/Engineering services

Project Budget	Expenditure	Encumbered	Total to Date	Variance
26,000,000	0	1,590,350	1,590,350	24,409,650

Project # 24**Student Residential and Dining Facilities**

Project Manager – Physical Plant

Architect – Kirksey Architecture (pending negotiations)

Contractor – KDW, Ltd. (pending negotiations)

Scope of Work:

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

Funding source: Student Housing Fees

Key Milestones:

Begun: December 2018

Expected Completion: October 2022

Project estimate of \$26,000,000 approved by board on October 28, 2018

Project Status:

- Site survey in progress
- Related East college cafeteria assessment is underway (Kirksey)

Project Budget	Expenditure	Encumbered	Total to Date	Variance
39,500,000	0	26,000	26,000	39,474,000

Project # 25**Welcome Center and Student Support Services / One Stop Shop**

Project Manager – Physical Plant
 Architect – Kirksey Architecture (pending negotiations)
 Contractor – KDW, Ltd. (pending negotiations)

Scope of Work:

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

Funding source: Revenue Financing Bonds

Key Milestones:

Begun: December 2018

Expected Completion: February 2023

Project estimate of \$13,000,000 approved by board on October 28, 2018

Project Status:

- Site survey in progress

Project Budget	Expenditure	Encumbered	Total to Date	Variance
13,000,000	0	3,500	3,500	12,996,500



Stephen F. Austin State University

Planned Maintenance Report

Finance & Administration

January 28, 2019

Completed Planned Maintenance & New Construction

Description	FY2014	FY2015	FY2016	FY2017	FY2018	Totals
Planned Project Maintenance	2,533,768	9,168,147	9,082,075	3,393,879	6,453,149	30,631,018
Planned Project Maintenance - TRB Funded	911,271	515,839	-	-	-	1,427,110
New Construction	603,272	268,740	4,507,787	11,444,951	30,687,458	47,512,208
Grand Total	4,048,311	9,952,726	13,589,862	14,838,830	37,140,607	79,570,336

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

New Construction Projects Include:

- Conservation Education Building
- School of Music Practice Rooms
- Housing Operations / Printing Services Facility
- Feazell Street Parking Lot
- Athletic Video Board Project
- Ed & Gwen Cole STEM Building
- Native Plant Center Greenhouse
- Softball Lighting Project
- Clark Blvd. Sign
- Sand Volleyball Courts



5-Year Planned Maintenance Summary

Planned Maintenance by Year and Type						
	FY2019	FY2020	FY2021	FY2022	FY2023	Totals
E&G	1,881,696	2,681,000	2,199,000	2,666,000	2,847,000	12,274,696
Architectural	765,000	852,000	847,000	371,000	797,000	3,632,000
HVAC	441,696	1,245,000	508,000	1,495,000	50,000	3,739,696
Legal and Mandatory	0	0	0	0	0	0
Other	485,000	440,000	460,000	65,000	1,900,000	3,350,000
Plumbing and Electrical	120,000	104,000	309,000	695,000	0	1,228,000
Safety	70,000	40,000	75,000	40,000	100,000	325,000
Auxiliary	1,694,936	1,400,000	1,895,000	1,372,000	1,715,000	8,076,936
Architectural	251,518	110,000	220,000	25,000	1,020,000	1,626,518
HVAC	0	300,000	450,000	95,000	30,000	875,000
Legal and Mandatory	0	150,000	0	0	0	150,000
Other	750,000	40,000	735,000	252,000	420,000	2,197,000
Plumbing and Electrical	693,418	750,000	490,000	1,000,000	245,000	3,178,418
Safety	0	50,000	0	0	0	50,000
Infrastructure	150,000	145,000	525,000	390,000	1,200,000	2,410,000
HVAC	0	30,000	50,000	0	750,000	830,000
Other	120,000	115,000	475,000	0	450,000	1,160,000
Plumbing and Electrical	30,000	0	0	390,000	0	420,000
Totals	3,726,632	4,226,000	4,619,000	4,428,000	5,762,000	22,761,632



Planned Maintenance by Building & Type

Page 1 of 7	FY2019	FY2020	FY2021	FY2022	FY2023	Totals by Maint. Type	Totals by Building
E&G	7,506,696	2,966,000	3,436,500	2,984,000	3,612,000	16,774,696	16,774,696
Art		4,000		220,000			224,000
HVAC				90,000		90,000	
Plumbing and Electrical		4,000		130,000		134,000	
Art Studio				155,000			155,000
HVAC				75,000		75,000	
Plumbing and Electrical				80,000		80,000	
Austin Bldg			75,000				75,000
Other			75,000			75,000	
Boynton Building	275,000			180,000	100,000		555,000
HVAC				180,000		180,000	
Other	275,000					275,000	
Safety					100,000	100,000	
COE Annex	420,000	150,000					570,000
Architectural	220,000					220,000	
HVAC	200,000					200,000	
Other		150,000				150,000	
Ferguson	120,000	155,000		125,000			400,000
Architectural				125,000		125,000	
HVAC		75,000				75,000	
Other		80,000				80,000	
Plumbing and Electrical	120,000					120,000	
Forestry Building			535,000	30,000	125,000		690,000
Architectural					125,000	125,000	
HVAC			450,000			450,000	
Other			85,000	30,000		115,000	



Planned Maintenance by Building & Type

Page 2 of 7	FY2019	FY2020	FY2021	FY2022	FY2023	Totals by Maint. Type	Totals by Building
E&G (continued)	7,506,696	2,966,000	3,436,500	2,984,000	3,612,000	16,774,696	16,774,696
Forestry Lab	70,000						70,000
Safety	70,000					70,000	
HPE Complex		1,000,000	59,000	150,000	665,000		1,874,000
Architectural					665,000	665,000	
HVAC		1,000,000				1,000,000	
Plumbing and Electrical			59,000	150,000		209,000	
Human Sciences - North				210,000			210,000
Architectural				95,000		95,000	
Plumbing and Electrical				75,000		75,000	
Safety				40,000		40,000	
Infrastructure	41,696		250,000				291,696
HVAC	41,696					41,696	
Other			250,000			250,000	
Intramural Restroom		7,000					7,000
Architectural		7,000				7,000	
Large Dome		25,000					25,000
Architectural		25,000				25,000	
Liberal Arts North		170,000		5,000			175,000
HVAC		95,000				95,000	
Other		75,000				75,000	
Plumbing and Electrical				5,000		5,000	
Math Building				126,000	300,000		426,000
Architectural				126,000		126,000	
Other					300,000	300,000	



Planned Maintenance by Building & Type

Page 3 of 7	FY2019	FY2020	FY2021	FY2022	FY2023	Totals by Maint. Type	Totals by Building
E&G (continued)	7,506,696	2,966,000	3,436,500	2,984,000	3,612,000	16,774,696	16,774,696
McGee Business	272,500	185,000		160,000			617,500
Architectural	272,500	185,000				457,500	
Plumbing and Electrical				160,000		160,000	
McKibben Education	422,500	375,000					797,500
Architectural	272,500	185,000				457,500	
Other	150,000	50,000				200,000	
Plumbing and Electrical		100,000				100,000	
Safety		40,000				40,000	
Mechanical For ECRC	200,000						200,000
HVAC	200,000					200,000	
Mechanical Plant 2		75,000					75,000
HVAC		75,000				75,000	
Miller Science			975,000	500,000			1,475,000
Architectural			650,000			650,000	
HVAC				500,000		500,000	
Plumbing and Electrical			250,000			250,000	
Safety			75,000			75,000	
Music		85,000		485,000			570,000
HVAC				450,000		450,000	
Other		85,000		35,000		120,000	
Poultry Feed Mill			58,000				58,000
HVAC			58,000			58,000	
Purchasing/Central Stores					7,000		7,000
Architectural					7,000	7,000	
SFA Theater				25,000			25,000
Architectural				25,000		25,000	



Planned Maintenance by Building & Type

Page 4 of 7	FY2019	FY2020	FY2021	FY2022	FY2023	Totals by Maint. Type	Totals by Building
E&G (continued)	7,506,696	2,966,000	3,436,500	2,984,000	3,612,000	16,774,696	16,774,696
Shelton Gym				295,000			295,000
HVAC				200,000		200,000	
Plumbing and Electrical				95,000		95,000	
Social Work			50,000				50,000
Other			50,000			50,000	
SRC			96,000				96,000
Architectural			96,000			96,000	
Steen Library	60,000	450,000			1,600,000		2,110,000
Architectural		450,000				450,000	
Other	60,000				1,600,000	1,660,000	
Stone Fort			35,000		50,000		85,000
Architectural			35,000			35,000	
HVAC					50,000	50,000	
UPD			66,000				66,000
Architectural			66,000			66,000	
Various Buildings	4,500,000						4,500,000
Other	4,500,000					4,500,000	
Athletics	750,000	150,000	145,000	95,000	70,000	1,210,000	1,210,000
Infrastructure	750,000						750,000
Other	750,000					750,000	
Stadium Fieldhouse			145,000		70,000		215,000
Architectural			145,000			145,000	
Plumbing and Electrical					70,000	70,000	
Stadium Press Box		150,000		95,000			245,000
HVAC				95,000		95,000	
Legal and Mandatory		150,000				150,000	



Planned Maintenance by Building & Type

Page 5 of 7	FY2019	FY2020	FY2021	FY2022	FY2023	Totals by Maint. Type	Totals by Building
Campus Recreation		40,000	680,000	117,000	440,000	1,277,000	1,277,000
HPE Complex			30,000				30,000
Other			30,000			30,000	
Student Recreation Center		40,000		25,000	20,000		85,000
Architectural				25,000		25,000	
Other		40,000				40,000	
Plumbing and Electrical					20,000	20,000	
Infrastructure			650,000	92,000	420,000		1,162,000
Other			650,000	92,000	420,000	1,162,000	
Health Services		50,000				50,000	50,000
Health Services		50,000					50,000
Safety		50,000				50,000	
Parking		10,000				10,000	10,000
Lumberjack Village Garage		10,000					10,000
Architectural		10,000				10,000	
Residence Life	894,936	650,000	1,015,000	1,160,000	1,205,000	4,924,936	4,924,936
Griffith Hall	643,418		100,000		275,000		1,018,418
Architectural					275,000	275,000	
HVAC			100,000			100,000	
Plumbing and Electrical	643,418					643,418	
Hall 10				160,000			160,000
Other				160,000		160,000	
Hall 14			150,000	1,000,000	70,000		1,220,000
Plumbing and Electrical			150,000	1,000,000	70,000	1,220,000	
Hall 16			220,000				220,000
Plumbing and Electrical			220,000			220,000	



Planned Maintenance by Building & Type

Page 6 of 7	FY2019	FY2020	FY2021	FY2022	FY2023	Totals by Maint. Type	Totals by Building
Residence Life (continued)	894,936	650,000	1,015,000	1,160,000	1,205,000	4,924,936	4,924,936
Hall 20			75,000		40,000		115,000
Architectural			75,000			75,000	
Plumbing and Electrical					40,000	40,000	
Kerr Hall		650,000	100,000		275,000		1,025,000
Architectural					275,000	275,000	
HVAC			100,000			100,000	
Plumbing and Electrical		650,000				650,000	
Mechanical For Griffith/Kerr			250,000				250,000
HVAC			250,000			250,000	
Mechanical For Steen			120,000				120,000
Plumbing and Electrical			120,000			120,000	
Steen Hall	251,518				400,000		651,518
Architectural	251,518				400,000	651,518	
Wisely Hall					145,000		145,000
Architectural					70,000	70,000	
HVAC					30,000	30,000	
Plumbing and Electrical					45,000	45,000	
Student Services	50,000	500,000	55,000			605,000	605,000
BP Student Center		200,000	55,000				255,000
Architectural		100,000				100,000	
Other			55,000			55,000	
Plumbing and Electrical		100,000				100,000	
East College Cafeteria	50,000						50,000
Plumbing and Electrical	50,000					50,000	
Mechanical For Student Center		300,000					300,000
HVAC		300,000				300,000	



Planned Maintenance by Building & Type

Page 7 of 7	FY2019	FY2020	FY2021	FY2022	FY2023	Totals by Maint. Type	Totals by Building
Campus Infrastructure	150,000	145,000	525,000	390,000	1,200,000	2,410,000	2,410,000
Miscellaneous	150,000	145,000	525,000	390,000	1,200,000		2,410,000
HVAC		30,000	50,000		750,000	830,000	
Other	120,000	115,000	475,000		450,000	1,160,000	
Plumbing and Electrical	30,000			390,000		420,000	
Grand Total	12,902,448	6,481,500	7,547,250	6,801,000	9,025,500	27,261,632	27,261,632



FY2018 Planned Capital Projects

Building/Area	Deficiency Description	Budget	Category	Maint. Type
Various Buildings	Space Realignment and Renovation	\$ 4,500,000	Facility Adaptation	Other
Campus Grounds	Sand volleyball courts	\$ 750,000	Facility Addition	Other
Griffith & Kerr Halls	Replace hot water piping	\$ 643,418	Planned Maintenance	Plumbing and Electrical
McGee & McKibben	Renovate exterior of buildings	\$ 545,000	Planned Maintenance	Architectural
Miscellaneous Classrooms	Update and instructional delivery support	\$ 347,000	Planned Maintenance	Safety
Boynton	Restroom remodeling	\$ 275,000	Planned Maintenance	Other
Steen Hall	Replace all roofing	\$ 251,518	Planned Maintenance	Architectural
COE Annex	Replace all roofing	\$ 220,000	Planned Maintenance	Architectural
ECRC	Relocate Chiller from Plant 1	\$ 200,000	Planned Maintenance	HVAC
McKibben	Renovate first floor lobbies	\$ 150,000	Planned Maintenance	Other
Ferguson	Replace electrical panels	\$ 120,000	Planned Maintenance	Plumbing and Electrical
Total		\$8,383,376		



The Investment Report will be presented orally at the meeting.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

Explanation:

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

The audit services report as presented includes the following:

- Office of Research and Graduate Studies Departmental Audit
- International Programs Departmental Audit
- Geology Departmental Audit
- Computer Science Departmental Audit
- Alumni Departmental Audit
- Safety and Security Audit
- Information Technology Patching, Anti-virus, and Vulnerability Management Audit
- Investigations
- NCAA Agreed Upon Procedures
- Update on Audit Plan

Recommendation:

Pending consideration of the Finance and Audit Committee

APPROVAL OF THE 2017-18 ANNUAL FINANCIAL REPORT

Explanation:

As required by state law, Stephen F. Austin State University submitted the August 31, 2018, Annual Financial Report on November 20, 2018, to the Office of the Governor, Comptroller of Public Accounts, Legislative Budget Board, Texas Higher Education Coordinating Board, Legislative Reference Library, Texas State Library and Texas State Auditor's Office. The report reflected the university's financial activities for the period September 1, 2017, through August 31, 2018.

Recommendation:

The administration recommends approval of the Stephen F. Austin State University 2017-18 annual financial report.

STEPHEN F. AUSTIN STATE UNIVERSITY



Unaudited Financial Report For the Year Ended August 31, 2018

BAKER PATILLO, PRESIDENT
DANNY GALLANT, VICE PRESIDENT FOR FINANCE AND ADMINISTRATION

NACOGDOCHES, TEXAS

Stephen F. Austin State University

**Unaudited Financial Report
For the Year Ended
August 31, 2018**

STEPHEN F. AUSTIN STATE UNIVERSITY

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STEPHEN F. AUSTIN STATE UNIVERSITY

Office of Controller

P. O. Box 13035 SFA Station • Nacogdoches TX 75962-3035
Phone: (936) 468-2303 • Fax: (936) 468-2207

November 15th, 2018

Honorable Greg Abbott, Governor
Honorable Glenn Hegar, Texas Comptroller of Public Accounts
Ursula Parks, Director, Legislative Budget Board
Angelica Ramirez, CPA, Assistant State Auditor
Verma Elliott, CPA, Assistant State Auditor

Dear Ladies and Gentlemen:

We are pleased to submit the annual financial report of Stephen F. Austin State University for the year ended August 31, 2018, in compliance with Texas Government Code Annotated, Section 2101.011 and in accordance with the requirements established by the Texas Comptroller of Public Accounts.

Due to the statewide requirements embedded in Governmental Accounting Standards Board (GASB) Statement No. 34, *Basic Financial Statements – and Management's Discussion and Analysis – for State and Local Governments*, the Comptroller of Public Accounts does not require the accompanying annual financial report to comply with all the requirements in this statement. The financial report will be considered for audit by the state auditor as part of the audit of the State of Texas *Comprehensive Annual Financial Report* (CAFR). Therefore, an opinion has not been expressed on the financial statements and related information contained in this report.

If you have any questions, please contact Ms. Dannette Sales at (936) 468-2354. Mrs. Letitia Hamilton may be contacted at (936) 468-2250 for questions related to the Schedule of Expenditures of Federal Awards.

Sincerely,

Steven Westbrook, Ed.D
Acting President



STEPHEN F. AUSTIN STATE UNIVERSITY

Office of Controller

P. O. Box 13035 SFA Station • Nacogdoches TX 75962-3035
Phone: (936) 468-2303 • Fax: (936) 468-2207

November 15th, 2018

Dr. Steven Westbrook
Acting President
Stephen F. Austin State University
P. O. Box 6078, SFA Station
Nacogdoches, Texas 75962

Dear Dr. Westbrook:

Submitted herein is the Annual Financial Report of Stephen F. Austin State University for the fiscal year ended August 31, 2018.

The financial statements in this report have been prepared in conformity with the General Provisions of the Appropriations Act, Article IX, and in accordance with the requirements established by the Comptroller of Public Accounts.

The accompanying Annual Financial Report will be considered for audit by the state auditor as part of the audit of the State of Texas Comprehensive Annual Financial Report (CAFR). Therefore, an opinion has not been expressed on the financial statements and related information contained in this report.

If you have any questions, please contact me.

Sincerely,

Dannette Sales, CPA
Controller

Approved:

Danny Gallant, Ph.D
Vice President for Finance and Administration

STEPHEN F. AUSTIN STATE UNIVERSITY

ORGANIZATIONAL DATA

August 31, 2018

Board of Regents

Officers

Brigettee C. Henderson, Chairman
Alton L. Frailey, Vice Chairman
Nelda L. Blair, Secretary

Members

Name	Town	Term Expires
David R. Alders	Nacogdoches, Texas	January 31, 2019
John R. Garrett	Tyler, Texas	January 31, 2019
Kenton E. Schaefer	Brownsville, Texas	January 31, 2019
Nelda L. Blair	The Woodlands, Texas	January 31, 2021
Scott H. Coleman	Houston, Texas	January 31, 2021
Alton L. Frailey	Katy, Texas	January 31, 2021
Karen G. Gantt	McKinney, Texas	January 31, 2023
Brigettee C. Henderson	Lufkin, Texas	January 31, 2023
M. Thomas Mason	Dallas, Texas	January 31, 2023
Kate Childress (student)	Lumberton, Texas	May 31, 2019

President

Baker Pattillo, Ph.D.

Finance and Administration

Vice President - Danny Gallant, Ph.D.
Controller - Dannette Sales, CPA
Assistant Controller - Eric Ashworth, CPA

STEPHEN F. AUSTIN STATE UNIVERSITY

Management's Discussion and Analysis

Unaudited

For the Year Ended August 31, 2018

INTRODUCTION

Stephen F. Austin State University (the University) is a comprehensive regional public institution of higher education and an agency of the State of Texas (State). The University was founded in 1923 and is named for the "Father of Texas," Stephen Fuller Austin. It is located in the city of Nacogdoches, a part of the East Texas forested region. The main campus has more than 400 acres, including part of the original homestead of Thomas J. Rusk, early Texas patriot and United States Senator. In fall 2017, the University enrolled 12,614 students in 34 academic units and 6 colleges. The University offers baccalaureate, masters, and doctoral degrees.

The University is accredited by the Southern Association of Colleges and Schools Commission on Colleges. Specific academic programs hold numerous other accreditations.

The University does not include any blended components in the Financial Statements.

OVERVIEW OF THE FINANCIAL STATEMENTS AND FINANCIAL ANALYSIS

The objective of Management's Discussion and Analysis is to help readers of the University's Financial Statements better understand the financial position and operating activities for the fiscal year ended August 31, 2018, with selected comparative information for the year ended August 31, 2017. This discussion should be read in conjunction with the Transmittal Letter, Financial Statements, and Notes to the Financial Statements. Management has prepared the Financial Statements and Notes to the Financial Statements along with the discussion and analysis. Responsibility for the completeness and fairness of this information rests with the University administration.

Three primary statements are presented: Statement of Net Position; Statement of Revenues, Expenses, and Changes in Net Position; and Statement of Cash Flows. The Financial Statements are prepared in accordance with requirements established by the Texas Comptroller of Public Accounts.

FINANCIAL HIGHLIGHTS

- Enrollment for the fall 2017 semester was 12,614. This figure represents a slight decrease of one percent from the enrollment of 12,742 recorded in fall 2016. Retention rates and persistence to graduation are two metrics by which the Texas Legislature evaluates State universities. The University reported the highest first-time undergraduate retention rate in University history, with the fall 2017 value of 71.6 percent representing a four percentage point increase over the past five years.
- The University's financial position at August 31, 2018, reflected total assets and deferred outflows of \$482 million and total liabilities and deferred inflows of \$368 million. Overall, the net position of the University increased \$23.8 million. However, with the implementation of GASB Statement No. 75, the Employees Retirement System recorded a negative restatement of almost \$57 million to the University's long-term liabilities.
- The University began a five-year capital fundraising campaign to coincide with the University's 100-year anniversary in 2023.
- In the fall of 2016, the University began construction of a Science, Technology, Engineering and Mathematics (STEM) building after the approval and sale of \$46.4 million in tuition revenue bonds. The \$61.2 million bond issue also provided for the refunding of the 2008 revenue bond and 2009 revenue bond in the amount of \$10.4 million and \$13.9 million, respectively. In July 2018, the University held a ribbon-cutting ceremony for the opening of the STEM building.

Stephen F. Austin State University-755
Management's Discussion and Analysis
UNAUDITED
For the Year Ended August 31, 2018

CONDENSED FINANCIAL INFORMATION AND FINANCIAL HIGHLIGHTS

Statement of Net Position

The Statement of Net Position provides a snapshot view of assets available for use in the University's continuing operations and enables readers to determine the amounts owed to others. Over time, increases or decreases in net position are indicators of the improvement or decline of the financial health of the University. The Statement of Net Position presents the assets, liabilities, deferred outflow and inflow of resources, and net position of the University at a specific point in time, in this case August 31, 2018. Net position represents the residual interest in the University's assets and deferred outflows of resources after deducting liabilities and deferred inflows of resources.

"Net Position" displays three major categories: Invested in Capital Assets, Net of Related Debt; Restricted Net Position; and Unrestricted Net Position. The Invested in Capital Assets, Net of Related Debt category identifies the equity in property, plant, and equipment owned by the University. Restricted Net Position is either expendable or non-expendable. Restricted Net Position - Expendable may be expended only for the purposes designated by the external donor or provider of the assets. Restricted Net Position - Non-expendable is comprised entirely of funds held as permanent endowments. Unrestricted Net Position is available for any lawful purpose of the University. Although Unrestricted Net Position assets are not subject to externally imposed stipulations, these assets may have other commitments for various future uses in support of the University's mission. These include commitments for encumbrances outstanding at year-end. Also recognized in Unrestricted Net Position are unspent Higher Education Funds (HEF) and other appropriations which have restrictions imposed by the State. Assets and liabilities are generally measured using current values, except capital assets, which are stated at historical cost less an allowance for depreciation.

A summarized comparison of the University's Statement of Net Position at August 31, 2018, and 2017 follows:

Statement of Net Position

	August 31, 2018	August 31, 2017
Assets		
Current Assets	\$ 117,571,602.38	\$ 163,179,103.22
Noncurrent Assets		
Other Noncurrent Assets	116,540,639.26	91,275,306.92
Capital Assets, Net of Depreciation	221,952,886.27	201,903,491.09
Total Assets	<u>456,065,127.91</u>	<u>456,357,901.23</u>
Deferred Outflows of Resources	<u>26,336,516.00</u>	<u>14,758,104.00</u>
Liabilities		
Current Liabilities	121,913,887.85	119,609,744.91
Noncurrent Liabilities	224,600,894.69	194,242,217.41
Total Liabilities	<u>346,514,782.54</u>	<u>313,851,962.32</u>
Deferred Inflows of Resources	<u>22,283,595.00</u>	<u>10,653,756.00</u>

Stephen F. Austin State University-755
Management's Discussion and Analysis
UNAUDITED
For the Year Ended August 31, 2018

Net Position

Invested in Capital Assets, Net of Related Debt	67,545,914.70	60,879,173.22
Restricted Net Position		
Expendable	26,104,645.97	24,399,207.29
Non-expendable	6,019,491.63	5,986,857.51
Unrestricted Net Position	13,933,214.07	55,345,048.89
Total Net Position	\$ 113,603,266.37	\$ 146,610,286.91

In fiscal year 2018, GASB Statement No. 75 became effective for all State agencies. GASB Statement No. 75 requires State agencies to report its proportionate share of the State's Other Post-Employment Benefits (OPEB) liability on the face of the Financial Statements. OPEB includes retiree health care insurance, life insurance and non-pension benefits. Restatement to the University's net assets for its proportionate share of the prior years' accumulated liability associated with OPEB was \$56,912,940.00. However, changes in current year actuarial assumptions reduced this liability to \$48,756,360.00 for the year ended August 31, 2018.

Statement of Revenues, Expenses, and Changes in Net Position

The change in total net position is calculated from the activity shown on the Statement of Revenues, Expenses, and Changes in Net Position. This statement presents operating revenues and expenses, non-operating revenues and expenses, and other revenues, expenses, gains (losses) and transfers.

Operating revenues are receipts for providing goods and services to the various constituencies of the University. Operating expenses include salaries, wages, and goods and services needed to carry out the mission of the University. Non-operating revenues and expenses include non-exchange transactions for which no goods or services were provided. This category includes State appropriations, Pell grants, gifts, investment income, and interest payments on long-term debt.

A summarized comparison of the University's Statement of Revenues, Expenses, and Changes in Net Position for the years ended August 31, 2018, and 2017 follows:

Statement of Revenues, Expenses, and Changes in Net Position

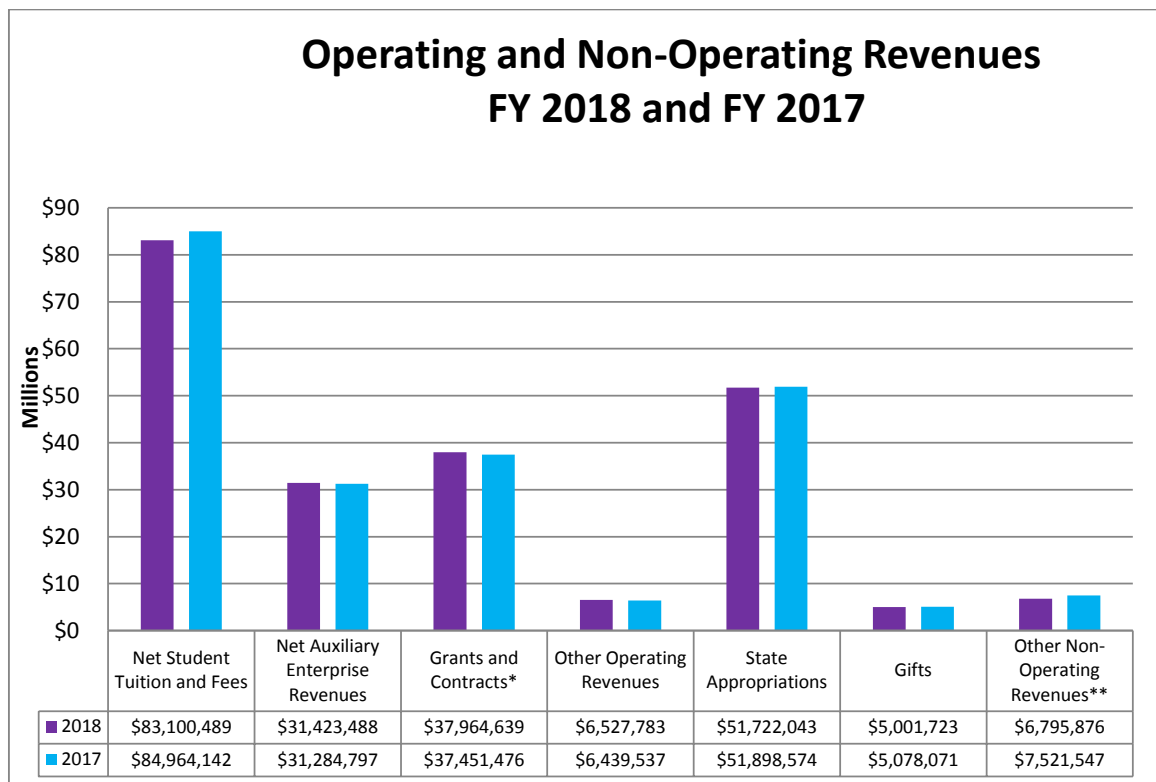
	2018	2017
Operating Revenues:		
Net Student Tuition and Fees	\$ 83,100,488.78	\$ 84,964,141.69
Net Auxiliary Enterprise Revenues	31,423,488.19	31,284,796.81
Grants and Contracts	15,792,124.41	15,996,719.18
Other Operating Revenues	6,527,782.71	6,439,537.23
Total Operating Revenues	136,843,884.09	138,685,194.91
Total Operating Expenses	209,187,894.49	216,292,075.47
Operating Income (Loss)	(72,344,010.40)	(77,606,880.56)

Stephen F. Austin State University-755
Management's Discussion and Analysis
UNAUDITED
For the Year Ended August 31, 2018

Non-Operating Revenues (Expenses):		
Legislative Revenue (State)	40,145,774.99	39,729,279.55
Additional Appropriations	11,576,268.12	12,169,293.97
Federal Revenues - Non-Operating	22,172,515.00	21,454,757.00
Gifts	5,001,723.48	5,078,071.49
Net Investment Income (Loss)	4,082,097.64	2,672,541.33
Net Increase (Decrease) in Fair Value of Investments	2,003,213.49	4,085,931.68
Interest Expenses and Fiscal Charges	(2,510,119.41)	(4,899,033.23)
Net Other Non-Operating Revenues (Expenses)	710,564.49	763,073.94
Total Non-Operating Revenues (Expenses)	83,182,037.80	81,053,915.73
Income (Loss) Before Other Revenues, Expenses, Gains or Losses		
	10,838,027.40	3,447,035.17
Other Revenues, Expenses, Gains (Losses) and Transfers	12,944,200.47	16,930,479.96
Change in Net Position	23,782,227.87	20,377,515.13
Net Position, Beginning of Year	146,610,286.91	126,802,797.52
Restatements	(56,789,248.41)	(570,025.74)
Restated Net Position, Beginning of Year	89,821,038.50	126,232,771.78
Net Position, End of Year	\$ 113,603,266.37	\$ 146,610,286.91

Stephen F. Austin State University-755
Management's Discussion and Analysis
UNAUDITED
For the Year Ended August 31, 2018

The following graph exhibits operating and non-operating revenues by major source:



* Grants and Contracts includes both Operating and Non-Operating Grants and Contracts.

**Other Non-Operating Revenues includes Net Investment Income, Net Increase (Decrease) in Fair Value of Investments, and Net Other Non-Operating Revenues.

Some of the fiscal year 2018 highlights presented in the Statement of Revenues, Expenses, and Changes in Net Position are as follows:

- In January 2017, the Board of Regents approved no increase in designated tuition for the 2017-18 fiscal year. With relatively stable enrollment, the only factors affecting tuition and fee revenues were the increase in exemptions and the increase in tuition discounting as shown in the next table.
- The Board of Regents approved a slight increase of .5 percent in housing rates and a 1.7 percent increase in meal plan rates for the 2018 fiscal year. Occupancy for the fall term was 94 percent and the spring term held at 82 percent.
- With regard to Non-Operating Revenues and Expenses, the University experienced a decrease in interest expense on bonded debt of almost \$2.4 million. This reflects the savings realized on the 2016 issue that refunded the 2008 and 2009 bond issues and therefore reduced interest expense \$1.4 million and recorded amortization of premium in the amount of approximately \$0.5 million.

Stephen F. Austin State University-755
Management's Discussion and Analysis
UNAUDITED
For the Year Ended August 31, 2018

Discounts and allowances reported as offsets for both tuition and fees and auxiliary enterprise revenues include exemptions, tuition discounts, and the allowance for doubtful accounts, which is a calculated estimate of the uncollectible student receivables. The chart below reflects these amounts and the related variances from fiscal year 2017.

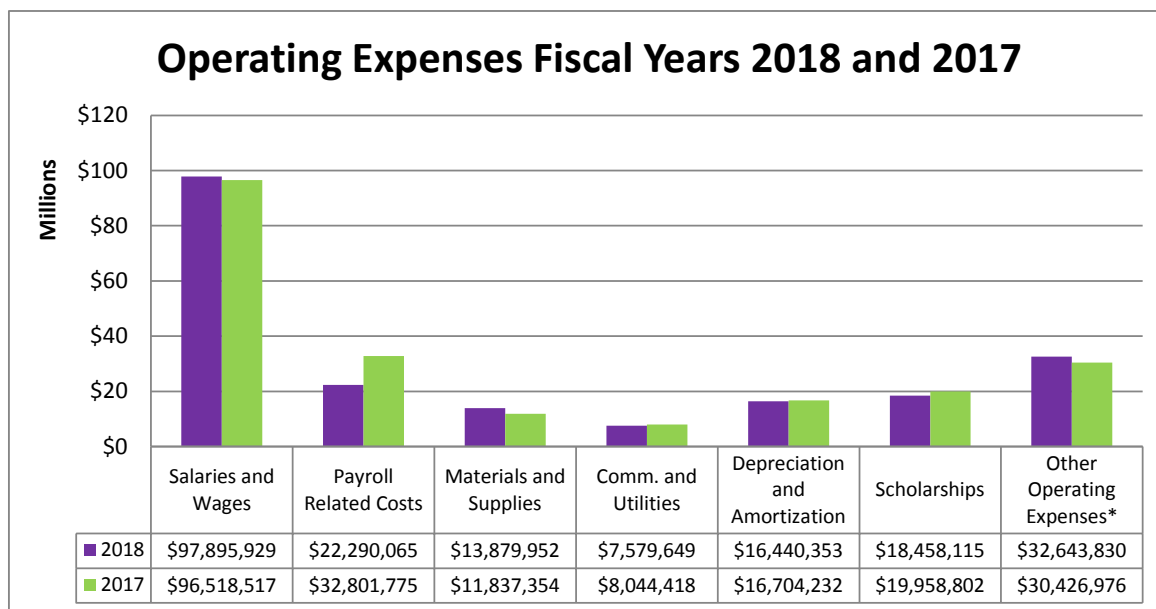
Gross Student Revenues, Exemptions, Discounts and Allowances			
	2018	2017	Net Change
Tuition and Fees - Pledged	\$111,451,845.53	\$111,148,989.37	\$302,856.16
Tuition and Fees - Non-Pledged	4,120,908.51	4,123,074.98	(2,166.47)
Exemptions	(8,570,788.52)	(7,830,304.89)	(740,483.63)
Tuition Discounts	(23,651,301.36)	(22,141,915.22)	(1,509,386.14)
Allowances for Doubtful Accounts	(250,175.28)	(335,702.55)	85,527.27
Net Student Tuition and Fees	<u>\$83,100,488.88</u>	<u>\$84,964,141.69</u>	<u>(\$1,863,652.81)</u>
Auxiliary Enterprises - Pledged	\$41,230,215.22	\$39,761,896.70	\$1,468,318.52
Auxiliary Enterprises - Non-Pledged	1,909,068.75	2,158,604.60	(249,535.85)
Discounts	(11,499,790.73)	(10,277,343.69)	(1,222,447.04)
Allowances for Doubtful Accounts	(216,005.05)	(358,360.80)	142,355.75
Net Auxiliary Enterprise Revenues	<u>\$31,423,488.19</u>	<u>\$31,284,796.81</u>	<u>\$138,691.38</u>

The following data summarizes the operating expenses in the natural classification expense categories for the fiscal years ended August 31, 2018, and 2017:

	2018	2017
Cost of Goods Sold	\$ 11,119,190.99	\$ 10,089,637.06
Salaries and Wages	97,895,928.84	96,518,517.24
Payroll Related Costs	22,290,065.35	32,801,775.49
Professional Fees and Services	2,058,410.52	1,470,749.20
Travel	2,793,030.91	2,910,527.19
Materials and Supplies	13,879,952.30	11,837,354.39
Communication and Utilities	7,579,649.04	8,044,418.37
Repairs and Maintenance	6,046,641.67	4,924,776.95
Rentals and Leases	2,689,060.91	2,910,082.14
Printing and Reproduction	372,380.05	465,527.03
Federal and State Pass-Through Expenditures	158,087.46	614,979.63
Amortization	0.00	89,963.09
Depreciation	16,440,353.35	16,614,268.61
Scholarships	18,458,115.44	19,958,802.35
Other Operating Expenses	7,407,027.66	7,040,696.73
	<u>\$ 209,187,894.49</u>	<u>\$ 216,292,075.47</u>

Stephen F. Austin State University-755
Management's Discussion and Analysis
UNAUDITED
For the Year Ended August 31, 2018

The following is a graphic presentation of the major operating expense categories for the fiscal years ended August 31, 2018, and 2017:



**Other Operating Expenses includes Cost of Goods Sold, Professional Fees and Services, Travel, Repairs and Maintenance, Rentals and Leases, Printing and Reproduction, Federal Pass-Through Expenditures, and Other Operating Expenses.*

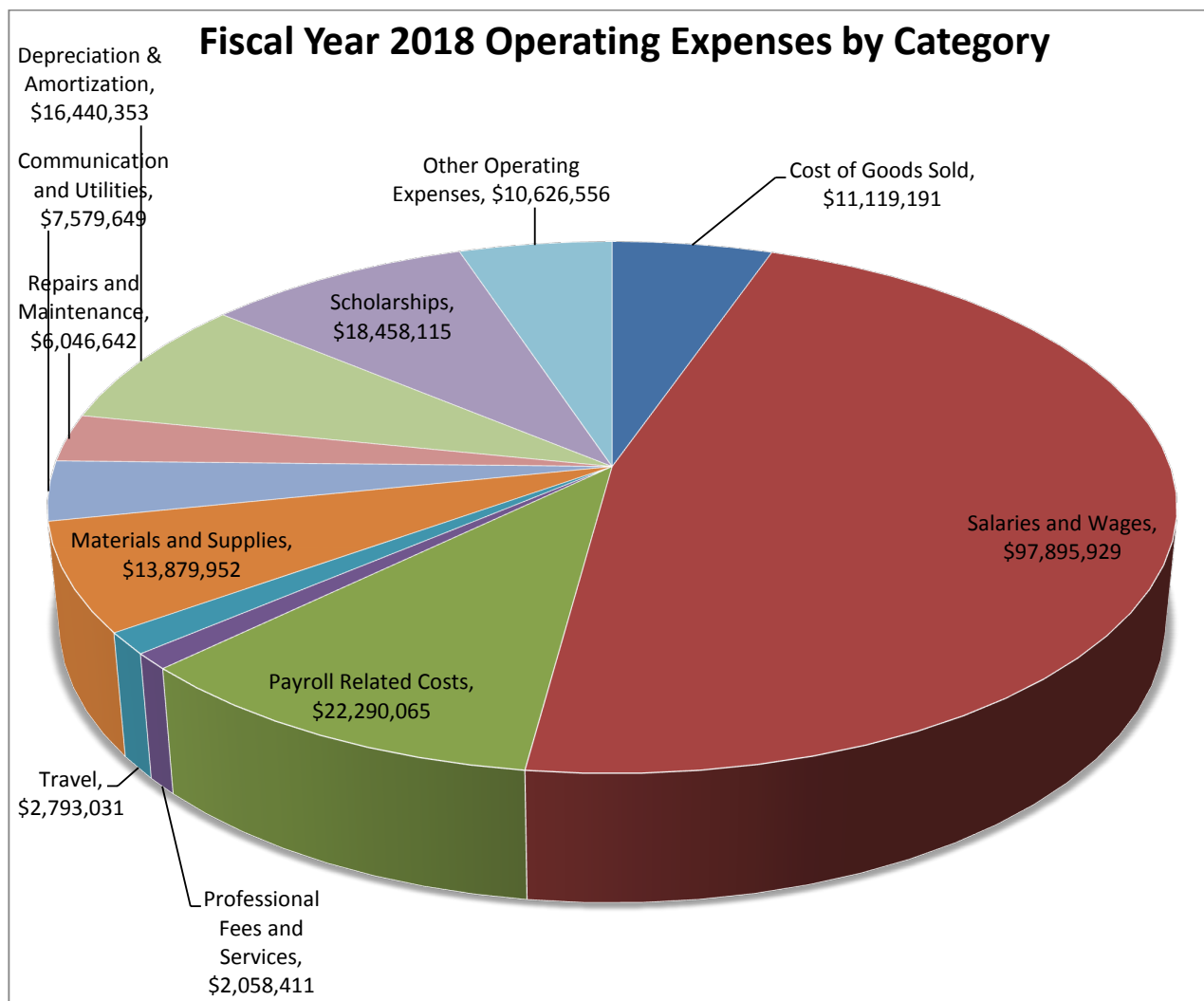
Reported net scholarships decreased by approximately \$1.5 million. However, the gross amount of scholarships actually awarded to students from grants and outside organizations increased by approximately \$1.2 million. The largest contributor to the decrease in State and federal student loans is the discontinuance of the Perkins Loan program. A portion of scholarships has been reclassified as either tuition discounts or auxiliary discounts using the NACUBO discount formula. The discount calculation takes into account various types of aid to the student as shown below:

<i>Gross Scholarships and Related Discounts Applied to Revenues</i>			
	2018	2017	Net Change
State and federal student loans	\$ 79,272,360.44	\$ 82,256,807.31	\$ (2,984,446.87)
Gross Scholarships	53,609,207.53	52,378,061.26	1,231,146.27
Scholarships - Reclassified to Tuition/Fee Discounts	(23,651,301.36)	(22,141,915.22)	(1,509,386.14)
Scholarships - Reclassified to Auxiliary Enterprises	(11,499,790.73)	(10,277,343.69)	(1,222,447.04)
Scholarships (as reported)	\$ 18,458,115.44	\$ 19,958,802.35	\$ (1,500,686.91)

Stephen F. Austin State University-755
Management's Discussion and Analysis
UNAUDITED
For the Year Ended August 31, 2018

Some of the fiscal year 2018 significant changes from the prior year for all other operating expenses are:

- Included in the overall payroll costs is a \$1.4 million increase in salaries and wages and a variance of \$10 million in payroll related costs that includes an overall decrease of \$13 million related to net pension expense adjustments pertaining to the GASB Statement No. 75 requirements. Since 2018 was the first year of implementation, significant adjustments were necessary to establish beginning balances of related assets, liabilities and pension expense offsets. As indicated in the chart below, salaries and wages and payroll related costs account for more than half of the University's operating expenses.
- Repairs and maintenance costs increased approximately \$1.1 million. In large part, this variance relates to facility renovations as approved by the Board of Regents as part of the University's capital plan.
- Materials and supplies increased \$2 million primarily due to the equipping of the new STEM building that opened in the summer of 2018.



****Other Operating Expenses includes Rentals and Leases, Federal Pass-Thru Expenditures and Printing and Reproduction costs.***

Stephen F. Austin State University-755
Management's Discussion and Analysis
UNAUDITED
For the Year Ended August 31, 2018

Statement of Cash Flows

The purpose of a Statement of Cash Flows is to provide relevant information about the University's cash receipts and payments during the fiscal year. The Statement of Cash Flows, when used with related disclosures and information in the other financial statements, provides relevant information about the University, such as:

- Its ability to generate future net cash flows.
- Its ability to meet obligations when due.
- Its needs for external financing.
- The reason for differences between operating income and associated cash receipts and payments.
- The effects on the University's financial position of its cash and its non-cash investing, capital and financing transactions.

The Statement of Cash Flows provides details about the University's major sources and uses of cash during the year. It presents detailed information about the cash activity and an indication of the University's liquidity and ability to meet cash obligations. There are four categories of cash flow activity:

1. Cash Flows from Operating Activities – cash flows from operating activities result from providing services and producing and delivering goods. They include all other transactions not defined as non-capital financing, capital and related financing, or investing activities.
2. Cash Flows from Non-Capital Financing Activities – cash flows from non-capital financing activities include borrowing money and repaying the principal and interest on amounts borrowed for purposes other than to acquire, construct, or improve capital assets.
3. Cash Flows from Capital and Related Financing Activities – cash flows from capital and related financing activities include acquiring and disposing of capital assets, borrowing money to acquire, construct, or improve capital assets and repaying the principal and interest amounts.
4. Cash Flows from Investing Activities – cash flows from investing activities include making and collecting loans (except program loans) and the acquisition and disposition of debt or equity instruments.

The Statement of Cash Flows reports net cash provided or used in each of the four categories of classifying cash transactions. It also reports the net effect of these flows on cash and cash equivalents during the fiscal year in a manner that reconciles beginning and ending cash and cash equivalents for the year.

The final section of the Statement of Cash Flows reconciles the Net Cash Provided (Used) by Operating Activities to the Operating Income (Loss) reflected on the Statement of Revenues, Expenses, and Changes in Net Position. When transactions are part cash and part non-cash, only the cash portion is reported within the Statement of Cash Flows. Non-cash items include information about investing, capital and financing activities that affect assets and liabilities but do not result in cash receipts or cash payments in the fiscal period. The non-cash portion is reported in the non-cash transaction section supplemental to the Statement of Cash Flows.

Stephen F. Austin State University-755
Management's Discussion and Analysis
UNAUDITED
For the Year Ended August 31, 2018

A summarized comparison of the Statement of Cash Flows at August 31, 2018, and 2017 follows:

Statement of Cash Flows

	2018	2017
Net Cash Provided (Used) by:		
Operating Activities	\$ (44,030,593.37)	\$ (58,533,798.32)
Non-Capital Financing Activities	74,258,103.57	75,126,824.59
Capital and Related Financing Activities	(43,316,673.34)	18,353,336.58
Investing Activities	(19,744,454.62)	(19,768,313.92)
Increase (Decrease) in Cash and Cash Equivalents	(32,833,617.76)	15,178,048.93
Cash and Cash Equivalents, Beginning of Year	100,831,514.27	85,653,465.34
Cash and Cash Equivalents, End of Year	<u>\$ 67,997,896.51</u>	<u>\$ 100,831,514.27</u>

Net cash provided (used) by operating activities should be viewed together with net cash provided (used) by non-capital financing activities because State appropriations are significant sources of recurring revenue in support of operating expenses, but under GASB Statement No. 35 they must be classified as non-capital financing activities instead of operating activities. Additionally, federal financial aid revenues, including Pell grants, are classified as a non-operating activity since these are considered non-exchange activities, but the offsetting expenditures are recognized as operating expenses. Overall, the University experienced a decrease of \$32.8 million in cash and cash equivalents due almost entirely to the construction of the STEM building using bond proceeds.

Cash used by operating activities decreased by approximately \$14.5 million due to more timely drawdowns of direct loan funds from the federal government. The University fronts these funds for the students and then initiates reimbursement from the government. The receivable related to this activity decreased \$15 million.

Cash flows provided by non-capital financing activities in fiscal year 2018 decreased almost \$1 million from the prior year. The University had received in the previous fiscal year a \$3.6 million one-time funding in State appropriation for payment on the 2016 tuition revenue bond (TRB) issue. In fiscal year 2018, the adjustment to benefit expense as required by GASB Statement No. 75 completely offset that variance.

Net cash used for capital and related financing activities increased \$61.7 million due in large part to the construction of the STEM building using the bond proceeds of the \$61.2 million 2016 series TRB that also refunded two other outstanding issues in addition to the construction costs.

Net cash provided from investing activities was virtually unchanged from the previous year.

Stephen F. Austin State University-755
Management's Discussion and Analysis
UNAUDITED
For the Year Ended August 31, 2018

ECONOMIC OUTLOOK

Total enrollment for fall 2018 increased by 4 percent when compared to the previous fall, and the University experienced another increase in the retention rate of first-time freshmen to their sophomore year.

In October 2018, the Board of Regents authorized the issuance of financing revenue system bonds for no more than \$125 million for the planned construction or renovation of four buildings on campus. The bond issue will fund the first phase of a fine arts initiative; the conversion of the Kennedy Auditorium into a welcome center and one-stop shop for prospective students; the addition of the second phase of a freshman residence hall and cafeteria; and, the construction of a basketball training facility.

During the upcoming fiscal year, the University will close out the Perkins Loan program per instructions by the federal government. At the end of fiscal year 2018, the University held \$3.4 million in loan receivables, most of which will be transferred to the federal government.

UNAUDITED

STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Statement of Net Position
For the Fiscal Year Ended August 31, 2018

	2018	2017 Restated
ASSETS		
Current Assets		
Cash and Cash Equivalents:		
Cash on Hand	\$ 31,001.00	\$ 30,586.00
Cash in Bank	41,767,967.11	44,180,222.04
Cash in Transit/Reimburse from Treasury	708,323.05	776,612.17
Cash in State Treasury	2,944,795.28	2,551,863.71
Cash Equivalents	0.00	4,049,811.24
Short Term Investments	1,018,883.70	431,881.56
Restricted:		
Cash and Cash Equivalents		
Cash in Bank	13,715,595.49	12,409,452.85
Cash Equivalents	8,830,214.58	36,832,966.26
Short Term Investments		
Endowment	106,998.31	936,845.01
Legislative Appropriations	9,788,202.74	9,015,305.91
Receivables:		
Intergovernmental Receivables		
Federal	2,873,208.66	15,981,811.31
Other Intergovernmental	218,821.01	121,103.27
Interest and Dividends	30,971.92	213,762.31
Student Receivable	13,432,902.83	14,644,904.88
Accounts Receivable	2,875,845.92	2,742,554.59
Due From Other Agencies:		
Federal	258,968.09	271,645.39
State	50,244.90	105,224.98
Consumable Inventories	493,235.65	546,614.85
Merchandise Inventories	442,097.45	383,721.81
Prepaid Items	15,378,292.90	14,189,398.32
Student Loans Receivables	2,605,031.79	2,762,814.76
Total Current Assets	117,571,602.38	163,179,103.22

See accompanying Notes to the Financial Statements

UNAUDITED

STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Statement of Net Position
For the Fiscal Year Ended August 31, 2018

	2018	2017 Restated
Noncurrent Assets		
Restricted:		
Investments		
Endowments	14,187,015.40	12,484,731.56
Student Loans Receivables	4,479,804.93	4,855,781.80
Allowance for Doubtful Accounts	(1,459,233.72)	(1,321,015.28)
Unrestricted:		
Investments		
Operating	91,319,534.77	67,525,604.70
Quasi-Endowments	6,395,060.80	6,024,041.77
Student Accounts Receivables	11,432,831.57	11,054,356.53
Allowance for Doubtful Accounts	(9,814,374.49)	(9,348,194.16)
Capital Assets		
Non-Depreciable or Non-Amortizable	15,173,243.29	23,370,170.79
Depreciable or Amortizable, Net	206,779,642.98	178,533,320.30
Total Noncurrent Assets	<u>338,493,525.53</u>	<u>293,178,798.01</u>
Total Assets	<u>456,065,127.91</u>	<u>456,357,901.23</u>
DEFERRED OUTFLOWS OF RESOURCES		
Deferred Outflows of Resources (Note 28)	<u>26,336,516.00</u>	<u>14,758,104.00</u>

See accompanying Notes to the Financial Statements

UNAUDITED

STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Statement of Net Position
For the Fiscal Year Ended August 31, 2018

	2018	2017 Restated
LIABILITIES		
Current Liabilities:		
Payables:		
Accounts Payable	4,794,698.48	3,403,024.34
Payroll Payable	7,583,203.98	7,338,767.19
Deposits	2,707,299.74	3,160,948.32
Benefits Payable	2,247,815.63	3,275,433.40
Interfund Payable	1,506,436.00	1,506,436.00
Due to Other Agencies	484,335.04	472,528.99
Unearned Revenues:		
Tuition and Fees	53,651,618.59	50,300,446.84
Sales and Services	20,947,819.45	20,811,897.47
Grants and Contracts	1,002,895.48	1,347,533.79
Employees' Compensable Leave	425,138.92	396,013.26
Capital Lease Obligations	58,159.89	60,585.85
Notes and Loans Payable	1,216,206.73	1,165,517.06
Revenue Bonds Payable	6,412,194.81	6,530,591.81
Tuition Revenue Bonds Payable	6,098,980.28	5,955,776.98
General Obligation Bonds Payable	1,195,000.00	1,150,000.00
Accrued Bond Interest Payable	2,040,102.72	2,194,642.29
Funds Held for Others	9,288,201.55	10,537,931.57
Other Current Liabilities	253,780.56	1,669.75
Total Current Liabilities	121,913,887.85	119,609,744.91
Noncurrent Liabilities:		
Interfund Payable	3,099,412.96	4,514,726.83
Capital Lease Obligations	148,648.85	206,808.74
Employees' Compensable Leave	4,259,028.37	3,981,835.51
Notes and Loans Payable	9,992,073.58	11,208,280.31
Revenue Bonds Payable	68,633,787.47	75,045,982.28
Tuition Revenue Bonds Payable	63,437,597.46	69,536,577.74
General Obligation Bonds Payable	0.00	1,195,000.00
ERS OPEB Liability	48,508,965.00	0.00
TRS Net Pension Liability	26,521,381.00	28,553,006.00
Total Noncurrent Liabilities	224,600,894.69	194,242,217.41
Total Liabilities	346,514,782.54	313,851,962.32
DEFERRED INFLOWS OF RESOURCES		
Deferred Inflows of Resources (Note 28)	22,283,595.00	10,653,756.00
NET POSITION		
Invested in Capital Assets, Net of Related Debt	67,545,914.70	60,879,173.22
Restricted for:		
Endowment Funds		
Nonexpendable	6,019,491.63	5,986,857.51
Expendable	3,570,928.12	2,870,872.31
Other	22,533,717.85	21,528,334.98
Unrestricted	13,933,214.07	55,345,048.89
Total Net Position	\$ 113,603,266.37	\$ 146,610,286.91

See accompanying Notes to the Financial Statements

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UNAUDITED

STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Statement of Revenues, Expenses, and Changes in Net Position
For the Fiscal Year Ended August 31, 2018

	2018	2017
Operating Revenues:		
Sales of Goods and Services		
Tuition & Fees - Pledged	\$ 111,451,845.53	\$ 111,148,989.37
Tuition & Fees - Non-Pledged	4,120,908.51	4,123,074.98
Discounts and Allowances	(32,472,265.26)	(30,307,922.66)
Auxiliary Enterprise - Pledged	41,230,215.22	39,761,896.70
Auxiliary Enterprise - Non-Pledged	1,909,068.75	2,158,604.60
Discounts and Allowances	(11,715,795.78)	(10,635,704.49)
Other Sales of Goods and Svcs - Pledged	5,632,401.64	5,441,005.48
Other Sales of Goods and Svcs - Non-Pledged	793,950.13	954,384.73
Federal Revenue	2,498,580.23	2,960,800.84
Federal Pass-Through Rev from Non-State Entities	65,480.64	96,051.71
Federal Pass-Through Revenue	730,790.49	897,110.94
State Pass-Through Revenue	11,172,430.85	10,841,496.07
Local Contracts and Grants	578,969.31	571,241.50
Other Contracts and Grants	745,872.89	630,018.12
Other Operating Revenues - Pledged	101,430.94	43,897.02
Other Operating Revenues - Non-Pledged	-	250.00
Total Operating Revenues	136,843,884.09	138,685,194.91
Operating Expenses:		
Cost of Goods Sold	11,119,190.99	10,089,637.06
Salaries and Wages	97,895,928.84	96,518,517.24
Payroll Related Costs	22,290,065.35	32,801,775.49
Professional Fees and Services	2,058,410.52	1,470,749.20
Travel	2,793,030.91	2,910,527.19
Materials and Supplies	13,879,952.30	11,837,354.39
Communication and Utilities	7,579,649.04	8,044,418.37
Repairs and Maintenance	6,046,641.67	4,924,776.95
Rentals and Leases	2,689,060.91	2,910,082.14
Printing and Reproduction	372,380.05	465,527.03
Federal Pass-Through Expenditure to Non-State Entities	158,087.46	614,979.63
Amortization	-	89,963.09
Depreciation	16,440,353.35	16,614,268.61
Bad Debt Expense	139,753.57	-
Interest Expense	112.92	(1,121.81)
Scholarships	18,458,115.44	19,958,802.35
Claims and Judgments	47,070.14	101,250.00
Other Operating Expenses	7,220,091.03	6,940,568.54
Total Operating Expenses	209,187,894.49	216,292,075.47
Operating Income (Loss)	(72,344,010.40)	(77,606,880.56)

See accompanying Notes to the Financial Statements

UNAUDITED

STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Statement of Revenues, Expenses, and Changes in Net Position
For the Fiscal Year Ended August 31, 2018

	2018	2017
Non-Operating Revenues (Expenses):		
Legislative Revenue	40,145,774.99	39,729,279.55
Additional Appropriations	11,576,268.12	12,169,293.97
Federal Revenue	22,172,515.00	21,454,757.00
Gifts - Non-Pledged	4,998,568.48	5,078,071.49
Gifts - Pledged	3,155.00	-
Other Rental Income	167,382.77	233,532.52
Investment Income - Pledged	2,727,481.03	1,553,430.27
Investment Income - Non-Pledged	1,154,441.83	1,013,227.74
Net Increase (Decrease) Fair Value - Pledged	1,591,338.17	3,804,562.81
Net Increase (Decrease) Fair Value - Non-Pledged	411,875.32	281,368.87
Investing Activities Expenses	(328,675.48)	(294,190.19)
Income on Loans Receivable	123,734.65	26,698.62
Interest Income on Capital Investments-Pledged	405,115.61	373,374.89
Interest Expenses and Fiscal Charges	(2,510,119.41)	(4,899,033.23)
Gain (Loss) on Sale of Capital Assets	(8,697.98)	(30,687.72)
Settlement of Claims	75,083.29	155,015.16
Other Non-Operating Revenues (Expenses)	476,796.41	405,213.98
Total Non-Operating Revenues (Expenses)	83,182,037.80	81,053,915.73
Income (Loss) Before Other Revenues, Expenses, Gains/Losses and Transfers	10,838,027.40	3,447,035.17
Other Revenues, Expenses, Gains/Losses and Transfers		
Capital Contributions	693,178.00	692,624.66
Capital Appropriations (Higher Education Fund)	11,636,163.00	11,636,163.00
Additions to Permanent and Term Endowments	32,634.12	604,548.30
Lapsed Appropriations	-	(215,309.00)
Legislative Transfers In	374,873.00	3,984,192.00
Transfers In	216,072.00	228,261.00
Transfers Out	(8,719.65)	0.00
Total Other Revenue, Expenses, Gain/Losses and Transfers	12,944,200.47	16,930,479.96
Change in Net Position	23,782,227.87	20,377,515.13
Net Position, Beginning of Year	146,610,286.91	126,802,797.52
Restatements	(56,789,248.41)	(570,025.74)
Net Position, Beginning of Year, as Restated	89,821,038.50	126,232,771.78
Net Position, August 31, 2018	\$ 113,603,266.37	\$ 146,610,286.91

See accompanying Notes to the Financial Statements

Report to the Board of Regents - Meeting of the Finance and Audit Committee

STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Matrix of Operating Expenses by Function
For the Fiscal Year Ended August 31, 2018

UNAUDITED

Operating Expenses	Instruction	Research	Public Service	Academic Support	Student Services	Institutional Support
Cost of Goods Sold	\$ 103.10	-	5,613.54	149,760.39	112,058.54	(100.93)
Salaries and Wages	48,307,830.97	1,809,794.13	782,317.63	11,221,142.96	11,114,808.58	10,934,815.63
Payroll Related Costs	8,033,665.45	261,963.37	80,301.83	1,372,312.75	1,683,088.25	7,245,854.04
Professional Fees and Services	173,774.20	174,714.98	203,705.83	101,028.93	(8,463.01)	831,477.51
Travel	412,202.27	117,833.59	27,160.08	510,218.10	1,505,567.65	192,481.40
Materials and Supplies	2,115,941.87	288,059.89	202,437.68	1,542,517.27	2,613,505.75	1,415,708.42
Communication and Utilities	352,387.24	12,907.58	4,870.30	1,452,919.70	179,358.17	(161,890.54)
Repairs and Maintenance	328,472.58	16,434.03	18,003.51	261,830.29	485,363.74	1,918,561.81
Rentals and Leases	436,817.43	57,592.33	111,177.36	353,007.56	693,537.38	501,578.32
Printing and Reproduction	131,186.42	1,616.23	(874.11)	129,895.09	197,436.92	(279,568.58)
Federal Pass-Through Expenditures	-	-	158,087.46	-	-	-
Depreciation and Amortization	-	-	-	-	-	-
Bad Debt Expense	-	-	-	-	139,753.57	-
Interest Expense	18.55	0.25	0.04	15.67	-	3.55
Scholarships	-	-	-	-	-	-
Claims and Judgments	-	-	-	-	47,070.14	-
Other Operating Expenses	621,757.28	48,848.86	80,208.06	503,317.09	2,322,687.80	1,952,474.44
Total Operating Expenses	<u>\$ 60,914,157.36</u>	<u>\$ 2,789,765.24</u>	<u>\$ 1,673,009.21</u>	<u>\$ 17,597,965.80</u>	<u>\$ 21,085,773.48</u>	<u>\$ 24,551,395.07</u>

Report to the Board of Regents - Meeting of the Finance and Audit Committee

STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Matrix of Operating Expenses by Function
For the Fiscal Year Ended August 31, 2018

UNAUDITED

Operating Expenses	Operation and Maintenance of Plant	Scholarships and Fellowships	Auxiliary Enterprises	Depreciation and Amortization	Total Expenses
Cost of Goods Sold	-	-	10,851,756.35	-	\$ 11,119,190.99
Salaries and Wages	5,005,476.03	-	8,719,742.91	-	97,895,928.84
Payroll Related Costs	823,291.65	-	2,789,588.01	-	22,290,065.35
Professional Fees and Services	306,640.72	-	275,531.36	-	2,058,410.52
Travel	(179,757.58)	-	207,325.40	-	2,793,030.91
Materials and Supplies	3,651,532.48	-	2,050,248.94	-	13,879,952.30
Communication and Utilities	2,500,137.24	-	3,238,959.35	-	7,579,649.04
Repairs and Maintenance	1,642,509.85	-	1,375,465.86	-	6,046,641.67
Rentals and Leases	173,729.55	-	361,620.98	-	2,689,060.91
Printing and Reproduction	1,215.62	-	191,472.46	-	372,380.05
Federal Pass-Through Expenditure:	-	-	-	-	158,087.46
Depreciation and Amortization	-	-	-	16,440,353.35	16,440,353.35
Bad Debt Expense	-	-	-	-	139,753.57
Interest Expense	74.86	-	-	-	112.92
Scholarships	-	18,458,115.44	-	-	18,458,115.44
Claims and Judgments	-	-	-	-	47,070.14
Other Operating Expenses	955,883.05	-	734,914.45	-	7,220,091.03
Total Operating Expenses	\$ 14,880,733.47	\$ 18,458,115.44	\$ 30,796,626.07	\$ 16,440,353.35	\$ 209,187,894.49

UNAUDITED

STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Statement of Cash Flows
For the Fiscal Year Ended August 31, 2018

	2018	2017
Cash Flows from Operating Activities		
Proceeds from Tuition and Fees	\$ 87,751,367.87	\$ 83,162,665.63
Proceeds from Auxiliary Services	31,559,410.17	31,425,535.54
Proceeds from Other Sales and Services	6,421,355.33	6,357,586.87
Proceeds from Grants and Contracts	28,537,834.44	12,603,631.58
Proceeds from Other Revenues	101,430.94	44,147.02
Proceeds from Loan Programs	671,978.28	254,170.03
Payments to Suppliers for Goods and Services	(52,658,112.07)	(50,134,534.53)
Payments to Employees for Salaries and Benefits *	(125,018,286.65)	(119,886,313.12)
Payments to Students for Scholarships	(21,350,388.62)	(22,260,559.15)
Payments for Other Expenses	(47,183.06)	(100,128.19)
Net Cash Provided (Used) by Operating Activities	<u>(44,030,593.37)</u>	<u>(58,533,798.32)</u>
Cash Flows from Noncapital Financing Activities		
Proceeds from State Appropriations	46,069,111.53	42,801,353.28
Proceeds from Non-Operating Grants and Contracts	22,172,515.00	21,359,067.00
Proceeds from Gifts	5,001,723.48	5,078,071.49
Payment of Student Loan Funds	(16,018.92)	122,388.62
Proceeds of Transfers from Other Agencies	582,225.35	4,212,453.00
Proceeds from Claims and Settlements	75,083.29	155,015.16
Proceeds from Other Revenue (Expense)	476,796.41	405,213.98
Payments from Endowment Investments	(103,332.57)	993,262.06
Net Cash Provided (Used) by Noncapital Financing Activities	<u>74,258,103.57</u>	<u>75,126,824.59</u>
Cash Flows from Capital and Related Financing Activities		
Proceeds from Sale of Capital Assets	8,329.00	42,624.86
Proceeds from Debt Issuance	-	61,205,000.00
Proceeds from State Appropriations-Higher Education Funds (HEF)	10,734,849.75	7,450,538.93
Proceeds from Capital Contributions	693,178.00	477,541.39
Proceeds from Other Rental Income	167,382.77	233,532.52
Proceeds from Interest on Capital Investments	405,115.61	373,374.89
Payments for Additions to Capital Assets	(36,383,083.92)	(16,426,675.05)
Payments for Interfund Payables	(1,506,436.00)	(1,506,436.00)
Payments of Principal on Capital Debt	(14,801,885.85)	(28,235,396.47)
Payments for Capital Leases	(60,585.85)	(58,361.82)
Payments of Interest on Capital Debt	(2,573,536.85)	(4,694,842.66)
Payments on Other Costs on Debt Issuance	-	(507,564.01)
Net Cash Provided (Used) by Capital and Related Financing Activities	<u>(43,316,673.34)</u>	<u>18,353,336.58</u>
Cash Flows from Investing Activities		
Payments for Investments	(22,330,766.37)	(20,095,214.93)
Proceeds from Interest Income from Investments	2,586,311.75	326,901.01
Proceeds from Redemption of Bond Investments	-	-
Net Cash Provided (Used) by Investing Activities	<u>(19,744,454.62)</u>	<u>(19,768,313.92)</u>
Increase (Decrease) in Cash and Cash Equivalents	<u>\$ (32,833,617.76)</u>	<u>\$ 15,178,048.93</u>
Cash and Cash Equivalents, August 31, 2017	\$ 100,831,514.27	\$ 85,653,465.34
Increase (Decrease) in Cash and Cash Equivalents	<u>(32,833,617.76)</u>	<u>15,178,048.93</u>
Cash and Cash Equivalents, August 31, 2018	<u>\$ 67,997,896.51</u>	<u>\$ 100,831,514.27</u>

See accompanying Notes to the Financial Statements

UNAUDITED

STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Statement of Cash Flows
For the Fiscal Year Ended August 31, 2018

	2018	2017
Reconciliation of Operating Income (Loss) to Net Cash Provided (Used) by Operating Activities		
Operating Income (Loss)	\$ (72,344,010.40)	\$ (68,988,709.14)
Adjustments to Reconcile Operating Income (Loss) to Net Cash Provided by Operating Activities		
Amortization and Depreciation	16,440,353.35	16,704,231.70
Bad Debt Expense	139,753.57	-
Pension Expense	5,781,348.00	3,594,042.00 *
Operating Income (Loss) and Cash Flow Categories		
Changes in Current Assets and Liabilities		
(Increase) Decrease in Receivables	14,272,386.02	(6,287,477.25)
(Increase) Decrease in Inventories	(4,996.44)	(37,803.34)
(Increase) Decrease in Loans to Students	157,782.97	191,374.11
(Increase) Decrease in Prepaid Expenses	(1,188,894.58)	(588,275.92)
(Increase) Decrease in Due from Other Agencies	67,657.38	54,190.75
Increase (Decrease) in Payables	1,636,110.93	49,017.94
Increase (Decrease) in Deposits Payable	(453,648.58)	(128,395.08)
Increase (Decrease) in Due to Other Agencies	11,806.05	82,254.28
Increase (Decrease) in Unearned Revenue	3,142,455.42	953,699.90
Increase (Decrease) in Compensable Leave	29,125.66	(42,303.31)
Increase (Decrease) in Benefits Payable	(1,027,617.77)	(2,581,927.16)
Increase (Decrease) in Funds Held for Others	(1,249,730.02)	(1,585,085.80)
Increase (Decrease) in Other Current Liabilities	-	-
Changes in Non-Current Assets and Liabilities		
Increase (Decrease) in Compensable Leave	277,192.86	(76,393.26)
Increase (Decrease) in Deferred Inflows	11,629,839.00	-
Increase (Decrease) in Deferred Outflows	(11,578,412.00)	-
Increase (Decrease) in Liabilities to in NPL	(10,188,205.00)	-
(Increase) Decrease in Student Receivables	87,705.29	(160,324.63)
(Increase) Decrease in Loans to Students	514,195.31	62,795.92
Cash Reported in Other Categories		
Increase (Decrease) in Investment Activity	(182,790.39)	209,772.78
Increase (Decrease) of Gifts Receivable	-	(4,000.00)
Total Adjustments	<u>28,313,417.03</u>	<u>10,409,393.63</u>
Net Cash Provided (Used) by Operating Activities	<u>\$ (44,030,593.37)</u>	<u>\$ (58,579,315.51)</u>
Displayed as:		
Cash on Hand	\$ 31,001.00	\$ 30,586.00
Cash in Bank	41,767,967.11	44,180,222.04
Cash in Transit/Reimb. Due from Treasury	708,323.05	776,612.17
Cash in State Treasury	2,944,795.28	2,551,863.71
Cash Equivalents	-	4,049,811.24
Cash in Bank, Restricted	13,715,595.49	12,409,452.85
Cash Equivalents, Restricted	8,830,214.58	36,832,966.26
Non-Current Cash Equivalents, Restricted	-	-
	<u>\$ 67,997,896.51</u>	<u>\$ 100,831,514.27</u>
Non-Cash Transactions		
Other	\$ -	\$ -
Borrowing Under Capital Lease Purchase	-	-
Donation of Capital Assets	-	219,083.27
Net Change in Fair Value of Investments	2,003,213.49	4,085,931.68
	<u>\$ 2,003,213.49</u>	<u>\$ 4,305,014.95</u>

* Excludes benefits paid by the State of Texas on behalf of the University. See Non-Cash Transactions.

See accompanying Notes to the Financial Statements

Stephen F. Austin State University-755
UNAUDITED
Notes to the Financial Statements
August 31, 2018

NOTE 1: Summary of Significant Accounting Policies

Entity

Stephen F. Austin State University (the University) is an agency of the State of Texas (the State). The University's financial records comply with State statutes and regulations including compliance with the Texas Comptroller of Public Accounts' *Reporting Requirements for Annual Financial Reports of State Agencies and Universities*.

The University serves the State as a public institution of higher education.

The University has four related entities. The University has determined no related entity is a reportable component unit of Stephen F. Austin State University.

Due to the statewide requirements embedded in Governmental Accounting Standards Board (GASB) Statement No. 34, *Basic Financial Statements — and Management's Discussion and Analysis — for State and Local Governments* and GASB Statement No. 35, *Basic Financial Statements — and Management's Discussion and Analysis — for Public Colleges and Universities*, the Comptroller of Public Accounts does not require the accompanying annual financial report to comply with all the requirements in these Statements. The financial report will be considered for audit by the State Auditor as part of the audit of the State of Texas *Comprehensive Annual Financial Report*; therefore, an audit opinion has not been expressed on the financial statements and related information contained in this report.

The University follows the "business-type activities" reporting requirement of GASB Statement No. 34 that specifies all the financial statements required for enterprise funds.

Blended Component Units

No component unit has been identified which should be reported as a blended unit.

Discretely Presented Component Units

No component unit has been identified which should be discretely presented.

Fund Structure

Basis of Accounting – Proprietary Fund Accounting

Proprietary fund reporting focuses on the determination of operating income, changes in net position, financial positions, and cash flows. The financial statements of the University have been prepared on the accrual basis. Accrual accounting attempts to record a transaction's financial effects in the period in which the transaction occurred, rather than when funds are received or paid. Revenues are recorded when they are earned or when the University has a right to receive the revenues. Expenses are recognized when incurred. The date related cash was received or paid is of no consequence.

Four essential elements of accrual accounting:

- Recognition of expenditures when incurred and the subsequent amortization of the deferred outflows
- Recognition of revenues when they are earned
- Capitalization of certain expenses and the subsequent depreciation of the capitalized costs
- Accruals of revenues earned and expenses incurred

Proprietary funds use the flow of economic resources measurement focus, which is similar to the focus used by commercial entities. Proprietary funds focus on whether the enterprise is economically better off as a result of the events and transactions that occurred during the fiscal period reported. Transactions and events that improved an enterprise's financial position are reported as revenues or gains. Transactions and events that diminished the economic position of the enterprise are reported as expenses or losses. Both current and long-term assets and liabilities are presented on the Statement of Net Position.

The Statement of Revenues, Expenses, and Changes in Net Position is segregated into operating and non-operating sections.

Stephen F. Austin State University-755
UNAUDITED
Notes to the Financial Statements
August 31, 2018

Generally, operating activities are those that directly result from the provision of goods and services to customers or are directly related to the principal and usual activity of a fund. GASB Statement No. 34 indicates that a consideration for defining a proprietary fund's operating revenues and expenditures is how individual transactions would be classified for purposes of preparing a Statement of Cash Flows according to GASB Statement No. 9, *Reporting Cash Flows of Proprietary and Nonexpendable Trust Funds and Governmental Entities That Use Proprietary Fund Accounting*.

Since certain grants are actually contracts for services, they are classified as operating activities. State appropriations and certain grants, such as the Pell grants, are reported as non-operating activities even though they are directly related to the principal and usual activity of the University. These are considered non-exchange transactions and are therefore considered non-operating revenues.

Budget and Budgetary Accounting

The University prepares an annual budget which represents anticipated sources of revenue and authorized uses. This budget is approved by the University's Board of Regents. Unencumbered appropriations are generally subject to lapse 60 days after the end of the fiscal year for which they were appropriated. Budget information is not included in the Annual Financial Report.

Assets, Liabilities, and Net Position

Assets

Assets are reported separately as either current or noncurrent in the Statement of Net Position.

Cash and Cash Equivalents

Short-term highly liquid investments with an original maturity of three months or less are considered cash equivalents.

Restricted Assets

Restricted assets include monies or other resources restricted by legal or contractual requirements. These assets include proceeds of proprietary fund general obligation and revenue bonds and revenues set aside for statutory or contractual requirements.

Inventories

Inventories include both merchandise inventories on hand for sale and consumable inventories. Inventories are valued using the average cost method. The consumption method of accounting is used to account for inventories and prepaid items. The cost of these items is expensed when the items are sold or consumed.

Prepaid Items

Prepaid items include prepaid expenses attributable to a subsequent fiscal year, including scholarships attributed to the 2018 fall semester. The cost of these items is expensed when the items are used or consumed.

Capital Assets

Equipment with an initial, individual cost of \$5,000 or more and an estimated useful life in excess of one year is capitalized. Other categories of capital assets have capitalization thresholds that are set by the State. These assets are capitalized and reported at cost or, if not purchased, at appraised fair value on the date of acquisition. Donated assets are reported at fair value on the acquisition date. Depreciation is reported on all "exhaustible" assets. "Inexhaustible" assets, such as works of art and historical treasures, are not depreciated. Assets are depreciated over the estimated useful life of the asset using the straight-line method of depreciation.

Other Receivables - Current and Noncurrent

Current receivables are specified in the Statement of Net Position. They include amounts that are reasonably expected to be received in fiscal year 2018. Noncurrent receivables are those receivables that are not expected to be collected within one year. Included in this category are student accounts receivable

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and loan receivables that are not expected to be received during fiscal year 2018. The disaggregation of other receivables as reported in the financial statements is shown in Note 24, "Disaggregation of Receivable and Payable Balances."

Liabilities

Liabilities are reported separately as either current or noncurrent in the Statement of Net Position.

Accounts Payable

Accounts Payable represents the liability for the value of assets or services received at the balance sheet date for which payment is pending.

Other Payables – Current and Noncurrent

The disaggregation of other payables as reported in the financial statements is shown in Note 24, "Disaggregation of Receivable and Payable Balances."

Employees' Compensable Leave

Employees' Compensable Leave represents the liability that becomes "due" upon the occurrence of relevant events such as resignations, retirements, and uses of leave balances by covered employees. Liabilities are reported separately as either current or noncurrent in the Statement of Net Position. These obligations are normally paid from the same funding source from which the covered employee's salary or wage compensation was paid.

Capital Lease Obligations

Capital Lease Obligations represent the liability for future lease payments under capital lease contracts. Liabilities are reported separately in the Statement of Net Position as either current, for the amounts due within one year, or noncurrent, for the amounts due thereafter.

Bonds Payable - Revenue Bonds

The principal of revenue bonds is reported separately in the Statement of Net Position as either current, for the amounts due within one year, or noncurrent, for the amounts due thereafter. Bonds payable are recorded at par value, net of unamortized premiums, discounts, issuance costs and gains/(losses) on bond refunding activities. Interest expense is reported on the accrual basis.

Bonds Payable - Tuition Revenue Bonds

The principal of tuition revenue bonds is reported separately in the Statement of Net Position as either current, for the amounts due within one year, or noncurrent, for the amounts due thereafter. Bonds payable are recorded at par value, net of unamortized premiums, discounts, issuance costs and gains/(losses) on bond refunding activities. Interest expense is reported on the accrual basis.

Bonds Payable - General Obligation Bonds

The principal of general obligation bonds is reported separately in the Statement of Net Position as either current, for the amounts due within one year, or noncurrent, for the amounts due thereafter. Bonds payable are recorded at par, net of unamortized premiums, discounts, issuance costs and gains/(losses) on bond refunding activities. Interest expense is reported on the accrual basis.

Deferred Outflows of Resources

Deferred Outflows of Resources represent the University's net asset consumption that is applicable to a future fiscal year.

Deferred Inflows of Resources

Deferred Inflows of Resources represent the University's net asset acquisition that is applicable to a future fiscal year.

Net Position

The difference between assets plus deferred outflows of resources and liabilities plus deferred inflows of resources is "Net Position" on the Statement of Net Position.

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Invested in Capital Assets, Net of Related Debt

Net investment in capital assets, consists of capital assets, net of accumulated depreciation and reduced by outstanding balances for bonds, notes and other debt that are attributed to the acquisition, construction or improvement of those assets.

Restricted Net Position

Restricted net position results when constraints placed on net resources are either externally imposed by creditors, grantors, contributors and the like or imposed by law through constitutional provisions or enabling legislation.

Unrestricted Net Position

Unrestricted net position consists of net resources that do not meet the definition of the two preceding categories. Unrestricted net position often has constraints on resources that are imposed by management but can be removed or modified.

The amortized balance of accretion on capital appreciation bonds is included as part of unrestricted net position unless a sinking fund was established, in which case the balance is reported as part of the restricted net position balance.

Interfund Activities and Transactions

The University has the following types of transactions among State appropriated funds and other State agencies:

- **Transfers** – Legally required transfers that are reported when incurred as “Transfers In” by the recipient fund or State agency and as “Transfers Out” by the disbursing fund or State agency.
- **Reimbursements** – Reimbursements are repayments from funds responsible for expenditures or expenses to funds that made the actual payment. Reimbursements of expenditures made by one State agency for another are recorded as expenditures by the reimbursing State agency and as a reduction of expenditures by the reimbursed State agency. Reimbursements are not displayed in the financial statements.
- **Interfund Receivables and Payables** – Most receivables and payables from or to other State agencies are recorded as “Due from Other Agencies” or “Due to Other Agencies” on the Statement of Net Position. The amounts associated with the State Energy Conservation Office revolving loan program are recorded as “Interfund Payable” on the Statement of Net Position. Repayments associated with the loan program due during the current year are classified as "Current"; repayments due thereafter are classified as "Noncurrent."

The composition of the University's interfund activities and balances are presented in Note 12.

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NOTE 2: Capital Assets

A summary of changes in Capital Assets for the year ended August 31, 2018, is presented below:

	Balance 09/01/2017	Adjustments	Reclassifications Completed CIP	Additions	Deletions	Balance 08/31/2018
BUSINESS-TYPE ACTIVITIES						
Non-depreciable or Non-amortizable Assets						
Land and Land Improvements	\$8,291,624.18	-	-	-	-	\$8,291,624.18
Construction in Progress	14,262,277.34	-	(43,013,350.35)	34,815,522.85	-	6,064,449.84
Other Tangible Capital Assets	816,269.27	-	-	900.00	-	817,169.27
Total Non-depreciable Assets	23,370,170.79	-	(43,013,350.35)	34,816,422.85	-	15,173,243.29
Depreciable Assets						
Buildings and Building Improvements	381,570,517.82	-	41,868,749.59	-	-	423,439,267.41
Infrastructure	15,539,815.91	-	667,426.25	-	-	16,207,242.16
Facilities and Other Improvements	33,945,005.98	-	144,953.13	-	-	34,089,959.11
Furniture and Equipment	20,488,155.47	144,157.16	332,221.38	1,045,936.99	(858,761.79)	21,151,709.21
Vehicle, Boats and Aircraft	5,721,218.74	-	-	509,614.84	(216,804.68)	6,014,028.90
Other Capital Assets	13,914,963.69	-	-	11,109.24	(39,794.81)	13,886,278.12
Total Depreciable Assets	471,179,677.61	144,157.16	43,013,350.35	1,566,661.07	(1,115,361.28)	514,788,484.91
Less Accumulated Depreciation for:						
Buildings and Building Improvements	(233,442,829.85)	-	-	(12,186,835.25)	-	(245,629,665.10)
Infrastructure	(10,061,332.90)	-	-	(680,480.34)	-	(10,741,813.24)
Facilities and Other Improvements	(15,940,505.34)	-	-	(1,837,740.87)	-	(17,778,246.21)
Furniture and Equipment	(15,720,595.06)	(20,465.57)	-	(1,227,066.61)	841,734.81	(16,126,392.43)
Vehicles, Boats and Aircraft	(4,537,095.94)	-	-	(338,884.12)	216,804.68	(4,659,175.38)
Other Capital Assets	(12,943,998.22)	-	-	(169,346.16)	39,794.81	(13,073,549.57)
Total Accumulated Depreciation	(292,646,357.31)	(20,465.57)	-	(16,440,353.35)	1,098,334.30	(308,008,841.93)
Depreciable Assets, Net	178,533,320.30	123,691.59	43,013,350.35	(14,873,692.28)	(17,026.98)	206,779,642.98
Amortizable Assets - Intangible						
Computer Software	4,509,423.73	-	-	-	(6,799.96)	4,502,623.77
Total Amortizable Assets - Intangible	4,509,423.73	-	-	-	(6,799.96)	4,502,623.77
Less Accumulated Amortization for:						
Computer Software	(4,509,423.73)	-	-	-	6,799.96	(4,502,623.77)
Total Accumulated Amortization	(4,509,423.73)	-	-	-	6,799.96	(4,502,623.77)
Amortizable Assets - Intangible, Net	-	-	-	-	-	-
Business-Type Activities Capital Assets, Net	\$201,903,491.09	\$123,691.59	-	\$19,942,730.57	(\$17,026.98)	\$221,952,886.27

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NOTE 3: Deposits, Investments and Repurchase Agreements

The University is authorized by statute to make investments following the "prudent person rule." There were no significant violations of legal provisions during the period.

Deposits of Cash in Bank

As of August 31, 2018, the carrying amount of deposits was \$55,483,562.60 as presented below:

CASH IN BANK – CARRYING AMOUNT	\$56,502,446.30
Less: Certificates of Deposit included in carrying amount and reported as Cash Equivalents	(1,018,883.70)
Less: Uninvested Securities Lending Cash Collateral included in carrying amount and reported as Securities Lending Collateral	-
Less: Securities Lending CD Collateral included in carrying amount and reported as Securities Lending Collateral	-
Total Cash in Bank per AFR	\$55,483,562.60

Proprietary Funds Current Assets Cash in Bank	\$41,767,967.11
Proprietary Funds Current Assets Restricted Cash in Bank	13,715,595.49
Proprietary Funds Noncurrent Restricted Cash in Bank	-
Cash in Bank per AFR	\$55,483,562.60

These amounts consist of all cash in local banks. These amounts are included on the Statement of Net Position as part of the "Cash and Cash Equivalents" accounts, except for the certificates of deposit, which are recorded as Cash Equivalents, Short-Term or Long-Term Investments, based on their maturity date and management's intent. Certificates of deposits with maturity dates of three months or less are recorded as cash equivalents.

As of August 31, 2018, the total bank balance was as follows:

Business-Type Activities	\$58,725,960.43	Fiduciary Funds	-

Custodial credit risk for deposits is the risk that, in the event of the failure of a depository financial institution, the University will not be able to recover deposits or will not be able to recover collateral securities that are in the possession of an outside party. The Stephen F. Austin State University Board Policy 3.21, *Investments*, states that all deposits shall be secured by a pledge of collateral with a market value equal to no less than 100 percent of the deposits plus accrued interest less any amount insured by the FDIC. Pledged collateral must conform to Chapter 2257 of the Government Code, Collateral for Public Funds.

At August 31, 2018, amounts insured by the FDIC were \$1,500,000.00. The bank balances at August 31, 2018 that were exposed to custodial credit risks were as follows:

Fund Type	Uninsured and uncollateralized	Uninsured and collateralized with securities held by the pledging financial institution	Uninsured and collateralized with securities held by the pledging financial institution's trust department or agent but not in the University's name
05	-	\$57,225,960.43	-

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Investments

As of August 31, 2018, the fair value of investments was:

	Fair Value Hierarchy					Fair Value
	Level 1 Inputs	Level 2 Inputs	Level 3 Inputs	Amortized Cost	Net Asset Value	
U.S. Treasury Securities	\$4,069,401.28	-	-	-	-	\$4,069,401.28
U.S. Treasury TIPS	226,189.44	-	-	-	-	226,189.44
U.S. Government Agency Obligations (Ginnie Mae, Fannie Mae, Freddie Mac, etc.)	-	2,444,143.71	-	-	-	2,444,143.71
Corporate Obligations	-	6,043,192.91	-	-	-	6,043,192.91
Corporate Asset and Mortgage Backed Securities	-	3,008,482.34	-	-	-	3,008,482.34
Equity (Domestic)	13,861,749.40	-	-	-	-	13,861,749.40
International Obligations (Govt and Corp)	-	3,633,360.37	-	-	-	3,633,360.37
International Equity	9,399,908.77	-	-	-	-	9,399,908.77
Fixed Income Money Market and Bond Mutual Funds	-	-	-	1,126,650.32	-	1,126,650.32
Mutual Funds - International Equity (registered with SEC)	5,332,879.59	-	2,342,951.43	-	-	7,675,831.02
Other Commingled Funds - Equity	-	-	-	-	-	-
Other Commingled Funds - Fixed Income	414,474.13	-	440,510.67	8,829,547.64	40,387,482.07	50,072,014.51
Derivatives	-	(241.39)	-	-	-	(241.39)
Alternative Investments	-	-	-	-	19,270,733.86	19,270,733.86
Miscellaneous	-	7,407.32	-	-	-	7,407.32
TOTAL INVESTMENTS						\$120,838,823.86

Reconciliation of Investments per Exhibit – Business-Type Activities

Proprietary Funds Current Assets Restricted Investments	\$8,830,214.58
Proprietary Funds Current Assets Restricted Endowments	106,998.31
Proprietary Funds Noncurrent Assets Restricted Endowments	14,187,015.40
Proprietary Funds Noncurrent Assets Unrestricted Investments	97,714,595.57
Investments per Exhibit	\$120,838,823.86

Displayed on Statement of Net Position as:	
Current Assets:	
Restricted:	
Short-Term Investments	\$106,998.31
Cash Equivalents	8,830,214.58
Unrestricted:	
Short-Term Investments	1,018,883.70
Cash Equivalents	-

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Noncurrent Assets:	
Restricted:	
Investments: Endowments	\$14,187,015.40
Unrestricted:	
Investments: Quasi-Endowments	6,395,060.80
Investments: Operating	91,319,534.77
Subtotal	121,857,707.56
Less: Certificates of Deposit	(1,018,883.70)
Total	\$120,838,823.86

Foreign currency risk for investments is the risk that changes in exchange rates will adversely affect the investment. In order to mitigate this risk, Stephen F. Austin State University Board Policy 3.20, *Investments-Endowment Funds*, limits foreign equity investments to a maximum of 30% of the equity portfolio. The exposure to foreign currency risk as of August 31, 2018 was:

Fund Type	GAAP Fund	Foreign Currency	International Obligations (Govt and Corp and MF)	International Equity	International Equity Mutual Funds	International Alternative Investments			
						International Hedge Funds	International Other Private Equity	International Energy, Natural Resources	International Other Real Estate Funds
05	9999	U.S. Dollar Denominated Foreign Securities	\$3,396,331.51	\$3,473,601.70	\$7,675,831.02	\$8,060,213.40	\$973,437.11	\$88,726.23	\$13,014.49
05	9999	Australian Dollar	-	136,431.16	-	-	-	-	-
05	9999	Brazil Real	-	119,303.94	-	-	-	-	-
05	9999	British Pound Sterling	13,141.55	732,771.18	-	-	-	-	-
05	9999	Canadian Dollar	-	392,088.36	-	-	-	-	-
05	9999	Danish Krone	-	52,087.67	-	-	-	-	-
05	9999	Euro Currency Unit	1,810.82	1,851,943.12	-	-	162,948.64	-	-
05	9999	Hong Kong Dollar	-	205,701.35	-	-	-	-	-
05	9999	Japanese Yen	-	1,052,960.74	-	-	-	-	-
05	9999	Mexican Peso	52,087.58	-	-	-	-	-	-
05	9999	New Taiwan Dollar	-	85,038.96	-	-	-	-	-
05	9999	New Zealand Dollar	169,988.91	-	-	-	-	-	-
05	9999	Singapore Dollar	-	71,952.30	-	-	-	-	-
05	9999	South Korean Won	-	122,946.82	-	-	-	-	-
05	9999	Swedish Krona	-	150,391.51	-	-	-	-	-
05	9999	Swiss Franc	-	826,404.57	-	-	-	-	-
05	9999	Thailand Baht	-	94,868.39	-	-	-	-	-
05	9999	New Turkish Lira	-	31,417.00	-	-	-	-	-
TOTAL			\$3,633,360.37	\$9,399,908.77	\$7,675,831.02	\$8,060,213.40	\$1,136,385.75	\$88,726.23	\$13,014.49

Credit risk is the risk that an issuer or other counterparty to an 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. Stephen F. Austin State University Board Policy 3.21, *Investments*, addresses credit risks by authorizing investments only in certain types of securities.

As of August 31, 2018, the Standard & Poor's credit quality ratings of the University's investments by type of securities with credit risk exposure were as follows:

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Investment Type	AAA	AA	A	BBB	BB	B	CCC	NR
U.S. Government Agency Obligations	-	\$2,328,654.41	-	\$33,387.28	-	-	-	\$82,102.02
Corporate Obligations	134,447.84	383,578.58	1,057,974.83	3,386,282.96	742,190.95	232,784.27	-	105,933.48
Corporate Asset and Mortgage Backed Securities	410,186.36	386,865.99	304,479.87	17,761.09	181,255.51	-	-	1,671,933.52
International Obligations	385,713.81	304,730.36	589,010.97	1,341,131.93	174,885.59	45,660.89	-	792,226.82
Fixed Income Money Market and Bond Mutual Fund	1,126,650.32	-	-	-	-	-	-	-
Other Commingled Funds - Fixed Income	-	-	-	-	-	-	-	854,984.80
Miscellaneous (municipals and CDs)	-	-	-	-	-	-	-	7,407.32

Interest rate risk is the risk that changes in interest rates will adversely affect the fair value of an investment. Stephen F. Austin State University Board Policy 3.21, *Investments*, addresses interest rate risk by limiting the maximum duration of any security to ten years and limiting the weighted average duration of the portfolio to five years as follows:

Investment Types	Effective Duration (in years)	Unaccrued Market Value System Total
U.S. Treasury Securities	5.701	\$ 4,069,401.28
U.S. Treasury TIPS	6.952	226,189.44
U.S. Government Agency Obligations	3.765	2,444,143.71
Corporate Obligations	5.190	6,043,192.91
Corporate Asset and Mortgage Backed Securities	3.939	3,008,482.34
International Obligations	3.079	3,633,360.37
Other Commingled Funds - Fixed Income	2.197	854,984.80
Miscellaneous (political subdivision)	0.816	7,407.32
Total Fair Value		\$ 20,287,162.17

The University invests funds in the Texas A & M University System's (A&M System) investment pool, which includes investment derivatives in the form of forward currency exchange contracts used for the purchase or sale of a specific foreign currency at a fixed quantity and price on a future date as a hedge against either specific transactions or portfolio positions. Additional information on these contracts can be found in the Texas A & M System's financial statement note disclosures.

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The following table summarizes the University's share of the pending foreign exchange contracts as of August 31, 2018:

Foreign Exchange Contracts				
			Unrealized Gain on:	Unrealized Loss on:
Currency	Sell	Buy	Foreign Exchange Contract	Foreign Exchange Contract
Australian Dollar	-	\$1,386.02	\$0.92	-
British Pound Sterling	37,331.33	4,046.70	0.88	223.92
Canadian Dollar	-	6,432.26	3.20	6.39
Danish Krone	-	595.93	-	0.76
Euro	7,803.66	11,864.51	26.05	16.68
Hong Kong Dollar	-	2,683.02	0.10	-
Japanese Yen	-	2,685.97	-	3.29
Singapore Dollar	-	815.13	0.28	-
Swedish Krona	-	1,213.23	-	1.39
Swiss Franc	-	3,229.64	2.00	-
Turkish Lira	-	3,403.99	-	22.39
Total	\$45,134.99	\$38,356.40	\$33.43	\$274.82

The University's share of the fair value of open foreign currency exchange contracts as of August 31, 2018, was (\$241.39), which is included in the net increase (decrease) in fair value of investments on the Statement of Revenues, Expenses and Changes in Net Position.

The gross counterparty exposure related to the University's share of these contracts as of August 31, 2018, is presented below.

Foreign Exchange Contract Exposure to Counterparty Risk			
Notional	Assets Fair Value	Liabilities Fair Value	S&P Counterparty Rating
\$ 28,173.42	-	84.64	AA-
1,970.84	2.83	1.39	A
11,702.83	-	17.44	A+
20,351.12	17.20	165.85	BBB+
2,894.23	-	5.50	A+
13,314.34	9.92	-	A+
4,269.48	3.20	-	AA-
815.13	0.28	-	A
\$ 83,491.39	\$33.43	\$274.82	

Concentration of credit risk is the risk of loss attributable to the magnitude of investment in a single issuer. As of August 31, 2018, the University's concentration of credit risk is immaterial to any single issuer.

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Reverse Repurchase Agreements

The University, by statute, is authorized to enter into reverse repurchase agreements. A reverse repurchase agreement is a transaction in which a broker-dealer or financial institution transfers cash to the University and the University transfers securities to the broker-dealer and promises to repay the cash plus interest in exchange for the same or similar securities. Credit risk exposure for the University arises when a broker-dealer does not return the securities or their value at the conclusion of the reverse repurchase agreement. As of August 31, 2018, the University was not participating in reverse repurchase agreements.

Securities Lending

In securities lending transactions, the University would transfer its securities to broker-dealers and other entities for collateral – which may be cash or securities – and simultaneously agrees to return the collateral for cash or the same securities in the future. The University invests the cash received as collateral and, if the returns on those investments exceed the “rebate” paid to the borrowers of the securities, the securities lending transactions generate income for the University. The University did not participate in securities lending transactions during fiscal year 2018.

NOTE 4: Short-Term Debt

There was no reportable activity for short-term debt during the year ended August 31, 2018.

NOTE 5: Long-Term Liabilities**Changes in Long-Term Liabilities**

During the year ended August 31, 2018, the following changes occurred in long-term liabilities:

Business-Type Activities	Balance 09/01/17	Additions	Reductions	Restatement/ Adjustment	Balance 08/31/18	Amounts Due Within One Year	Amounts Due Thereafter
Revenue Bonds Payable	\$81,576,574.09	-	\$6,415,829.00	(\$114,762.81)	\$75,045,982.28	\$6,412,194.81	\$68,633,787.47
Tuition Revenue Bonds Payable	75,492,354.72	-	4,599,171.00	(1,356,605.98)	69,536,577.74	6,098,980.28	63,437,597.46
General Obligation Bonds Payable	2,345,000.00	-	1,150,000.00	-	1,195,000.00	1,195,000.00	-
Capital Lease Obligations	267,394.59	-	60,585.85	-	206,808.74	58,159.89	148,648.85
Employees' Compensable Leave	4,377,848.77	774,215.25	467,896.73	-	4,684,167.29	425,138.92	4,259,028.37
Notes & Loans Payable	12,373,797.37	-	1,165,517.06	-	11,208,280.31	1,216,206.73	9,992,073.58
Total Business-Type Activities	\$176,432,969.54	\$774,215.25	\$13,858,999.64	(\$1,471,368.79)	\$161,876,816.36	\$15,405,680.63	\$146,471,135.73

Notes and Loans Payable

Notes payable consists of amounts used to finance energy conservation projects and modernization of the University's sports-related scoreboards and video displays. The debt service requirements for notes and loans payable are as follows:

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Note Payments for Fiscal Year Ended August 31st	Principal	Interest	Total
2019	\$ 1,216,206.73	\$ 296,571.36	\$ 1,512,778.09
2020	1,268,700.89	264,388.42	1,533,089.31
2021	722,078.33	234,658.72	956,737.05
2022	762,756.42	215,234.82	977,991.24
2023	805,017.97	194,716.67	999,734.64
2024-2028	4,718,318.04	624,448.26	5,342,766.30
2029-2030	1,715,201.93	62,822.52	1,778,024.45
Total Payments	\$ 11,208,280.31	\$ 1,892,840.77	\$ 13,101,121.08

Claims and Judgments

The University had no unpaid settlements or judgments as of August 31, 2018.

Employees' Compensable Leave

Annual Leave

Full-time employees earn eight to twenty-one hours per month vacation leave (annual leave) depending on years of State employment. The State's policy is that employees may carry accrued vacation leave forward from one fiscal year to the next up to a maximum number of hours allowed based on their years of service. Employees with at least six months of State service who terminate employment are entitled to payment for all accumulated annual leave. The University accrues the dollar value of annual leave benefits which are payable upon retirement, termination, or death of its employees. The amounts of these liabilities are reported in the Statement of Net Position. The estimated liability, \$4,684,167.29 as of August 31, 2018, is based on outstanding balances reported in the leave reporting system multiplied by the employee's respective salary rate. The University made lump sum payments of \$467,896.73 for accrued leave to employees who separated from State service during the fiscal year ended August 31, 2018.

Sick Leave

Sick leave is earned at the rate of eight hours per month and is paid only when an employee is absent due to illness or to the estate of an employee in the event of his/her death. The maximum sick leave payment to an employee's estate is the lesser of one-half of the employee's accumulated entitlement or 336 hours. Sick leave accumulation from one fiscal year to the next is not limited. The University recognizes the cost of sick leave when paid. The liability is not shown in the financial statements since historical payouts of sick leave have been minimal.

Overtime and Compensatory Leave for FLSA Non-Exempt and Exempt Employees

Under the federal Fair Labor Standards Act and State laws, overtime can be accumulated in lieu of immediate payment as compensatory leave for non-exempt, non-emergency employees up to a maximum of 240 hours. For emergency personnel (e.g., University police officers), overtime can be accumulated up to a maximum of 480 hours. Overtime is calculated at a rate of 1.5 times an employee's normal rate of pay. Non-exempt employees may earn compensatory leave when they work additional hours but the number of hours worked in the work week does not exceed 40 hours. Compensatory time is calculated on an hour-for-hour basis. Unpaid overtime and compensatory time for non-exempt employees is included in the calculation of current and long-term liabilities because these employees are eligible to be paid for these accruals upon death or termination.

Compensatory leave is allowed for exempt employees who are not eligible for overtime pay. This leave is accumulated on an hour-for-hour basis and must be taken within one year from date earned or it lapses, up to a maximum of 80 hours in a fiscal year. There is no death or termination benefit for compensatory leave for exempt employees and it is non-transferable. For these reasons, no liability is reported in the financial statements for compensatory leave earned by exempt employees.

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NOTE 6: Bonded Indebtedness

Bonds Payable

Detailed supplemental bond information is disclosed in:

Schedule 2A – Miscellaneous Bond Information
Schedule 2B – Changes in Bonded Indebtedness
Schedule 2C – Debt Service Requirements
Schedule 2D – Analysis of Funds Available for Debt Service
Schedule 2E – Defeased Bonds Outstanding
Schedule 2F – Early Extinguishment and Refunding

General information related to bonds is summarized below:

Texas Public Finance Authority Stephen F. Austin State University Revenue Financing System Revenue Bonds - Series 2008 (Tuition Revenue Bonds)

- To provide funds to construct a new Early Childhood Research Center which will provide an early childhood laboratory for the College of Education and a charter school campus.
- Issued 03-04-08.
- \$20,175,000.00; All authorized bonds have been issued.
- Source of revenue for debt service: Pledged revenues consisting of Unrestricted Current Fund Revenues excluding: remissions, governmental appropriations and gifts, grants, and contracts within the Educational and General Fund Group; Higher Education Funds; and student service fees and private gifts in the Auxiliary Fund Group.
- Changes in Debt: Principal paid during fiscal year \$835,000.00; Outstanding at year end \$0.00.

State of Texas Constitutional Appropriation Bonds Stephen F. Austin State University - Series 2008

- To provide a portion of the funds to complete construction and equip the Early Childhood Research Center and pay certain costs related to the issuance of the bonds.
- Issued 12-18-08.
- \$10,200,000.00; All authorized bonds have been issued.
- Source of revenue for debt service: Pledged revenues consisting of Higher Education Funds.
- Changes in Debt: Principal paid during fiscal year \$1,150,000.00; Outstanding at year end \$1,195,000.00.

Texas Public Finance Authority Stephen F. Austin State University Revenue Financing System Revenue Bonds - Series 2009 (Tuition Revenue Bonds)

- To provide funds to construct a new nursing facility expansion and provide campus-wide deferred maintenance to multiple buildings.
- Issued 02-04-09.
- \$23,615,000.00; All authorized bonds have been issued.
- Source of revenue for debt service: Pledged revenues consisting of Unrestricted Current Fund Revenues excluding: remissions, governmental appropriations and gifts, grants, and contracts within the Educational and General Fund Group; Higher Education Funds; and student service fees and private gifts in the Auxiliary Fund Group.
- Changes in Debt: Principal paid during fiscal year \$990,000.00; Outstanding at year end \$0.00.
- Revenue Financing System Bonds issued include a Serial Bond of \$1,715,000.00, a Capital Appreciation Bond (CAB) of \$209,575.00, and Current Interest Serial Bonds of \$21,070,000.00.

Texas Public Finance Authority Stephen F. Austin State University Revenue Financing System Revenue Bonds - Series 2010 (Revenue Bonds)

- To provide funds to construct a new freshman residence hall and adjacent parking garage.
- Issued 04-01-10.
- \$35,035,000.00; All authorized bonds have been issued.
- Source of revenue for debt service: Pledged unappropriated fund balances available at the beginning of the year. Pledged revenues consisting of Unrestricted Current Fund Revenues excluding: remissions,

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governmental appropriations and gifts, grants, and contracts within the Educational and General Fund Group; and student service fees and private gifts in the Auxiliary Fund Group.

- Changes in Debt: Principal paid during fiscal year \$1,505,000.00; Outstanding at year end \$24,015,000.00.

Board of Regents of Stephen F. Austin State University Revenue Financing System Revenue Refunding Bonds – Series 2013 (Tuition Revenue Bonds and Revenue Bonds)

- To refund outstanding Texas Public Finance Authority Stephen F. Austin State University Revenue Financing System Revenue Bonds - Series 2002 and Texas Public Finance Authority Stephen F. Austin State University Revenue Financing System Revenue Bonds - Series 2004.
- Issued 9-11-13.
- \$22,255,000.00; All authorized bonds have been issued.
- Source of revenue for debt service: Pledged Student Tuition; Pledged Student Center Fees; and Other Pledged Revenues.
- Changes in Debt: Principal paid during fiscal year \$2,075,000.00; Outstanding at year end \$14,295,000.00.

Board of Regents of Stephen F. Austin State University Revenue Financing System Revenue Refunding Bonds – Series 2015 (Revenue Bonds)

- To refund outstanding Texas Public Finance Authority Stephen F. Austin State University Revenue Financing System Revenue Bonds - Series 2005 and Texas Public Finance Authority Stephen F. Austin State University Revenue Financing System Revenue Bonds - Series 2005(A).
- Issued 5-01-15.
- \$48,410,000.00; All authorized bonds have been issued.
- Source of revenue for debt service: Pledged Revenues consisting of Unrestricted Current Funds Revenues excluding: remissions, governmental appropriations and gifts, grants, and contracts within the Educational and General Fund Group; Higher Education Funds; and student service fees and private gifts in the Auxiliary Fund Group.
- Changes in Debt: Principal paid during fiscal year \$4,445,000.00; Outstanding at year end \$38,980,000.00.

Board of Regents of Stephen F. Austin State University Revenue Financing System Revenue Refunding Bonds – Series 2016 (Tuition Revenue Bonds)

- To refund outstanding Texas Public Finance Authority Stephen F. Austin State University Revenue Financing System Revenue Bonds - Series 2008 and Texas Public Finance Authority Stephen F. Austin State University Revenue Financing System Revenue Bonds - Series 2009, and provide funds to construct a new STEM building to house the University's Science, Technology, Engineering and Math departments.
- Issued 9-07-16.
- \$61,205,000.00; All authorized bonds have been issued.
- Source of revenue for debt service: Pledged Student Tuition; Pledged Student Center Fees; and Other Pledged Revenues.
- Changes in Debt: Principal paid during fiscal year \$1,165,000.00; Outstanding at year end \$56,955,000.00.

NOTE 7: Derivatives

A derivative security is a financial instrument which derives its value from another security, currency, commodity or index. Investment derivatives are entered into with the intention of managing transaction or currency exchange risk in purchasing, selling or holding investments. These include futures contracts and forward contracts.

The following disclosure summarizes the University's share of the A&M System's derivative activity. Note 3 also discloses details about these investment derivatives.

	Changes in Fair Value		Fair Value as of 8/31/2018		
	Classification	Amount	Classification	Amount	Notional Amount
Investment Derivatives					
Foreign Currency Exchange Contracts	Investment Income	(\$241.39)	Investment	(\$241.39)	\$83,491.39

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NOTE 8: Leases**Operating Leases**

Included in the expenditures reported in the financial statements are the following amounts of rent paid or due under operating lease obligations:

<u>Fund Type</u>	<u>Amount</u>
Proprietary Fund	\$605,341.62

Future minimum lease rental payments under non-cancelable operating leases having an initial term in excess of one year are as follows:

Future Minimum Operating Lease Payments Year Ending August 31	
2019	\$529,539.37
2020	187,935.27
2021	124,550.80
2022	68,546.01
2023	33,818.86
2024-2027	7,102.61
Total Future Minimum Lease Rental Payments	\$951,492.92

Capital Leases

The University has entered into long-term leases for financing the purchase of certain capital assets. Such leases are classified as capital leases for accounting purposes and, therefore, are recorded at the present value of the future minimum lease payments at the inception of the lease. Following is a summary of original capitalized costs of all such property under lease as well as the accumulated depreciation as of August 31, 2018:

Assets Under Capital Leases Year Ended Aug. 31, 2018	Business-Type Activities
Furniture and Equipment	\$423,552.44
Less: Accumulated Depreciation	161,353.28
Total	\$262,199.16

Future minimum lease payments under these capital leases, together with the present value of the net minimum lease payments at fiscal year-end, are as follows:

Future Minimum Capital Lease Payments Year Ending August 31	Business-Type Activities		
	Principal	Interest	Total
2019	\$58,159.89	\$5,896.11	\$64,056.00
2020	60,090.47	3,965.53	64,056.00
2021	62,085.17	1,970.83	64,056.00
2022	26,473.21	1,216.79	27,690.00
2023	-	-	-
2024-2028	-	-	-
Total Future Minimum Lease Payments	\$206,808.74	\$13,049.26	\$219,858.00
Less: Amount Representing Interest at Various Rates			13,049.26
Present Value of Net Minimum Lease Payments			\$206,808.74

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NOTE 9: Defined Benefit Pension Plans and Defined Contribution Plan

The State of Texas has joint contributory retirement plans for all of its benefits-eligible employees. One of the plans in which the University participates is administered by the Teacher Retirement System of Texas (TRS). The TRS defined benefit pension plan is established and administered in accordance with the Texas Constitution, Article XVI, Section 67 and Texas Government Code, Title 8, Subtitle C. The pension trust fund is a qualified pension trust under Section 401(a) of the Internal Revenue Code. The Texas Legislature establishes benefits and contribution rates within the guidelines of the Texas Constitution. The pension's Board of Trustees does not have the authority to establish or amend benefit terms. The contributory percentages of participant salaries currently provided by the State and by each participant are 6.8% and 7.7%, respectively, of annual compensation. Further information regarding actuarial assumptions and conclusions, together with audited financial statements, are included in TRS' annual financial report. Deferred outflows of resources and deferred inflows of resources related to the pension plan administered by TRS are disclosed in Note 28.

The State has also established an Optional Retirement Program (ORP) for institutions of higher education for certain administrative personnel and faculty. Participation in ORP is in lieu of participation in TRS, and the selection to participate in ORP must be made in the first 90 days of eligibility. The ORP allows participants to select from a variety of companies for the purchase of annuity contracts or to invest in mutual funds. The contributory percentages on salaries for participants entering the program prior to September 1, 1995, are 8.5% and 6.65% by the State and each participant, respectively. The State's contribution is comprised of 6.6% from the ORP appropriation and 1.9% from other funding sources. The 6.6% contribution is mandatory with the other 1.9% being at the discretion of the University's Board of Regents. The Board has approved the additional contributions for these employees. The contributory percentages on salaries for participants entering the program after August 31, 1995, are 6.6% and 6.65% by the State and each participant, respectively. Since these are individual annuity contracts or mutual fund investments, the University has no additional or unfunded liability for this program.

GASB Statement No. 27, *Accounting for Pensions by State and Local Governmental Employers*, paragraph 27(d) requires universities that administer the ORP to disclose the amounts contributed by members and by the employer for that plan. Following are the ORP contributions made for the 2018 fiscal year:

Contributions	Year Ended Aug. 31, 2018
Member Contributions	\$ 1,959,410.61
Employer Contributions	2,082,528.49
Total	\$ 4,041,939.10

NOTE 10: Deferred Compensation

University employees may elect to defer a portion of their earnings for income tax and investment purposes pursuant to authority granted in the TEX. GOV'T. CODE ANN., Chapter 609. Two plans are available for employees: the 403(b) Tax Sheltered Annuity (TSA) plan and the TexaSaver 457(b) plan. The TSA is administered by Stephen F. Austin State University. The 457(b) plan is administered by the Employees Retirement System of Texas. The assets of these plans do not belong to the University or to the State, and thus they have no liability related to the plans.

NOTE 11: Postemployment Benefits Other Than Pensions – Not Applicable

NOTE 12: Interfund Activity and Transactions

The University experienced routine transfers with other State agencies that were consistent with the activities of the fund making the transfer. Repayment of amounts reported as Due To or Due From Other State Agencies will normally occur within one year from the date of the financial statement.

Following are individual balances and activity reported as Due From and Due To Other State Agencies as of August 31, 2018:

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	Legislative Financing Sources	Legislative Financing Uses
ENTERPRISE FUND (05)		
	Transfer In	Transfer Out
Appd Fund 0802, D23 Fund 0802		
Agency 608, D23 Fund 0802		\$8,719.40
Appd Fund 0210, D23 Fund 0210		
Agency 902, D23 Fund 0210	\$216,072.00	.25

	Due From Other Agencies	Due To Other Agencies	Source
ENTERPRISE FUND (05)			
Appd Fund 9999, D23 Fund 7999			
Agency 802, D23 Fund 0014	34,340.00		State Pass Through
Agency 802, D23 Fund 3043	15,904.90		State Pass Through
Agency 720, D23 Fund 7999		4,292.73	State Pass Through
Agency 781, D23 Fund 0001		13,030.47	State Pass Through
Agency 781, D23 Fund 0001		467,011.84	State Pass Through
Total Due From/To Other Agencies - State	\$50,244.90	\$484,335.04	
Agency 723, D23 Fund 7999	9,261.38		Federal Pass Through
Agency 556, D23 Fund 7999	2,120.01		Federal Pass Through
Agency 712, D23 Fund 7999	3,297.60		Federal Pass Through
Agency 771, D23 Fund 0001	244,289.10		Federal Pass Through
Total Due From/To Other Agencies - Federal	\$258,968.09		
Total Interagency Balances	\$309,212.99	\$484,335.04	

The detailed State Grant Pass-Through information is listed on Schedule 1B - Schedule of State Grant Pass-Throughs From/To State Agencies.

In 2012, the University financed a comprehensive energy management program with a revolving loan fund from the State Energy Conservation Office (SECO) funded with American Recovery and Reinvestment Act (ARRA) funds and institutional Higher Education Funds (HEF). The total amount borrowed from SECO was \$13,327,627.82, with capitalized interest of \$197,015.33. The remaining balances, reported as Interfund Payables, are reflected in the table below:

Current Portion	Interfund Payable	Purpose
Agency 907, D23 Fund 2370	\$ 663,481.00	Interfund Loan
Agency 907, D23 Fund 2370	842,955.00	Interfund Loan
Total Current Interfund Payable	\$ 1,506,436.00	
Non-Current Portion	Interfund Payable	Purpose
Agency 907, D23 Fund 2370	\$ 1,410,632.25	Interfund Loan
Agency 907, D23 Fund 2370	1,688,780.71	Interfund Loan
Total Non-Current Interfund Payable	\$ 3,099,412.96	

NOTE 13: Continuance Subject to Review - Not Applicable

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NOTE 14: Adjustments to Fund Balances and Net Position

During fiscal year 2018, certain accounting changes and adjustments were made that required the restatement of net position. Pursuant to the requirements of Governmental Accounting Standards Boards' (GASB) Statement 75, the beginning balance of the unrestricted net assets was adjusted to reflect the cumulative net effect of implementing this pronouncement for prior years. The primary objective of this Statement, according to GASB, is to improve accounting and financial reporting by state and local governments for postemployment benefits other than pensions. We also adjusted the 2017 capital assets by \$123,691.59 for some items that had been misclassified in the previous year. The restatements are presented in the following table.

	Restatement	Prior Period Adjustments	Total
Net Position August 31, 2017	\$ 146,610,286.91		\$ 146,610,286.91
Restatement: OPEB beginning balance	(56,912,940.00)		(56,912,940.00)
Capital Asset adjustments		123,691.59	123,691.59
Prior year adjustments			0.00
Change in Net Position August 31, 2017 as Restated			\$ 89,821,038.50

NOTE 15: Contingencies and Commitments**Unpaid Claims and Lawsuits**

As of August 31, 2018, certain lawsuits were pending against the University and/or its officers. The lawsuits, which may present contingent liabilities, are displayed below:

Claimant/ Plaintiff	Defendant Name	Type of Litigation	Damages Sought	Probability of Liability	Possible Loss
USOR Site PRP Group	SFASU	CERCLA	Past and future response costs	Reasonably Possible*	Unknown

Description of the Case

The plaintiff is suing pursuant to CERCLA for recovery of past and future response costs incurred for environmental clean-up and response activities undertaken in Pasadena, Texas.

Claimant/ Plaintiff	Defendant Name	Type of Litigation	Damages Sought	Probability of Liability	Possible Loss
Geralyn Franklin	SFASU	Gender Discrimination	Compensatory; back pay and future lost wages and benefits; mental/emotional distress; attorney's fees; costs and prejudgment/post-judgment interest	Reasonably Possible*	Unknown

Description of the Case

The plaintiff alleges she was not hired for a dean position due to gender discrimination in violation of Title VII.

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Claimant/ Plaintiff	Defendant Name	Type of Litigation	Damages Sought	Probability of Liability	Possible Loss
Pamela Clasquin	SFASU	Disability Discrimination	Actual damages; back and front pay; mental/emotional distress; pre and post-judgment interest; reputation; attorney's fees; court costs	Reasonably Possible*	Unknown

Description of the Case

The plaintiff alleges the University took adverse personnel action against plaintiff in violation of the Texas Commission on Human Rights Act.

* Reasonably Possible indicates the event is more than remote, but less than likely.

* Probable indicates the event is likely to occur.

NOTE 16: Subsequent Events

In October 2018, the Board of Regents approved a bond resolution authorizing the issuance of revenue financing system bonds for not more than \$125,000,000.00. The proposed bond issue would finance a fine arts expansion initiative; renovate an existing building for a welcome center and student support center; construct a basketball practice facility; and construct and renovate a student residential and dining facility.

NOTE 17: Risk Management

The University is exposed to various risks of loss related to torts; theft of, damage to, and destruction of assets; injuries to employees; losses resulting from providing health and other medical benefits to employees; and natural disasters. It is the University's policy to periodically assess the proper combination of commercial insurance and retention of risk to cover losses to which it may be exposed. The methods the University uses to handle each of these risks are summarized below.

Injuries to Employees: Employees of the University are covered by a workers' compensation insurance policy provided by the State Office of Risk Management (SORM). An Interagency Contract with SORM is executed on behalf of the University for workers' compensation insurance every two years. SORM assesses the University an amount for the insurance coverage in accordance with 28 T.A.C. 251.507. The initial estimated assessment for fiscal year 2018 was \$307,966.33, to be paid in two installments. The first payment of \$230,974.75 was made in September. The assessment was adjusted during the year and the remaining payment of \$76,153.38 was made in May, bringing the actual assessment total to \$307,128.13.

Provision for Health and Other Medical Benefits: Employees of the University are eligible for health insurance and optional coverage(s) if they are employed at least 50% time. The coverage is provided through the State, under the Texas Employees Group Benefits Program (GBP), which was administered by HealthSelect. Eligible employees may select health, dental, vision, life, TexFlex, accidental death and dismemberment, dependent life, and long and short-term disability coverage. All risks associated with these benefits are passed to the GBP. The costs of health insurance coverage are jointly paid by the State and the University as follows: 100% for full-time employees and 50% for their dependents; 50% for part-time employees and 25% for their dependents. Employees hired on or after September 1, 2014, have a 60-day waiting period to participate in health insurance coverage. Contributions made by the State on behalf of the University for health and other medical benefits were \$6,723,092.00 for the year ended August 31, 2018.

Damage to Property: The University is required by certain bond covenants to carry fire and extended coverage and boiler/heavy equipment insurance on buildings financed through the issuance of bonds. The insurance protects the bondholders from a disruption to the revenue stream that is being utilized to make the bond interest and principal payments. In fiscal year 2018, there was a catastrophic power outage throughout the entire campus that resulted in a \$354,723.30 claim.

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The Texas Motor Vehicle Safety Responsibility Act requires that every non-governmental vehicle operated on a State highway be insured for minimum limits of liability in the amount of \$30,000 per injured person, up to a total of \$60,000 for everyone injured in an accident (bodily injury) and \$25,000 for property damage. However, through the SORM Auto Insurance Program the University has chosen to carry liability insurance on its licensed vehicles in the amount of \$250,000/\$500,000/\$100,000. The University also carries physical damage for vehicles ten years and newer. The annual premium was \$89,047.00 with a deductible paid of \$6,463.78.

Torts and Other Risks: The University is exposed to a variety of civil claims resulting from the performance of its duties. The University has purchased commercial insurance to address this risk.

Claims and Judgments: Changes in the balances of the University's claims liabilities for 2018 are noted in the table below:

	Beginning Balance	Increases	Decreases	Ending Balance
Claims & Judgments	-	\$47,070.14	\$47,070.14	-

NOTE 18: Management's Discussion and Analysis (MD&A)

See *Management's Discussion and Analysis* at the beginning of this financial report.

NOTE 19: The Financial Reporting Entity

The University is an agency of the State of Texas. The ten members of its Board of Regents are appointed by the Governor, and include one non-voting student Regent. The University has no component units or joint ventures.

NOTE 20: Stewardship, Compliance and Accountability

Note 1, *Summary of Significant Accounting Policies*, discusses the generally accepted accounting principles upon which the financial statements are based and addresses any changes in accounting principles. The University had no material violations of finance-related legal or contractual provisions. Per the laws of the State of Texas, the University cannot spend amounts in excess of appropriations granted by the Texas Legislature. There are no deficits reported in Net Position.

NOTE 21: Not Applicable

NOTE 22: Donor Restricted Endowments

The University endowments are invested to maximize returns yet preserve principal. The long-term objective of maintaining the purchasing power of the endowments coupled with the goal of providing a reasonable, predictable, stable and sustainable level of income to support current needs guide the management of these funds. Distributions from the earnings and cumulative net appreciation are made annually to fund scholarships, professorships, and for other uses as stipulated by the donors. The Vice President for Finance and Administration reviews the total return on endowment accounts and recommends an annual distribution. The distribution to spending accounts was 3.35% for 2018.

The following tables presents the amount of net appreciation for donor restricted true endowments for fiscal year 2018 and the changes from the prior year amounts for expendable and non-expendable balances.

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Donor Restricted Endowments	Amounts of Cumulative Net Appreciation	Reported in Net Position
True Endowments	\$ 3,563,684.72	Restricted for Expendable
Term Endowments	7,243.40	Restricted for Expendable
Total	\$ 3,570,928.12	Restricted for Expendable

Endowment Funds	Increase/(Decrease)	Reason for Change
Expendable Balances		
True Endowments	\$699,284.27	Fair value increase in portfolio, offset by use of contingency reserves
Term Endowments	771.54	Fair value increase in portfolio
Non-Expendable Balances		
True Endowments	\$32,634.12	Donor gifts and bequests
Term Endowments	-	

NOTE 23: Extraordinary and Special Items - Not Applicable**NOTE 24: Disaggregation of Receivable and Payable Balances****Accounts Receivables**

The components of Current Accounts Receivable, as reported in the Statement of Net Position, are as follows:

Accounts Receivable Category	Current Amount
3 rd Party Contracts for Student Payments	\$2,435,200.64
Travel Advances	71,485.13
Departmental Receivables	96,762.08
Food Services	201,873.85
Other Receivables	70,524.22
Total	\$2,875,845.92

Of these amounts, none are considered significant and the University expects to collect all within the next fiscal year.

Accounts Payables

The components of Current Accounts Payable, as reported in the Statement of Net Position, are as follows:

Accounts Payable Category	Current Amount
Construction Payables	\$2,220,461.00
Procurement Card Payables	598,016.03
Food Service Payables	64,582.72
Utility Payables	353,492.50
Payables for Supplies	1,256,683.06
Payables for Services	122,951.39
Miscellaneous Payables	178,511.78
Total	\$4,794,698.48

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NOTE 25: Termination Benefits – Not Applicable

NOTE 26: Segment Information - Not Applicable

NOTE 27: Service Concession Arrangements – Not Applicable

NOTE 28: Deferred Outflows of Resources and Deferred Inflows of Resources

Beginning with fiscal year 2015, the University reported deferred outflows of resources and deferred inflows of resources in connection with GASB Statement No. 68 requirements related to pension reporting. The requirements include that affected State agencies disclose the proportional share of the net pension liability, pension expense, deferred outflows and inflows related to pensions if those amounts are not identifiable in the financial statements. This year, State agencies were additionally required to report the effects of implementing GASB Statement No. 75, Other Post-Employment Benefits (OPEB) on the face of the entity's financials.

Business-Type Activities	Deferred Outflows of Resources	Deferred Inflows of Resources
TRS Pension (Note 9)	\$13,311,337.00	\$11,503,330.00
ERS OPEB	13,025,179.00	10,780,265.00
Total	\$26,336,516.00	\$22,283,595.00

Details of the pension plan administered by the Teacher Retirement System of Texas (TRS) are disclosed in Note 9.

NOTE 29: Troubled Debt Restructuring – Not Applicable

NOTE 30: Non-Exchange Financial Guarantees – Not Applicable

NOTE 31: Tax Abatements – Not Applicable

NOTE 32: Governmental Fund Balances – Not Applicable

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Stephen F. Austin State University
Agency 755
Schedule 1A-Schedule of Expenditures of Federal Awards
For the Fiscal Year Ended August 31, 2018

Federal Grantor/ Pass-Through Grantor/ Program Title	CFDA Number	NSE Name/ Identifying Number	Pass-through From		
			Agy/ Univ No.	Agencies or Universities Amount	Non-State Entities Amount
Institute of Museum and Library Services					
<u>Pass-Through From:</u>					
Grants to States	45.310				
<u>Pass-Through From:</u>					
Texas State Library and Archives Commission			306	1,311.81	
				<u>1,311.81</u>	<u>0.00</u>
Totals - Institute of Museum and Library Services					
National Endowment For The Humanities					
Promotion of the Humanities Federal/State Partnership	45.129	Humanities Texas/ 2017-5268			1,500.00
<u>Direct Programs:</u>					
Promotion of the Humanities Division of Preservation and Access	45.149				
				<u>0.00</u>	<u>1,500.00</u>
Totals - National Endowment For The Humanities					
U.S. Department of Education					
<u>Direct Programs:</u>					
Rehabilitation Long-Term Training	84.129				
Gaining Early Awareness and Readiness for Undergraduate Programs	84.334				
				<u>0.00</u>	<u>0.00</u>
Totals - U.S. Department of Education					
U.S. Department of Health and Human Services					
<u>Pass-Through From:</u>					
Area Health Education Centers	93.107				
<u>Pass-Through From:</u>					
University of Texas Medical Branch Galveston			723	91,282.00	
				<u>91,282.00</u>	<u>0.00</u>
Totals - U.S. Department of Health & Human Services					
U.S. Department of Justice					
<u>Direct Programs:</u>					
Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus	16.525				
				<u>0.00</u>	<u>0.00</u>
Totals - U.S. Department of Justice					
RESEARCH & DEVELOPMENT CLUSTER					
Environmental Protection Agency					
<u>Pass-Through From:</u>					
Nonpoint Source Implementation Grants	66.460				
<u>Pass-Through From:</u>					
Texas A&M AgriLife Research			556	18,515.18	
				<u>18,515.18</u>	<u>0.00</u>
Totals - Environmental Protection Agency					
National Science Foundation					
<u>Direct Programs:</u>					
Mathematical and Physical Sciences	47.049				
Education and Human Resources	47.076				
<u>Pass-Through From:</u>					
Engineering Grants	47.041				
<u>Pass-Through From:</u>					
Texas A&M Engineering Experiment Station			712	14,497.60	
				<u>14,497.60</u>	<u>0.00</u>
Totals - National Science Foundation					
U.S. Department of the Interior					
National Center for Preservation Technology and Training	15.923	Caddo Nation of Oklahoma/ P16AP00375			3,024.00
<u>Direct Programs:</u>					
Science and Technology Projects Related to Coal Mining and Reclamation	15.255				
<u>Pass-Through From:</u>					

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Direct Program Amount	Total PT From & Direct Program Amount	Pass-through To		Expenditures Amount	Total PT To & Expenditures Amount
		Agy/ Univ No.	Agencies or Universities Amount		
	1,311.81			1,311.81	1,311.81
<u>0.00</u>	<u>1,311.81</u>	<u>0.00</u>	<u>0.00</u>	<u>1,311.81</u>	<u>1,311.81</u>
	1,500.00			1,500.00	1,500.00
851.50	851.50			851.50	851.50
<u>851.50</u>	<u>2,351.50</u>	<u>0.00</u>	<u>0.00</u>	<u>2,351.50</u>	<u>2,351.50</u>
126,319.69	126,319.69			126,319.69	126,319.69
609,386.56	609,386.56		158,087.46	451,299.10	609,386.56
<u>735,706.25</u>	<u>735,706.25</u>	<u>0.00</u>	<u>158,087.46</u>	<u>577,618.79</u>	<u>735,706.25</u>
	91,282.00			91,282.00	91,282.00
<u>0.00</u>	<u>91,282.00</u>	<u>0.00</u>	<u>0.00</u>	<u>91,282.00</u>	<u>91,282.00</u>
36,750.62	36,750.62			36,750.62	36,750.62
<u>36,750.62</u>	<u>36,750.62</u>	<u>0.00</u>	<u>0.00</u>	<u>36,750.62</u>	<u>36,750.62</u>
	18,515.18			18,515.18	18,515.18
<u>0.00</u>	<u>18,515.18</u>	<u>0.00</u>	<u>0.00</u>	<u>18,515.18</u>	<u>18,515.18</u>
48,813.97	48,813.97			48,813.97	48,813.97
470,338.84	470,338.84			470,338.84	470,338.84
	14,497.60			14,497.60	14,497.60
<u>519,152.81</u>	<u>533,650.41</u>	<u>0.00</u>	<u>0.00</u>	<u>533,650.41</u>	<u>533,650.41</u>
	3,024.00			3,024.00	3,024.00
20,874.41	20,874.41			20,874.41	20,874.41

UNAUDITED

Stephen F. Austin State University
 Agency 755
 Schedule 1A-Schedule of Expenditures of Federal Awards
 For the Fiscal Year Ended August 31, 2018

Federal Grantor/ Pass-Through Grantor/ Program Title	CFDA Number	NSE Name/ Identifying Number	Pass-through From		
			Agy/ Univ No.	Agencies or Universities Amount	Non-State Entities Amount
Endangered Species Conservation - Recovery Implementation Funds	15.657				
Pass-Through From: Texas A&M AgriLife Research			556	3,139.52	
Totals - U.S. Department of the Interior				<u>3,139.52</u>	<u>3,024.00</u>
U.S. Department of Agriculture					
Specialty Crop Block Grant Program - Farm Bill	10.170	Nacogdoches Economic Development Corporation/SC-1617-035			19,331.93
		Nacogdoches Economic Development Corporation/SC-1718-016			17,647.22
Direct Programs:					
Cooperative Forestry Research	10.202				
Forestry Research	10.652				
Totals - U. S. Department of Agriculture				<u>0.00</u>	<u>36,979.15</u>
U.S. Department of Health and Human Services					
Health Center Program (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, and Public Housing Primary Care)	93.224	East Texas Community Health Services, Inc./206521			4,000.07
Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease	93.918	Houston Regional HIV/AIDS Resource Group, Inc./205741			198.78
		Houston Regional HIV/AIDS Resource Group, Inc./206171			19,778.64
Totals - U.S. Department of Health and Human Services				<u>0.00</u>	<u>23,977.49</u>
<u>SPECIAL EDUCATION (IDEA) Cluster</u>					
U.S. Department of Education					
Pass-Through From:					
Special Education-Grants to States	84.027				
Pass-Through From: Texas Education Agency			701	29,132.46	
Special Education-Grants to States	84.027				
Pass-Through From: Texas School for the Blind & Visually Impaired			771	572,911.92	
Totals - U.S. Department of Education				<u>602,044.38</u>	<u>0.00</u>
<u>Student Financial Assistance Cluster</u>					
U.S. Department of Education					
Direct Programs:					
Federal Supplemental Educational Opportunity Grants	84.007				
Federal Work-Study Program	84.033				
Federal Perkins Loan Program Federal Capital Contributions	84.038				
Federal Pell Grant Program	84.063				
Federal Direct Student Loans	84.268				
Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)	84.379				
Totals - U.S. Department of Education				<u>0.00</u>	<u>0.00</u>
Total Expenditures of Federal Awards				<u>\$ 730,790.49</u>	<u>\$ 65,480.64</u>

UNAUDITED

Direct Program Amount	Total PT From & Direct Program Amount	Pass-through To			Expenditures Amount	Total PT To & Expenditures Amount
		Agy/ Univ No.	Agencies or Universities Amount	Non-State Entities Amount		
	3,139.52				3,139.52	3,139.52
<u>20,874.41</u>	<u>27,037.93</u>	<u>0.00</u>	<u>0.00</u>	<u>27,037.93</u>	<u>27,037.93</u>	<u>27,037.93</u>
	19,331.93				19,331.93	19,331.93
	17,647.22				17,647.22	17,647.22
484,790.52	484,790.52				484,790.52	484,790.52
104,026.44	104,026.44				104,026.44	104,026.44
<u>588,816.96</u>	<u>625,796.11</u>	<u>0.00</u>	<u>0.00</u>	<u>625,796.11</u>	<u>625,796.11</u>	<u>625,796.11</u>
	4,000.07				4,000.07	4,000.07
	198.78				198.78	198.78
	19,778.64				19,778.64	19,778.64
<u>0.00</u>	<u>23,977.49</u>	<u>0.00</u>	<u>0.00</u>	<u>23,977.49</u>	<u>23,977.49</u>	<u>23,977.49</u>
	29,132.46				29,132.46	29,132.46
	572,911.92				572,911.92	572,911.92
<u>0.00</u>	<u>602,044.38</u>	<u>0.00</u>	<u>0.00</u>	<u>602,044.38</u>	<u>602,044.38</u>	<u>602,044.38</u>
374,887.00	374,887.00				374,887.00	374,887.00
615,206.68	615,206.68				615,206.68	615,206.68
54,373.00	54,373.00				54,373.00	54,373.00
21,505,435.00	21,505,435.00				21,505,435.00	21,505,435.00
74,013,569.00	74,013,569.00				74,013,569.00	74,013,569.00
363,355.00	363,355.00				363,355.00	363,355.00
<u>96,926,825.68</u>	<u>96,926,825.68</u>	<u>0.00</u>	<u>0.00</u>	<u>96,926,825.68</u>	<u>96,926,825.68</u>	<u>96,926,825.68</u>
<u>\$ 98,828,978.23</u>	<u>\$ 99,625,249.36</u>	<u>\$ 0.00</u>	<u>\$ 158,087.46</u>	<u>\$ 99,467,161.90</u>	<u>\$ 99,625,249.36</u>	<u>\$ 99,625,249.36</u>

UNAUDITED

STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Schedule 1A-Schedule of Expenditures of Federal Awards
For the Fiscal Year Ended August 31, 2018

Note 1: Non-Monetary Assistance - N/A

Note 2: Reconciliation

Below is a reconciliation of the total of federal pass through and federal expenditures as reported on the Schedule of Federal Financial Assistance to the total of federal revenues and federal grant pass-through revenues as reported in the general-purpose financial statements. Generally, federal funds are not earned until expended; therefore, federal revenues equal federal expenditures for the reporting period.

Per Statement of Revenues, Expenses and Changes in Net Position

Federal Revenue		
Operating	\$2,564,060.87	
Non-Operating	22,316,829.00	
Total Federal Revenue		\$24,880,889.87
Federal Pass-Through Revenue	730,790.49	
Total Federal Pass-Through Revenue		\$730,790.49
Total Federal Revenue and Federal Pass-Through Revenue		\$25,611,680.36
Reconciliation Items:		
Non-monetary Items:		\$0.00
New Loans Processed: (Amounts are from Note 3a)		
Federal Perkins Loan Program (Perkins)	84.038	0.00
Federal Direct Student Loans (Direct Loans)	84.268	74,013,569.00
Total New Loans Processed		\$74,013,569.00
Total reconciliation items:		\$74,013,569.00
Total per Note 2:		\$99,625,249.36
Total Pass-Through and Expenditures per Federal Schedule:		\$99,625,249.36
Difference:		\$0.00

Note 3a: Student Loans Processed and Administrative Cost Recovered FY2018

Program Name / CFDA Number	Beginning Balance of Outstanding Loans as of 8/31/17	New Loans Processed, does not include Admin Cost Recovered	*CY Admin Cost Recovered, PY's only if applicable	Total Loans Processed and Admin Cost Recovered	Repayment/ Adjustment Activity (PY+CY)	**Outstanding Balance of Loans as of 8/31/18 Includes all FYs
Department of Education 84.038 Federal Perkins Loans	\$ 4,062,131.45	\$ -	\$ 54,373.00	\$ 54,373.00	\$ 709,872.41	\$ 3,406,632.04
Department of Education 84.268 Federal Direct Student Loans (Direct Loans)		74,013,569.00		\$ 74,013,569.00	74,013,569.00	
Total Department of Education	\$ 4,062,131.45	\$ 74,013,569.00	\$ 54,373.00	\$ 74,067,942.00	\$ 74,723,441.41	\$ 3,406,632.04

* Administrative Cost Recovered includes administration cost and any interest subsidy related to student loans processed.

** Confirmed on Servicer Report

Note 3b: Federally Funded Loans Processed and Administrative Cost Recovered FY2018 - N/A

Note 4: Depository Libraries for Government Publications - Agencies are no longer required to submit.

Note 5: Unemployment Insurance Funds - N/A

Note 6: Rebates for the Special Supplemental Food Program for Women, Infants and Children (WIC) - N/A

Note 7: Federal Deferred Revenue - Universities are exempt from Note 7

Note 8: Disaster Grants - Public Assistance (Presidentially Declared Disasters) (CFDA 97.036) Not applicable. Our agency did not receive FEMA approval this current reporting fiscal year for eligible expenditures incurred in previous reporting fiscal year.

Note 9: Economic Adjustment Assistance (CFDA 11.307) - Not applicable. Our agency does not have any Revolving Loan Funds related to the Economic Adjustment Assistance program.

Note 10: 10% de Minimis Indirect Cost Rate - Our agency does not elect to use the 10 percent de minimis indirect cost rate.

UNAUDITED

STEPHEN F. AUSTIN STATE UNIVERSITY (755)
Schedule 1B
Schedule of State Grant Pass-Throughs From/To State Agencies
For The Year Ended August 31, 2018

Pass Through From:

	Grant ID	Agency Number	Amount
Fifth Year Accounting Student Scholarship Program	457.0001		\$ 12,000.00
TEXAS STATE BOARD OF PUBLIC ACCOUNTANCY		457	<u>12,000.00</u>
Available School Fund - Per Capita	701.0007		51,381.00
TEXAS EDUCATION AGENCY		701	<u>51,381.00</u>
Foundation School Program (FSP)-Formula	701.0015		1,917,852.00
TEXAS EDUCATION AGENCY		701	<u>1,917,852.00</u>
Instructional Materials Allotment	701.0048		12,555.14
TEXAS EDUCATION AGENCY		701	<u>12,555.14</u>
Joint Admission Medical Program (JAMP)	720.0002		26,640.27
UNIVERSITY OF TEXAS SYSTEM		720	<u>26,640.27</u>
TEXAS Grant Program	781.0008		8,807,343.00
TX HIGHER EDUCATION COORDINATING BOARD		781	<u>8,807,343.00</u>
Professional Nursing Shortage Reduction Program	781.0013		123,776.01
TX HIGHER EDUCATION COORDINATING BOARD		781	<u>123,776.01</u>
College Work Study Program	781.0023		84,324.43
TX HIGHER EDUCATION COORDINATING BOARD		781	<u>84,324.43</u>
Top 10% Scholarships	781.0028		32,000.00
TX HIGHER EDUCATION COORDINATING BOARD		781	<u>32,000.00</u>
Work Study Mentorship Program	781.0029		29,316.53
TX HIGHER EDUCATION COORDINATING BOARD		781	<u>29,316.53</u>
Developmental Education Program	781.0040		4,040.25
TX HIGHER EDUCATION COORDINATING BOARD		781	<u>4,040.25</u>
496333 Control of Giant Salvinia (Salvinia molesta) with an Endocide	802.0137		(7,421.76)
PARKS & WILDLIFE DEPARTMENT		802	<u>(7,421.76)</u>
511276 Control of Giant Salvinia (Salvinia molesta) with an Endocide	802.0154		49,990.00
PARKS & WILDLIFE DEPARTMENT		802	<u>49,990.00</u>
508197 Field and Experimental Assessments of the Impact of Erosion Control Materials on Wildlife	802.0154		27,883.98
PARKS & WILDLIFE DEPARTMENT		802	<u>27,883.98</u>
Arts Create	813.0003		750.00
TEXAS COMMISSION ON THE ARTS		813	<u>750.00</u>
Total Operating Pass-Through From Other Agencies			<u><u>\$ 11,172,430.85</u></u>

Pass Through To

	Grant ID	Agency Number	Amount
Total Pass-Through to Other Agencies			<u><u>\$ -</u></u>

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STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Schedule 2A - Miscellaneous Bond Information
For the Fiscal Year Ended August 31, 2018

Description of Issue	Bonds Issued to Date	Range of Interest Rates		Scheduled Maturities		First Call Date	Final Maturity
				First Year	Last Year		
Business-Type Activities							
Revenue Bonds - Self Supporting							
Rev Fin Sys Bonds Ser '10	\$ 35,035,000.00	2.000	5.000	2010	2029	10/15/2020	10/15/2029
Rev Fin Sys Bonds Ser '13	15,610,000.00	1.000	5.000	2014	2024	n/a	10/15/2024
Rev Fin Sys Bonds Ser '15	48,410,000.00	2.010	2.010	2015	2025	n/a	10/15/2025
	<u>99,055,000.00</u>						
Tuition Revenue Bonds - Self-Supporting							
Rev Fin Sys Bonds Ser '08	20,175,000.00	3.500	5.000	2008	2027	10/15/2017	10/15/2027
Rev Fin Sys Bonds Ser '09	23,615,000.00	3.750	5.000	2009	2029	10/15/2017	10/15/2029
Rev Fin Sys Bonds Ser '13	6,645,000.00	1.000	5.000	2014	2021	n/a	10/15/2021
Rev Fin Sys Bonds Ser '16	61,205,000.00	4.000	5.000	2017	2036	n/a	10/15/2036
	<u>111,640,000.00</u>						
Total Revenue Bonds	<u>210,695,000.00</u>						
General Obligation Bonds - Not Self-Supporting							
Constitutional Appn Bonds Ser '08	10,200,000.00	4.000	5.000	2009	2018	n/a	10/15/2018
Total General Obligation Bonds	<u>10,200,000.00</u>						
Grand Total of Bonds	<u>\$ 220,895,000.00</u>						

STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Schedule 2B-Changes in Bonded Indebtedness
For the Fiscal Year Ended August 31, 2018

Description of Issue	Bonds Outstanding 9/1/17	Bonds Issued	Bonds Matured or Retired	Bonds Refunded or Extinguished	Bonds Outstanding 8/31/18
Business-Type Activities					
Revenue Bonds - Self Supporting					
Rev Fin Sys Bonds Ser '10	\$ 25,520,000.00	\$ -	\$ 1,505,000.00	\$ -	\$ 24,015,000.00
Rev Fin Sys Bonds Ser '13	11,770,853.00	-	465,829.00	-	11,305,024.00
Rev Fin Sys Bonds Ser '15	43,425,000.00	-	4,445,000.00	-	38,980,000.00
	80,715,853.00	-	6,415,829.00	-	74,300,024.00
Tuition Revenue Bonds - Self-Supporting					
Rev Fin Sys Bonds Ser '08	835,000.00	-	835,000.00	-	-
Rev Fin Sys Bonds Ser '09	990,000.00	-	990,000.00	-	-
Rev Fin Sys Bonds Ser '13	4,599,147.00	-	1,609,171.00	-	2,989,976.00
Rev Fin Sys Bonds Ser '16	58,120,000.00	-	1,165,000.00	-	56,955,000.00
	64,544,147.00	-	4,599,171.00	-	59,944,976.00
Total Revenue Bonds	145,260,000.00	-	11,015,000.00	-	134,245,000.00
General Obligation Bonds - Not Self-Supporting					
Constitutional Appn Bonds Ser '08	2,345,000.00	-	1,150,000.00	-	1,195,000.00
Total General Obligation Bonds	2,345,000.00	-	1,150,000.00	-	1,195,000.00
Grand Total	\$ 147,605,000.00	\$ -	\$ 12,165,000.00	\$ -	\$ 135,440,000.00

STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Schedule 2B-Changes in Bonded Indebtedness
For the Fiscal Year Ended August 31, 2018

Description of Issue	Unamortized Premium	Unamortized Discount	Other Adjustments	Net Bonds Outstanding 8/31/18	Amounts Due Within One Year
Business-Type Activities					
Revenue Bonds - Self Supporting					
Rev Fin Sys Bonds Ser '10	\$ -	\$ -	\$ -	\$ 24,015,000.00	\$ 1,560,000.00
Rev Fin Sys Bonds Ser '13	745,958.28	-	-	12,050,982.28	317,194.81
Rev Fin Sys Bonds Ser '15	-	-	-	38,980,000.00	4,535,000.00
	745,958.28	-	-	75,045,982.28	6,412,194.81
Tuition Revenue Bonds - Self-Supporting					
Rev Fin Sys Bonds Ser '08	-	-	-	-	-
Rev Fin Sys Bonds Ser '09	-	-	-	-	-
Rev Fin Sys Bonds Ser '13	208,399.09	-	-	3,198,375.09	2,101,500.73
Rev Fin Sys Bonds Ser '16	9,383,202.65	-	-	66,338,202.65	3,997,479.55
	9,591,601.74	-	-	69,536,577.74	6,098,980.28
Total Revenue Bonds	10,337,560.02	-	-	144,582,560.02	12,511,175.09
General Obligation Bonds - Not Self-Supporting					
Constitutional Appn Bonds Ser '08	-	-	-	1,195,000.00	1,195,000.00
Total General Obligation Bonds	-	-	-	1,195,000.00	1,195,000.00
Grand Total	\$ 10,337,560.02	\$ -	\$ -	\$ 145,777,560.02	\$ 13,706,175.09

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STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Schedule 2C - Debt Service Requirements
For the Fiscal Year Ended August 31, 2018

<u>Description of Issue</u>	<u>FY</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
Business-Type Activities				
Revenue Bonds - Self Supporting				
Rev Fin Sys Bonds Ser '10	2019	\$ 1,560,000.00	\$ 1,021,362.50	\$ 2,581,362.50
Rev Fin Sys Bonds Ser '10	2020	1,615,000.00	965,800.00	2,580,800.00
Rev Fin Sys Bonds Ser '10	2021	1,675,000.00	906,131.25	2,581,131.25
Rev Fin Sys Bonds Ser '10	2022	1,750,000.00	830,975.00	2,580,975.00
Rev Fin Sys Bonds Ser '10	2023	1,840,000.00	741,225.00	2,581,225.00
Rev Fin Sys Bonds Ser '10	2024-2028	10,635,000.00	2,274,250.00	12,909,250.00
Rev Fin Sys Bonds Ser '10	2029-2030	4,940,000.00	218,531.26	5,158,531.26
		<u>24,015,000.00</u>	<u>6,958,275.01</u>	<u>30,973,275.01</u>
Rev Fin Sys Bonds Ser '13	2019	202,432.00	524,889.82	727,321.82
Rev Fin Sys Bonds Ser '13	2020	1,222,592.00	496,389.34	1,718,981.34
Rev Fin Sys Bonds Ser '13	2021	2,350,000.00	413,187.50	2,763,187.50
Rev Fin Sys Bonds Ser '13	2022	2,470,000.00	292,687.50	2,762,687.50
Rev Fin Sys Bonds Ser '13	2023	1,605,000.00	190,812.50	1,795,812.50
Rev Fin Sys Bonds Ser '13	2024-2025	3,455,000.00	141,531.25	3,596,531.25
		<u>11,305,024.00</u>	<u>2,059,497.91</u>	<u>13,364,521.91</u>
Rev Fin Sys Bonds Ser '15	2019	4,535,000.00	737,921.25	5,272,921.25
Rev Fin Sys Bonds Ser '15	2020	4,630,000.00	645,813.00	5,275,813.00
Rev Fin Sys Bonds Ser '15	2021	4,720,000.00	551,845.50	5,271,845.50
Rev Fin Sys Bonds Ser '15	2022	4,820,000.00	455,968.50	5,275,968.50
Rev Fin Sys Bonds Ser '15	2023	4,920,000.00	358,081.50	5,278,081.50
Rev Fin Sys Bonds Ser '15	2024-2026	15,355,000.00	467,073.75	15,822,073.75
		<u>38,980,000.00</u>	<u>3,216,703.50</u>	<u>42,196,703.50</u>
Total Revenue Bonds - Self Supporting		<u>\$ 74,300,024.00</u>	<u>\$ 12,234,476.42</u>	<u>\$ 86,534,500.42</u>

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STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Schedule 2C - Debt Service Requirements
For the Fiscal Year Ended August 31, 2018

<u>Description of Issue</u>	<u>FY</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
Tuition Revenue Bonds - Self-Supporting				
Rev Fin Sys Bonds Ser '13	2019	1,962,568.00	80,347.68	2,042,915.68
Rev Fin Sys Bonds Ser '13	2020	1,027,408.00	20,548.16	1,047,956.16
		<u>2,989,976.00</u>	<u>100,895.84</u>	<u>3,090,871.84</u>
Rev Fin Sys Bonds Ser '16	2019	2,820,000.00	2,577,500.00	5,397,500.00
Rev Fin Sys Bonds Ser '16	2020	2,930,000.00	2,462,500.00	5,392,500.00
Rev Fin Sys Bonds Ser '16	2021	3,045,000.00	2,343,000.00	5,388,000.00
Rev Fin Sys Bonds Ser '16	2022	3,165,000.00	2,218,800.00	5,383,800.00
Rev Fin Sys Bonds Ser '16	2023	3,310,000.00	2,072,750.00	5,382,750.00
Rev Fin Sys Bonds Ser '16	2024-2028	19,320,000.00	7,633,500.00	26,953,500.00
Rev Fin Sys Bonds Ser '16	2029-2033	11,975,000.00	3,629,925.00	15,604,925.00
Rev Fin Sys Bonds Ser '16	2034-2037	10,390,000.00	972,775.00	11,362,775.00
		<u>56,955,000.00</u>	<u>23,910,750.00</u>	<u>80,865,750.00</u>
Total Tuition Revenue Bonds - Self-Supporting		<u>59,944,976.00</u>	<u>24,011,645.84</u>	<u>83,956,621.84</u>
Total Revenue Bonds		<u>134,245,000.00</u>	<u>36,246,122.26</u>	<u>170,491,122.26</u>
General Obligation Bonds				
Constitutional Appn Bonds Ser '08	2019	1,195,000.00	26,887.50	1,221,887.50
Total General Obligation Bonds		<u>1,195,000.00</u>	<u>26,887.50</u>	<u>1,221,887.50</u>
Total Debt Service		<u>\$ 135,440,000.00</u>	<u>\$ 36,273,009.76</u>	<u>\$ 171,713,009.76</u>

UNAUDITED

STEPHEN F. AUSTIN STATE UNIVERSITY**Agency No. 755****Schedule 2D - Analysis of Funds Available for Debt Service - General Obligation Bonds****For the Fiscal Year Ended August 31, 2018**

<u>Description of Issue</u>	<u>Application of Funds</u>		<u>Accrual Basis</u>
	<u>2018 Principal</u>	<u>2018 Interest</u>	<u>Int Exp</u>
Constitutional Appn Bonds Series 2008	\$ 1,150,000.00	\$ 78,500.00	\$ 59,956.25
General Obligation Bonds - Not Self-Supporting	<u>\$ 1,150,000.00</u>	<u>\$ 78,500.00</u>	<u>\$ 59,956.25</u>

UNAUDITED

STEPHEN F. AUSTIN STATE UNIVERSITY

Agency No. 755

Schedule 2D - Analysis of Funds Available for Debt Service - Revenue Bonds

For the Fiscal Year Ended August 31, 2018

Description of Issue	Net Available for Debt Service		Debt Service		Accrual Basis	
	Total Pledged and Other Sources	Operating Expenses and Capital Outlay	2018 Principal	2018 Interest	Interest Expense	Interest Capitalized
Business-Type Activities						
Revenue Bonds - Self Supporting						
Rev Fin Sys Bonds Ser '10	*	*	\$ 1,505,000.00	\$ 1,075,000.02	\$ 1,055,246.90	\$ -
Rev Fin Sys Bonds Ser '13	*	*	465,829.00	538,255.04	516,173.49	-
Rev Fin Sys Bonds Ser '15	*	*	4,445,000.00	828,170.25	794,666.06	-
Tuition Revenue Bonds - Self-Supporting						
Rev Fin Sys Bonds Ser '08	*	*	835,000.00	20,875.00	5,218.75	-
Rev Fin Sys Bonds Ser '09	*	*	990,000.00	16,087.50	4,021.87	-
Rev Fin Sys Bonds Ser '13	*	*	1,609,171.00	151,782.46	142,739.00	-
Rev Fin Sys Bonds Ser '16	*	*	1,165,000.00	1,000,525.00	2,639,725.00	1,656,675.00
			<u>\$ 11,015,000.00</u>	<u>\$ 3,630,695.27</u>	<u>\$ 5,157,791.07</u>	<u>\$ 1,656,675.00</u>

Analysis of Pledged and Other Sources:

Pledged Sources:

Tuition and Fees	\$ 111,451,845.53
Sales and Services	41,230,215.22
Other Sources	<u>2,399,586.90</u>
Total Revenues	155,081,647.65

Unrestricted Fund Balances	14,511,959.46
Less State Appropriated Fund Balances with Restrictions	<u>(8,057,999.38)</u>
Total Pledged Revenues	<u>\$ 161,535,607.73</u>

Expenditures associated with operations which generated the pledged revenues

\$ 171,224,127.53

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STEPHEN F. AUSTIN STATE UNIVERSITY
Agency No. 755
Schedule 2E - Defeased Bonds Outstanding
For the Fiscal Year Ended August 31, 2018

<u>Description of Issue</u>	<u>Year Refunded</u>	<u>Par Value Outstanding</u>

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STEPHEN F. AUSTIN STATE UNIVERSITY

Agency No. 755

Schedule 2F - Current Year Early Extinguishment and Refunding

For the Fiscal Year Ended August 31, 2018

Description of Issue	Category	Amount Extinguished or Refunded	Refunding Issue Par Value	For Refunding Only	
				Cash Flow Increase (Decrease)	Economic Gain/Loss

UNAUDITED

STEPHEN F. AUSTIN STATE UNIVERSITY**Agency No. 755****Schedule 3 - Reconciliation of Cash in State Treasury****August 31, 2018**

	<u>Unrestricted</u>	<u>Restricted</u>	<u>Current Year Total</u>
Cash in State Treasury			
Special Mineral Fund 0241	\$ 0.00	\$ 0.00	\$ 0.00
Local Revenue Fund 0261	<u>2,944,795.28</u>	<u>0.00</u>	<u>2,944,795.28</u>
 Total Cash in State Treasury (Stmt of Net Position)	 <u>\$ 2,944,795.28</u>	 <u>\$ 0.00</u>	 <u>\$ 2,944,795.28</u>

Report and Board Action on Agenda Item:

CHANGES IN COURSE FEES FOR FY 2019-20

Explanation:

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

Recommendation:

The administration recommends approval of the changes in course and lab fees for fiscal year 2019-20 shown in the following chart.

Report to the Board of Regents - Meeting of the Finance and Audit Committee

Changes in Course Fees 2019-20							
College of Business							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Management & Marketing	MKT	353		Personal Selling	\$0	\$30	New
College of Education							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Agriculture	AGD	491	050-099	Student Teaching	\$0	\$135	new
Agriculture	AGD	491	150-199	Student Teaching	\$0	\$246	new
Elementary Education	ECH	328	face to face	Foundations of ECH	\$20	\$5	modify
Elementary Education	ECH	328	online only	Foundations of ECH	\$20	\$7	modify
Elementary Education	ECH	331	face to face	Child-Centered Environments	\$20	\$13	modify
Elementary Education	ECH	331	online only	Child-Centered Environments	\$20	\$15	modify
Elementary Education	ECH	332	face to face	ECH Theory and Practice	\$20	\$5	modify
Elementary Education	ECH	332	online only	ECH Theory and Practice	\$20	\$0	Delete
Elementary Education	ECH	350	face to face	EC-6 Field Experience I	\$10	\$71	modify
Elementary Education	ECH	350	online only	EC-6 Field Experience I	\$10	\$40	modify
Elementary Education	ELE	301	face to face	Teaching Science in EC-6	\$25	\$20	modify
Elementary Education	ELE	301	online only	Teaching Science in EC-6	\$25	\$0	Delete
Elementary Education	ELE	302	face to face	Teaching Social Studies in EC-6	\$30	\$15	modify
Elementary Education	ELE	302	online only	Teaching Social Studies in EC-6	\$30	\$0	Delete
Elementary Education	ELE	303	face to face	Teaching Mathematics in EC-6	\$23	\$20	modify
Elementary Education	ELE	303	online only	Teaching Mathematics in EC-6	\$23	\$15	modify
Elementary Education	ELE	304	online only	Technology in Teaching	\$0	\$7	new
Elementary Education	ELE	441	001-049 (3 credits)	Student Teaching in the Elementary School	\$100	\$0	Delete
Elementary Education	ELE	441	050-099 (6 credits)	Student Teaching in the Elementary School	\$100	\$135	modify
Elementary Education	ELE	441	100-149 (3 credits)	Student Teaching in the Elementary School	\$100	\$0	Delete
Elementary Education	ELE	441	150-199 (6 credits)	Student Teaching in the Elementary School	\$100	\$246	modify
Elementary Education	ELE	441	200-249 (3 credits)	Student Teaching in the Elementary School	\$100	\$135	modify
Elementary Education	ELE	441	250-299 (3 credits)	Student Teaching in the Elementary School	\$100	\$246	modify
Elementary Education	ELE	450	face to face	EC-6 Field Experience II	\$0	\$5	new
Elementary Education	ELE	450	online only	EC-6 Field Experience II	\$0	\$7	New
Elementary Education	ELE	555	050-099	Student Teaching	\$100	\$135	modify
Elementary Education	ELE	555	150-199	Student Teaching	\$100	\$246	modify
Elementary Education	MLG	400	face to face	The Adolescent Learner	\$15	\$5	modify
Elementary Education	MLG	400	online only	The Adolescent Learner	\$15	\$0	Delete
Elementary Education	MLG	401	face to face	The Middle-Level Learning Community	\$40	\$44	modify
Elementary Education	MLG	401	online only	The Middle-Level Learning Community	\$40	\$46	modify
Elementary Education	MLG	401P	face to face	The Middle-Level Learning Community	\$0	\$20	New
Elementary Education	MLG	402	face to face	Learner-Centered Middle Schools	\$30	\$5	modify
Elementary Education	MLG	402	online only	Learner-Centered Middle Schools	\$30	\$0	Delete
Elementary Education	MLG	403	face to face	Integrating Middle Grades Learning	\$40	\$15	modify
Elementary Education	MLG	403	online only	Integrating Middle Grades Learning	\$40	\$17	modify
Elementary Education	MLG	403P	face to face	Integrating Middle Grades Learning	\$0	\$33	New
Elementary Education	MLG	422	face to face	Science in the Middle Grades	\$20	\$5	modify
Elementary Education	MLG	422	online only	Science in the Middle Grades	\$20	\$0	Delete
Elementary Education	MLG	423	face to face	Social Studies in the Middle Grades	\$15	\$5	modify
Elementary Education	MLG	423	online only	Social Studies in the Middle Grades	\$15	\$0	Delete
Elementary Education	MLG	424	face to face	Mathematics in the Middle Grades	\$20	\$5	modify
Elementary Education	MLG	424	online only	Mathematics in the Middle Grades	\$20	\$0	Delete

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Elementary Education	RDG	318	face to face	Survey of Reading	\$5	\$5	modify
Elementary Education	RDG	318	online only	Survey of Reading	\$5	\$0	Delete
Elementary Education	RDG	320	face to face	Language and Literacy I	\$14	\$5	modify
Elementary Education	RDG	320	online only	Language and Literacy I	\$14	\$0	Delete
Elementary Education	RDG	322	face to face	Language and Literacy II	\$10	\$5	modify
Elementary Education	RDG	322	online only	Language and Literacy II	\$10	\$0	Delete
Elementary Education	RDG	390	face to face	Content Area Reading and Writing	\$10	\$5	modify
Elementary Education	RDG	390	online only	Content Area Reading and Writing	\$10	\$0	Delete
Elementary Education	RDG	415	face to face	Language and Literacy III	\$10	\$10	modify
Elementary Education	RDG	416	face to face	Reading as a Language Process	\$0	\$15	New
Elementary Education	RDG	416	online only	Reading as a Language Process	\$0	\$10	New
Human Sciences	HMS	113	001-099	Pre Portfolio Development	\$0	\$18	new
Human Sciences	HMS	113	601-699	Pre Portfolio Development	\$0	\$21	new
Human Sciences	HMS	139	001-099	Management in Meal Production	\$34	\$40	modify
Human Sciences	HMS	139	500-599	Management in Meal Production	\$34	\$0	Delete
Human Sciences	HMS	204		Aesthetics and Trends in Merchandising	\$46	\$49	modify
Human Sciences	HMS	212		History of Interior Furniture, Furnishings & Architecture	\$75	\$53	modify
Human Sciences	HMS	232		Twentieth Century Costume	\$41	\$111	modify
Human Sciences	HMS	233		Apparel Design	\$0	\$86	new
Human Sciences	HMS	311		Interior Materials & Cabinetry	\$70	\$59	modify
Human Sciences	HMS	323		Specialty Merchandising	\$41	\$78	modify
Human Sciences	HMS	343		Visual Merchandising	\$114	\$150	modify
Human Sciences	HMS	404		Advanced Culinary Planning & Preparation	\$30	\$45	modify
Human Sciences	HMS	407		Customer Relations Hospitality Industry	\$55	\$60	modify
Human Sciences	HMS	409		Community Nutrition	\$0	\$6	new
Human Sciences	HMS	413	501-599	Portfolio Development	\$120	\$0	delete
Human Sciences	HMS	452		Specialty Merchandising	\$62	\$51	modify
Human Sciences	HMS	463		Specialty Merchandising	\$62	\$51	modify
Human Services	COU	524		The School Counselor	\$25	\$0	delete
Human Services	CSD	300		Speech Disorders	\$5	\$0	delete
Human Services	RHB	220		Introduction to Rehabilitation Services	\$0	\$10	new
Human Services	SPE	439	all sections	ABA Applied Behavior Analysis	\$20	\$0	delete
Human Services	SPE	443	050-099	Student Teaching in Special Education	\$100	\$135	modify
Human Services	SPE	443	150-199	Student Teaching in Special Education	\$100	\$246	modify
Human Services	SPE	554	all sections	Practicum in Professional and Ethical Practice	\$0	\$85	new
Human Services	SPE	555	all sections	Practicum in Diagnostic Evaluation	\$75	\$0	delete
Human Services	SPE	564	all sections	Early Childhood Special Education	\$30	\$0	delete
Human Services	SPH	471		Advanced Language Development for the Deaf	\$64	\$47	modify
Human Services	SPH	504		Clinical Practicum	\$40	\$0	Delete
Human Services	SPH	514		Clinical Practicum: Early Childhood Intervention	\$0	\$163	new
Human Services	SPH	554		Clinical Practicum: Praxis Prep & Case Studies in Communication Disorders	\$0	\$23	new
Kinesiology & Health Science	DAN	380		Dance Company	\$120	\$140	modify
Kinesiology & Health Science	HSC	151		ARC First Aid for Health Emergencies	\$20	\$38	modify
Kinesiology & Health Science	KIN	115		Bowling	\$0	\$30	new
Kinesiology & Health Science	KIN	206		Basic Rifle Marksmanship	\$0	\$47	new
Kinesiology & Health Science	KIN	353L		Physiology of Exercise	\$30	\$20	modify
Kinesiology & Health Science	KIN	433		Coaching Practicum	\$0	\$13	new
Kinesiology & Health Science	KIN	508		Emergency Care	\$0	\$36	new
Kinesiology & Health Science	KIN	521		Athletic Training Clinical I	\$110	\$168	modify

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Kinesiology & Health Science	KIN	541		Athletic Training Clinical III	\$30	\$67	modify
Kinesiology & Health Science	KIN	560		Psychophysiology	\$20	\$0	Delete
Kinesiology & Health Science	KIN	551		Athletic Training Clinical IV	\$30	\$37	modify
Kinesiology & Health Science	SED	442	001-049 (3 credits)	Student Teaching in a Secondary Learning Community	\$100	\$135	modify
Kinesiology & Health Science	SED	442	050-099 (6 credits)	Student Teaching in a Secondary Learning Community	\$100	\$135	modify
Kinesiology & Health Science	SED	442	100-149 (3 credits)	Student Teaching in a Secondary Learning Community	\$100	\$246	modify
Kinesiology & Health Science	SED	442	150-199 (6 credits)	Student Teaching in a Secondary Learning Community	\$100	\$246	modify
Kinesiology & Health Science	SED	442	200-249 (3 credits)	Student Teaching in a Secondary Learning Community	\$100	\$246	modify
Kinesiology & Health Science	SED	442	250-299 (3 credits)	Student Teaching in a Secondary Learning Community	\$100	\$135	modify
Kinesiology & Health Science	SED	443	all sections	Education in a Global Society	\$0	\$25	new
Kinesiology & Health Science	SED	443	001 & 002	Education in a Global Society	\$11	\$0	delete
Kinesiology & Health Science	SED	544	001-049	Student Teaching	\$100	\$135	modify
Kinesiology & Health Science	SED	544	100-149	Student Teaching	\$100	\$246	modify
College of Liberal & Applied Arts							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Psychology	PSY	497		Research Seminar	\$40	\$40	Modify
Psychology	PSY	507		Design & Analysis II	\$40	\$40	Modify
Psychology	PSY	585		Graduate Research Seminar	\$10	\$10	Modify
Psychology	PSY	133		General Psychology	\$3	\$5	modify
Psychology	PSY	350		Biopsychology	\$0	\$9	new
Government	CIS	460		Internship in Criminal Justice	\$50	\$50	modify
English	IRW	99		Developmental English	\$10	\$5	modify
English	ENG	131	001-300	Rhetoric and Composition	\$10	\$5	modify
English	ENG	132	001-300	Research and Argument	\$7	\$5	modify
English	ENG	273	001-300	Technical and Scientific Writing	\$7	\$5	modify
English	ENG	381	001-300	Writing About Literature	\$7	\$5	modify
English	ENG	382		Reasoning and Writing	\$7	\$5	modify
English	ENG	473		Advanced Technical Writing	\$7	\$5	modify
English	ENG	481		Advanced Composition	\$7	\$5	modify
English	ENG	261		Introduction to Creative Writing	\$10	\$5	modify
English	ENG	359		Intermediate Poetry Workshop	\$10	\$5	modify
English	ENG	361		Intermediate Fiction Workshop	\$10	\$5	modify
English	ENG	362		Intermediate Non-Fiction Workshop	\$10	\$5	modify
English	ENG	459		Advanced Poetry Workshop	\$10	\$5	modify
English	ENG	461		Advanced Fiction Workshop	\$10	\$5	modify
English	ENG	462		Advanced Non-Fiction Workshop	\$10	\$5	modify
English	ENG	463		Elements of Craft	\$10	\$5	modify
English	ENG	559		Graduate Poetry Workshop	\$10	\$5	modify
English	ENG	561		Graduate Fiction Workshop	\$10	\$5	modify
Mass Communication	MCM	2015		Media Writing	\$0	\$5	new
Mass Communication	MCM	212		Audio Production	\$50	\$136	modify
Mass Communication	MCM	250		Photographic Journalism	\$0	\$53	new
Mass Communication	MCM	300		Single Camera Productions	\$35	\$123	modify
Mass Communication	MCM	302		Studio Productions	\$35	\$123	modify
Mass Communication	MCM	305		Convergence Reporting	\$0	\$53	new
Mass Communication	MCM	350		Photographic Journalism	\$0	\$53	new
Mass Communication	MCM	353		Social Media Content Production	\$0	\$53	new
Mass Communication	MCM	381		Public Relations Writing	\$0	\$5	new
Mass Communication	MCM	383		Public Relations Campaigns	\$0	\$53	new

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Mass Communication	MCM	404	Media Graphics	\$0	\$53	new
Mass Communication	MCM	420	Broadcast Practicum	\$0	\$136	new
Mass Communication	MCM	440	Backpack Journalism	\$0	\$53	new
Mass Communication	MCM	456	Advanced Television Productions	\$0	\$123	new
History	HIS	133	US History to 1877	\$5	\$0	delete
History	HIS	134	US History since 1877	\$5	\$0	delete
History	HIS	151	Western Civilization to 1500	\$5	\$0	delete
History	HIS	152	Western Civilization since 1500	\$5	\$0	delete
History	HIS	161	World History to 1500	\$5	\$0	delete
History	HIS	162	World History since 1500	\$5	\$0	delete
History	HIS	210	The Craft o History	\$5	\$0	delete
History	HIS	300	US Diplomatic History	\$5	\$0	delete
History	HIS	303	Global Diplomacy	\$5	\$0	delete
History	HIS	304	History of Science	\$5	\$0	delete
History	HIS	308	Introduction to Public History	\$5	\$0	delete
History	HIS	310	Topics in US History	\$5	\$0	delete
History	HIS	312	Topics in World Regional History	\$5	\$0	delete
History	HIS	313	Topics in Comparative and/or Global History	\$5	\$0	delete
History	HIS	314	Women's History	\$5	\$0	delete
History	HIS	315	Modern South Asia	\$5	\$0	delete
History	HIS	316	History of the Islamic World	\$5	\$0	delete
History	HIS	317	Ancient Greece	\$5	\$0	delete
History	HIS	318	Ancient Rome	\$5	\$0	delete
History	HIS	319	Middle Ages	\$5	\$0	delete
History	HIS	320	Modern East Asia	\$5	\$0	delete
History	HIS	324	Renaissance and Reformation, 1350-1648	\$5	\$0	delete
History	HIS	325	Age of Absolutism, 1648-1789	\$5	\$0	delete
History	HIS	326	Age of Absolutism, 1815-1914	\$5	\$0	delete
History	HIS	328	Contemporary Europe	\$5	\$0	delete
History	HIS	330	European Popular Culture, 1500-1800	\$5	\$0	delete
History	HIS	332	History of Latin America	\$5	\$0	delete
History	HIS	333	History of Mexico	\$5	\$0	delete
History	HIS	334	US Mexico Borderlands	\$5	\$0	delete
History	HIS	335	History of Texas	\$5	\$0	delete
History	HIS	336	Latino History, 1848-Present	\$5	\$0	delete
History	HIS	341	Origins of Medieval Britain	\$5	\$0	delete
History	HIS	342	The Making of Modern Britain	\$5	\$0	delete
History	HIS	343	Colonial America	\$5	\$0	delete
History	HIS	344	The American South	\$5	\$0	delete
History	HIS	345	The American West	\$5	\$0	delete
History	HIS	349	African-American History	\$5	\$0	delete
History	HIS	350	US Military History	\$5	\$0	delete
History	HIS	352	Twentieth-Century Russia	\$5	\$0	delete
History	HIS	376	Teaching History and Social Studies in Secondary Schools	\$5	\$0	delete
History	HIS	417	Early Christianity	\$5	\$0	delete
History	HIS	426	French Revolution and Napoleon	\$5	\$0	delete
History	HIS	438	American Cities and Suburbs	\$5	\$0	delete
History	HIS	440	American Revolution	\$5	\$0	delete
History	HIS	443	The Early Republic	\$5	\$0	delete

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History	HIS	445		Civil War and Reconstruction (1850-1877)	\$5	\$0	delete
History	HIS	448		The Making of Modern America (1865-1921)	\$5	\$0	delete
History	HIS	449		United States in World War II	\$5	\$0	delete
History	HIS	450		The Roaring Twenties and Great Depression	\$5	\$0	delete
History	HIS	451		America Since 1945	\$5	\$0	delete
History	HIS	452		Vietnam War	\$5	\$0	delete
History	HIS	457		Europe and World War I	\$5	\$0	delete
History	HIS	459		Nazi Germany	\$5	\$0	delete
History	HIS	460		Cold War Cultures (1945-1991)	\$5	\$0	delete
History	HIS	461		History of American Sports	\$5	\$0	delete
History	HIS	463		American Legal and Constitutional History	\$5	\$0	delete
History	HIS	464		American Popular Culture	\$5	\$0	delete
History	HIS	470		Senior Seminar	\$5	\$0	delete
English	ENG	131	492	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	493	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	494	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	495	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	496	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	497	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	499	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	504	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	505	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	506	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	507	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	508	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	509	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	701	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	702	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	703	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	704	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	500	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	501	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	502	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	503	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	500	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	501	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	502	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	503	Rhetoric and Composition	\$10	\$0	delete
English	ENG	273	590	Technical Writing	\$7	\$0	delete
English	ENG	273	591	Technical Writing	\$7	\$0	delete
English	ENG	273	592	Technical Writing	\$7	\$0	delete
English	ENG	273	595	Technical Writing	\$7	\$0	delete
English	ENG	273	273	Technical Writing	\$7	\$0	delete
English	ENG	273	495	Technical Writing	\$7	\$0	delete
English	ENG	273	496	Technical Writing	\$7	\$0	delete
English	ENG	273	593	Technical Writing	\$7	\$0	delete
English	ENG	273	594	Technical Writing	\$7	\$0	delete
English	ENG	273	596	Technical Writing	\$7	\$0	delete
English	ENG	273	597	Technical Writing	\$7	\$0	delete

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English	ENG	381	500	Into to Lit. Analysis	\$7	\$0	delete
English	ENG	132	490	Research and Argument	\$7	\$0	delete
English	ENG	132	491	Research and Argument	\$7	\$0	delete
English	ENG	132	492	Research and Argument	\$7	\$0	delete
English	ENG	132	493	Research and Argument	\$7	\$0	delete
English	ENG	132	495	Research and Argument	\$7	\$0	delete
English	ENG	132	496	Research and Argument	\$7	\$0	delete
English	ENG	132	497	Research and Argument	\$7	\$0	delete
English	ENG	132	499	Research and Argument	\$7	\$0	delete
English	ENG	132	498	Research and Argument	\$7	\$0	delete
English	ENG	132	504	Research and Argument	\$7	\$0	delete
English	ENG	132	505	Research and Argument	\$7	\$0	delete
English	ENG	132	508	Research and Argument	\$7	\$0	delete
English	ENG	132	510	Research and Argument	\$7	\$0	delete
English	ENG	132	511	Research and Argument	\$7	\$0	delete
English	ENG	132	700	Research and Argument	\$7	\$0	delete
English	ENG	132	107	Research and Argument	\$7	\$0	delete
English	ENG	132	702	Research and Argument	\$7	\$0	delete
English	ENG	132	703	Research and Argument	\$7	\$0	delete
English	ENG	132	704	Research and Argument	\$7	\$0	delete
English	ENG	132	705	Research and Argument	\$7	\$0	delete
English	ENG	132	706	Research and Argument	\$7	\$0	delete
English	ENG	132	500	Research and Argument	\$7	\$0	delete
English	ENG	132	502	Research and Argument	\$7	\$0	delete
English	ENG	132	503	Research and Argument	\$7	\$0	delete
English	ENG	132	509	Research and Argument	\$7	\$0	delete
SFA 101	SFA	101	90-99	Freshman Seminar (Rec Center Ropes Course)	\$0	\$15	New
College of Forestry & Agriculture							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Agriculture	ANS	542L		Equine Production and Management	\$10	\$30	Modify
Agriculture	ANS	542		Equine Production and Management	\$4	\$50	Modify
Agriculture	ANS	442L		Equine Production and Management	\$10	\$30	Modify
Agriculture	ANS	442		Equine Production and Management	\$4	\$50	Modify
Agriculture	ANS	345		Small Ruminant Production	\$0	\$50	New
Forestry	FOR	310		Field Silviculture	\$70	\$90	Modify
Forestry	FOR	323		Land Measurement	\$70	\$90	Modify
Forestry	FOR	325		Timber Cruising	\$70	\$90	Modify
Forestry	FOR	329		Harvesting and Processing	\$70	\$90	Modify
Forestry	FOR	335		Non-timber Resources Management	\$70	\$90	Modify
Forestry	FOR	336		Field Wildlife Techniques	\$70	\$90	Modify
Forestry	FOR	610		Research Methods in Forestry	\$0	\$15	New
Forestry	FOR	627		Intensive Silviculture	\$0	\$50	New
Forestry	FOR	504		Southern Hardwood Silviculture	\$5	\$225	Modify
Forestry	FOR	604		Southern Hardwood Silviculture	\$5	\$225	Modify
Environmental Science	ENV	503		Remediation and Reclamation of Disturbed Land	\$0	\$20	New
Environmental Science	ENV	503L		Remediation and Reclamation of Disturbed Land Lab	\$0	\$10	New
Environmental Science	ENV	514		Wetland Delineation and Functional Assessment	\$0	\$20	New
Environmental Science	ENV	514L		Wetland Delineation and Functional Assessment Lab	\$10	\$10	Modify
Environmental Science	ENV	412		Environmental Hydrology Lab	\$0	\$25	New

Report to the Board of Regents - Meeting of the Finance and Audit Committee

Environmental Science	ENV	412L		Environmental Hydrology	\$0	\$10	New
College of Science & Math							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Chemistry & Biochemistry	CHE	111L	5xx online sections	Introductory Chemistry Lab	\$30	\$0	delete
Geology	GOL	243	all sections	Sedimentary Petrology	\$0	\$190	new
Geology	GOL	132L	5xx online sections	Earth Through Time Lab	\$0	\$60	new
Geology	GOL	101L	040 ONLY	Fundamentals of Earth Science Laboratory	\$0	\$260	new
Geology	GOL	131L	040 ONLY	Introductory Geology Lab	\$0	\$280	new
Geology	GOL	420	all sections	Geochemistry	\$0	\$40	new
Geology	GOL	440	all sections	Earth Resources	\$0	\$170	new
Geology	GOL	505	all sections	Stratigraphy of North America	\$0	\$170	new
Geology	GOL	506	all sections	Sequence Stratigraphy	\$0	\$280	new
Geology	GOL	507	all sections	Sedimentology	\$0	\$210	new
Geology	GOL	508	all sections	Depositional Systems	\$0	\$180	new
Geology	GOL	515	all sections	Sedimentary Petrology	\$0	\$250	new
Geology	GOL	542	all sections	Exploration of Ore Resources	\$0	\$250	new
Geology	GOL	432	all sections	Petroleum Geology and Fossil Fuels	\$0	\$40	new
Geology	GOL	532		Petroleum Geology and Fossil Fuels	\$0	\$40	new
Geology	GOL	242	all sections	Igneous & Metamorphic Petrology	\$205	\$280	Modify
Geology	GOL	241	all sections	Mineralogy	\$0	\$155	new
Geology	GOL	445	all sections	Geochronology	\$0	\$125	new
Geology	GOL	540	all sections	Metamorphic Basement Geology	\$0	\$280	new
Geology	GOL	545	all sections	Geochronology	\$0	\$125	new
Mathematics & Statistics	MTH	233L		Calculus I Lab	\$10	\$20	Modify
Mathematics & Statistics	MTH	234L		Calculus II Lab	\$10	\$20	Modify
Mathematics & Statistics	MTH	333L		Calculus III Lab	\$10	\$20	Modify
Physics, Engineering & Astronomy	PHY	215L		Linear Circuit Analysis Lab	\$0	\$20	new
Physics, Engineering & Astronomy	ECR	210L		Geo Model for Mech Design Lab	\$0	\$20	new
Physics, Engineering & Astronomy	AST	105		Classical & Modern Astronomy	\$5	\$3	Modify
Nursing	NUR	305		Introduction to Nursing	\$38	\$46	Modify
Nursing	NUR	306		Basic Care of Adults	\$138	\$147	Modify
Nursing	NUR	308		Pharmacology	\$47	\$17	Modify
Nursing	NUR	330		Nursing Care young Adult to Elderly	\$250	\$231	Modify
Nursing	NUR	332		Nursing Care in Promotion of Mental Illness	\$47	\$57	Modify
Nursing	NUR	406		Nursing Care of Clients with Complex Health Needs	\$128	\$148	Modify
Nursing	NUR	407		Nursing Care Women and Children 2	\$110	\$101	Modify
Nursing	NUR	408		Nursing Care of Clients with Complex Health Needs	\$81	\$90	Modify
Nursing	NUR	431		Care of Community Populations	\$217	\$203	Modify
Nursing	NUR	432		Leadership and Coordination of Care	\$82	\$92	Modify
Nursing	NUR	437		RN-BSN Assessment Across the Lifespan	\$98	\$130	Modify
Nursing	NUR	438		RN-BSN Pathophysiology	\$66	\$91	Modify
Nursing	NUR	440		RN_BSN Care of Community Populations	\$66	\$91	Modify
Nursing	NUR	441		RN-BSN Leadership and Coordination of Care	\$66	\$91	Modify
Nursing	NUR	475		Special Problems	\$74	\$82	Modify
Nursing	NUR	531		Advanced Pathophysiology	\$70	\$158	Modify
Nursing	NUR	532		Advanced Health Assessment	\$102	\$197	Modify
Nursing	NUR	541		Advance Pharmacology	\$70	\$158	Modify
Nursing	NUR	542		Diagnostics and Procedures	\$189	\$283	Modify
Nursing	NUR	551		Primary Care I	\$33	\$108	Modify

Report to the Board of Regents - Meeting of the Finance and Audit Committee

Nursing	NUR	561		Primary Care II	\$37	\$112	Modify
Nursing	NUR	570		MSN FNP Capstone	\$181	\$310	Modify

APPROVAL OF FY2019-20 BOARD RATES

Explanation:

Projected food service operating costs support the need for revised board rates for the 2019-20 fiscal year.

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

The proposed board rates for 2019-20 are presented following and reflect a 2.1% increase in the board plans.

These revised rates will become effective for the fall semester of 2019.

Recommendation:

The administration recommends approval of a 2.1% increase for ARAMARK services for FY2019-2020 as presented below.

Stephen F. Austin State University
Board Rates for 2019-2020

Meal plans (rates include sales tax)

	All Access Premium w/\$275	All Access w/\$50	7/14 Premium w/\$350	Basic 7/14 w/\$125
Campus Resident	\$2,002	\$1,800	\$1,955	\$1,753
Commuter	7/5 w/\$100 \$740	50 Block w/\$100 \$489	25 Block w/\$100 \$309	\$325 DD \$325
Summer Resident	7/14 w/\$75 \$644	7/20 w/\$50 \$805		
Summer Commuter	50 Block w/\$100 \$489	25 Block w/\$100 \$309		\$325 DD \$325

Stephen F. Austin State University
Board Rates for 2019-2020

Meal plans (rates include sales tax)

	All Access Premium w/\$275	All Access w/\$50	7/14 Premium w/\$350	Basic 7/14 w/\$125
Campus Resident	\$2,002	\$1,800	\$1,955	\$1,753
Commuter	7/5 w/\$100 \$740	50 Block w/\$100 \$489	25 Block w/\$100 \$309	\$325 DD \$325
Summer Resident	7/14 w/\$75 \$644	7/20 w/\$50 \$805		
Summer Commuter	50 Block w/\$100 \$489	25 Block w/\$100 \$309		\$325 DD \$325

DESIGNATED TUITION INCREASE FOR 2019-2020

Explanation:

To support academic delivery and operations, the administration proposes a designated tuition increase. The proposed increase will be used to support a faculty and staff salary pool.

Recommendation:

The administration recommends a \$12 per semester credit hour designated tuition increase that will begin in fiscal year 2019-20.

FIXED-RATE TUITION INCREASE FOR FY2019-20

Explanation:

Texas Education Code (TEC) 54.017 provides the opportunity for entering undergraduate or transfer undergraduate students the opportunity to select a fixed-rate tuition plan (F RTP) under which the institution agrees not to increase tuition charges per semester credit hour for a participating student for at least the first 12 consecutive semesters that occur after the date of the student's initial enrollment at any public or private institution of higher education. Under the F RTP arrangement, a student who selects the plan pays a premium to freeze tuition costs for the term of the plan. The legislative requirement to offer a fixed-cost option applies to tuition only.

Recommendation:

For eligible students who enter the university in the fall 2019 semester and wish to enter into a fixed-rate tuition plan, it is also recommended that designated tuition be increased to \$233 per semester credit hour.

APPROVAL TO WAIVE CERTAIN RECREATION CENTER AND STUDENT CENTER FEES FOR SUMMER STUDY ABROAD STUDENTS

Explanation:

The Board of Regents has waived the recreation center and student center fees for online-only students. Similarly, students who enroll in summer semester programs that are outside the country do not have access to the recreation and student centers.

Recommendation:

The administration recommends the Recreational Sports Fee and Student Center Fee be waived for study abroad students who participate in semester-long study abroad programs in Maymester, Summer I, and Summer II semesters.

APPROVAL OF RESOLUTION TO ACKNOWLEDGE REVIEW OF
INVESTMENT POLICY AND STRATEGY

Explanation:

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

Recommendation:

The administration recommends approval of the Resolution to Acknowledge Review of Investment Policy and Strategy:

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

RESOLUTION TO ACKNOWLEDGE
REVIEW OF INVESTMENT POLICY AND STRATEGY

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

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

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on January 29, 2019, and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 29, 2019 meeting of the board.

Attest:

RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND
INVESTMENT BROKERS

Explanation:

Chapter 2256 of the Texas Government Code requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The following financial institutions and brokers/investment managers are listed in the resolution:

Texas A&M University System
Citizens 1st Bank
Austin Bank
BancorpSouth Bank
Bank of America
Commercial Bank of Texas NA
Southside Bank (formerly First Bank and Trust)
Regions Bank
Regions Morgan Keegan Trust
Huntington State Bank
Wells Fargo
US Bank
Texas Bank
Texpool
Texpool Prime
Texstar
Texas Class
Texas Term
JPMorgan Chase & Co
Wilmington Trust, N.A.
UBS Financial Services Inc.
FTN Financial Capital Markets
Stephens Inc.
Drexel Hamilton, LLC
Deutsche Bank Securities Inc.
Bayerische Landesbank
Societe Generale
Citigroup Global Markets, Inc.

Recommendation:

The administration recommends approval of the financial institutions, investment managers and brokers as presented in the following resolution:

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

RESOLUTION APPROVING
FINANCIAL INSTITUTIONS AND BROKERS FOR INVESTMENT TRANSACTIONS

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

WHEREAS, the following firms are approved investment brokers:

Texas A&M University State System
Bank of America

WHEREAS, the following firms are approved financial institutions:

Citizens 1st Bank
Austin Bank
BancorpSouth Bank
Bank of America
Commercial Bank of Texas NA
Southside Bank (formerly First Bank and Trust)
Regions Bank
Regions Morgan Keegan Trust
Huntington State Bank
Wells Fargo
US Bank
Texas Bank
Texpool
Texpool Prime
Texstar
Texas Class
Texas Term
JPMorgan Chase & Co
Wilmington Trust, N.A.
UBS Financial Services Inc.
FTN Financial Capital Markets
Stephens Inc.
Drexel Hamilton, LLC
Deutsche Bank Securities Inc.
Bayerische Landesbank
Societe Generale
Citigroup Global Markets, Inc.

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 29, 2019 meeting of the board.

TEXPOOL INVESTMENTS AUTHORIZED REPRESENTATIVES

Explanation:

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

Recommendation:

The administration recommends adoption of the Texpool Resolution Amending Authorized Representatives.



Resolution Amending Authorized Representatives

Please use this form to amend or designate Authorized Representatives.

This document supersedes all prior Authorized Representative forms.

* Required Fields

1. Resolution

WHEREAS,

Stephen F. Austin State University

Participant Name*

7 8 0 5 0

Location Number*

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

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

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

NOW THEREFORE, be it resolved as follows:

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

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

1. Steven Westbrook Interim President
 Name Title
 9 3 6 4 6 8 2 2 0 1 9 3 6 4 6 8 2 2 0 2 swestbrook@sfasu.edu
 Phone Fax Email
 Signature
2. Danny R. Gallant Vice President of Finance and Administration
 Name Title
 9 3 6 4 6 8 2 3 5 0 9 3 6 4 6 8 7 0 2 7 dgallant@sfasu.edu
 Phone Fax Email
 Signature
3. Dannette Sales Controller
 Name Title
 9 3 6 4 6 8 2 3 5 4 9 3 6 4 6 8 2 2 0 7 salesdl@sfasu.edu
 Phone Fax Email
 Signature



Resolution Amending Authorized Representatives

Please use this form to amend or designate Authorized Representatives.

This document supersedes all prior Authorized Representative forms.

* Required Fields

1. Resolution

WHEREAS,

Stephen F. Austin State University

Participant Name*

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- B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and
- C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

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

1. **Judith Kruwell** **Director of Financial Services**
 Name Title
 9 3 6 4 6 8 4 5 4 1 9 6 8 4 6 8 7 0 2 7 kruwelljf@sfasu.edu
 Phone Fax Email
 Signature
2. **Jessica Barrett** **Director of Budget**
 Name Title
 9 3 6 4 6 8 2 1 1 6 9 3 6 4 6 8 7 0 2 7 barrettj1@sfasu.edu
 Phone Fax Email
 Signature
3. **Eric Ashworth** **Assistant Controller**
 Name Title
 9 3 6 4 6 8 2 2 1 8 9 3 6 4 6 8 2 2 0 7 ashworther@sfasu.edu
 Phone Fax Email
 Signature

Form Continues on Next Page

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2 3

1. Resolution (continued)

4.

Name Title

Phone Fax Email

Signature

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

Danny R. Gallant

Name

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

Pamela Corman

Bursar

Name

Title

9 3 6 4 6 8 3 9 9 2

9 3 6 4 6 8 7 2 1 3

pcorman@sfasu.edu

Phone

Fax

Email

- D. That this Resolution and its authorization shall continue in full force and effect until amended or revoked by the Participant, and until TexPool Participant Services receives a copy of any such amendment or revocation. This Resolution is hereby introduced and adopted by the Participant at its regular/special meeting held on the day of , 20.

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

Name of Participant*

SIGNED**ATTEST**

Signature*

Signature*

Brigettee Henderson

Nelda Blair

Printed Name*

Printed Name*

Board of Regents President

Board of Regents Secretary

Title*

Title*

2. Mailing Instructions

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

TexPool Participant Services
1001 Texas Avenue, Suite 1400
Houston, TX 77002

ORIGINAL SIGNATURE AND DOCUMENT REQUIRED

TEX-REP

3 of 3

TexPool Participant Services
1001 Texas Avenue, Suite 1400 • Houston, TX 77002
Phone: 1-866-TEXPOOL (839-7665) • Fax: 1-866-839-3291 • www.texpool.com

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APPROVAL AND RATIFICATION OF GRANT AWARDS

Explanation:

In fiscal year 2019, the University received multi-year grant awards totaling \$8,434,097. Of that total, grants awarded allocable to fiscal year 2019 were \$4,939,336, an increase of \$1,457,737 since the last report.

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

Recommendation:

The administration recommends approval and ratification of grant awards for fiscal year 2019 that total \$1,457,737. The grant awards are detailed in attached report.

Report to the Board of Regents – January 2019
 Grants¹ awarded between September 22, 2018 and December 31, 2018

Fiscal Year 2019 – as of December 31, 2018

Amounts allocable to FY19 (detailed in this report)

Direct Federal	\$ 276,269
Federal Pass-through	\$ 778,637
State and State Pass-through	\$ 21,000
Private and Local Government	\$ 381,831
TOTAL	\$ 1,457,737

Cumulative amount allocable to FY19 **\$ 4,939,336**

New awards (detailed in this report, all project years) **\$ 1,076,022**

Cumulative award total, all project years **\$ 8,434,097**

Federal Workstudy Funds (not included in ORGS totals) \$ 586,747

New, Additional, or Previously Unreported Awards for FY 2019

Direct Federal**Previously Described Awards**

**Collaborative Research: UTMOST 3.0 Undergraduate Teaching and Learning in Mathematics with Open Software and Textbooks (Phase III)*

Award Total: \$95,745 **Amount allocable to FY 2019:** \$26,551

Previously Described Awards with Modifications

Certified Orientation and Mobility Instructor Training (COMIT)

Award Total: \$750,000 **Amount allocable to FY 2019:** \$150,000

OVW Relationship Violence Program FY18-21

Award Total: \$300,000 **Amount allocable to FY 2019:** \$99,718

Subtotal Amounts Allocable to FY2019 (this report) = \$276,269

Subtotal New Direct Federal Awards (total award) = \$95,745

Federal Workstudy Funds (not included in ORGS totals)**Department of Education federal work-study allocation**

FY2019 Award \$586,747

Agency: Department of Education

Manager: Rachele Garrett, Financial Aid

This program funds work-study students.

**New awards or additional funds added to a current award*

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

Report to the Board of Regents – January 2019
Grants¹ awarded between September 22, 2018 and December 31, 2018

Federal Pass-through

Title: **Ideal Temperatures for Applying Salvinicide III to Control Giant Salvinia*

Sponsor: Fish and Wildlife Service, US Department of the Interior
Award FWS-800-037-2018, CFDA 15.608

Award Term: July 1, 2018 – December 31, 2019

PI/PD: Dr. Shiyu Li, National Center for Pharmaceutical Crops, College of Forestry and Agriculture

Total Award: \$25,037 **Amount Allocable to FY 2019:** \$25,037

Previously Described Awards

**Visually Impaired Preparation (VIP) FY19*

Award Total: \$602,000 **Amount allocable to FY 2019:** \$602,000

**Texas AHEC East, Piney Woods Region, Federal FY19*

Award Total: \$151,600 **Amount allocable to FY 2019:** \$151,600

Subtotal Amounts Allocable to FY2018 (this report) = \$778,637
Subtotal New Direct Federal Pass-Through awards (total award) = \$778,637

State and State Pass-through Awards

Title: **Sculpture for All*

Sponsor: Texas Commission on the Arts

Award Term: September 1, 2018 – August 31, 2019

PI/PD: Dr. John Handley, School of Art

Total Award: \$3,000 **Amount Allocable to FY 2019:** \$3,000

Grant funds provide partial funding for the Sculpture for All Competition and Exhibition which include 10 artists from across the nation who will showcase sculptures in the SFASU Gardens between 2019 and 2021.

Previously Described Awards

**JAMP Special Projects: JAMP Camp 2019*

Award Total: \$18,000 **Amount allocable to FY 2019:** \$18,000

Subtotal Amounts Allocable to FY 2018 (this report) = \$21,000
Subtotal New State and State Pass-through Awards (total award) = \$21,000

**New awards or additional funds added to a current award*

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

Report to the Board of Regents – January 2019
Grants¹ awarded between September 22, 2018 and December 31, 2018

Private Entity and Local Government Awards

Previously Described Awards

Master of Science in Nursing – Family Nurse Practitioner Program Development

Award Total: \$750,000 **Amount allocable to FY 2019:** \$172,000

****Welch Departmental Research Grant: Basic Chemical Research, FY20-22***

Award Total: \$135,000 **Amount allocable to FY 2019:** \$45,000

Previously Described Awards with Modifications

Tallow Control on the Greens Bayou Wetlands Mitigation Bank

Award Total: \$150,000 **Amount allocable to FY 2019:** *\$30,000

Guest Speakers, Undergraduate Research, and Reading Group

Award Total: \$75,000 **Amount allocable to FY 2019:** *\$12,000

Economics Reading Group

Award Total: \$37,420 **Amount allocable to FY 2019:** *\$3,640

Bees of the Big Thicket National Preserve (Insecta: Hymenoptera: Apoidea)

Award Total: \$12,247 **Amount allocable to FY 2019:** *\$-809

Subtotal Amounts Allocable to FY2019 (this report) = \$381,831

Subtotal New Private and Local Awards (total award) = \$179,831

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

****New awards or additional funds added to a current award***

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.

COMMENCEMENT CHAIRS AND EQUIPMENT PURCHASE

Explanation:

The university has had increases in its graduating classes for a number of years. To accommodate the number of graduates and visitors, the university began holding two graduation ceremonies for each fall and spring graduating class. The commencement chairs and equipment are old and need to be replaced.

In July 2018, the Board of Regents approved replacement of the chairs and equipment at a cost not to exceed \$105,330. Vendor prices increased from the original price quote, and the department reexamined the order. In the reexamination process, the department selected chairs that are more durable and have higher safety requirements. Consequently, additional funds of \$29,670 are needed.

Recommendation:

The administration recommends approval of the commencement chairs and equipment purchase using the higher education fund (HEF) in the amount of \$105,330, and pledged auxiliary funds in the amount of \$29,670, with a total amount not to exceed \$135,000. The administration further recommends presidential authorization to sign associated contracts and purchase orders that total \$100,000 or more.

APPROVAL OF FINANCIAL AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Finance and Audit Committee will consider: budgeting and appropriations request processes; all requests for appropriations and budgets covering expenditures of educational and general funds and auxiliary programs including, but not limited to, student housing and the athletic department; handling of university funds, depositories, etc., whether from appropriated or contributed funds; and the auditing function of the university including, but not limited to, annual audit plan, internal and external audit reports, risk assessment, and audit/compliance issues.

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

Recommendation:

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

Investments 3.21

Investments – Endowment Funds 3.20

Moving Expenses 3.23

Procurement Card 17.11

Receipts and Deposits 3.26

Student Accounts Receivable 3.28

Withdrawal without Financial Clearance 6.22

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments

Policy Number: 3.21

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

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

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

Purpose of Policy (what does it do): This policy provides guidance for the investment of all university funds that are governed by the Public Funds Investment Act.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive revisions; formatting changes and minor wording changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Investments

Original Implementation: April 30, 1996

Last Revision: ~~January 30, 2018~~ January 29, 2019

Purpose

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

Definitions

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

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

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

~~Policy Statement~~General

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

Scope

~~This policy establishes rules for the investment of all university funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act, and certain portions~~

~~of the Texas Education Code. Endowment funds are invested in accordance with policy 3.20, Investments—Endowment Funds, approved by the Board of Regents (board) annually. 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 *and to meet all reasonably anticipated operating 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.

Investment Strategy

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

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

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

~~Investments may be categorized and described as:~~

~~B.—— 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.~~

~~C.—— 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.~~

~~D.—— Long Term—over one year: United States Treasury and Agency securities are the primary investment vehicles. The 30 Year Treasury Bond rate is the benchmark for long~~

~~term funds.~~

~~The length of time for investments within this policy will vary according to needs.~~

Investment Authority

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

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

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

Investment Responsibilities

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

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

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

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

Prudence

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

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

Investment Guidelines

Authorized Investments:

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

- ~~A~~.a. obligations, including letters of credit, of the United States of America, or its agencies and instrumentalities;
- ~~B~~.b. direct obligations of the state of Texas or its agencies and instrumentalities;
- ~~C~~.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~~.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;
- 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
- e. less than A or its equivalent;
- ~~F~~.f. certificates of deposit and share certificates issued by a depository institution that conforms to Section 2256.010 of the Texas Government Code.
- ~~G~~.g. fully collateralized repurchase agreements that conform to Section 2256.011 of the Texas Government Code;
- ~~H~~.h. bankers' acceptances that conform to Section 2256.012 of the Texas Government Code;
- ~~I~~.i. commercial paper that conforms to Section 2256.013 of the Texas Government Code;
- ~~J~~.—no-load money market mutual funds and no-load mutual funds registered and regulated by the Securities and Exchange Commission and conform to Section
- j. 2256.014 of the Government Code;
- ~~K~~.k. guaranteed investment contracts that conform to Section 2256.015 of the Government Code;
- ~~L~~.l. investment pools that conform to Sections 2256.016 and 2256.019 of the Government Code;
- ~~M~~.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.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.o.~~ corporate bonds, debentures, or similar debt obligations rated by a nationally recognized investment rating firm in one of the two highest long-term rating categories, without regard to gradations within those categories.

Unauthorized Investments: *The following investments are prohibited:*

~~A.a.~~ obligations whose payment represents the coupon payments on the outstanding principal balance of the underlying mortgaged-backed security collateral and pay no principal;

~~B.b.~~ obligations whose payment represents the principal stream of cash flow from the underlying mortgage-backed security collateral and bear no interest;

~~C.c.~~ collateralized mortgage obligations that have a stated final maturity date of greater than 10 years; and

~~D.d.~~ collateralized mortgage obligations with an interest rate determined by an index that adjusts in an opposite direction to the change in a market index.

Asset Allocation: ~~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:

Category	Maximum
U. S. Treasury securities and securities having principal and interest guaranteed by the U. S. Government	100%
U. S. Government agencies, instrumentalities and government sponsored enterprises (excluding mortgage backed securities)	50%
Collateral mortgage backed securities	25%
Fully insured or collateralized certificates of deposit	100%
Bankers' acceptances	25%
Commercial paper	50%
Repurchase agreements	100%
Registered money market funds	80%
Local Government Investment Pool	100%
Corporate Bonds	50%

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

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

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

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

Pledged collateral shall be maintained for safekeeping by an independent third party.

~~Collateral Defined: Collateral Defined:-~~

The university shall accept only the following securities as collateral:

- ~~A.a.~~ FDIC insurance coverage;
- ~~B.b.~~ United States Treasury, Agency, or Instrumentality securities;
- ~~C.c.~~ Direct obligations of the state of Texas or its agencies and instrumentalities;
- ~~D.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.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;

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

Authorized Financial Dealers and Institutions

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

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

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

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

External Financial Advisor Contract Renewal or Extension

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

Disclosure Requirements for Outside Financial Advisor

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

Performance Evaluation

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

- ~~(A)~~a. describe in detail the investment position of the university on the date of the report;
- ~~(B)~~b. be prepared by the investment officer(s) of the university;
- ~~(C)~~c. be signed by the investment officer(s) of the university;
- ~~(D)~~d. contain a summary statement of each pooled fund group that states the:
 - ~~(1)~~i. beginning market value for the reporting period;
 - ~~(2)~~ii. ending market value for the period; and
 - ~~(3)~~iii. fully accrued interest for the reporting period;
- ~~(E)~~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)~~f. state the maturity date of each separately invested asset that has a maturity date;
- ~~(G)~~g. state the account or fund or pooled group fund for which each individual investment was acquired; and
- ~~(H)~~h. state the compliance of the investment portfolio of the university as it relates to the relevant provisions of the Public Funds Investment Act.

Internal Controls

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

Disclosure Requirements for Investment Officers

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

- ~~(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.

Training

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

Audits

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

Investment Policy Adoption and Certification

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

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

APPENDIX A

INTERNAL CONTROLS

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

APPENDIX B

ADMINISTRATIVE PROCEDURES

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

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments-Endowment Funds

Policy Number: 3.20

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

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

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

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

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive revisions; formatting changes and minor wording changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Investments - Endowment Funds

Original Implementation: Unpublished

Last Revision: ~~January 30, 2018~~ January 29, 2019

Purpose

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

Definitions

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

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

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

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

~~GENERAL~~ **General**

Endowment funds represent private funds given to the university by individuals ~~or~~ 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.

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

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

~~This Investment Policy Statement (IPS) applies to all Stephen F. Austin State University (the university) endowment funds, including those that function as endowments, and are not considered to be public funds. The IPS states the boards’ attitudes, goals and objectives in the investment of the endowment assets. As such, it is intended to provide guidance to the board, the finance committee, the university administration, and the investment consultant(s)/managers in the management of the endowment assets. The IPS clearly and concisely states the responsibilities of all parties involved with the endowment funds.~~

Investment Objectives

The overall objective of the ~~policy~~*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. In the management of the university endowment investments, consideration will be given to the need to balance a requirement for current income for present activities with a requirement for growth in principal to compensate for inflation.

Investment Risk Tolerance

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

The board adheres to the traditional capital market theory that maintains that over the long term, the risk of owning equities should be rewarded with a somewhat greater return than available from fixed-income investments. This reward comes at the expense of higher volatility of returns and more exposure to market fluctuations than with fixed-income investments. Fixed-income investments provide a more predictable return ~~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 ~~will assume~~*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 averse to large downward fluctuations in the value of its investments resulting from volatile market value fluctuations, such year-to-year volatility should be minimized.

Prudence

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

DEFINITIONS

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

Funds Functioning as Endowment Funds are funds for which the governing body of the university, rather than a donor has determined that the corpus is to be retained and invested. Since these funds are internally designated rather than externally restricted, the university has the right at any time to expend principal.

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

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

Responsibility and Delegation of Authority

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

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

The Board

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

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

University Administration

The vice president for finance and administration (vice president), ~~the~~ the director of financial services, and the director of administrative services are designated as the investment officers for the university. The specific responsibilities of the vice president in the investment process include:

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

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

Qualifying Institution

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

Investment Consultant

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

Specifically, the consultant will:

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

Investment Managers

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

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

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

The investment manager(s) will:

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

Custodian:

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

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

Investment Policy Guidelines

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

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

- a. Direct obligations of the United States government or its direct agencies.
- b. Direct obligations of federally-sponsored agencies in accordance with the above paragraph.
- c. Obligations of states, agencies, counties, cities, and other political subdivisions of any state in accordance with the above paragraph.
- d. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.
- e. Debentures or obligations, and preferred or common stock of international governments and corporations. International preferred and common stock issues must be listed on an organized stock exchange.
- f. Common stock and preferred stock issued by United States domiciled corporations and common stocks of ~~international~~ foreign companies listed on the major U.S. or ~~international~~ foreign security exchanges.
- g. Certificates of Deposit issued by federally insured state banks, federally insured savings and loan associations and saving banks or federally insured credit unions. Amounts over the insurance limit of the institutions must be secured by pledged securities.
- h. Bankers' acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.
- i. Money Market Mutual Funds. Funds must be registered with the Securities and Exchange Commission, have a maximum dollar weighted average maturity of no longer than 13 months, and be no-load funds. Funds must have assets

consisting of securities described in the paragraphs above and seek to maintain a stable net asset value of \$1.00 per share (or unit).

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

Unauthorized Investments:

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

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

Asset Allocation:

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

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

The allowable asset mix for fixed income and equities is:

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

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

Interest Rate, Credit and Foreign Currency Risks:

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

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

Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of

investment. In order to mitigate this risk, ~~international foreign~~ equity investments are limited to a maximum of 30% of the equity portfolio.

Gifts ~~Of~~ Individual Securities

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

~~Quasi-Funds Functioning As (Quasi)-Endowments~~

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

Distribution Policy

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

Performance Evaluation

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

Conflicts Of Interest

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

- 1.—A member of the board shall not direct nor participate in the decision to

purchase or sell securities of a firm with which such member is affiliated;
and

-
- Investments will not be purchased from or sold to a member of the board.
-

Audits

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

Investment Policy Adoption and Certification

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

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Moving Expenses

Policy Number: 3.23

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): Provides guidance on when and how SFA will pay/reimburse for newly hired faculty or staff moving expenses.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive revisions. Made minor corrections; added clarification that any mileage reimbursement will be paid at the IRS rate in effect on the date of the move.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Moving Expenses

Original Implementation: December, 1988

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy establishes the guidelines whereby Stephen F. Austin State University may pay moving expenses for a newly hired faculty or staff member.

General

The university may pay reasonable moving expenses for a newly hired faculty or staff member. However, payment of moving expenses is not an entitlement. It is an option, with terms to be agreed upon between the university and the prospective employee in advance. Prior approval of the university president is required.

Departments may negotiate with the new employee to pay full or partial moving expenses. Payments must be made from non-appropriated funds, provided the funds are available in the department's budget. Moving expenses can be paid by either of two methods:

- Direct payment to vendor (preferred method);
- Reimbursement to new employee (Receipts documenting moving expenses must be attached to the Moving Expenses Payment/Reimbursement Form and submitted to the payroll office. Only actual documented expenses will be reimbursed).

The controller's office will coordinate all payments for moving expenses, regardless of which method of payment is used. The Electronic Personnel Action Form (EPAF) and the Moving Expenses Payment/Reimbursement Form must be completed and signed by the employee and each of the appropriate approvers before any moving expense can be processed for payment. The taxability of any reimbursed moving expense will be determined by Internal Revenue Service (IRS) guidelines. Any mileage reimbursements will be paid at the IRS rate *in effect* for moving expenses *on the date of the move* unless a lower rate is negotiated by the department.

Direct payment to vendors, such as to professional moving companies, are not subject to federal income tax and FICA (social security) withholding. Direct payments to vendors require an approved purchase order and invoice.

Cross Reference: Electronic Personnel Action Form (11.8); *Internal Revenue Service website*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: Electronic Personnel Action Form (EPAF) (available through Self Service Banner);
Moving Expenses Payment/Reimbursement Form (available online)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Procurement Card

Policy Number: 17.11

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): The policy exists to support the university's procurement card program and provides for overall responsibilities at various levels, training requirements and card termination options

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Added responsibility for uploading pcard receipts into electronic portal. Other minor wording clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Procurement Card

Original Implementation: July 26, 1999

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy establishes guidelines for university purchases using a procurement card (p-card) and related requirements and activities.

Definitions

Procurement Cards (p-cards) will be issued in the name of the employee with the ~~SFA logo~~ *state of Texas seal* and the wording 'For Official Use Only' clearly indicated on the card. The p-card is to be used for official university business purposes only and may not be used for any personal transactions.

General

Approved university employees may use the university procurement card (p-card) in accordance with the P-Card Program Guide to order supplies and small items in amounts not exceeding per transaction and monthly limits. The director of procurement, the procurement card coordinator and procurement department purchasers may purchase on behalf of the university any item of any amount using a procurement card if they have determined payment by p-card represents the best value to the university and all procurement policies and rules have been followed.

The terms and conditions of the MasterCard procurement card contract were specified and awarded by the Texas ~~Procurement and Support Services~~ *Comptroller of Public Accounts* for the state of Texas. In addition to internal policies and procedures, Stephen F. Austin State University will comply with the terms and conditions of the state contract.

Responsibilities

The cardholder is responsible and accountable for the security and documentation associated with the use of the SFA ~~p~~ *Procurement c*Card and for complying with all policies and procedures related to the p-card program. Documentation shall include providing transaction detail information for each transaction through the university's financial system and keeping documentation of all transactions including returns, credits and disputed charges as required in the ~~Pp-Card~~ *Pp-Card* Program Guide, *and for uploading p-card transaction records monthly into the university's electronic records portal.*

The department head or his/her designee is responsible for: 1) designating departmental cardholders

and their spending limits; 2) determining yearly encumbrance amounts for each fund/org against which credit card charges will be made; and 3) approving monthly reconciliations of p-card cardholder statements and supporting documentation to ensure purchases are within SFA policies and procedures, and departmental budgets. Department heads are responsible for ensuring that all employees issued a card understand the departmental budget constraints under which they are to use the card.

The procurement office is responsible for maintaining complete and accurate information regarding p-card users and associated spending limits, establishing and updating restricted merchant category codes, determining compliance with university policies and procedures through periodic cardholder audits, cardholder training, monitoring p-card activity, and other duties related to p-card administration. Cardholder limits will be compared to actual expenditures and adjustments will be made as needed by the p-card coordinator in order to limit the university's risk of liability and exposure.

Card Use by Another Employee or Student

The only person authorized to use the p-card is the cardholder whose name appears on the card. The cardholder may not allow another university employee or a student to use their card unless the cardholder and department head have completed a P-Card Use form and filed it with the p-card coordinator in the procurement office. Refer to the P-Card Program Guide for detailed information on allowing another employee or student to use a card, as specific rules apply.

Training and Issuing Cards

All department heads will be required to attend training and sign the Cardholder Application/Approval Form before any cards will be issued to employees within the department. All employees will be required to attend training and sign a Cardholder Agreement before being issued a card. All cardholders will be required to complete refresher training either in person or on-line with testing every two years. Acceptable grades and actions associated with not meeting grade requirements are outlined in the P-Card Program Guide.

Making a Purchase with the P-Card

Refer to the P-Card Program Guide for detailed information related to making a purchase with the p-card. The director of procurement, the procurement card coordinator and procurement department purchasers are not subject to the P-Card Program Guide, but rather to university policies and procedures relating to purchases.

~~Transaction Detail, Monthly Statement, Reconciliation and Approval~~ Monthly Card Reconciliation

The transaction detail entries are required and provide an accounting and audit trail for expenditures made with the p-card. Each individual purchase must be detailed in the university's

financial system. See the P-Card Detail Training Manual for detailed instructions on completing the transaction detail entries on-line through the university's financial system.

Upon receipt of the monthly statement from the credit card vendor, the cardholder shall reconcile the statement with the Transaction Detail Summary and forward the reconciled statement, Transaction Detail Summary and all supporting documentation to the department head for review and signature. If the department head is the cardholder, the department head must sign as the cardholder, and another employee within the department must sign as the reviewer. The department head or reviewer is responsible to review all transactions listed on the Transaction Detail Summary to verify that all purchases are appropriate expenditures for the department and fund/org charged. If the department head/reviewer questions any transaction, they should bring it to the attention of the department head or p-card coordinator, or it may be reported anonymously through the university's fraud and ethics reporting process. Reported transactions will be audited and appropriate action taken as specified herein and in the P-Card Program Guide.

P-card transaction documentation records, as identified in the P-Card Program Guide, are to be uploaded in the university's p-card records portal each month, and will be retained according to the Texas Records Retention Schedule. These are the official university records. Reference the P-Card Program Guide P-Card Records Portal instructional guide for procedures and detailed instructions. Paper records retained by departments must be kept for three (3) years plus the current fiscal year to comply with the state of Texas Records Retention Schedule. These are the official university records. The records for procurement card purchases will be required for periodic audits by the procurement office or when SFA is audited by the Texas Procurement and Support Services Division of the Texas Comptroller's Office, the Texas State Auditor, SFA controller or Department of Audit Services.

Card Termination

Certain p-card rule violations will result in immediate deactivation or cancellation of all of a cardholder's cards. Other violations will be tracked based on demerits accumulated by the cardholder. Each month, demerits accumulated over the previous 6-month period will be reviewed and appropriate action taken. Demerits will not carry over from one 6-month period to another. Note the reasons for cancellation or deactivation of cards should not be considered all inclusive. Demerits may be identified during any transaction review, research, or audit by either the p-card coordinator or the Department of Audit Services.

Occasionally, exceptions to the p-card rules may be approved by the p-card coordinator prior to the transaction taking place. If so approved, the cardholder and p-card coordinator will have an Exception form on file with the transaction, and the card cancellation, deactivation, or demerits will be waived.

1. Immediate Card Cancellation with no Option to ever Receive Another Card - When

there is intentional abuse or fraud of a p-card to make personal purchases, the p-card is used to secure a cash advance, or a second p-card is lost or stolen within three years after the first lost or stolen card, all of the cardholder's cards will be cancelled with no option to ever receive another card.

2. **Immediate deactivation** – If all transactions on the cardholder's p-card statement have not been detailed in Banner by the required deadlines as outlined in the P-Card Program guide, their p-card will be deactivated until all transactions have been detailed in Banner to the satisfaction of the p-card coordinator. When a cardholder commits the following violations, all of the cardholder's cards will be deactivated for a period of three months: a) transaction details are not posted by the required date for three consecutive months or three months during a six-month period; b) second offense of splitting purchases to avoid purchasing procedures; c) failure to provide documentation within the requested timeframe for a p-card audit. Cards will only be reactivated after three months and after the cardholder attends an instructor-led training.
3. **Demerit Accumulation** - Demerits will accumulate against each cardholder when various violations are identified (see Demerit Schedule in the P-Card Program Guide). An accumulation of demerits over a six-month period will result in the following actions:

Four demerits accumulated within the first four months of a six-month period —will trigger a need for a full audit of three months of transactions.

Six demerits accumulated within a six-month period— will cause all of cardholder's cards to be deactivated for a minimum of three months. Before any cards will be reactivated, the employee will be required to attend an instructor-led training.

Ten demerits accumulated within a six-month period— will cause all of cardholder's cards to be cancelled for a minimum of one year. New cards will be issued only after the one-year waiting period and only upon completion of a new P-Card Application/Approval Form and attendance of an instructor-led training.

4. **Other Card Cancellations and Actions -**

Non-Use:- If the cardholder has not used the procurement card within one year, the p-card will be cancelled. To receive a new card, the cardholder will be required to submit a P-Card Application/Approval Form and attend training.

Termination of University Employment: —When a cardholder terminates employment with the university, the department has specific obligation to reclaim the p-card and return it to the p-card coordinator prior to the employee termination date. A request may be made to the p-card coordinator for the card to be shredded by the department head or his/her designee. The request can be granted at the p-card coordinator's discretion. Failure to reclaim or dispose of cards as designated may result in the department being responsible for payment of any fraudulent charges and revocation of all department card privileges. Verification of card return will be part of an employee's exit interview with human resources. Any fraudulent charges made by a terminated employee after the employee's termination will be reported to the University Police Department. The

terminated employee will be expected to reimburse the university.

Transfer to a Different University Department:— When a cardholder changes employment from one university department to another, the department has specific obligation to reclaim the p-card and return it to the p-card coordinator prior to the effective date of change. A request may be made to the p-card coordinator for the card to be shredded by the department head or his/her designee. The request can be granted at the p-card coordinator's discretion. Failure to reclaim or dispose of cards as designated may result in revocation of all department card privileges.

Failure to Promptly Report a Lost or Stolen Card:— If a cardholder fails to make a report of a lost or stolen card immediately upon discovery, the cardholder may be required to reimburse the university for any fraudulent charges made on the card until it has been cancelled. The university will pay the charges and the employee will be required to reimburse the university. The cardholder will be subject to a minimum 3-month waiting period before a new card will be issued and will be required to attend an instructor-led training.

Failure to Complete the Mandatory Refresher Training:—Any cardholder who fails to complete the mandatory refresher training every two years will have all cards deactivated until the refresher training is complete. If the refresher training is not completed within six months of card deactivation, all cards will be cancelled, and the employee will be required to submit a P-Card Application/Approval Form and attend an instructor-led training before receiving new cards.

Administrative Authority:— The department head or supervising dean, vice president, or president has the authority to request that the p-card coordinator deactivate or cancel an employee's cards at any time for any reason. Any cards so deactivated or cancelled may be reactivated or new cards issued only with approval by the position that originally requested the deactivation or cancellation. Upon the p-card coordinator's determination or upon the request of the Department of Audit Services or general counsel's office, the p-card coordinator may deactivate an employee's card while transactions are being researched, investigated, or an audit is being conducted. At the conclusion of the research, investigation or audit, the cards will be reactivated and/or appropriate action taken as specified herein and in the P-Card Program Guide.

Cross Reference: P-Card Program Guide, P-Card Record Portal instructional guide

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Cardholder Application/Approval Form, Cardholder Procurement Card Agreement, P-Card Use Form, Tax Exempt Letter, P-Card Dispute Form, P-Card Documentation/Problem Resolution Form, P-Card Exception Form, HEF Approval Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Receipts and Deposits

Policy Number: 3.26

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

Date of last revision, if applicable: 4/25/2017

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

Purpose of Policy (what does it do): Provides procedures and guidelines to all SFA departments on the proper handling of receipts and deposits.

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

☐ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☒ Other, please explain: Revised to reflect improved procedures to protect personal confidential information.

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Clarified that deposit documentation retention should not include copies of checks and other confidential information. Removed the directive that departments accepting checks should record driver's license number, date of birth, and employee's initials on the face of the check. Added business office will establish time of day deposits must be received and that deposit should include calculator tape. Other minor word changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Dannette Sales, Controller

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

Receipts and Deposits

Original Implementation: Unpublished

Last Revision: ~~April 25, 2017~~ January 29, 2019

Purpose

This policy provides ~~guidance procedures and guidelines~~ to all Stephen F. Austin State University (SFA) departments handling receipts and deposits. ~~The policy also Procedures have been established to~~ encourages effective administration and internal control of receipt-handling operations throughout the university. Note: The term “receipts,” as referenced in this policy, is deemed to include currency, coins, personal checks, bank drafts, money orders, traveler’s checks, cashier’s checks, credit card transactions, debit card transactions, wire transfers, and any other method of receiving funds.

Definitions

The **custodian** is anyone who handles cash and receipts.

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

Cashier's check is a check purchased at a bank for any amount; the bank completes all information on the face of the check with a bank officer signing as the maker.

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

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

Traveler's check is a special check supplied by banks or other companies for the use of travelers; these checks already bear the purchaser's signature and must be countersigned in the cashier's presence.

Personal check is a written order payable on demand, drawn on a bank by a depositor; a personal check is written against an individual's funds as opposed to a cashier's check, certified check, money order, or traveler's check, all of which are written against or guaranteed by bank funds.

Starter check is a non-personalized encoded check that a person receives from a bank when they establish a checking account. These are for the person's use prior to receiving encoded checks from the bank. Starter checks should only be accepted if the bank has encoded the routing number and account number on the bottom of the check.

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

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

Foreign check is a check written on a foreign bank (e.g., a Canadian bank) not specifically prepared as U.S. currency. The maker's address might be outside the United States; however, it is the bank's address that must be examined.

Authority and Responsibility

General

The university has delegated the authority and responsibility for establishing policies and procedures for all receipt-handling activities to the controller's office. In carrying out this duty, the controller's office is responsible for:

1. Establishing and enforcing policies and procedures governing the receipt, handling, custody, and disbursement of funds.
2. Requiring the establishment and maintenance of records accounting for funds received and paid by the university.
3. Opening and closing bank accounts and transferring funds among such accounts as necessary and prudent, considering current interest rates and collateral levels.
4. Establishing and authorizing procedures for granting, maintaining, and terminating the departmental collection of university funds.

4. Applicability

This policy is applicable to every university department, administrative office, and affiliated organization that handles receipts for any university-related function. Employees that handle receipts on behalf of the university are required to be familiar with the provisions of this policy. Additionally, the controller's office or audit services may perform periodic audits of any department with receipt-handling operations.

Any individual handling university receipts is responsible to the university for proper security and accountability. Due to the personal liability involved in performing receipt-handling functions, it is important that only authorized employees accept funds for university business. In rare instances, non-employees (i.e. students or volunteers) may be authorized to accept fund for the university if written approval is obtained from the bursar. In these cases, an employee is responsible for ensuring that these persons are properly trained and receipts are handled appropriately. All persons accepting funds for the university are required to appropriately safeguard, account for, and document all receipts received on behalf of the university. Applicable university discipline and/or discharge policies will be followed in the imposition of sanctions related to a violation of this policy.

Summary

~~Any individual handling university receipts is responsible to the university for proper security and accountability. Due to the personal liability involved in performing receipt handling functions, it is important that only authorized employees accept funds for university business. In rare instances, non-employees (i.e. students or volunteers) may be authorized to accept funds for the university if written approval is obtained from the bursar. In these cases, an employee is~~

~~responsible for ensuring that these persons are properly trained and receipts are handled appropriately. All persons accepting funds for the university are required to appropriately safeguard, account for, and document all receipts received on behalf of the university. Applicable university discipline and/or discharge policies will be followed in the imposition of sanctions related to a violation of this policy.~~

Segregation of Duties

Guidelines

Receipt-handling operations must be subject to daily supervisory review and management. To minimize the potential for mistakes or misappropriation of receipts, the segregation of receipt handling duties is recommended. The duties of collecting receipts, maintaining documentation, preparing deposits, and reconciling records should be separated among different individuals. In departments where the separation of duties is not feasible, strict individual accountability and thorough management supervision and review is required.

Written Departmental Procedures

In addition to the receipt-handling ~~policies~~ procedures established in this document, each department that handles receipts is required to have its own internal ~~policies and~~ procedures for receipts. Written procedures should minimally include authorization of person(s) to collect receipts; maintenance of receipt books; security and reconciliation of receipts; preparing, approving, and depositing receipts at the business office; over/short procedures; and a procedure to notify the appropriate campus authority in the event of a loss.

In addition, it is the responsibility of the department head or supervisor to ensure that all employees with receipt-handling responsibilities have receipt-handling duties included in their job description.

Safekeeping

Departments handling receipts are responsible for the safekeeping of these university assets. Physical security should be emphasized to every employee involved in receipt handling. The following general guidelines should be followed to help maintain the integrity of those areas handling receipts:

- Unauthorized persons are not allowed in areas where receipts are handled.
- If possible, doors should be locked at all times in areas where receipts are handled. Safe doors should be kept closed during working hours and locked at times when it is not necessary to be in and out of the safe.
- All forms of payment including cash, checks, and credit card receipts should be counted and handled out of sight of the general public.
- Individuals should keep working funds to a minimum at all times. Excess funds should be in a locked device or deposited with the business office.
- Cash and receipts should **NEVER** be unattended. This applies to cash registers, desktops, cash drawers, and any other place in which cash is located. If an employee leaves his or her

workstation for any reason, regardless of how briefly, cash and receipts must be appropriately secured in a locked place.

- For overnight storage and during other periods when cash is not being used, it should be kept in a secure place, either a safe or locked container.
- If a safe location is not available within the department, the cash and receipts should be brought to the business office on campus for safekeeping. The cash and receipts should be kept in a locked bank bag provided by the business office. The department name and responsible party should be noted on the outside of the locked bag.
- If a safe location is not available within the department, and the business office is not open, the cash and receipts should be taken to the University Police Department (UPD) in a locked bag.
- Under no circumstances should an individual keep university cash with their own personal funds, deposit university funds in a personal bank account, or take university funds to one's home for safekeeping.
- Checks should always be properly restrictively endorsed upon receipt (see Endorsement Stamps, below).

Prohibition Against Transactions Involving Family Members

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

Custodian Responsibilities

The adequate and appropriate safekeeping of the university monies: While using cash funds for daily operational activities, procedures should be established to maintain a safe and secure working environment to ensure the safeguarding of funds and safety of personnel. Employees should be well informed of their responsibilities for handling cash and receipt transactions and being accountable for those funds. The custodian must see that appropriate internal control measures are enforced.

When not being used for operational activities, all cash and receipts should be kept in a safekeeping device, either a safe or locked container. Lock combinations and the custody of keys should be maintained by one person. These items should not be stored in an unlocked desk drawer or unsupervised area. For strictly emergency situations, the department head or other designated employee should have the safe combination or an extra set of keys.

Maintaining current and accurate records of the funds: The records should provide clear documentation of receipts from the time of collection to the time of deposit. This documentation should always be readily available for audit by the controller's office, internal or external auditors, or the department head. Specific information on appropriate documentation can be found under Receipts Procedures, below.

Overages and Shortages: Both overages and shortages should be noted and tracked by the custodian and then reviewed and certified by a supervisor or department head. Significant amounts should be immediately reported to the department head and the controller's office. If there appears to be a growing pattern or anything unusual or abnormal about the overages and shortages, that information

must be disclosed immediately.

Refunds: ~~A refund is the return of funds for a transaction that occurred on a prior business day.~~ Refunds cannot be made directly through the use of petty cash funds, change funds or funds received from cash receipts, unless specifically authorized by the business office. All refunds should be processed by the completion of a purchase voucher in adherence to the procedures as established by the controller's office, depending upon the type of transaction involved. Petty cash funds, change funds, or funds received from cash receipts must not be used to reimburse employees for out-of-pocket expenditures. These reimbursements will be made in accordance with procedures developed by the controller's office. All funds must be deposited into a university account before a department may use the receipted funds.

Training Requirements: Mandatory receipts training is required of all employees whose job duties include the acceptance, record keeping, and deposit of university receipts. Additionally, separate training is required for employees who handle payment cards. Receipts and payment card training is required on an annual basis and should be coordinated through the business office.

Receipting Revenues

University departments that collect receipts must have an established departmental procedure for documenting all receipts. Computer generated receipts, cash register receipts, or pre-numbered receipt books or tickets are acceptable forms of documentation. All pre-numbered receipt books are issued by the business office. All other receipts issued must be approved by the business office as to format.

As a minimum, receipt documentation should include:

1. Payer's name
2. Amount of payment
3. Mode of payment (cash, check, credit card, money order, etc.)
4. Check or money order number, if applicable
5. Purpose of payment
6. Date of payment
7. Initials of employee collecting funds

The above applies to receipts collected directly from individuals, as well as receipts received through the mail, over the Internet or by phone. With prior approval by the business office, departments that receive large volumes of checks by mail (~~such as application fees~~) may document their receipts by creating a spreadsheet which contains the information above. The check number, date of receipt, initials of the employee, and the amount must be noted on the face of the application or documentation received with the payment. The spreadsheet must be reconciled to the group of checks.

Canceled/Voided Transactions

The same-day cancellation of a transaction must be approved by a supervisor. Upon approval, the original receipt should be voided and the payment returned to the customer. The customer should

sign the voided receipt acknowledging the transaction.

Manual Cash Receipt Books

Manual pre-numbered cash receipt books may be obtained from the business office only. Receipt books will not be placed in campus mail. The business office will document the distribution of each receipt book. Documentation will include:

- 1.—Department name
- ~~2.1. Department account number~~
- ~~3.2.~~ Numbers of each book distributed
- ~~4.3.~~ Signature by the person receiving the book(s)
- ~~5.4.~~ Description of what the receipts book(s) will be used for

Each person issuing receipts and/or making deposits **MUST** have receipt training in order to ensure the proper procedures are followed. The business office will provide this training (see Training Requirements above).

The receipts **MUST** be used in consecutive order. All receipts, including voided receipts, **MUST** be accounted for. The original (white) receipt is given to the customer. The -green copy of each receipt is to be sent to the business office along with a Deposit Summary -form (approved by the business office as to format). The yellow copy of each receipt should remain in the receipt book for reference purposes.

Note: It is the department's responsibility to retain all documentation pertaining to deposits. Record retention schedules (see Records Management (2.9)) must be adhered to for all receipts, receipt books, Deposit Summary Forms, and any other backup. *Copies of checks and other confidential information should not be retained.* Documentation should be destroyed in accordance with the approved SFA Records Retention Schedule.

Reconciling Cash and Receipts

Cash receipts **must** be reconciled. On days when cash is collected, a reconciliation must be performed at the close of the business day when possible, and no later than the beginning of the next business day. Cash, checks and credit cards must reconcile with the daily receipts. All receipt numbers (including voids) utilized for the day's business must be accounted for.

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

Payment Acceptance

~~Payment Acceptance~~ Acceptable forms of payment with ~~p~~Proper identification:

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

~~Cashier's Check~~ A check purchased at a bank for any amount; the bank completes all information on the face of the check with a bank officer signing as the maker.

~~Certified Check~~ A personal check guaranteed by the bank; the check is stamped "certified" and signed by a bank officer.

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

~~Traveler's Check~~

~~Unacceptable forms of payment~~ A special check supplied by banks or other companies for the use of travelers; these checks already bear the purchaser's signature and must be countersigned in the cashier's presence.

~~Personal Check~~ A written order payable on demand, drawn on a bank by a depositor; a personal check is written against an individual's funds as opposed to a cashier's check, certified check, money order, or traveler's check, all of which are written against or guaranteed by bank funds.

~~Starter Check~~ A non-personalized encoded check that a person receives from a bank when they establish a checking account. These are for the person's use prior to receiving encoded checks from the bank. Starter checks should only be accepted if the bank has encoded the routing number and account number on the bottom of the check.

~~Unacceptable~~ without permission of the business office:

- *Counter Check*
- *Third-Party Check*
- *Foreign Check*

~~Counter Check~~ A non-personalized, non-encoded check that is available at most banks.

Third Party Check ~~A check made payable to a person or organization other than the one accepting or cashing the check (for example, a paycheck).~~

Foreign Check ~~A check written on a foreign bank (e.g., a Canadian bank) not specifically prepared as U.S. currency. The maker's address might be outside the United States; however, it is the bank's address that must be examined.~~

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

Item	Verification
Account holder's name, address, phone number	Verify the information is included on the check. A daytime phone number is preferred.
Bank coding and holder's account number	Observe that the check has the customer's bank account and routing number encoded on the bottom along with the bank and check number.
Payee	Must be payable to Stephen F. Austin State University, SFA, or SFASU.
Date	Verify check is not stale dated or postdated.
Amount	Verify that numerical amount is same as written amount.
Signature	Observe that check is signed.
Information	~~Departments accepting checks in person should record legibly the following items on the face of the check: the issuing person's driver's license number, date of birth (DOB), the accepting department, and the accepting employee's initials.~~

Credit Cards:

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

- Visa
- American Express
- MasterCard
- Discover

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

- Credit cards shall be accepted for no more than the amount of purchase.
- The expiration date and security code are required.
- If information is received by phone, a contact phone number must be included.

- All credit card information should be considered confidential and must be protected (see Payment Card Acceptance and Security (14.8)).

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

Signage

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

- MAKE CHECKS PAYABLE TO SFASU
- PLEASE ASK FOR A RECEIPT
- RETURNED CHECK FEE WILL BE CHARGED
- NO FUNDS LEFT OVERNIGHT

Endorsement Stamps

Each department must restrictively endorse all checks **immediately** upon receipt. This prohibits the negotiation of the check if it is stolen. Endorsement stamps can be obtained from Printing Services and read: “Stephen F. Austin State University, For Deposit Only”. The department should include the department’s name under the endorsement, so lost or stolen checks can be traced back to the department if found.

Deposits of Cash and Checks

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

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

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

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

Preparing and Making the Deposit

It is the responsibility of the department to accurately count all currency and checks collected. *All*

currency must be separated by denomination and a calculator tape should be included to reflect this itemization. It is recommended that a second individual recount the currency and checks before completing the deposit. A Deposit Summary form must be completed and submitted to the business office with each deposit. The green copies of the receipts or the cash register tapes must also be included.

Sales Tax

Departments are responsible for collecting any applicable sales tax and reporting it to the business office on the Deposit Summary Form.

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: Deposit Summary Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Accounts Receivable

Policy Number: 3.28

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): Establishes guidelines for the prudent collection of student accounts receivable, as well as delinquent receivables from vendors and non-student accounts.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Made minor spacing, punctuation, formatting and wording changes. Removed the reference to specific aging brackets that the controller's office will maintain. Removed the sentence stating collection fees are added to accounts immediately when turned over for collection, since that is no longer the procedure.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Student Accounts Receivable

Original Implementation: July 15, 2008

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This ~~policy document~~ establishes guidelines for the prudent collection of student accounts receivable in the best interest of Stephen F. Austin State University and the state of Texas. Although this policy primarily applies to student accounts receivable, including certain university issued short-term loans, ~~processes~~ ~~procedures~~ stated herein may be used ~~for to process~~ other delinquent receivables from vendors and non-student accounts. This policy does not apply to the write-off of any federal loans.

~~Definitions~~ General

~~Policy~~ procedures will be maintained by the controller's office, for at least the following:

- ~~a process~~ to ensure that the requested extension of credit is not a prohibited transaction.;
- ~~a procedure~~ to ensure that any extension of credit (installment plan contract, short-term loan request, or repayment agreement) is done so in a prudent manner, including the use of standardized credit applications and legal authority required for approval of the requested credit.;
- ~~a procedure~~ to analyze whether credit should be extended to students who are in default on other obligations or for whom previous obligations have been written off as uncollectible. If a -student account is past due, a transcript and registration hold will be placed on the account.;
- ~~procedures~~ for managing and monitoring the billing and collection activities on student accounts.;
- ~~procedures~~ for recording and monitoring credit extended and subsequent payments received on student accounts.;
- ~~procedures~~ to ensure that amounts reported as receivables on the financial statement ~~are recorded~~ *are recorded* in accordance with generally accepted accounting principles.

Criteria ~~For~~ Recognizing ~~Anan~~ Account Receivable

~~Aa~~ student account receivable will be recognized (recorded in the university's financial records) when:

-
- a student has enrolled for classes at the university or has been registered for classes

by the university;

- a student has incurred charges for costs associated with attendance (tuition, fees, ~~housing and~~ housing and meal charges, post office charges, book purchases, parking permits and fines, etc.) -from which a benefit to the student is derived;
- payment is due to the university from the student or a third party;
- payment has not been received (collected) by the university from the student or third party;
- the accounts receivable does not represent an extension of credit that is prohibited by law; and,
- the recording is deemed to be appropriate by the university's fiscal officers.

Recording ~~Anan~~ Account Receivable ~~in The~~ Financial Records

An account receivable is recorded in the financial records automatically by the registration and billing process. These entries credit the appropriate revenue accounts and debit the appropriate account receivable accounts in the university's accounting system.

In the event that a student withdraws during the semester, the accounts receivable outstanding balance is reduced by the appropriate percentage refund rate relevant at the time of withdrawal.

Reconciling Accounts Receivable

The controller's office maintains adequate records of student accounts receivable and prepares a reconciliation of the student receivable records and the financial accounting records on a timely basis.

Aging Accounts Receivable

The controller's office also maintains an aging schedule for all student accounts receivable with the total of the aging schedule balanced to the total recorded accounts receivable. ~~The following aging brackets are used:~~

~~Greater than 30 days old~~

~~Greater than 90 days old~~

~~Greater than 1 year old~~

At year end, ~~the aging schedule~~ ~~other ranges~~ may be analyzed to aid in the process of the calculation of the allowance for doubtful accounts.

Collecting Accounts Receivable

The size of the account receivable may influence the collection efforts. The expenditure of time, effort, and money to collect large accounts receivable is appropriate; however, the same efforts expended on very small accounts receivable may not be economical. Guidelines as to the level of attention and the efforts expended on accounts receivable will be set by the university based on recommendations from collection agencies and management.

~~The following steps are conducted in collecting accounts receivable which are in default.~~

An account will be considered in default if the following apply:

- the account balance is at least 30 days old;
- the debtor has not exhibited concern regarding the delinquent account (i.e., requested a repayment agreement); and,
- the debtor is not an active student.

An account will be considered delinquent if it is past due.

Billing and Collection Activity on Delinquent Accounts or Accounts in Default

Active Students:

Active students will be billed throughout the term with due dates set by the business office. Students may be assessed penalties for late payments, but will not be turned over for collection in the term if they are actively enrolled.

Inactive Students:

Delinquent accounts will be analyzed and processed on a regular basis. Any general deposits will be applied to inactive students' outstanding balances to defray the amounts due to the university. After this analysis, delinquent accounts on inactive students will be subject to collection activity. Attempts will be made to contact students before delinquent accounts are turned over to collections. Students will not be assessed any collection agency fees or collection costs if they make a payment or request to set up a repayment *agreement* ~~fee~~ during the communication and contact period(s). After communication and contract periods expire, accounts will be placed with a collection agency or an attorney. The collection agency may give the student an additional period prior to assessing fees. ~~Collection fees will be calculated and added to the student's account either immediately when turned over for collection or after the last warning period has expired.~~ The fees assessed to the student will be negotiated in advance with the collection agencies and are subject to approval from the Texas Attorney General's office. Additionally, accounts may also be reported to the Texas Comptroller of Public Accounts as authorized by Texas Government Code § 403.055 to ensure that no treasury warrants are

issued or payments are paid to the debtor until the debt is paid.

If a debtor with a delinquent account establishes a repayment agreement and makes scheduled payments towards the balance within one of the warning periods, the debtor will be treated as an “active” student and will not be turned over to a collection agency unless monthly payments cease before the account balance is paid in full. If the account is turned over for collection, collection costs, collection agency fees and/or attorney fees will apply. There will be transcript and registration holds placed on the student’s account until the balance has been paid in full.

If a debtor has received a warning letter and begins making regular payments but then stops making regular payments before the account is paid in full, the debtor may be sent to an outside collection agency or attorney without further notice to the debtor.

All demand letters should be mailed in compliance with applicable collection laws. If an address correction is provided by the United States Postal Service, the demand letter should be mailed to the corrected address prior to the referral procedures described above. Demand should be made upon every debtor prior to referral of the account to an outside collection agency and the attorney general.

Write-Off ~~Of~~ ~~An~~ Uncollectible Account

The university will establish procedures to determine when the write-off of an uncollectible account will occur. These write-off procedures will take into account both the age of the account and the amount due from the student.

A list of all accounts written off will be filed in the controller’s office, and all student accounts that have been written off will be flagged in the student system. Additionally, a transcript and registration hold will be placed on these student accounts to prevent these persons from receiving future university services until their balances have been paid in full. Warrant holds placed on the student’s account will not be removed until the balance is paid in full.

Forgiveness ~~Of~~ Debt ~~Versus~~ ~~versus~~ Write-Off ~~Of~~ Uncollected Accounts

The write-off of an uncollected account is a bookkeeping entry only and does not relieve the debtor from his financial responsibility to the university. Although the uncollected account has been removed from the financial books and records (i.e., written-off as uncollectible), the university may still have a claim against the debtor and may still seek legal remedy (i.e., file suit for collection in a court of law). Therefore, it is the responsibility of the controller’s office to maintain adequate records regarding legal financial obligations (i.e., debts) owed to the university.

Allowance ~~For~~for Doubtful Accounts

The university records an allowance for doubtful accounts on past due accounts for all accounts that have not been written off or forgiven. Prior to closing each fiscal year's books, the controller's office will analyze and adjust the allowance for doubtful accounts, with offsets to the appropriate revenue accounts or bad debt expense, in accordance with accounting guidelines. An allowance for doubtful accounts will be set up as a contra-receivable in each appropriate general ledger.

Cross Reference: Texas Comptroller of Public Accounts Fiscal Policies & Procedures, Accounting for Uncollectible Accounts (APS 027); Tex. Gov't Code § 403.055; Ch. 2107

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Withdrawal without Financial Clearance

Policy Number: 6.22

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): Establishes sanctions on students who leave the university with unsettled financial obligations, fail to return university property, or are otherwise indebted to the university.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Removed the section about the registrar's office notifying specific offices when a student withdraws, as this is not the current procedure.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dannette Sales, Controller
Lynda Langham, Registrar
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Withdrawal without Financial Clearance

Original Implementation: October 26, 1978

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy establishes the sanctions and the process by which they will be imposed when a student leaves the university without financial clearance.

Definitions~~General~~

When students graduate, withdraw, or otherwise leave the university, they must clear their financial obligations, return university property, and settle other financial matters with the university. Students failing to fulfill these obligations will be subject to sanctions until such time as the financial obligations are cleared. Sanctions will be imposed when a student does not return university property or is otherwise indebted to the university. Upon graduation or withdrawal, the university will apply the student's general deposit to any unpaid obligations on his/her business office student account. If the general deposit is sufficient to cover these obligations, no sanction will be imposed.

If the general deposit is insufficient to cover all financial obligations, the following sanctions will be imposed:~~Sanctions:~~

- The student will not be permitted to register for classes.
- ~~The student will not be eligible to receive an official transcript of academic work completed.~~
- ~~_____~~
- ~~Procedures for Implementation:~~
 - a. ~~_____~~
 - b. ~~_____~~
 - c. ~~When a student withdraws, notification will be sent by the registrar to:~~
 - d. ~~_____~~
 - e. ~~_____~~
 - f. ~~The dean of the appropriate academic college,~~
 - g. ~~The business office,~~
 - h. ~~The financial aid office,~~
 - i. ~~The housing office and~~
 - j. ~~The Ralph W. Steen Library.~~

Implementation

Each ~~area~~ department in which the student has a financial obligation requiring the imposition of sanctions will either notify the business office, citing the nature of the financial obligation,

or will place a –registration and transcript hold on the student's record. It will be the student's responsibility to contact the appropriate office to clear his/her record. These offices will then release the hold ~~or notify~~ *and notify* the registrar's office once the financial obligation has been resolved, *if needed*.

The university will impose sanctions specified in this policy until the student's financial obligations are cleared. Delinquent accounts will be handled in accordance with the university's policies and procedures.

Cross Reference: Student Accounts Receivable (3.28)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller, Registrar

Forms: None

Board Committee Assignment: Finance and Audit

**Stephen F. Austin State University
Board of Regents – Finance Committee
Texas Government Code Contract Reporting
January 28, 2019**



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January 28, 2019

Contract Monitoring

Texas Government Code Contract Reporting

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

January 28, 2019

Contract Monitoring

Vendor contract: Populous, Inc.

Description of Contract: Architectural services related to the construction of a new basketball practice facility in accordance with RFQ#AE-ATHLETIC FACILITIES-2018 opened 09/06/2018 and Architect Agreement and Addendum 1 in the amount of \$1,443,050 plus reimbursable expenses not to exceed \$133,800. Subsequent Amendment No. 1 to revise phase of work breakdown with an effective date of 12/21/2018.

Vendor Awarded Contract: Populous, Inc.

Procurement Method: Request for Qualifications

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: \$1,576,850.00

Total Estimated Aggregate Amount: \$1,576,850.00

Contract Period: 12/05/2018 – 09/04/2020

Board Approved: October 2018

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

January 28, 2019

Contract Monitoring

Vendor contract: Watermark Insights, LLC (formerly LiveText)

Description of Contract: Online software hosted offsite for planning, assessment, evaluation, and reporting tools in accordance with the contract for a five-year period, fiscal years 2014-2015 through 2018-2019. Added additional licenses for College of Education. Assignment and assumption agreement executed 11/5/2018 to transfer and assign the existing LiveText contract to Watermark Insights, LLC.

Vendor Awarded Contract: LiveText transferred to Watermark Insights, LLC.

Procurement Method: Exempt Policy 17.1-Direct Publications

Department Responsible for Contract: Office of Student Learning and Institutional Assessment

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: \$0.00

Total Estimated Aggregate Amount: \$1,423,100.00

Contract Period: 9/1/2014-8/31/2019

Board Approved: April 2014

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

January 28, 2019

Contract Monitoring

Summary of Contracts

Stephen F. Austin State University*Summary of Contracts**Summary of Goods and Services Contracts Greater than \$1Million(including Construction)**Finance Committee - January 28, 2019*

Description of contract	Vendor Awarded Contract	Procurement method	Department responsible for Contract	Serious issue or risk with contract	Total Current Fiscal Year Amount	Total Estimated Aggregate Amount	Contract period	Board Approved
Architectural services related to the construction of a new basketball practice facility in accordance with RFQ#AE-ATHLETIC FACILITIES-2018 opened 9/06/2018 and Architect Agreement and Addendum 1 in the amount of \$1,443,050 plus reimbursable expenses not to exceed \$133,800. Subsequent Amendment No. 1 to revise phase of work fee breakdown effective 12/21/2018.	Populous, Inc.	Request for Qualifications	Physical Plant	None	\$ 1,576,850.00	\$ 1,576,850.00	12/05/2018-9/04/2020	October 2018
Online software hosted offsite for planning, assessment, evaluation, and reporting tools in accordance with the contract for a five-year period, fiscal years 2014-2015 through 2018-2019. Added additional licenses for College of Education. Assignment and assumption agreement executed 11/05/2018 to transfer and assign the existing LiveText contract to Watermark Insights, LLC.	LiveText transferred to Watermark Insights, LLC	Exempt Policy 17.1-Direct Publications	University Assessment	None	\$ -	\$ 1,423,100.00	9/1/2014-8/31/2019	April 2014

APPROVAL OF ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Academic and Student Affairs Committee will consider: the curricula of the various colleges and departments of the university with any other matters dealing with academic programs and the progress thereof; the research programs within the university and their relationship to all graduate education; student affairs within the university; and personnel matters within the university.

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

Recommendation:

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

Affirmative Action 11.1
Continuing Education 5.3
Course Add/Drop 6.10
Course Grades 5.5
Curriculum Reviews, Modifications and Approvals 5.7
Discontinuance of Program or Academic Unit 5.9
Discrimination Complaints 2.11
Effort Reporting and Certification for Sponsored Activities 8.1
Employee Affirmative Action/Recruitment Plan 11.9
Facilities and Administrative (Indirect) Cost Recovery, Distribution and Use 8.5
Faculty Code of Conduct 7.11
Faculty Compensation 12.6
Faculty/Staff Athletic Ticket Purchases 12.8
File Maintenance for Faculty Personnel Files 4.6
Final Examination Scheduling 7.14
Fixed Amount Awards 8.12
Grants and Contracts Administration 8.3
Health and Safety 13.10
Illicit Drugs and Alcohol Abuse 13.11
Institutional Animal Care and Use Committee 8.6
Mail Services 16.16

Meeting and Conducting Classes 7.18
Payments to Human Research Subjects 8.8
Return to Work 11.24
Satisfactory Academic Progress for Financial Aid Recipients 6.16
Selection of President, General Counsel, Chief Audit Executive and
Coordinator of Board Affairs 1.7
Student Medical Appeal 6.24
Telecommuting NEW
Vacation Leave 12.21

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Affirmative Action

Policy Number: 11.1

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): The policy outlines the guidelines for affirmative action

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Formatting changes only.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources
Anthony Espinoza, Chief Information Officer, Information Technology Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Affirmative Action

Original Implementation: Unpublished

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

Stephen F. Austin State University is fully committed to the national and state goal of affording equal employment opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status.

Definitions

Affirmative action means that a search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups as required by federal regulations.

General

~~Stephen F. Austin State University is fully committed to the national and state goal of affording equal employment opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status.~~ The university's fundamental policy will be to provide equal employment opportunity in all of its operations and in all areas of employment practices and to assure that there shall be no discrimination against any employee or applicant for employment on the grounds of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status. Additionally, discrimination is prohibited on the basis of sexual orientation, gender identity, and gender expression. The university policy extends to recruiting, hiring, training, compensation, overtime, job classifications, work conditions, promotions, transfers, employee treatment, suspensions, terminations, layoffs, return from layoffs, tuition aid, recreational programs, and all other terms, conditions, and privileges of employment. The following special guidelines apply to university employment practices:

1. Provide equal pay for equal work.
2. Provide hiring standards that do not discriminate on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, or gender expression.
3. *In general, an employer may hire the individual best qualified to perform a particular job but must take affirmative action that will open up job opportunities on all levels to women, minorities, disabled individuals and veterans.* ~~In general, an employer may hire the individual best qualified to perform a particular job. Federal regulations require~~

~~proof that the search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups.~~

4. Requirements must be job related and qualifications must be the minimum needed for entrance to a given job.
5. Recruiting efforts must reach minority and women applicants.
6. Selections must be made following strict guidelines that prevent discrimination in all phases of the selection process: job analysis, uniform classification, retention and maintenance of applications, interview practices, and notification of results of the selection process. Appointments must be made considering only job related factors.

Additional information concerning the university's affirmative action policy, plan, and guidelines for recruiting, screening, interviewing, employee selection, record keeping, employee training, performance management and new employee orientation can be obtained from the director of human resources.

Cross Reference: U.S. Const. amend. XIV, § 1; 8 U.S.C. § 1324b; 20 U.S.C. §§ 1681, 1684; 29 U.S.C. §§ 206, 621, 623, 793; 42 U.S.C. §§ 2000d, 2000e-2 - 2000e-3, 6101-6102; Tex. Civ. Prac. & Rem. Code § 106.001; Tex. Hum. Res. Code §§ 121.001, .003(f); Tex. Gov't Code §§ 657.002-.007; Tex. Lab. Code Ch. 21; Tex. Const. art I, § 3a; Texas General Appropriations Act

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources and General Counsel

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Continuing Education

Policy Number: 5.3

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

Date of last revision, if applicable: 11/2/2015

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

Purpose of Policy (what does it do): To support the public service and outreach responsibilities of Stephen F. Austin State University.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include basic edits for clarification purposes. Added policy 3.26 Receipts and Deposits as a cross reference.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Continuing Education

Original Implementation: March 9, 1978

Last Revision: ~~November 2, 2015~~ January 29, 2019

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

Definitions

Continuing education (~~CE~~) activities are defined as organized public activities sponsored by the university, or a constituent unit of the university, that provide participants some type of non-academic credit, continuing education credit or certification. Continuing education activities may include short courses, seminars, workshops, training sessions, conferences or institutes.

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

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

Responsibility

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

A reasonable fee may be charged for ~~CE/CP~~ continuing education and community/public service activities.

To bear the name of the university or any of its units, fees must be received and accounted for ~~by~~ in accordance with university accounting procedures as outlined in Receipts and Deposits (3.26).

Facilities for continuing education and community/public service ~~CE/CP~~ activities must be reserved in accordance with university policies covering Use of University Facilities (16.33) and Academic Facilities for Non-Academic Activities (16.1). Academic programs will always be given priority for the use of university facilities.

Oversight

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

Awarding Continuing Education Units

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

Cross Reference: Use of University Facilities (16.33); Academic Facilities for Non-Academic Activities (16.1); *Receipts and Deposits* (3.26); Tex. Educ. Code § 54.545

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

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

Forms: Continuing Education and Community/Public Service Activities Approval

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Course Add/Drop

Policy Number: 6.10

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): Policy provides rules related to students adding and/or dropping courses.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Deleted the fifth rule and created a new policy specific to student medical appeals. Other revisions include basic edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Course Add/Drop

Original Implementation: April 27, 1986

Last Revision: ~~July 28, 2015~~ January 29, 2019

Students may add courses through the second class day during the summer semesters and through the fourth class day during the fall or spring semesters. Academic unit chairs/directors will reconcile class schedules by the official reporting date. Students may drop classes through five working days past mid-semester or mid-session as applicable. A student may not drop a course after these dates, unless withdrawing from the university. *For withdrawals related to medical concerns see policy 6.24.*

The following rules apply:

1. A withdrawal or course dropped by the official reporting date will not be recorded on a student's transcript.
2. After the official reporting date, a drop or withdrawal will be noted as a "W" grade on the student's official transcript. Undergraduate students who enrolled in a Texas public institution of higher education for the first time in the fall 2007 or thereafter may not drop more than six courses with a "W" grade. This number includes any course dropped at another Texas public institution but excludes full semester withdrawals and exceptions as defined in Texas law (Education Code section 51.907). After six withdrawals, the student will receive the grade awarded for each attempted course.
3. Beginning on the sixth working day after mid-term for full semester courses or mid-session for partial semester courses, a drop will not be permitted unless the student withdraws from all courses for the term. This withdrawal will be noted on the transcript as a "WP" if the student is passing at the time or a "WF" if the student is failing at the time.
4. If a student has been found guilty of academic dishonesty, a grade of "WP" or "WH" may be changed to "WF" at the discretion of the faculty member. In the case of a grade change to "WF," the course will not count toward the six course drop limit since the student is incurring an academic penalty.
5. ~~Approved medical withdrawals may be granted for medical conditions that prevent the student from completing the semester (see policy 6.24). Medical withdrawals are not intended to shield a student from unsatisfactory progress. Medical withdrawal requests must be made to the Office of the Registrar within six months of the illness or incident cited in the medical withdrawal request, and will be considered by a committee comprised of the registrar and other appropriate university officials.~~

Cross Reference: General Bulletin; Graduate Bulletin; Schedule of Classes; Tex. Educ. Code § 51.907; Tex. Admin. Code § 4.10; Academic Integrity (4.1); Military Service Activation (6.14); *Student Medical Appeal* (6.24)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Registrar

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Course Grades

Policy Number: 5.5

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): Defines/outlines recorded grades, withheld grades, grade point average, repeat grades, mid-semester grades, final grade reporting, and grade changes.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording change.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Course Grades

Original Implementation: January 25, 2000

Last Revision: ~~January 26, 2016~~ January 29, 2019

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

Recorded Grades

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

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

Withheld Grades

At the discretion of the instructor of record and with the approval of the academic unit head, a grade of WH will be assigned only if the student cannot complete the course work because of unavoidable circumstances. Students must complete the work within one calendar year from the end of the semester in which they receive a WH, or the grade automatically becomes an F, except as allowed through policy [i.e., Active Military Service (6.14)]. If students register for the same course in future semesters, the WH will automatically become an F and will be counted as a repeated course for the purpose of computing the grade point average.

Grade Point Average

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

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

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

Repeat Grades

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

Mid-Semester Grades

Mid-semester grades will be posted for 000-, 100- and 200-level courses during fall and spring semesters. These grades will be posted before the last day to drop courses each semester. Appropriate academic personnel will provide students with recommendations and options regarding academic performance.

Final Grade Reporting

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

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

Course grades may not be posted publicly.

Grade Changes

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

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

Forms: WH and Grade Change Form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Curriculum Reviews, Modifications and Approvals

Policy Number: 5.7

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): It is the responsibility of each academic unit of the university to maintain current curricula and engage in continuous review of its curricula.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Basic edits for clarification purposes

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Curriculum Reviews, Modifications and Approvals

Original Implementation: October 17, 1978

Last Revision: ~~January 27, 2015~~ January 29, 2019

Introduction

It is the responsibility of each academic unit of the university to maintain current curricula and engage in continuous review of its curricula. The provost and vice president for academic affairs and appropriate dean will set timelines for the modification and approval process.

Curricular Modification Procedures

Curricular modifications include:

- new courses;
- modified courses (e.g., course title, credit hours);
- new programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- modified programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- deletion of courses and/or programs (e.g., degrees, endorsements, certificates, minors, concentrations); and
- changes in mode of delivery such as off-campus face to face, online instruction, and other distance delivery methods.

Curricular modifications will be developed and submitted at the program level, and recommended for approval by:

- the academic unit's ~~curriculum committee~~;
- the academic unit head;
- appropriate councils or committees in the college [~~e.g., Professional Educators' Council (5.16) for teacher certification~~];
- the college dean;
- the university Undergraduate Council or Graduate Council;
- the Deans Council; and
- the provost and vice president for academic affairs.

New courses and new, modified or deleted undergraduate and graduate programs and changes in mode of delivery will then be considered for approval by:

- the university president; and
- the Board of Regents.

Where appropriate, approval will then be sought from (and/or notification will be made to) the Texas Higher Education Coordinating Board (THECB), the Texas Education Agency, the Southern Association of Colleges and Schools, or other outside agencies and organizations.

Changes will be ~~made~~ *reflected* in the General Bulletin and/or Graduate Bulletin after approval.

Substantive Change

Any curricular changes that involve substantive change as defined by the Southern Association of Colleges and Schools Commission on Colleges must be communicated by the Office of the Provost and Vice President for Academic Affairs to the appropriate entity and, if necessary under the rules on the entity, be approved before implementation. For further information, see the university policy on Substantive Change (4.10).

Cross Reference: THECB Instructions and Classification of Instructional Programs Codes; Certificate Programs (5.2); Course Fees (3.8); Laboratory Fees (3.22); Substantive Change (4.10); Academic Program Review (5.1); and Professional Educators' Council (5.16)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Forms for program revision, course proposals, substantive change, distance education and laboratory/course fee requests are available at the university website.

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Discontinuance of Program or Academic Unit

Policy Number: 5.9

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

Date of last revision, if applicable: 10/27/2014

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

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

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Basic edits for clarification purposes

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Discontinuance of Program or Academic Unit

Original Implementation: October 18, 2011

Last Revision: ~~October 27, 2014~~ January 29, 2019

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

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

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

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

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

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

Cross Reference: Tenure (7.29)

Responsible for Implementation: President

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Discrimination Complaints

Policy Number: 2.11

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): Provides guidelines for filing a discrimination complaint, investigating a complaint and appealing the findings of a discrimination complaint.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: Not applicable

Specific rationale for each substantive revision: Changes were made to the investigation process, the process for identifying appeal board members and presenting information before the appeal board to ensure objectivity and an open process.

Specific rationale for deletion of policy: Not applicable

Additional Comments:

Reviewers:

Loretta C. Doty, Director of Human Resources
Dr. Steve Westbrook, Acting President
Damon Derrick, General Counsel

Discrimination Complaints

Original Implementation: September 1990/February 2, 1982

Last Revision: ~~January 26, 2016~~ January 29, 2019

General Policy Guidelines

Purpose:

This policy affirms Stephen F. Austin State University's intent to provide an educational and working environment free of unlawful discrimination or harassment to all members of the university community. This policy applies to visitors, applicants for admission to or employment with the university, and students, and employees of the university who allege discrimination by university employees, students, visitors, or contractors.

~~**Non-discrimination Statement:** It is the policy of Stephen F. Austin State University, in accordance with federal and state law, to prohibit unlawful discrimination on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status. Unlawful discrimination based on sex includes discrimination defined as sexual harassment. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression. Stephen F. Austin State University is committed to the principles of Equal Employment Opportunity (EEO) law. An employee who violates this policy is subject to disciplinary action up to and including termination. A student that violates this policy is subject to disciplinary action up to and including expulsion.~~

~~The president or designee will be responsible for overseeing the Discrimination Complaint policy (2.11) and procedures and for ensuring compliance with EEO laws. All employment decisions will be based on objective, job related, and measurable criteria that can be consistently applied. Human resources or designee will annually review all personnel policies and procedures to ensure compliance with EEO laws and present any recommendations for changes to the president. All employment related documents will be maintained in accordance with the university's Texas State Record Retention Schedule.~~

~~For employee related complaints, the human resources director or designee will be responsible for maintaining records of all formal complaints and the results of such complaints. For student related complaints, the dean for student affairs or designee will be responsible for maintaining records of all formal complaints and the results of such complaints.~~

~~Instances of sex discrimination based on sexual harassment or hostile environment are governed by the Sexual Misconduct policy (2.13).~~

Definitions

Complaint means a signed document or a communication submitted electronically from an account assigned to complainant alleging discrimination under this policy.

Complainant means a person who submits a written complaint alleging discrimination under this policy. As there may be more than one complainant in an unlawful discrimination case, the term "complainant" as used herein shall refer to one or more complainants. In the event of a third party charge, the university may serve as the complainant.

Discrimination is defined as conduct directed at a specific individual or a group of identifiable individuals that subjects the individual or group to treatment that adversely affects their employment or education because of their race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age, disability, genetic information, citizenship, or veteran status.

Harassment as a form of discrimination is defined as verbal or physical conduct that is directed at an individual or group because of race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age, disability, genetic information, citizenship, or veteran status when such conduct is sufficiently severe, pervasive, or persistent so as to have the purpose or effect of interfering with an individual's or group's academic or work performance; or of creating a hostile academic or work environment.

The totality of the circumstances will be considered in determining whether a hostile environment exists. Relevant factors in determining whether the conduct has created a hostile environment include but are not limited to the type, frequency, and severity of the conduct, whether the conduct is physically threatening or humiliating, and the relationship between the individuals.

Respondent means the person alleged to be responsible for the prohibited discrimination or harassment alleged in a complaint. The term "respondent" may be used to designate persons with direct responsibility for a particular action or those persons with administrative responsibility for the procedures and policies in those areas covered in a complaint.

~~The totality of the circumstances will be considered in determining whether a hostile environment exists. Relevant factors in determining whether the conduct has created a hostile environment include but are not limited to the type, frequency and severity of the conduct, whether the conduct is physically threatening or humiliating, and the relationship between the individuals.~~

General

~~**Non-discrimination Statement:**~~ It is the policy of Stephen F. Austin State University, in accordance with federal and state law, to prohibit unlawful discrimination on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status. Unlawful

discrimination based on sex includes discrimination defined as sexual harassment. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression. Stephen F. Austin State University is committed to the principles of Equal Employment Opportunity (EEO) law. An employee who violates this policy is subject to disciplinary action up to and including termination. A student that violates this policy is subject to disciplinary action up to and including expulsion.

The president or designee will be responsible for overseeing this policy and procedures and for ensuring compliance with EEO laws. The human resources director or designee will annually review all personnel policies and procedures to ensure compliance with EEO laws and present any recommendations for changes to the president. All employment related documents will be maintained in accordance with the university's Texas State Record Retention Schedule.

For employee-related complaints, the human resources director or designee will be responsible for maintaining records of all formal complaints and the results of such complaints. For student-related complaints, the dean for student affairs or designee will be responsible for maintaining records of all formal complaints and the results of such complaints.

Instances of sex discrimination based on sexual harassment or hostile environment are governed by the Sexual Misconduct policy (2.13). **Procedures**

Reporting:

A person who believes that he or she has been subjected to any type of discrimination should report the incident to any university official, administrator, or supervisor. Students are encouraged to report such incidents to the dean of student affairs. Employees and visitors are encouraged to report to the director of human resources. Reports of sexual harassment or other forms of sexual misconduct should be reported in accordance with the Sexual Misconduct policy (2.13). Incidents should be reported as soon as possible after the time of their occurrence. No person is required to report discrimination to the alleged offender. Any allegations of sex-based discrimination may also be directed to the attention of the Title IX coordinator; allegations of disability-based discrimination may also be directed to the ADA coordinator but will be investigated in accordance with this policy.

Referral Responsibility:

Every supervisor, administrator, department head, and university official is responsible for promptly reporting incidents of discrimination that come to his or her attention to the appropriate university official. Student-to-student complaints should be reported to the dean of student affairs. All other complaints should be reported to the director of human resources. Any allegations of sex-based discrimination may also be directed to the attention of the Title IX coordinator and allegations of disability-based discrimination may also be referred to the ADA coordinator but will be

investigated in accordance with this policy. Every attempt should be made to keep the information confidential and restricted to only those who have an absolute need to know.

Complaint Resolution Procedures

Definitions

Complaint means a signed document alleging discrimination under this policy.

Complainant means a person who submits a written complaint alleging discrimination under this policy. As there may be more than one complainant in an unlawful

discrimination case, the term "complainant" as used herein shall refer to one or more complainants. In the event of a third party charge, the university may serve as the complainant.

Respondent means the person alleged to be responsible for the prohibited discrimination or harassment alleged in a complaint. The term "respondent" may be used to designate persons with direct responsibility for a particular action or those persons with administrative responsibility for the procedures and policies in those areas covered in a complaint.

Complaint Procedure

Complaint: A complaint alleging discrimination or harassment must be submitted in writing. The complaint must contain the following information:

- Name of the complainant;
- Contact information, including address, telephone number, email address;
- Name of person(s) directly responsible for alleged violations(s);
- Date(s) and place(s) of alleged violation(s);
- Nature of alleged violation(s) as defined in this policy;
- Detailed description of the specific conduct that is the basis of alleged violation(s);
- Copies of documents pertaining to the alleged violation(s);
- Names and contact information (if known) of any witnesses to alleged violation(s);
- Action requested to resolve the situation;
- Complainant's signature and date of filing;
- Any other relevant information.

Time Limit: ~~In some cases, the Equal Employment Opportunity Commission (EEOC) requires that A written~~ a written complaint should be filed within 180 calendar days of the occurrence of the alleged violation. Depending on the circumstances, the university may accept and investigate a complaint even if filed after 180 calendar days.

Third Party Charge: If a pattern of harassment appears to exist but no complainant files charges,

the university may file a third-party charge against an individual. Such charges will be handled with as much care and control as any other complaint so as to avoid acting on rumor or unjustified accusation.

Investigative Process for Employee and Third-Party Related Complaints

~~The dean or director (or other~~ An appropriate administrator) ~~for the area involved~~ from within the division whereof the complaint was filed, but not within the unit involved will investigate, not as a representative of the complainant, but as an impartial party. *Notwithstanding, the university reserves the right to appoint an external investigator or investigator from a different division in its discretion. If the director is the direct supervisor of the respondent (accused), the vice president will assign an alternative director from within their division so the investigator is not investigating his or her own department.* The investigation shall normally be conducted within 20 business days from when the investigation investigator is appointed to the dean or director. Case complexity will vary and the termination of the investigation will depend on case circumstances; however, the investigation will conclude under normal circumstances within 20 business days. It is incumbent upon the investigator ~~ing official to~~ document a reasonable justification for extending an investigation beyond 20 business days.

The investigator will interview the complainant and persons who are considered to have pertinent factual information related to the complaint. The investigator will also gather and examine documents relevant to the complaint. Facts will be considered on the basis of what is reasonable to persons of ordinary sensitivity and not on the particular sensitivity or reaction of an individual. Findings will be based on the totality of circumstances surrounding the conduct complained of, including, but not limited to, the context of that conduct, its severity, its frequency, and whether it was physically threatening, humiliating, or simply offensive in nature. ~~The dean or director~~ investigator conducting the investigation may also consult with appropriate management personnel, including the director of human resources, the ADA coordinator, the Title IX coordinator, and/or the general counsel for advice and guidance as applicable.

The university reserves the right to take such action as may be reasonably appropriate upon receipt of a complaint to protect the complainant or university community pending outcome of the investigation, including interim suspension with pay of an employee.

Notification of the Respondent: After investigating the allegations, the ~~dean or director~~ investigator will meet with the respondent, provide them with a copy of the complaint, and give them an opportunity to respond. The respondent may, but is not required to, submit a written response to the allegations in the time prescribed by the investigator.

Report of Findings and Recommendations: The investigator is responsible for preparing a report responding to each allegation that the complainant has made. This report should describe the investigator's findings and conclusions to each allegation. The report should also include a brief overview of the investigative process including the category and number of individuals interviewed,

timelines, and a summary of each allegation. Finally, the report should contain the investigator's recommendations for resolution of the matter. This report should be addressed to the appropriate vice president (*or president if the complaint concerns a unit reporting directly to the president, or chair of the Board of Regents if the complaint concerns an employee reporting directly to the Board of Regents or a member of the Board of Regents*) with copies provided to the general counsel, the director of human resources, and the Title IX or ADA coordinator, as applicable.

The vice president/*president* shall review the findings and recommendations of the investigator and take such action deemed appropriate. Such action shall be communicated in a letter to the complainant and respondent with copies to the general counsel, director of human resources, and the Title IX or ADA coordinator, as applicable, ~~within~~ *within five (5) business days* of receipt from the investigator.

Appeal Process: If the decision of the vice president/*president* is not satisfactory to the complainant or respondent, that individual has five (5) business days in which to request a formal hearing of the discrimination complaint review board ("review board"). The request must be put in writing to the vice president/*president* issuing the decision. If the vice president/*president* concludes that the charges are serious enough to require termination or suspension, the faculty or staff member may be placed on a leave of absence with pay, pending a hearing by the review board and ~~action by the president~~ *final determination*.

Discrimination Review Board: The review board of three individuals will be selected from a panel of 20 pre-selected faculty members and 20 pre-selected staff members to be appointed by the president. If the respondent is a faculty member, the review board will be composed of at least two faculty members. If the respondent is a staff member, the review board will be composed of at least two staff members. The complainant will select one member and the respondent will select one member from the applicable panel. The two selected members will choose the third person from the panel. None of the review board members shall be from the department of the respondent or the complainant (if applicable), *and at least one member should be from a different department than the other two members*. These three individuals will comprise the review board and will elect a chair from among them. The university president may remove any selected review board member if substantial proof of bias exists.

The chair of the review committee is responsible for coordinating the hearing. The complainant, the respondent, and the university all have the right to be advised by counsel, but lawyers will not be allowed to conduct or participate in the hearing. ~~The day~~ *At least five (5) business days prior* ~~days prior~~ to the scheduled review committee hearing, each side shall submit a list of its witnesses and four copies of its evidence to the chair. *The list of witnesses should contain a short description of the testimony each witness is expected to provide.* A list of witnesses and copy of the evidence will be provided to each side. ~~The rest of the review committee will not receive the material until the time of the hearing.~~ All materials presented must be maintained in a confidential manner by all

parties involved.

The ~~dean or director who conducted the investigation~~ investigator will apprise the review board of the charges and will normally present all relevant evidence ~~the investigation process, evidence and findings.~~ Both The complainant and respondent parties will have an opportunity to respond to the charges and present evidence. Each party may make a *five (5-minute) minute* opening statement prior to presentation of the evidence. The burden will be on the complainant to prove by a preponderance of the evidence that the respondent has committed an act of unlawful discrimination. Cross examination of the witnesses is allowed by all parties. Each party may make a *five (5) -minute* closing statement. The review board is permitted to question the parties and/or witnesses at any time during the proceeding.

The chair of the review board will conduct a fair hearing before the complainant and the respondent and shall allow relevant witnesses and evidence from both parties. The hearing shall be closed to the public. The general counsel and/or the director of human resources may be consulted in procedural matters ~~of the review board~~ and may be present at meetings. All information presented in the hearing is confidential to the extent allowed by law and restricted to only those who have an absolute need to know. The review board will normally have five (5) *business* days after the completion of the hearing to summarize its findings and make a written recommendation to the president.

Review by the President: The president may accept, reject, or modify the decision of the review board and will have access to all evidence, both parties, and witnesses as deemed appropriate. In all instances except those that involve the revocation of tenure or termination with an unexpired appointment extending beyond the date of the proposed dismissal, the decision of the president is final. In cases that involve the revocation of tenure or termination with an unexpired appointment extending beyond the date of the proposed dismissal, termination proceedings shall commence under university policy 7.29. Such termination proceedings shall not reconsider whether discrimination occurred, but rather determine if good cause exists for dismissal. Pending termination proceedings, a faculty member may be suspended and removed from the university or assigned to other duties with pay at the president's discretion. Final disposition of the case will be communicated to the respondent and the complainant.

Sanctions

University imposed: University sanctions for violations of this policy may include any disciplinary action, up to and including termination of employment for faculty or staff. Such activities may be viewed as constituting a violation of the Faculty Code of Conduct policy (7.11) and grounds for termination under the Tenure *and Continued Employment* policy (7.29), and a major work rule violation under the Discipline and Discharge policy (11.4).

Civil: Unlawful discrimination is illegal under state and federal law. Official governmental investigations by the Equal Employment Opportunity Commission, the Texas Commission on

Human Rights, and/or the Office of Civil Rights of the Department of Education may result in civil lawsuits against any person guilty of unlawful discrimination.

False charges may result in disciplinary action against the complainant by the university or civil charges against the complainant by the respondent. An unsubstantiated charge is not considered "false" unless it is found to be made with the knowledge of it being false.

Investigative Process for Student-to-Student Complaints

The dean for student affairs, or their appointee, shall investigate student to student complaints and follow the timeframes described in the preceding guidelines for employees. If student discipline is recommended, policy 10.45, Student Discipline-Code of Conduct will guide the proceedings. Informal and formal disposition procedures are outlined within the policy; and it contains full due process procedures.

Student Sanctions: Disciplinary action for student-to-student related complaints may range from sensitivity counseling to suspension or expulsion. False charges may also result in disciplinary action. An unsubstantiated charge is not considered "false" unless it is found to be made with knowledge of it being false.

Retaliation

A supervisor or employee commits an unlawful employment practice if the supervisor or employee retaliates or discriminates against a person, who (a) opposes a discriminatory or harassing practice, (b) makes or files a complaint alleging employment discrimination or harassment, (c) or testifies, assists, or participates in any manner in an investigation, proceeding, or hearing. Any employee who retaliates against another employee violates the university's policies and procedures and may be subject to disciplinary action up to and including termination. Instances of alleged retaliation shall be investigated pursuant to the procedures of this policy. A student violates this policy if the student retaliates or discriminates against a person. A student that violates this policy is subject to disciplinary action up to and including expulsion.

The dean/director (or other appropriate administrator) who investigated the complaint/investigator will be responsible for monitoring the circumstances surrounding the complaint to insure the situation has been remedied.

Training

The university is required by the Texas Labor Code 21.010 to provide EEO training to each new employee, including student employees on policies regarding discrimination, including sexual harassment, no later than 30 days after the date of hire. In addition, supplemental EEO training is required every two years. All employees will receive a copy of this policy within 30 days of employment. A signed statement verifying attendance training is required to be maintained in the

employee's personnel file.

Additional training shall be provided in accordance with applicable law.

Cross Reference: Faculty Code of Conduct (7.11); Tenure *and Continued Employment* (7.29); Discipline and Discharge (11.4); Student Discipline (~~Code of Conduct~~ (10.45); Sexual Misconduct (2.13); 42 U.S.C. § 2000e, e-2, e-3; 42 U.S.C. § 1981; 20 U.S.C. §§ 1681, 1684; 42 U.S.C. § 12101; 29 U.S.C. § 623; 29 U.S.C. § 794; 29 U.S.C. § 206(d); 8 U.S.C. § 1101; Tex. Lab. Code Ch. 21; Tex. Penal Code § 39.03; Pub. L. 88-352; Pub. L. 102-166; Pub. L. 110-233

Responsible for Implementation: President

Contact for Revision: Title IX Coordinator, Director of Human Resources, and the General Counsel

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Effort Reporting and Certification for Sponsored Activities

Policy Number: 8.1

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): This policy establishes requirements to facilitate compliance with laws and regulations concerning employee effort for salary expenditures and cost-sharing requirements related to grants, contracts and other sponsored agreements (grants).

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include basic updates and edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Effort Reporting and Certification for Sponsored Activities

Original Implementation: January 29, 2008

Last Revision: July 28, 2015

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

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

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

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

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

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

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

2. Effort certification reports are required for ~~faculty, staff, and students~~ *all employees* who devote effort (paid or cost-shared) to one or more grants. These records are generated by and retained in the Banner effort system for salaried individuals. For hourly paid individuals, certified time records are generated and retained in the TimeClock Plus system or recorded manually on time sheets retained by the department, and serve as alternate official effort certification records.
3. After-the-fact effort reporting is required for all sponsored projects grants regardless of the source of funds (Federal, state, or private). *After-the-fact reporting is defined as certification reports originated after the work has been performed.*
4. Project directors (PDs) or principal investigators (PIs) are responsible for ensuring that effort certification reports are completed accurately and in a timely manner for each individual subject to this policy from a grant for which they serve as PD/PI.

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

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

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

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

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Director~~Dean, Office of Research and ~~Sponsored Programs~~

Graduate Studies

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Affirmative Action Recruitment

Policy Number: 11.9

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): The policy outlines the guidelines for affirmative action

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Employee Affirmative Action/Recruitment Plan

Original Implementation: February 3, 2005

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

Stephen F. Austin State University affirms its intention to comply with an affirmative action/recruitment plan developed to assure equal access to employment opportunities.

Definitions

Affirmative action means that a search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups as required by federal regulations.

General

Equal opportunity is the law of the land. In the public sector of our society this means that all persons, regardless of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, or veteran status shall have equal access to positions in public service limited only by their ability to do the job. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression.

Vigorous enforcement of the laws against discrimination is essential. Equally important are affirmative, voluntary efforts to assure that positions in the public service are genuinely and equally accessible to qualified persons, without regard to their sex, racial or ethnic characteristics.

Stephen F. Austin State University is committed to equal employment opportunities and strongly feels that increasing diversity should be a significant part of the hiring process. Employment discrimination and retaliation on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, and gender expression shall be strictly prohibited.

It is the policy of the university to comply fully with all state and federal laws prohibiting employment discrimination and relevant court decisions interpreting those laws as it implements its affirmative action/recruitment plan.

~~The Texas Commission on Human Rights Act, codified in Chapter 21 of the Texas Labor Code, passed the 68th Texas Legislature in Special Session on June 26, 1983. Section 21.001 of the Texas Labor Code includes the general purpose of securing for Texans, including persons with disabilities, freedom from discrimination in certain employment transactions, in order to protect their personal dignity.~~

~~In keeping with the spirit of that Act,~~ Stephen F. Austin State University affirms that it shall be its public policy not to discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, or veteran status. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression. Further, the university shall take all necessary steps to ensure the employment and promotion of otherwise qualified classes who may be underrepresented in the ~~university's~~ ~~agency's~~ workforce.

The university is committed to the principles of equal employment opportunity law and the spirit of equal access. Therefore, a written plan has been prepared to ensure that Stephen F. Austin State University's affirmative action/recruitment plan shall be properly implemented, and no artificial barriers shall be intentionally or otherwise created to deny applicants or employees of the university's equal employment opportunities.

The document is available in the human resources office for review by university employees, applicants, and to the general public on request.

Program Responsibilities

Being a results-oriented program, Stephen F. Austin State University's affirmative action/recruitment plan shall have the support of the president, board of regents, and other management or supervisory personnel. Therefore, specific responsibilities shall be assigned and delegated to university management personnel to ensure that the necessary authority is available to implement the provisions of the plan.

The director of human resources shall be designated as the affirmative action/recruitment officer for the university with the authority for administering the plan. It shall be the responsibility of the director of ~~hHuman rResources~~ to ensure that compliance with the university's affirmative action/recruitment policies are implemented in an efficient and effective manner. The director of ~~hHuman rResources~~ shall maintain progress reports and information to support and monitor the plan.

~~The hHuman rResources~~ office should be contacted for specific procedures related to recruitment of faculty and staff.

Program Goal

The program's goal is to ensure objectivity, consistency, uniformity and job relatedness through design and implementation of appropriate personnel policy and procedural systems that affect the equal employment opportunities of the university's employees and applicants for employment.

Cross Reference: Tex. Lab. Code Ch. 21; Affirmative Action (11.1)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

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

Policy Number: 8.5

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): This policy defines facilities and administrative costs and provides guidelines for the use of these funds.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include basic edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

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

Original Implementation: October 26, 1999

Last Revision: ~~July 28, 2015~~ January 29, 2019

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

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

F&A Cost Recovery

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

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

Recovered F&A Distribution and Use

Recovered F&A is subject to the provisions of the Texas Education Code, Section 145.001:

“The retained funds are subject to the following requirements:

- (1) The funds shall be expended under guidelines approved by the institution's governing board for projects encouraging further research at the unit, agency, or department level at which the research was conducted, including:
 - (A) conducting early pre-grant feasibility studies;
 - (B) preparing competitive proposals for sponsored programs;
 - (C) providing carryover funding for research teams to provide continuity between externally funded projects;
 - (D) supporting new researchers pending external funding;
 - (E) engaging in research programs of critical interest to the general welfare of the citizens of this state;
 - (F) purchasing capital equipment directly related to expanding the research capability of the institution; and
 - (G) research or project administrative costs; and
- (2) the funds remaining after the application of Subdivision (1) shall be used by a general academic teaching institution or a medical or dental unit to support research as approved by a general academic teaching institution or a medical or dental unit.”

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

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Director~~ Dean, Office of Research and Sponsored Programs ~~Graduate Studies~~

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

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty Code of Conduct

Policy Number: 7.11

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): Tax-supported colleges and universities must function in accordance with the public trust, and actions by faculty within them must be consistent with the execution of that trust. This policy outlines offenses representing breaches of that trust and violations of the SFASU Faculty Code of Conduct.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Added a statement related to collegiality and minor edits for clarification purposes

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Faculty Code of Conduct

Original Implementation: April 28, 2005

Last Revision: ~~July 28, 2015~~ January 29, 2019

Tax-supported colleges and universities must function in accordance with the public trust, and actions by faculty within them must be consistent with the execution of that trust. The following offenses represent breaches of that trust and violations of the Stephen F. Austin State University Faculty Code of Conduct:

- A. Plagiarism;
- B. Forgery or unauthorized alteration or use of university documents, records or identification materials;
- C. Knowingly furnishing false information to the university, or failure to acquire and maintain appropriate licensure and certification required for supervision and practice;
- D. The use of violent or other forceful methods to obstruct the functions of the university, which include teaching, research, administration, public service, presentations by guest lecturers and speakers, and other authorized activities;
- E. Physical abuse of any person on university-owned or controlled property or at university-sponsored or supervised functions, or conduct that threatens or endangers the health or safety of any such person;
- F. Executing professional responsibilities related to teaching, research supervision, committee work, and similar faculty responsibilities that involve a student related to the faculty member within the second degree of affinity or third degree of consanguinity as defined in university policy 11.16, Nepotism;
- G. Theft of or negligent damage to the university or to the property of a member of the university community or a campus visitor;
- H. Unauthorized entry to or use of university facilities or resources;
- I. Unlawful manufacture, distribution, dispensing, possession, or use of controlled substances, or any substance the possession or distribution of which is regulated by federal or Texas law, except where the manufacture, distribution, dispensing, possession, or use are in accordance with the laws of each (See Illicit Drugs and Alcohol Abuse (13.11));
- J. Discrimination and/or sexual misconduct as determined under university policy (See Discrimination Complaints (2.11), Sexual Misconduct (2.13));

K. Lewd, indecent, or obscene conduct or language on university-owned or controlled property or at a university-sponsored or supervised function;

L. *Unprofessional conduct; that is, behavior that a reasonable person in a professional setting would find inappropriate, rude, disorderly, or offensive, and that is persistent, destructive and/or intimidating;*

M. Violation of other promulgated university policies or rules;

~~MN~~. Conviction of a criminal or civil offense that reflects negatively upon the university.

Procedures

1. Each faculty member is required to notify his or her immediate supervisor of any felonious criminal conviction no later than five days after such conviction. Additionally, each faculty member is required to notify his or her immediate supervisor of alleged violations of D, E, F, I, J or M no later than five days after any faculty member becomes aware of such alleged violation.
2. Faculty members are required to abide by the terms of this policy as a condition of employment.
3. Alleged violations of the standards established in this policy should immediately be brought to the attention of the academic unit head to whom the individual is responsible. The academic unit head will then immediately notify the dean of the college, if part of a college. The dean of the college, or academic unit head if not part of a college, will inform the provost and vice president for academic affairs of the alleged violation without delay. The provost and vice president for academic affairs will immediately notify the president and general counsel. The general counsel will determine whether the alleged violation should be investigated pursuant to the Faculty Code of Conduct or other applicable policy. If the investigation is to proceed under the Faculty Code of Conduct, the provost and vice president for academic affairs or his or her designee will immediately investigate the incident and promptly provide a written report to the president which includes the allegation, scope, findings and results of the investigation, and recommendation for action, if any. The president may accept, modify, or reject the report and/or recommendation. The faculty member will be notified in writing of the president's determination and any action to be taken.
4. Violations of the standards established in this policy can result in the assessment of a penalty ranging from an oral reprimand to termination. Tenured and tenure-track faculty members are also subject to standards and procedures in the Tenure policy (7.29).

5. Faculty members may appeal disciplinary action, other than dismissal or non-renewal, taken pursuant to this policy by following the appeal procedure outlined in Faculty Disagreements (7.25). If the president determines that dismissal or non-renewal is appropriate, the procedures outlined in Termination and Non-Renewal of Contracts Procedural Guarantees in Tenure (7.29) will control.

Cross Reference: Tenure (7.29); Discrimination Complaints (2.11); Sexual Misconduct (2.13); Property Inventory and Management (17.14); Use of University Facilities (16.33); Illicit Drugs and Alcohol Abuse (13.11); Faculty Disagreements (7.25); Misconduct in Scholarly or Creative Activities (7.19); Misconduct in Federally Funded Research (8.7); Ethics (2.6)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty Compensation

Policy Number: 12.6

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): Stephen F. Austin State University (SFA) is responsible for securing a qualified and competent faculty and for utilizing public funds for faculty salaries and wages in an effective manner.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include basic edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Faculty Compensation

Original Implementation: February 3, 2005

Last Revision: ~~July 28, 2015~~ January 29, 2019

Stephen F. Austin State University (SFA) is responsible for securing a qualified and competent faculty and for utilizing public funds for faculty salaries and wages in an effective manner.

1. Faculty Employee

Faculty personnel are any university employees with academic rank or duties that include teaching, research, academic administration, or other scholarly activity and who are paid in full or in part from the line item "Faculty Salaries" or from *another* academic funding source. The provost and vice president for academic affairs, associate provost, and academic deans are considered staff for purposes of this policy.

2. Authority to Set Compensation

The Board of Regents has the authority to set compensation levels paid to faculty members through review and adoption of the annual operating budget. The itemized budget specifies the salary authorized for each position. The provost and vice president for academic affairs must give initial approval of all changes to budgeted faculty positions outside of the annual operating budget.

3. General Compensation

It is the policy of the university to distribute *funds for salaries and wages* fairly and equitably. ~~funds available for salaries and wages.~~ Initial faculty salaries are determined based on a combination of factors, including the funding available for the position, the academic discipline, faculty rank at the time of appointment [see Academic Appointments and Titles (7.2)], highest degree earned, the job description, professional experience, market value, and the needs of the department and college. ~~Upon the Salary recommendations by of the chair-academic unit head and dean are submitted to ,the provost for approval. es all faculty salaries prior to hiring.~~

4. Non-Discrimination

All position and salary range assignments will be made on the basis of the work to be performed without regard to race, color, religion, sex, age, disability, national origin, genetic information, citizenship, veteran status, ~~or~~ marital status, *sexual orientation, gender identity, or gender expression*, and in accordance with the laws, policies, and regulations of the United States government, the state of Texas, and the ~~Board of Regents~~

of SFA university.

5. Administration of Faculty Compensation

The provost and vice president for academic affairs, in conjunction with the academic deans, has responsibility for the administration of this policy. *Academic Unit* heads will recommend compensation for their employees in accordance with university policies, procedures, and guidelines.

6. Faculty Compensation

- a. General Information: Faculty salaries are normally budgeted for a 9-month period. Faculty members are compensated on the basis of a fair and reasonable workload. See Faculty Workload (7.13). Under the Federal Wage and Labor Law, faculty employees are exempt from overtime regulations.
- b. Market Data: University administrators will use the College and University Professional Association for Human Resources (CUPAHR) as its primary determinant of the market value for faculty salaries. Other relevant market data will be considered when appropriate.
- c. Compensation for Summer Teaching: Summer teaching is not guaranteed. See Summer Teaching Appointments (7.28). ~~Normally, faculty members are compensated for summer teaching at a rate of 1/6 of their 9-month teaching salary for a 100% teaching assignment for each summer session. In certain budgetary circumstances, the rate of compensation may be adjusted. Compensation is prorated for assignments less than two teaching units.~~ Compensation for summer teaching is provided through the SFA summer budget.
- d. Compensation for Adjunct Faculty: When considered necessary to hire adjunct faculty to teach courses, the compensation should be based on the following ranges:

Years of Experience Salary Range (per course)	
Zero to Six	\$2,500 - \$3,000
Seven to Ten	\$2,650 - \$3,200
Over Ten	\$2,800 - \$3,800

e. Stipends may vary by college, discipline, need, and the educational level of the proposed adjunct faculty member. Any variation must be recommended by the chair and dean and approved by the provost and vice president of academic affairs prior to appointment.

~~f.e.~~ Additional Compensation: In instances where faculty members provide services outside of their normal teaching duties, they may be eligible for additional

compensation. See Salary Supplements, Stipends and Additional Compensation (12.16).

~~g.f.~~ Overload Compensation: In instances where faculty members are needed to teach an overload, they may be eligible for overload compensation. At a minimum, the overload compensation will be comparable to that of an adjunct faculty member. Upon the recommendation of the ~~department~~ *academic unit* head and dean and approval of the provost and vice president of academic affairs, overload compensation may vary based on the funding available, needs of the department, and qualifications of the faculty member.

~~h.g.~~ Associate Dean, Assistant Dean or ~~Department~~ *Academic Unit* Head Compensation: When appointed as an associate dean, assistant dean, or *academic unit* ~~department~~ head, a faculty member may receive a combination of a stipend and reassignment time for performing administrative duties. See Academic Unit Head Appointments (4.2).

~~h.h.~~ Grants, Endowments, and Other Arrangements: Grants, endowments, awards and other arrangements may provide for an additional stipend or salary support for a faculty member within applicable regulatory parameters. See Compensation from Grants, Contracts and Other Sponsored Agreements (12.1).

7. Increases in Compensation

- a. General Increases: All salary increases for faculty members, unless otherwise mandated by the state's legislature, will be based on merit and/or equity. Quality of teaching, research, scholarly/creative activity, administrative responsibilities, and service may be considered in the merit process. Equity adjustments may be awarded based on the recommendations of the ~~department~~ *academic unit* head and dean, subject to the approval of the provost and vice president of academic affairs.
- b. Recommendations: *Academic unit* ~~Department~~ heads will recommend salary rates, equity adjustments, and merit increases in the annual department budget request based on the budget guidelines issued by the president. The recommendations will, in turn, be submitted to the appropriate academic dean and the provost and vice president of academic affairs for approval. Each faculty member is to provide an annual performance report to the ~~department~~ *academic unit* head for use in consideration of a merit increase. See ~~Consideration for~~ Faculty Merit Pay (7.6).
- c. Salary Increases for Promotion: Faculty members, through the promotion process [see Academic Promotion (7.4)], are awarded increases in the subsequent budget year based on budgeted resources and the promotion rank.

Cross Reference: Academic Appointment and Titles (7.2); Academic Promotion (7.4); Academic Unit Head Appointments (4.2); ~~Faculty Compensation (12.6);~~ Faculty Workload (7.13); Salary Supplements, Stipends and Additional Compensation (12.16); Compensation from Grants, Contracts and Other Sponsored Agreements (12.1); ~~Consideration for~~ Faculty Merit Pay (7.6); Summer Teaching Appointments (7.28).

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty/Staff Athletic Ticket Purchases

Policy Number: 12.8

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

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Allows for discounted ticket prices for university faculty/staff.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Clarifying that eligibility for discounted season tickets is limited to faculty, staff, and retirees. Such individuals may continue to purchase as many season tickets as they desire. Deleted procedure from policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ryan Ivey, Director of Athletics
Dr. Steve Westbrook, Acting President
Damon Derrick, General Counsel

Faculty/Staff Athletic Ticket Purchases

Original Implementation: Unpublished

Last Revision: ~~January 26, 2016~~ January 29, 2019

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

~~Season ticket applications are mailed annually to each faculty/staff member who purchased tickets the previous year. Information on season tickets is distributed annually to each employee via a campus wide email and in SFA Today in order to contact as many new faculty/staff members as possible and to offer faculty/staff who did not purchase tickets the previous year a chance to do so. The Department of Intercollegiate Athletics will inform university faculty and staff of the availability of discounted season tickets on at least an annual basis. Faculty/staff season tickets are not honored during post-season play.~~

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: Director of Intercollegiate Athletics

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: File Maintenance for Faculty Personnel Files

Policy Number: 4.6

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): To meet SACs requirements, the following guidelines have been established to address the contents of the file and the designated office responsible for maintaining the file.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Updated titles.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

File Maintenance for Faculty Personnel Files

Original Implementation: October 31, 2000

Last Revision: ~~July 28, 2015~~ January 29, 2019

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

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

Full-time academic rank faculty

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

Filed in the Office of the College Dean:

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

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

Graduate teaching assistants (when instructor of record)

- Curriculum vitae
- Official transcripts from all degree granting institutions attended or verification that official transcripts are in the ~~Office of the Dean of the Graduate School~~ *Office of Research and*

Graduate Studies.

- Three letters of reference
- Faculty Certification of Credentials form

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Final Examination Scheduling

Policy Number: 7.14

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

Date of last revision, if applicable: 11/2/2015

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

Purpose of Policy (what does it do): To ensure that faculty members hold class during finals week according to the official final exam schedule.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Final Examination Scheduling

Original Implementation: June 16, 1982

Last Revision: ~~November 2, 2015~~ January 29, 2019

Faculty members will hold class during finals week according to the official final exam schedule. Any exceptions must be approved by the academic unit head prior to the start of the semester.

Class meetings during finals week, for courses taught at times not listed in the final exam schedule, including but not limited to distance education courses, online courses, and evening or weekend courses, should be scheduled in consideration of resource availability.

All final examinations or ~~instructional~~ *course* activities must be scheduled to conclude by midnight on the last day of the final exam schedule. Exceptions may be made by the appropriate academic dean.

Cross Reference: Faculty Handbook; Dead Week (7.8)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Fixed Amount Awards

Policy Number: 8.12

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): Defines fixed amount awards both to the university (federal and non-federal) and from the university.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include basic edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Fixed Amount Awards

Original Implementation: July 28, 2015

Last Revision: ~~None~~ January 29, 2019

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

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

Fixed Amount Awards to the University

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

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

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

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

Non-Federal Awards

1. The PI/PD will certify that the sponsor has accepted all required deliverables, the controller's office will confirm that the sponsor has made final payment. *If the remaining balance exceeds \$500, and* the full federally-negotiated F&A rate will be charged against the award. Any residual balance should be no more than 20% of the original award.

2. If the residual balance is less than 20% of the original award; (up to \$10,000 or 25% of the residual balance, whichever is less); ~~is then the amount~~ is transferred to a fixed-price residual (FPR) fund for the PI/~~or~~ PD, or into an FPR fund established for a university-recognized center. The remaining balance in excess of 25% or \$10,000 is transferred to a designated fund pool to be used in support of research and development.

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

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

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

Federal Awards

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

Fixed Amount Awards from the University

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

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Director~~*Dean*; ~~Office of Research and Sponsored Programs~~*Graduate Studies*

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

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Grants and Contracts Administration

Policy Number: 8.3

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): The Office of Research and Graduate Studies establishes and makes available procedures for the programmatic administration of grants, contracts and other sponsored agreements.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Updates of titles

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Grants and Contracts Administration

Original Implementation: August 1, 2000

Last Revision: ~~July 28, 2015~~ January 29, 2019

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

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Director~~ *Dean*, Office of Research and ~~Sponsored Programs~~ *Graduate Studies*

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Health and Safety

Policy Number: 13.10

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): This policy establishes SFA's commitment to employee, student, and visitor health and safety, while meeting OSHA's requirements.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The purpose of the policy and general information were edited to better reflect the requirements of OSHA and to establish the authority and responsibility for the management of SFA's Health and Safety Program.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dr. Jeremy K. Higgins, Director of Environmental Health, Safety and Risk Management
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Health and Safety

Original Implementation: February 11, 1977

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy affirms the university's commitment to protect *the health and safety of its employees, students, and the general public, as well as the university's physical and financial assets. This document establishes the authority and responsibility for the proper management of the university's health and safety program, which is achieved through appropriate compliance with university policies, procedures, and applicable laws and regulations. its human and physical resources and to maintain a safe and healthful environment that allows the university to accomplish its goals.* It also intends to create an awareness of and a commitment to an effective safety program among all members of the university community.

Definitions

Risk Management for Texas State Agencies (RMTSA) Guidelines is the *primary* program document for the university's safety and health program. It is developed by the State Office of Risk Management and provides the direction and basis for developing and implementing a comprehensive risk management program.

General

The primary concern of ~~this~~ *health and safety* program is the safety and well-being of the students, faculty, staff, and visitors. The program is promoted through safety procedures, *hazard identification, training, identification of hazards, and initiation of loss-control measures aimed at the focused on the overall* reduction of accidents and risk. *This policy applies to all university employees, students, university affiliates, visitors, and owned or leased facilities, buildings, or property.*

Responsibility and coordination of various aspects of the university's *health and safety* program is vested in the Environmental Health, Safety, & Risk Management (EHS&RM) Department that reports to the vice president for finance and administration of the university. *EHSRM will ensure the university is compliant with all applicable federal and state laws and regulations relating to health and safety. The Risk Management for Texas State Agencies Guidelines, published by the State Office of Risk Management, is the primary program document for the university's safety and health program. While health and safety compliance rests primarily with EHSRM, it is also the responsibility of all university members to comply with the health and safety policy, procedures, trainings, and inspections.*

Responsibilities are assigned to individuals at appropriate levels of authority and expertise as follows:

- ~~The responsibility for physical safety, fire and life safety protection and emergency protocols, occupational health and safety, emergency procedures, risk management, safety training and inspections, workers' compensation, acquiring adequate property insurance~~

coverage, environmental safety, hazardous and radioactive materials, asbestos management, laboratory safety, and accident prevention and investigation is assigned to the director of environmental health, safety, and risk management (EHS&RM), who reports to the vice president for finance and administration. The director of EHS&RM also serves as the official university contact for federal and state agencies regarding environmental and occupational safety and health.

-
- The responsibility for campus security, emergency procedures, traffic control, criminal investigation, and civil order is assigned to the chief of university police who reports to the vice president for university affairs.
-
-
- The responsibility for the maintenance of the health of students is assigned to the director of university health services, who reports to the vice president for university affairs.

Providing a Safe Workplace

Facilities will be designed in a manner consistent with health and safety regulations and standards of good design. University departments responsible for the design, construction, and/or renovation of facilities shall consult *in a timely manner* with EHS&RM to ensure that there is appropriate health and safety review of facility concepts, designs, *fire protections*, and plans.

Faculty and staff supervisors, in coordination with EHSRM, shall ensure that personnel receive proper safety training as required by their job task or by result of hazard identification. SFA encourages employees and students to report health and safety hazards to their supervisors or EHS&RM. Employees and students shall not be retaliated against in any manner for bona fide reporting of health and safety hazards to SFA.

Faculty and staff supervisors, in coordination with EHS&RM, shall ensure that regular, periodic inspections of workplaces are conducted to identify and evaluate workplace hazards and unsafe work practices. Means of correcting discovered hazards and/or protecting individuals shall be determined and implemented appropriately and in a timely manner. Unsafe conditions which cannot be corrected by the supervisor must be reported to ~~the next higher level of department management~~ *and EHSRM*.

Any individual who becomes aware of a ~~serious concealed danger to~~ *situation immediately dangerous to* health or safety shall ~~immediately~~ *promptly* report the danger to ~~the EHS&RM Department~~ and to the faculty, staff, and students who may be affected. The director of EHS&RM has the authority to intervene or shut down any university activity considered to present a clear and imminent danger to health or safety. This shall remain in effect until the danger has passed or been mitigated to the extent that the imminent danger no longer exists.

Support

In addition to these ~~specific aforementioned and specifically assigned~~ responsibilities, it shall

be the general responsibility of all SFA employees and students to keep themselves informed of conditions affecting their health and safety; to comply with SFA health and safety policies, programs, procedures, and practices; to participate in training *and inspection* programs provided by their supervisors and EHS&RM; and to adhere to healthy and safe practices in their workplace, classroom, and laboratories.

Management and supervisors are responsible for protecting the health and safety of employees and students under their supervision by implementing SFA health and safety policies, practices, and programs; ~~by and~~ ensuring *all laboratories*, workplaces, and equipment are safe and well maintained; and by ensuring that workplaces or laboratories are in compliance with federal, state, and local regulations. ~~They~~ Supervisors are also responsible for the education of their employees and students ~~in regard to~~ concerning proper job procedures and recognized hazards before making task assignments.

Implementation

In all university activities and endeavors, safety is the first concern. The members of the university community shall comply with all federal, state, and local statutes, rules, regulations, and codes by which the university is bound. They shall also attempt to comply with the spirit of any non-binding requirement which would further the university's intent to provide and maintain a safe and healthful environment in which to work, study, and live.

Cross Reference: Risk Management (13.19); Tex. Health & Safety Code Ch. 502

Responsible for Implementation: President

Contact For Revision: ~~President,~~ Director of Environmental Health, Safety, and Risk Management.

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Illicit Drugs and Alcohol Abuse

Policy Number: 13.11

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

Date of last revision, if applicable: 7/1/2015

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Define and state federal, state and local laws

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Updated terminology and definitions.
Updated services provided by departments, procedures, and building/services names.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Jill Miley, Director of Counseling Services
Hollie Smith, Acting Dean of Student Affairs
Michael Walker, Assistant Dean of Student Affairs for Support Services
Peggy Scott, Director of Office of Student Rights and Responsibilities
Dr. Steve Westbrook, Acting President
Damon Derrick, General Counsel

Illicit Drugs and Alcohol Abuse

Original Implementation: September 1, 1986

Last Revision: ~~July 28, 2015~~ January 29, 2019

It is the declared policy of the United States government to create a drug-free America. As a part of that policy, the Drug-Free Workplace Act of 1988, 41 U.S.C. §§ 701-707, was adopted. On December 12, 1989, President Bush signed the Drug-Free Schools and Communities Act Amendment of 1989, 20 U.S.C. § 1011i, which amends provisions of the Drug-Free Schools and Communities Act of 1986 and the Higher Education Act of 1965. University policies relating to the use of illegal drugs and alcoholic beverages have been established by the Board of Regents of Stephen F. Austin State University in compliance with state and federal law.

Definitions

1. Controlled substance means a controlled substance in schedules I through V of the Schedules of controlled substances, 21 U.S.C. § 812. Examples include, but are not limited to: heroin, marijuana, mescaline, peyote and cocaine. This definition does not include medication prescribed by a physician.
2. Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes.
3. Criminal drug statute means a criminal statute involving manufacture, distribution, dispensation, use or possession of any controlled substance.
4. Federal agency means an agency as that term is defined in 5 U.S.C. § 551(1).

Standards of Conduct

It is the university's policy that all members of the university community and guests are required to comply with federal, state and local laws regarding the possession, consumption and distribution of alcoholic beverages. All employees (full-time and part-time faculty, staff and students) are prohibited from engaging in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcoholic beverage in the workplace, or reporting to work under the influence of alcoholic beverages or illegal drugs. None of the funds appropriated to the university by the state legislature for travel expenses may be expended for alcoholic beverages.

Alcoholic beverages will be permitted at authorized events on university controlled property only as allowed under ~~the Alcohol Service policy (13.7)~~ *university policy*. The unauthorized use of intoxicating beverages on university-controlled property or at university-sponsored activities, including, but not limited to, intercollegiate and intramural athletic events is prohibited. Alcoholic beverages are not permitted in university residence halls.

It is the policy of Stephen F. Austin State University that any unlawful manufacture, possession or

delivery of any controlled substance or illegal drug is strictly prohibited. Moreover, it is the policy of the state of Texas and of this university that this institution will be as free of illegal drugs as it can possibly be.

Health Risks

ALCOHOL ABUSE

Alcohol is a primary and continuous depressant of the central nervous system. Impairment of judgment and of recently learned, complex and finely tuned skills begins to occur at blood alcohol concentrations as low as 0.025 percent. These impairments are followed by the loss of more primitive skills and functions, such as gross motor control and orientation at concentrations in excess of 0.05 percent. Alcohol in moderate doses impairs nearly every aspect of information processing, including the ability to abstract and conceptualize, the ability to use large numbers of situational cues presented simultaneously, and the cognitive ability to determine meaning from incoming information. Alcohol consumption can therefore promote action on impulse without full appreciation of, or concern about, the potential negative consequences of such action. Chronic long-term effects of heavy drinking over a period of years can result in brain damage; cancer of the mouth, esophagus or stomach; heart disease; liver damage resulting in cirrhosis, alcoholic hepatitis, and cancer of the liver; peptic ulcer disease; and possible damage of the adrenal and pituitary glands. Prolonged, excessive drinking can shorten life span by 10 to 12 years.

ILLICIT DRUGS

Illicit drugs include narcotics, such as heroin or morphine; depressants, such as barbiturates, *quaaludes*, or valium; stimulants, such as cocaine or "crack"; hallucinogens, such as PCP, LSD or mescaline; cannabis, such as marijuana or hashish; inhalants, such as nitrous oxide, amyl nitrite (poppers) or various hydrocarbon solvents; and designer drugs, such as α -methylfentanyl (China White), methamphetamine (*Meth/Crank/Speed*), 3,4-methylenedioxy-methamphetamine (*MDMA*/Ecstasy) or meperidine (Demerol).

Narcotics. Narcotics initially produce a feeling of euphoria that is often followed by drowsiness, nausea and vomiting. Tolerance may develop rapidly and dependence is likely. The use of contaminated syringes may result in diseases such as human immunodeficiency virus (HIV), endocarditis (inflammation of the lining of the heart) and hepatitis.

Depressants. The effects of depressants are in many ways similar to the effects of alcohol. Small amounts can produce calmness and relaxed muscles, but a somewhat larger dose can cause slurred speech, ataxia or unstable gait, and altered perception. Very large doses can cause respiratory depression, coma and death. The combination of depressants and alcohol can multiply the effects of the drugs, thereby multiplying the risks. The use of depressants can cause both physical and psychological dependence.

Stimulants. Cocaine stimulates the central nervous system. Its immediate effects include dilated pupils; elevated blood pressure, heart and respiratory rate; and increased body temperature. Occasional use can cause a stuffy or runny nose, while chronic use can ulcerate the mucous membrane of the nose with long-term use eroding the nasal septum. The injection of cocaine with unsterile equipment can cause human immunodeficiency virus (HIV), hepatitis and other diseases. Preparation of freebase, which involves the use of volatile solvents, can result in death or injury from fire or explosion. Cocaine can produce psychological and physical dependency. In addition, tolerance develops rapidly. Crack or freebase rock is extremely addictive. The physical effects include dilated pupils, increased pulse rate, elevated blood pressure, insomnia, loss of appetite, tactile hallucinations, paranoia and seizures. Overdoses occur easily.

Hallucinogens. *Include a diverse group of drugs that alter perception (awareness of surrounding objects and conditions), thoughts, and feelings. They cause hallucinations, or sensations and images that seem real though they are not. Hallucinogens can be found in some plants and mushrooms (or their extracts) or can be human-made. Common hallucinogens include the following: ayahuasca, DMT, D-lysergic acid diethylamide (LSD), peyote (mescaline), and 4-phosphoryloxy-N,N-dimethyltryptamine (psilocybin). Some hallucinogens also cause users to feel out of control or disconnected from their body and environment.* Phencyclidine (PCP) users frequently report a sense of distance and estrangement. Time and body movement are slowed down. Muscular coordination worsens, and senses are dulled. Speech is blocked and incoherent. Chronic PCP users report persistent memory problems and speech difficulties. Mood disorders, such as depression, anxiety and violent behavior, may also occur. In late stages of chronic use, users often exhibit paranoid and violent behavior and experience hallucinations. Large doses may produce convulsions and coma, heart failure, lung problems and/or ruptured blood vessels in the brain. Lysergic acid (LSD), mescaline and psilocybin cause *perceptual distortions (mixed senses, such as "seeing" sounds or "hearing" colors) illusions* and hallucinations. The physical effects may include dilated pupils, elevated body temperature, increased heart rate and blood pressure, loss of appetite, sleeplessness and tremors. Sensations and feelings may change rapidly. It is common to have ~~adverse~~ psychological reaction to LSD, mescaline and psilocybin. The user may experience panic, confusion, suspicion, anxiety and loss of control. Delayed effects or flashbacks can occur even after use has ceased.

Inhalants. The chemicals in most inhalants are rapidly absorbed in the lungs and exert their central nervous system effects within seconds, producing an altered mental state for about five to fifteen minutes. Immediate effects of inhalants include nausea, sneezing, coughing, nose bleeds, fatigue, lack of coordination and loss of appetite. Solvents and aerosol sprays can decrease the heart and respiratory rates and impair judgment. Amyl and butyl nitrite can cause rapid pulse, headaches, and involuntary passing of urine and feces. Inhalation of toluene as well as other hydrocarbons has been associated with kidney and liver damage, peripheral nerve problems, convulsions, encephalopathy (organic brain damage) and other central nervous system disorders. Sudden death associated with both glue sniffing and especially the inhalation of aerosols containing halogenated hydrocarbons

(Freon) has been reported and is thought to be secondary to cardiac arrhythmias (abnormal electrical conduction patterns in the heart).

Marijuana. The short term effects of marijuana include distortion of time perception, increased heart rate, dilation of blood vessels and loss of short-term memory. Also decreased are visual perception and psychomotor skills, which have adverse effects on driving ability. The effects of long-term use include loss of motivation, chronic bronchitis, decreased vital lung capacity and an increased risk of lung cancer. Tolerance and psychological dependence develop with marijuana.

~~Designer~~ *Other Illegal Drugs.* Designer drugs are synthetic chemical modifications of older drugs of abuse that are designed and manufactured in covert laboratories and sold at great profit for recreational use. These drugs can be several hundred to several thousand times stronger than the drugs they are designed to imitate. Designer drugs similar to opiates include fentanyl, demerol, and "china white." The narcotic analogs of designer drugs can cause symptoms such as those seen in Parkinson's disease - uncontrollable tremors, drooling, impaired speech, paralysis and irreversible brain damage. Analogs of amphetamines and methamphetamines cause nausea, blurred vision, chills or sweating and faintness. Psychological effects include anxiety, depression and paranoia. Withdrawal problems include sweating, diarrhea, fever, insomnia, irritability, nausea and vomiting, and muscle and joint pain. *Flunitrazepam (Rohypnol) is a benzodiazepine chemically similar to prescription sedatives such as Valium and Xanax but much more powerful and has been used to commit sexual assaults due to its ability to sedate and incapacitate unsuspecting victims. Similarly, Gamma-hydroxybutyrate (GHB) is a depressant and is sometimes used as a date rape drug.*

Synthetic cannabinoids are part of a group of drugs called new psychoactive substances (NPS). NPS are unregulated mind-altering substances that have become newly available on the market and are intended to produce the same effects as illegal drugs. Synthetic cannabinoids are marketed under a wide variety of specific brand names, including K2, Spice, Joker, Black Mamba, Kush, and Kronic. Synthetic cannabinoids are not safe and may affect the brain much more powerfully than marijuana; their actual effects can be unpredictable and, in some cases, more dangerous or even life-threatening. Synthetic cathinones, more commonly known as "bath salts," are human-made stimulants and are include in the group of NPS. Common effects of synthetic cathinones included elevated heart rate, blood pressure, and chest pain. Other effects include delirium, dehydration, breakdown of skeletal muscle tissue, and kidney failure. Intoxication from synthetic cathinones can result in death.

University Penalties

STUDENTS

Any student who is determined, through the regular disciplinary procedures of the university, to have violated the policy on the use of illicit drugs will be suspended from the university for no

more than two years and no less than the remainder of the current semester. *This includes suspension for possession of illegal drugs and the potential for expulsion for the sale or distribution on campus.* At the discretion of the vice president for university affairs or his/her designee, a student suspended under this policy may, under certain conditions, remain enrolled at the university on disciplinary probation. These conditions can include substance abuse evaluation, treatment and/or counseling. Any cost for services or treatment not offered as a student service on campus will be the responsibility of the student.

University sanctions imposed for alcohol possession or consumption can include progressive levels of probation leading to suspension for multiple offenses, attendance at an alcohol education class offered by the university, community service, substance abuse evaluation, treatment and/or counseling. Any cost for services or treatment not offered as a student service on campus will be the responsibility of the student.

EMPLOYEES

All employees (full-time and part-time faculty, staff and students) are prohibited from engaging in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcoholic beverage in the workplace, or reporting to work under the influence of alcoholic beverages or illegal drugs. None of the funds appropriated to the university by the state legislature for travel expenses may be expended for alcoholic beverages.

Observance of the policy regarding alcoholic beverages and illegal drugs is a condition of employment for all university employees. An employee violating this policy shall be subject to employment discipline up to and including termination, or shall be required to undergo satisfactory participation in a drug abuse assistance or rehabilitation program, such as the Employee Assistance Program of the university.

Any employee directly engaged in the performance of work pursuant to the provision of a federal grant or contract who is convicted of violating a criminal drug statute shall notify his/her immediate supervisor of the conviction no later than five days after the conviction. The immediate supervisor shall promptly report the conviction to the appropriate vice president and the ~~director~~-~~dean~~ of research and ~~sponsored programs~~*graduate studies*. On behalf of the university, the ~~director~~-~~dean~~ of research and ~~sponsored programs~~*graduate studies* ~~shall~~*will* notify the federal agency grantor or contractor of the conviction within ten days of the university's receipt of notice from the employee or of receipt of other actual notice.

Good Faith Effort

Stephen F. Austin State University shall make a good faith effort to maintain a drug-free workplace by implementing and enforcing this policy. The university shall also comply with United States Department of Transportation regulations regarding drug testing of drivers with a commercial

driver's license.

Federal Law

Offense	Minimum Punishment	Maximum Punishment
Manufacture, distribution or dispensing drugs (includes marijuana)	A term of imprisonment not more than 20 years, and a minimum fine of \$1,000,000	A term of life imprisonment without release (no eligibility for parole) and a fine not to exceed \$4,000,000 (for an individual) or \$20,000,000 (if other than an individual)
Possession of drugs (including marijuana)	Civil penalty in amount not to exceed \$10,000	Imprisonment for not more than 20 years or not less than 5 years, a fine of not less than \$5,000 plus costs of investigation and prosecution
Operation of a common carrier under the influence of alcohol or drugs		Imprisonment for up to 15 years and a fine not to exceed \$250,000

Texas Law

Offense	Minimum Punishment	Maximum Punishment
Manufacture or delivery of controlled substances (drugs)	Confinement in the Texas Department of Criminal Justice State Jail facility for a term of not more than two years or less 180 days, or confinement in a community correctional facility for not more than 1 year, and a fine not to exceed \$10,000	Confinement in TDCJ for life or for a term of not more than 99 years or less than 15 years, and a fine not to exceed \$250,000
Possession of controlled substances (drugs)	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000	Confinement in TDCJ for life or for a term of not more than 99 years or less than 15 years, and a fine not to exceed \$250,000
Delivery of marijuana	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000
Possession of marijuana	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000	Confinement in jail for a term of not more than 2 years or less than 30 days, or confinement in TDCJ for a term of not more

		than 10 years or less than 2 years and a fine of not more than \$10,000
Driving while intoxicated (includes intoxication from alcohol, drugs, or both)	Confinement in jail for a term of not more than two years or less than 72 hours, and a fine of not more than \$2,000, possible loss of driver's license and license surcharge up to \$2,000 per year for three years.	Confinement in jail for a term of not more than two years or less than 30 days, or confinement in TDCJ for a term of not more than ten years or less than two years and a fine of not more than \$10,000
Public intoxication		A fine not to exceed \$500
Purchase or consumption or possession of alcohol by a minor	Fine of not more than \$500	For a subsequent offense a fine of not less than \$250 nor more than \$2000
Sale of alcohol or furnishing alcohol to a minor	Fine of up to \$4,000 and/or up to 1 year in jail	Both
Purchase of alcohol or furnishing alcohol to a minor at a gathering involving abuse of alcohol, including binge drinking or coercion	In addition to any other penalty, community service for not less than 20 hours, attendance at an alcohol awareness program, and suspension of driver's license for 180 days.	In addition to any other penalty, community service for not more than 40 hours, attendance at an alcohol awareness or driving awareness program, and suspension of driver's license for 180 days.
Driving under the influence of alcohol by a minor	Fine of not more than \$500 and community service related to education about or prevention of misuse of alcohol.	A fine of not less than \$500 or more than \$2,000, confinement in jail not to exceed 180 days and/or both; community service related to education about or prevention of misuse of alcohol.

Limited Immunity When Requesting Medical Assistance

A minor does not commit an offense for consumption or possession of an alcoholic beverage if the minor: (1) requests emergency medical assistance in response to the possible alcohol overdose of the minor or another person; (2) was the first person to make a request for medical assistance; and (3) if the minor requested emergency medical assistance for the possible alcohol overdose of another person, the minor remained on the scene until medical assistance arrives and cooperated with medical assistance and law enforcement personnel.

This immunity shall also apply to the imposition of any university sanction.

Limited Immunity When Reporting Sexual Assault

A minor does not commit an offense for consumption or possession of an alcoholic beverage if the minor reports the sexual assault of the minor or another person, or is the victim of a sexual assault reported by another person, to: (1) a health care provider treating the victim of sexual assault; (2) an employee of a law enforcement agency, including the University Police Department; or (3) the Title IX Coordinator or other university employee responsible for responding to reports of sexual assault. The alleviation of sanctions will not apply to any student found to be responsible for committing a sexual assault.

This immunity shall also apply to the imposition of any university sanction.

Counseling, Treatment and Rehabilitation

STUDENTS

Stephen F. Austin State University, through the counseling services office, *provides individual and group counseling, including counseling for alcohol/other drug prevention and intervention, which is available to all students.* ~~alcohol/drug abuse prevention service which is available to all students.~~ Services include assistance in abstaining from the use of chemical substances, early intervention when chemical abuse is detected, and referral to ~~a campus support system and/or a community referral resources~~ for inpatient/outpatient services not available on campus. Medical counseling and printed information on chemical dependency are available through ~~University Health Services, the campus student health facility~~ the Student Health Clinic. Students may seek individual counseling or request printed information at either campus location.

Prevention/Education.

Consistent with the overall objective of this policy to prevent the unlawful possession, use, or distribution of illicit drugs and alcohol by students and employees on campus, prevention and education initiatives are designed to: increase awareness of the students, faculty, and staff concerning the psychological and health risks associated with chemical use; provide information to students regarding a variety of wellness issues which promote successful college adjustment; and, orient students, faculty and staff to the services available on campus and locally for treatment options. The Lumberjacks Care Peer Educator program (Student Wellness Action Team) offer presentations to student groups on a variety of topics including alcohol and substance abuse, adult children of alcoholics, assertiveness skills, stress and time management, self-esteem and related issues. Public programing occurs throughout the year across campus including but not limited to, wellness fairs, campus events, passive tabling, and Residence life programs. In addition, student groups, departments, or individual courses, may request private trainings addressing the risk of substance abuse and other wellness programing by contacting the Lumberjacks Care office.

On request, Counseling Services provides presentations on a variety of topics including healthy stress management techniques, maintaining personal wellness, and other mental health related topics, which include information designed to increase awareness of the psychological and health risks associated with chemical use.

Referral/Assessment.

Any SFA student requiring information about, or assistance with, a chemical abuse problem may be referred to the assistance program counseling services. A student may initiate a self-referral by contacting the counseling office; university faculty and staff may initiate a student referral.

Participation by a student is voluntary, except when mandated by the student conduct authority. A counselor conducts an assessment interview on the student's initial visit and provides the student with details regarding confidentiality and record keeping requirements. The counselor informs the student of alternatives and makes recommendations based on the student's needs.

Campus Support System.

Counseling services can assist students in accessing support systems on campus, including providing group counseling support as needed. Support groups function under guidelines established by counseling services.

~~Counseling services serves as a link between the individual student and support groups which are available for chemical dependency, adult children of alcoholics and victims of sexual abuse. Support groups function under guidelines established by counseling services.~~

Community Referral.

Services for chemical dependency are available in the Nacogdoches community and include: private practitioners offering individual counseling or intellectual/psychological assessment; *and agencies (such as the Alcohol and Drug Abuse Council) which provide a variety of services such as individual counseling, self-help groups such as Alcoholics Anonymous and Narcotics Anonymous, and inpatient or outpatient treatment.* ~~self-help groups such as Alcoholics Anonymous and Narcotics Anonymous; and inpatient/outpatient treatment.~~

EMPLOYEES

University employees with supervisory responsibilities should be cognizant of employee behavior related to unacceptable job performance which may result from drug or alcohol abuse. Any decision to initiate employee counseling or a referral to human resources should be based on the employee's unacceptable job performance (which may include violations of this policy). Employee counseling, referral and related record keeping should be conducted with the degree of care and confidentiality appropriate to such personnel matters. ~~Alcohol and drug abuse seminars are among the services provided cost-free to university employees. Other~~ Services for employees with a chemical dependency are available in the community, including private practitioners offering individual counseling, self-help groups such as Alcoholics Anonymous and Narcotics Anonymous,

and inpatient/outpatient treatment at various health care facilities.

Review and Assessment

It is the intent of Stephen F. Austin State University to continue to strive for a drug-free campus and to comply with state and federal regulations regarding prevention programs established to eliminate the illegal use of drugs and alcohol abuse. To this end, SFA will provide written notice to each student and employee a copy of this policy. Students will receive written notice according to the following schedule:

- On the first business day following the 12th class day of each long semester
- On the first business day following the 8th class day following mid-term in each long semester
- On the first business day following the 2nd class day of Maymester
- On the first business day following the 4th class day of Summer I and II semesters

Employees will receive written notice no later than October 31st of each year, and all new employees will be notified during new employee orientation.

In addition, the university will conduct a biennial review of the program implemented to provide a learning and working environment free of drug and alcohol use. The purposes of the biennial review will be to: 1) determine the effectiveness of the program and implement needed changes; and 2) ensure that the sanctions included in the program are consistently enforced. The university's dean of student affairs will be responsible for initiating the biennial review. The results of this review will be released in July of even numbered years.

Cross Reference: Drug-Free Workplace Act of 1988, 41 U.S.C. §§ 701-707; Drug-Free Schools and Communities Act Amendments of 1989, 20 U.S.C. § 1011i, 34 C.F.R. §§ 86.1-.411; 21 U.S.C. §§ 812, 841-865; 5 U.S.C. § 551(1); General Appropriations Act; Texas Gov't Code § 2113.012; OMB Circular A-21; Tex. Transp. Code § 708.102; Tex. Alco. Bev. Code §§ 106.01-.15; Tex. Penal Code §§ 12.01-.49, 49.01-.12; State of Texas Travel Allowance Guide; Faculty Code of Conduct (7.11); Student Code of Conduct (10.4); Drug and Alcohol Testing (11.6); Discipline and Discharge (11.4); Alcohol Service (13.7)

Responsible for Implementation: President

Contact for Revision: ~~General Counsel~~ *Director of Human Resources, Dean of Student Affairs*

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

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

Policy Number: 8.6

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): The IACUC ensures that all university activities comply with government regulations set forth by the United States Department of Health and Human Services, Office of Laboratory Animal Welfare (OLAW) and by the United States Department of Agriculture-Animal and Plant Health Inspection Service (USDA-APHIS) under the Animal Welfare Act (AWA).

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include change of institutional official (IO) from provost and vice president of academic affairs to dean of research and graduate studies, addition of IACUC manual to cross references, and revised contact to dean of research and graduate studies.

Specific rationale for deletion of policy:

Additional Comments:

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Reviewers:

Academic Affairs Policy Committee

Steve Bullard, Provost and Vice President for Academic Affairs

Damon Derrick, General Counsel

Institutional Animal Care and Use Committee (IACUC)

Original Implementation: April 17, 2012

Last Revision: ~~July 28, 2015~~ January 29, 2019

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

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

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

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

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

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

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

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

Policies and Procedures Manual

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Dean of the Director, Office of Research and Sponsored Programs~~
Graduate Studies

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Mail Services

Policy Number: 16.16

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

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Student Services

Purpose of Policy (what does it do): Delineates the authority for on campus mail service

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor revisions for clarification

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Gavin McCarty, Director of Printing and Postal Services
Sam Smith, Director Student Services/Student Center
Dr. Adam Peck, Acting Vice President for University Affairs
Damon Derrick, General Counsel

Mail Services

Original Implementation: September 1, 1965

Last Revision: ~~January 26, 2016~~ January 29, 2019

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

The Stephen F. Austin State University Post Office is considered the official receiving point for all mail *and packages not requiring SFA inventory tags on behalf of* ~~for~~ university offices, departments, residence halls and apartments.

University departments and administrative offices will use the SFA Post Office for all postal transactions. Departments will not be permitted to purchase or retain stamps without written permission from the university president. A copy of the written permission will be filed in the SFA Post Office.

All SFA mail is considered delivered when the Nacogdoches Post Office delivers it to the SFA Post Office.

SFA Post Office staff will attempt to deliver incorrectly addressed mail according to USPS requirements. Business mail addressed only to the university will be sent to the Business Office for proper routing.

Post Office box numbers must be used on all correspondence.

All outgoing mail requiring metered postage, or mailed under SFA permit, must be for official university business and have a complete return address with "Stephen F. Austin State University" and the department of origin used within the address. A completed postage IDT card must be attached to the mail to ensure proper accounting of postal charges. Mail (other than bulk rate) must be received in the post office by 4:00 p.m. for dispatch the same day.

Campus mail is defined as mail related to official university business and is delivered to campus boxes without postage. Mail addressed to USPS boxes 4600-4659 and all personal mail requires postage.

All campus mail should be enclosed in a campus mail envelope. If other envelopes are used, they must be marked "Campus Mail" and have a complete return address including the department of origin and the box number. ~~Campus mail in plain envelopes without a return address will be delivered postage due.~~

All residents of university-owned housing are required to have a SFA Post Office box and notify correspondents of the box number.

Retired faculty or staff members are permitted to retain a box at their own expense on a space-available basis.

It is the responsibility of each department to distribute, forward or return mail addressed to personnel within the department.

~~SFA Post Office observes the same holidays as the U.S. Post Office. Morning mail will be boxed on holidays not observed by the university but sales windows will be closed. SFA Post Office will remain open on U.S. Post Office holidays not observed by the university, unless notification is made in advance, but mail will not be delivered or picked up on that day. Instead it will be delivered or postmarked on the first normal day of business following the holiday.~~

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Manager of University Post Office

Forms: Postage IDT Card (available in the SFA Post Office)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Meeting and Conducting Classes

Policy Number: 7.18

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

Date of last revision, if applicable: 11/2/2015

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

Purpose of Policy (what does it do): To ensure that faculty members will meet their assigned classes at the officially scheduled times and places.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Meeting and Conducting Classes

Original Implementation: June 16, 1982

Last Revision: ~~November 2, 2015~~ January 29, 2019

Faculty members will meet their assigned classes at the officially scheduled times and places. When a faculty member cannot meet an assigned class, the faculty member will notify the academic unit head prior to the scheduled class meeting, or as soon as possible after the start time of the class, so that a timely announcement can be made to the students. Courses will be conducted in accordance with the descriptions contained in the university's General Bulletin and Graduate Bulletin.

Exceptions to the above may be made with appropriate academic unit head approval.

Cross Reference: General Bulletin, Graduate Bulletin, Faculty Handbook

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Payments to Human Research Subjects

Policy Number: 8.8

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

Date of last revision, if applicable: 7/28/2015

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

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

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Document retention requirements changed to be consistent with federal guidelines. Revisions include other basic edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Payments to Human Research Subjects

Original Implementation: July 21, 2009

Last Revision: ~~July 28, 2015~~ January 29, 2019

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

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

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

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

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

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

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

Documentation – Principal investigators are required to maintain a tracking list or spreadsheet with individual code numbers and payments of any value. *Once compensation exceeds a total of \$100 in a calendar year* ~~If compensation is by gift or gift card,~~ the principal investigator must record the individual's name, social security number, address, and signature at the time of

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Director of the~~ *Dean of the* ~~Office of~~ Research and Graduate

Studies ~~Sponsored Programs~~

Forms: SFA business office and Institutional Review Board forms

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Return to Work

Policy Number: 11.24

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): The policy outlines the guidelines for the return to work program.

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

☒ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Formatting and minor word changes only.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources

Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

Return to Work

Original Implementation: January 28, 1997

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

It is the policy of Stephen F. Austin State University to provide a return to work program as the means to return employees to meaningful, productive employment following injury or illness. To provide the highest level of quality service to the citizens of Texas, the necessity exists for every employee of the university to be available for work, ready, and capable of performing the duties and responsibilities for which the employee was hired.

Definitions

General

~~It is the policy of Stephen F. Austin State University to provide a return to work program as the means to return employees to meaningful, productive employment following injury or illness. To provide the highest level of quality service to the citizens of Texas, the necessity exists for every employee of the university to be available for work, ready, and capable of performing the duties and responsibilities for which the employee was hired.~~

The return to work program may provide opportunities for any employee of Stephen F. Austin State University who sustains a compensable injury during the course and scope of employment, a disability as defined by the Americans with Disabilities Act Amendments Act of 2008, and/or a serious health condition as defined by the Family and Medical Leave Act, to return to work at full duty. If the employee is not physically capable of returning to full duty, the university may provide opportunities, when available, for the employee to perform a temporary assignment in which the employee's regular position is modified to accommodate the employee's physical capacities, or to perform duty at an alternate position.

Each case will be evaluated on an individual basis according to the limitations of each employee as documented by a physician and the job responsibilities of the position. In the event of a worker's compensation injury or illness, the physician's *restrictions must be* documented ~~ation must be~~ and submitted on the Worker's Compensation Work Status Report DWC-0073, including a thorough assessment of the employee's specifications considering their official job description. A copy of the job description will be provided to the physician and can be obtained from the director of human resources, if requested. Failure to provide the appropriate documentation for light or medium duty return to work conditions may be grounds, among others, for denial of light or medium duty assignments. Light duty, if offered, is limited to a specific time frame and may not exceed 12 weeks before being upgraded to medium work, then on to regular work. All modified duty or restrictions to the employee's normal job duties as described on the official job

description must be approved and accompanied by an Offer of Employment. The Offer of Employment is prepared by the safety officer and presented to the employee by the supervisor or department head. The university will request a release from the employee for direct communication with the physician regarding those matters that directly relate to return to work assessments. The university reserves the right to properly assess and verify the employee's physical capabilities as they relate to the job.

This return to work program shall not be construed as recognition by Stephen F. Austin State University, its management, or its employees that any employee who participates in the program has a disability as defined by the Americans with Disabilities Act Amendments Act (ADAAA) of 2008. If an employee sustains an illness or injury that results in a disability under the ADAAA, it is the employee's responsibility to inform the supervisor or a person in a responsible management position that a disability under the ADAAA exists and that a reasonable accommodation will be necessary to perform the essential functions of the position held. Once the employee has informed the supervisor, the human resources director must then be informed. ~~Confirmation of the disability by a licensed physician or other appropriate medical provider as determined by the university is required. Such documentation may be assessed or verified by the university.~~ Reasonable accommodations may be granted in conjunction with the physician's assessment of the employee's capabilities as it relates to the job and the needs of the university and as described in the Reasonable Workplace Accommodation for Disabilities policy (11.22).

As each situation arises, the case will be evaluated independently by the supervisor, head of department, safety officer, director of human resources, the physician, and other administrators as necessary. Timely contact of individuals cited in their respective areas of responsibility is required to provide the employee with prompt care and justifiable accommodations. ~~If possible, a modified offer of employment will be proposed. The Offer of Employment form is to be used for this purpose.~~ *Human resources conveys the conditions and requirements of accommodations granted to the employee.*

Cross Reference: Family and Medical Leave (12.9); Workers Compensation Coverage (12.23); Reasonable Workplace Accommodation for Disabilities (11.22); Americans with Disabilities Act of 1990, 42 U.S.C. § 12101, as amended by the Americans with Disabilities Act Amendments Act of 2008, Pub. L. No. 110-325, 122 Stat. 3553; Family and Medical Leave Act of 1993, 29 U.S.C. §§ 2601-2654

Responsible for Implementation: Vice President for Finance and Administration

Contact For Revision: Environmental Health, Safety, and Risk Management Department and Human Resources

Forms: Worker's Compensation Work Status Report ~~DWC-73~~ ~~DWC-073~~, Offer of Employment (available in: Environmental Health, Safety, and Risk Management Department)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Satisfactory Academic Progress for Financial aid Recipients

Policy Number: 6.16

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

Date of last revision, if applicable: 7/28/2018

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

Purpose of Policy (what does it do): Federal regulations mandate minimum standards of satisfactory progress for students receiving financial assistance.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Basic edits for clarification purposes

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Satisfactory Academic Progress for Financial Aid Recipients

Original Implementation: September, 1985

Last Revision: ~~July 28, 2015~~ January 29, 2019

Federal regulations mandate minimum standards of satisfactory progress for students receiving financial assistance. Satisfactory academic progress (SAP) is the term used to denote a student's successful completion of coursework toward a certificate or degree. These standards apply to the student's entire academic history, whether financial aid was received or not, and to all types of aid: grants, loans, and work-study. The standards for determining progress for continued financial aid at the university are composed of three separate measurements: grade point average (GPA), pace of completion, and maximum hours allowed for a degree level. All students must be enrolled in a degree or certificate program *to be eligible to receive state or federal financial aid*.

Satisfactory academic progress will be evaluated after each fall, spring and summer terms. Although summer terms include Maymester, Summer I and Summer II, the summer SAP evaluation will only occur at the end of Summer II. Students who fall behind in their coursework or fail to achieve minimum standards for grade point average and completion of classes may lose their eligibility for all types of federal, state and university aid. Students will be notified of their financial aid eligibility via university email. Students can find their SAP status within the financial aid menu on the university student portal.

Students who are admitted to Stephen F. Austin State University (SFA) as non-degree, provisional, transient, career interest or self-improvement, course audit, or concurrent enrollment shall NOT be eligible to receive *state or federal* financial aid. When the student is admitted to a degree program or special student status has changed, a student may then be considered for financial assistance. The U.S. Department of Education does not recognize academic fresh start and requires an institution to count courses applicable to a student's major (regardless of whether or not financial aid was received) in evaluating a student's SAP.

Financial aid probation/suspension is different from academic probation/suspension. Students on academic suspension who are allowed by their academic dean to attend may receive financial aid only if they meet the financial aid satisfactory academic requirements.

SAP standards apply to all federal, state, and institutional financial assistance programs with exceptions as defined by applicable law.

GRADE POINT AVERAGE (GPA)

For financial aid purposes, an undergraduate student must maintain a cumulative GPA of 2.0,

and graduate or doctoral students must maintain a cumulative GPA of 3.0. Grade point averages are verified at the end of each semester.

PACE OF COMPLETION

For financial aid purposes, students must complete 67% of the cumulative hours attempted at SFA, including accepted transferred hours. Pace of completion is measured at the end of each semester.

Grades of A, B, C, D, RA, RB, RC, RP or P denote satisfactorily completed credit hours. Repeated and remedial courses are counted in the calculation of pace of completion. Grades of F, W, WH, WF, WP, RD, RF, RWH, RWP, RWF, RW, or QF are not satisfactory.

MAXIMUM HOURS ALLOWED FOR DEGREE OR CERTIFICATE

For financial aid purposes, the maximum number of hours allowed is one-and-a-half times the minimum program length for all degree programs and allowable certificate programs. A student's entire academic record is used in calculating maximum hours allowed. Maximum hours allowed are verified at the end of each semester and students exceeding the allowable number of hours will be denied further financial aid and will not be eligible for a warning period.

WARNINGS

Students will be given a warning semester when the required GPA or pace of completion is not met. At the end of the warning semester, students not in compliance are not eligible for financial aid. Students who have reached the maximum hours allowed are not eligible for a warning semester.

APPEALS

Students who are not making satisfactory academic progress and have had a warning semester may file an appeal with the financial aid office within thirty (30) days after the first class day of the semester. Appeals should state why the student failed to meet satisfactory academic progress and what has changed that would allow the student to fulfill the requirements at the end of the next semester.

Appeals will only be accepted in the case of extenuating circumstances, such as death in the family, illness or injury to the student or immediate family member, or mitigating circumstances beyond the student's control. Appeals based solely on financial and/or emotional needs without sufficient explanation or documentation will not be ~~accepted~~ *approved*. Appeals must include documentation to support extenuating circumstances. All decisions on appeals are final. Students will be notified of the disposition of their appeal in writing. A student who filed a financial aid

appeal must be prepared to pay registration costs regardless of any pending appeal status. If an appeal is granted, *and the student can regain eligibility in one semester*, the student is placed on financial aid probation. A student who is placed on financial aid probation may receive financial aid for one subsequent semester. If an appeal is denied or is not submitted the student must meet the minimum SAP standards at the end of the next evaluation period in order to regain financial aid eligibility.

ACADEMIC PLAN

Students may be given an academic plan if they cannot meet the minimum SAP requirements at the end of the next evaluation period. The plan will specify the number of hours that must be completed and/or the grade point average that will be necessary to bring the record back into compliance. Failure to meet the standards established in the academic plan will result in the loss of future financial aid eligibility.

DEFINITIONS

Audited Courses

Students may audit regular academic courses; however, these courses are not eligible for financial aid. Audited courses will not impact a student's SAP eligibility.

Change of Major

Students are allowed to make changes in their course of study and major for purposes of this policy; however, all changes will count in a student's SAP calculation. Change of major can result in a possible overage of attempted credit hours which would impact the maximum time frame component.

Conflicting Information

All conflicting information is reviewed for SAP monitoring. For example, late posted grades or grade changes will not automatically change current status. Students may request that the SAP status be recalculated after they have confirmed with the registrar that the grade change has been posted to their academic record.

Evaluation

Loss of Title IV eligibility occurs immediately if SAP is not met. If the student's appeal is successful, the student is placed on financial aid probation and Title IV funds are disbursed for the next payment period only. The student must meet SAP at the end of each fall, spring or summer

term or comply with the requirements of the academic plan designed to ensure the student will make SAP by a specified point in time.

Incompletes

Incompletes (grade of WH) do not affect a student's cumulative GPA for SAP, but count as credit hours attempted toward both pace and maximum time frame. Students with a grade of incomplete are encouraged to contact the financial aid office for further evaluation.

Pass/Fail Courses

In some classes students receive a grade of either pass or fail. A passing grade will be included in the student's pace of completion and maximum time frame calculations. A grade of F will be included in the student's GPA, pace of completion and maximum time frame calculations.

Financial Aid Probation

If an appeal is granted, the student is placed on financial aid probation. A student who is placed on financial aid probation may receive financial aid for one semester. At the conclusion of the financial aid probation period, the student must meet the SAP standards or will no longer be eligible for financial aid.

Developmental Courses

Students are eligible to receive financial aid for developmental courses. These courses are counted in the calculation of both attempted and earned hours for determining satisfactory progress.

Repeated Coursework

Students are allowed to repeat a course and, if passed, have it count toward enrollment for financial aid eligibility once. Each course attempt will count toward a student's pace of completion and all prior attempts with lower grades will count as unsuccessful credit hours attempted.

Transfer Credits

Transfer credit grades will not count toward a student's cumulative GPA; however, these will count as both attempted and earned hours toward both pace of completion and maximum time frame for SAP.

Withdrawals

Withdrawals do not affect a student's cumulative GPA for SAP, but count as credit hours attempted toward both pace of completion and maximum time frame. A withdrawal (grade of W) is different from a course which is dropped (no grade and no record of attempt). Students who withdraw prior to the first class date will not be penalized for SAP purposes. Should a student withdraw after the first class date, those hours will count towards a student's pace of completion and time frame calculation.

Financial Aid Warning

Students will be given a warning semester when the required GPA or pace of completion is not met. At the end of the warning semester, students not in compliance are not eligible for financial aid. Students who have reached the maximum hours allowed are not eligible for a warning semester.

Cross Reference: 20 U.S.C. 1091(a)(2), (c); 34 CFR 668.16(e), 668.32(f), 668.34; Military Service Activation (6.14)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Director of Financial Aid; Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Selection of President, General Counsel, Chief Audit Executive, and Coordinator of Board Affairs

Policy Number: 1.7

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

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do):

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: Duplicates material already contained in Board Rules and Regulations.

Additional Comments:

Reviewers:

Dr. Steve Westbrook, Acting President
Damon Derrick, General Counsel

**~~Selection of President, General Counsel, Chief Audit Executive, and
Coordinator of Board Affairs~~** (Policy to be Deleted)

~~Original Implementation:~~ April 26, 1975

~~Last Revision:~~ January 26, 2016

~~The Board of Regents selects the president, the general counsel, the chief audit executive, and the coordinator of board affairs annually when the budget is passed.~~

~~Cross Reference:~~ Board of Regents Rules and Regulations

~~Responsible for Implementation:~~ President

~~Contact for Revision:~~ President

~~Forms:~~ None

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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Medical Appeal

Policy Number: 6.24

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

Date of last revision, if applicable: NA

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

Purpose of Policy (what does it do): Provides a method for students to appeal a withdrawal based on a medical condition or related incident.

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

☐ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☒ Other, please explain: The verbiage outlining the procedure was located in the Add/Drop policy, which made it very difficult for students to locate. Additionally, the verbiage regarding a “medical withdrawal” was inaccurate.

Please complete the appropriate section:

Specific rationale for new policy: The new policy corrects the verbiage and makes the information more accessible.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Policy Committee

Steve Bullard, Provost and Vice President for Academic Affairs

Damon Derrick, General Counsel

Student Medical Appeal

Original Implementation: January 29, 2019

Last Revision: None

Approved medical appeals may be granted for medical conditions that prevent the student from completing the semester. Medical appeals are not intended to shield a student from unsatisfactory progress. Medical appeals will be considered by a committee comprised of the registrar and other appropriate university officials.

The following rules apply:

1. Medical withdrawal requests must be made to the Office of the Registrar within six months of the semester affected by the medical condition.
2. The medical condition must have occurred to the student.
3. Upon receipt of the completed medical appeal, the committee has 30 days to make a decision.

Specific procedures and the appeal form for making an appeal are located at the registrar's office.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Registrar/Controller

Forms: Request for Medical Withdrawal available in the registrar's office

Board Committee Assignment: Academic and Student Affairs Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Telecommuting

Policy Number: 11.27

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

Date of last revision, if applicable:

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

Purpose of Policy (what does it do): The policy outlines the guidelines for requesting and approving a telecommuting agreement.

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

☐ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☒ Other, please explain: Requested by management.

Please complete the appropriate section:

Specific rationale for new policy: To allow the option of telecommuting to be utilized by management when it is in the best interest of SFA.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources

Anthony Espinoza, Chief Information Officer, Information Technology Services

Damon Derrick, General Counsel

Telecommuting

Original Implementation: January 29, 2019

Last Revision: None

Purpose

The purpose of this policy is to establish guidelines for utilizing a telecommuting option for staff employees at Stephen F. Austin University (SFA) that optimizes costs, increases effectiveness and allows for efficient use of SFA resources and time.

Definitions

Telecommuting is an option for performing the employee's job duties and tasks at a remote work location rather than traveling to SFA facilities. The employee performs their job duties and interacts with other SFA employees using advance technology.

Remote workplace is a location other than SFA premises, where telecommuting employees utilize technology to perform their job duties and communicate with other employees.

General

Telecommuting is not an SFA job entitlement. It is an option that must be requested by an employee, reviewed and approved by the department head, human resources, vice president and the president. Employees must complete and submit a Telecommuting Request form and, if approved, a Telecommuting Agreement. The criteria used by the approvers to determine if the position is appropriate for telecommuting includes but is not limited to the following considerations:

1. The job duties of the position can be performed at a remote site without diminishing the quality of the work or disrupting the productivity of the department.
2. The confidentiality of information connected to the position and the ability to maintain confidentiality at a remote location will not be compromised.
3. A supervisor must have the ability to establish work expectations and a method to measure employee productivity.
4. A supervisor must establish the amount of time the employee is required to physically interact with other SFA staff.
5. A justification that provides a benefit to SFA, its customers, and other department employees.

The criteria used by approvers to evaluate an employee requesting consideration for a telecommuting option include but is not limited to whether the employee:

1. Consistently demonstrates satisfactory performance as noted on their last performance evaluation.
2. Demonstrates the ability to work with minimal supervision, ability to establish priorities and manage time effectively, and thorough knowledge of telecommuting work tasks.

3. Provides a remote workplace at which SFA equipment and work related materials will be safe and where required job duties can be performed.
4. Complies with the university's policy on Ethics (2.6).
5. The employee's supervisor must ensure that the appropriate type of secure equipment and software necessary to perform the job is used. When SFA equipment, software, and supplies are used, personal use is restricted. If the telecommuting employee will be working with or dealing with category 2 or higher data, the employee must utilize the SFA VPN to work with the data.

The following constraints apply to the employee's telecommuting work hours.

1. Telecommuting employees will work hours that comply with the work hours established by policy for all SFA employees as stated in Working Hours and Holidays policy (12.24). The employee's schedule must be approved by his or her supervisor and must meet the operational needs of SFA.
2. Telecommuting employees are not eligible to claim or earn state compensatory time unless it is approved by the president in compliance with Texas Government Code, 659.018b.

A telecommuting agreement can be terminated at any time at the discretion of the supervisor for unsatisfactory performance, failure to adhere to SFA policies and procedures, disciplinary action, when no longer beneficial to SFA, and any other relevant reason.

Cross Reference: Tex. Gov't Code §§ 658.010, 659.018b; Ethics (2.6); Overtime and Compensatory Time (12.14); Working Hours and Holidays (12.24); Acceptable Use of Information Resources (14.2).

Responsible for Implementation: Vice President of Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Request for Approval of Telecommuting form and Telecommuting Agreement form are available on the human resources website.

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Vacation Leave

Policy Number: 12.21

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): The policy outlines the guidelines for eligibility to accrue and use vacation leave.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Formatting and minor word changes only.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Vacation Leave

Original Implementation: Unpublished

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy establishes the eligibility to earn vacation leave, defines the rates of accrual, and describes related requirements.

Definitions

General

Employees of the university, other than faculty with appointments of less than twelve months, shall, without deduction in salary, be entitled to a vacation *leave* in each fiscal year. SFA Charter School teachers are excluded from this policy. Additionally, this policy will not apply if alternative leave benefits were negotiated in a contract agreement with an employee. Additionally, employees excluded from this policy include those who do not work at least 20 hours per week for a period of at least 4.5 months or employees in positions that require student status. An employee will earn vacation entitlement beginning on the first day of employment with the state and terminating on the last day. Vacation with pay may not be granted until the employee has had continuous employment with the state for six (6) months, although credit will be accrued during that period. Such entitlement shall be earned as listed below:

Employees with Total State Employment of:	Hours Accrued Per Month	Maximum Hours to Carry Forward from One Fiscal Year to Next Fiscal Year
0 but less than 2 years	8	180
2 but less than 5 years	9	244
5 but less than 10 years	10	268
10 but less than 15 years	11	292
15 but less than 20 years	13	340
20 but less than 25 years	15	388
25 but less than 30 years	17	436
30 but less than 35 years	19	484
35 and over years	21	532

Vacation credit for the higher rate of accrual as shown on the chart above shall be given on the first calendar day of the month if the employee's anniversary date falls on the first calendar day of the

month; otherwise, the increase will occur on the first calendar day of the following month.

Part-time employees are also eligible for annual leave, but their accrual rate and maximum annual leave carryover amounts are proportionate to the number of hours they work. For example, half-time employees earn and carry over annual leave at one-half the rate authorized for full-time employees.

The annual leave hours in excess of the maximum allowable carryover left at the end of a fiscal year shall be credited to the employee's sick leave balance. If the employee is on any type of –paid leave that extends into the following month, the accrual will not be posted until the employee returns to duty. An employee forfeits this accrual if he or she fails to return to duty.

~~Time during which any employee is excused from work because of holidays shall not be vacation.~~

If a state employee transfers directly from one state agency to another, they shall be entitled to credit with the newly employing agency for accumulated but unused vacation entitlement, provided that employment with the state is uninterrupted. A state employee who resigns, is dismissed, or departed from state employment shall be entitled to be paid for all vacation time duly accrued at the time of separation from state employment, provided the employee has had continuous employment with the state for six (6) months.

Vacation leave for non-faculty employees must be approved in advance by the appropriate supervisor. Non-faculty employees must request vacation using either a Request for Vacation, Compensatory Time, Sick Leave Taken form, the system leave request form (electronically), or document the leave in a manner established and documented by the department head. Every effort should be made to accommodate the vacation requests, but supervisors may request that such leave be taken during periods other than departmental peak work periods.

Cross Reference: Tex. Gov't Code §§ 661.152-.153

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: *Vacation/Comp Time/Sick Leave Request form* ~~for Vacation, Compensatory Time, Sick Leave Taken form (available from Human Resources)~~

Board Committee Assignment: Finance and Audit

Deliberations Regarding Security Devices or Security Audits

- Report from chief information officer
- Safety and Security Audit
- Information Technology Patching, Anti-virus and Vulnerability Management Audit

Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to:

- Reported Complaints
- EEOC Charges
- Pamela Claquain v. SFASU
- Geralyn Franklin v. SFASU

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
- President

The Pledges to the Flags will be led by ROTC Cadet Jareck White.

Cadet Jareck White is from The Colony, Texas and enlisted in the Texas Army National Guard as a Healthcare Specialist, in March 2015. Upon completion of training, he was assigned to 949th Brigade Support Battalion, 56th Brigade Combat Team, 36th Infantry Division, reaching the rank of specialist before becoming a cadet. In fall of 2017, Cadet White began studying at Stephen F. Austin State University as a ROTC Scholarship recipient. In spring 2018, Cadet White was admitted into Stephen F. Austin's Master of Public Administration program early under the Overlap Program.

During his time at SFASU, Cadet White has attended Advance Leadership Camp at Fort Knox, Kentucky, Cadet Troop Leader Training in Vilsek, Germany, and participated in numerous training events offered in the SFA ROTC Program. During his studies, Cadet White has continued his service with the Texas Army National Guard. Jareck is on track to graduate and commission as a Second Lieutenant Army Officer in May 2019.

Upon commissioning, Cadet White will attend Medical Service Basic Officer Leader Course at Fort Sam Houston, TX, and Master Fitness Trainer Course at Fort Hood, TX. Jareck will also continue his Graduate Studies at SFA in preparation for a career in Law Enforcement.

Cadet White currently resides in Nacogdoches, TX. He is married to the former Briana Leavon Bradford, who is a recent graduate of SFA and current SFA graduate student. Mrs. White also hails from The Colony, TX and plans to start a career as a tax accountant.

Special Recognitions
January 29, 2019

Freshman Leadership Academy

Student Financial Advisors

Regents Professor

ROTC

Lumberjack Marching Band

Outgoing Regents

APPROVAL OF MINUTES OF OCTOBER 28 AND 29, 2018 (318);
OCTOBER 30, 2018 (319); AND DECEMBER 14, 2018 (320), BOARD OF
REGENTS MEETING

Explanation:

The minutes of the October 28 and 29, 2018 regular meeting of the Board of Regents (Meeting 318); October 30, 2018, telephone meeting (Meeting 319); December 14, 2018, special called meeting (Meeting 320); and January 16, 2019, telephone meeting (Meeting 321) are included in this report.

Recommendation:

It is recommended by the administration that the minutes of the October 28 and 29, 2018 (318); October 30, 2018 (319); December 14, 2018 (320); and January 16, 2019 (321) meetings be approved.

**Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
October 28 and 29, 2018
Austin Building 307
Meeting 318**

Sunday, October 28, 2018

The regular meeting of the Board of Regents was called to order in open session at 8:02 a.m. on Sunday, October 28, 2018, by Chair Brigittee Henderson.

PRESENT:

Board Members: Mrs. Brigittee Henderson, Chair
 Mr. David Alders
 Mrs. Nelda Blair
 Dr. Scott Coleman
 Mr. Alton Frailey
 Mrs. Karen Gantt
 Mr. Bob Garrett
 Mr. Tom Mason
 Mr. Ken Schaefer
 Ms. Kate Childress, student member

President: Dr. Baker Pattillo

Vice-Presidents: Dr. Steve Bullard
 Dr. Danny Gallant
 Ms. Jill Still
 Dr. Steve Westbrook

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

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

Deliberations Regarding Security Devices or Security Audits (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)

- Possible real estate purchase

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

- Possible naming opportunities
- Acceptance of possible gifts to the university

Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the chief of police, the assistant chief of police, the head football coach, the vice presidents, and the president (Texas Government Code, Section 551.074)

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, board governance, *USOR Site PRP Group v. Railroad Commission of Texas, et al*, *Geralyn Franklin v. SFASU*, and *Pamela Clasquin v. SFASU* (Texas Government Code, Section 551.071)

The executive session ended at 10:40 a.m. The Board of Regents meeting returned to open session at 10:57 a.m. and recessed to committee meetings.

The Finance and Audit Committee met from 10:57 a.m. to 12:24 p.m. The Building and Grounds Committee met from 12:58 p.m. to 6:09 p.m.

The Board of Regents meeting returned to open session and recessed for the evening at 6:10 p.m.

Monday, October 29, 2018

The continued meeting of the Board of Regents was called to order in open session at 8:04 a.m. on by Chair Brigettee Henderson.

PRESENT:

Board Members: Mrs. Brigettee Henderson, Chair
 Mr. David Alders
 Mrs. Nelda Blair
 Dr. Scott Coleman
 Mr. Alton Frailey
 Mrs. Karen Gantt
 Mr. Bob Garrett
 Mr. Tom Mason
 Mr. Ken Schaefer
 Ms. Kate Childress, student member

Vice-Presidents: Dr. Steve Bullard
 Dr. Danny Gallant
 Ms. Jill Still
 Dr. Steve Westbrook

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

The president was unable to be present.

The Board of Regents meeting recessed to committee meetings.

The Finance and Audit Committee met from 8:05 a.m. to 9:38 a.m. The Building and Grounds convened at 9:38 a.m. and adjourned at 10:22 a.m. The Academic and Student Affairs Committee convened at 10:45 a.m. and adjourned at 12:15 p.m.

The Board of Regents meeting reconvened and recessed for lunch at 12:15 p.m. The meeting reconvened in open session at 2:00 p.m. All board members were present; the university president was unable to be present because of illness.

ROTC Cadet Alex Medina led the pledges to the flags and Regent Blair led the invocation.

RECOGNITIONS

Dr. Bullard introduced the winner of the World History Association's Pioneers in World History Award, Dr. Linda Black. The Society of American Quiz Bowl Champions from the Temple College of Forestry and Agriculture, and their advisor Dr. Rebecca Kidd, were recognized; and then Dr. Bullard introduced Dr. David Kulhavy, who will be honored with the William T. Hornaday Gold Medal Award for lifetime achievement in conservation from the Boy Scouts of America.

APPROVAL OF MINUTES

BOARD ORDER 19-01

Upon motion by Regent Garrett, seconded by Regent Coleman, with all members voting aye, it was ordered that the minutes of the July 22, 23 and 24, 2018, regular meeting of the Board of Regents be approved as presented.

PERSONNEL

BOARD ORDER 19-02

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

FACULTY APPOINTMENTS

COLLEGE OF BUSINESS

Thomas Branton, J.D. (University of Mississippi School of Law), Assistant Professor of Accounting, at an academic year salary of \$135,000 for 100 percent time, effective September 1, 2018.

Antoine Busby, Ph.D. (University of Texas), Visiting Assistant Professor of Management and Marketing, at an academic year salary of \$93,000 for 100 percent time, effective September 1, 2018.

Rebecca Davis, Ph.D. (University of Tennessee), Assistant Professor of Economics and Finance, at an academic year salary of \$80,000 for 100 percent time, effective September 1, 2018.

William Kirkpatrick, Ph.D. (University of Georgia), Clinical Instructor of Management and Marketing, at an academic year salary of \$110,000 for 100 percent time, effective September 1, 2018.

Wenjing Li, Ph.D. (University of Kentucky), Assistant Professor of Management and Marketing, at an academic year salary of \$110,000 for 100 percent time, effective September 1, 2018.

Jose Vega, Ph. D. (University of Texas at San Antonio), Assistant Professor of Accounting, at an academic year salary of \$135,000 for 100 percent time, effective September 1, 2018.

COLLEGE OF EDUCATION

Mi Hae Bae, Ph.D. (University of Maryland), Assistant Professor of Kinesiology and Health Sciences, at an academic year salary of \$61,000 for 100 percent time, effective September 1, 2018.

Shannon Darst, Ph.D. (Texas Tech University), Assistant Professor of Human Services, at an academic year salary of \$60,000 for 100 percent time, effective September 1, 2018.

Summer Koltonski, Ph.D. (Stephen F. Austin State University), Assistant Professor of Human Services, at an academic year salary of \$58,000 for 100 percent time, effective September 1, 2018.

Mandy Seybold, M.S. (Stephen F. Austin State University), Lecturer of Human Services, at an academic year salary of \$46,000 for 100 percent time, effective September 1, 2018.

Mychelle Smith, Ph.D. (Texas A&M University), Assistant Professor of Secondary Education, at an academic year salary of \$57,000 for 100 percent time, effective September 1, 2018.

COLLEGE OF FINE ARTS

Rosemary Brownlow-Calkin, M.F.A. (University of California at Irvine), Visiting Professor of Theatre, at an academic year salary of \$50,000 for 100 percent time, effective September 1, 2018.

Pierre-Alain Chevalier, D.M.A. (University of Houston), Visiting Lecturer and Director of Orchestral Activities, at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2018.

Christopher Kaatz, Assistant Professor of Music and Assistant Director of Bands, M.M. (University of Missouri at Kansas City), at an academic year salary of \$50,000 for 100 percent time, effective September 1, 2018.

Nicholas Lambson, M.F.A. (San Francisco Conservatory of Music), Visiting Lecturer of Music, at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2018.

Margaret Leysath, Ed.D. (Lamar University), Visiting Assistant Professor of Art, at an academic year salary of \$47,000 for 100 percent time, effective September 1, 2018.

Jennifer Malmberg, M.A. (Stephen F. Austin State University), Lecturer of Theatre, at an academic year salary of \$46,000 for 100 percent time, effective September 1, 2018.

Jackie Rosenfield, M.F.A. (Texas Tech University), Lecturer of Theatre, at an academic year salary of \$40,750 for 100 percent time, effective September 1, 2018.

COLLEGE OF FORESTRY AND AGRICULTURE

Jason Paul, Ph.D. (Texas A&M University), Instructor of Forestry, at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2018.

COLLEGE OF LIBERAL AND APPLIED ARTS

Phillip Anderson, Degree (University), Instructor of Mass Communications, at an academic year salary of \$49,228 for 100 percent time, effective September 1, 2018.

Megan Fleming, M.A. (University of Texas), Lecturer of Government, at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2018.

Jennifer McLaughlin, M.A. (Stephen F. Austin State University), Visiting Lecturer of English and Creative Writing, at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2018.

Yiran Wang, Ph.D. (Washington State University), Assistant Professor of Mass Communications, at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2018.

COLLEGE OF SCIENCES AND MATHEMATICS

William Bradford, M.S. (Stephen F. Austin State University), Lecturer of Mathematics and Statistics, at an academic year salary of \$45,000 for 100 percent time, effective September 1, 2018.

Brooke Busbee, M.S. (Stephen F. Austin State University), Lecturer of Mathematics and Statistics, at an academic year salary of \$45,000 for 100 percent time, effective September 1, 2018.

Ray Kamps, Ph.D. (Texas A&M University), Visiting Assistant Professor of Biology, at an academic year salary of \$48,500 for 100 percent time, effective September 1, 2018.

Kelley McDonald, B.S.N. (Baylor University), Clinical Instructor of Nursing, at an academic year salary of \$45,000 for 100 percent time, effective September 1, 2018.

Vanessa Pacheco, M.S.N. (University of Texas at El Paso), Clinical Instructor of Nursing, at an academic year salary of \$54,500 for 100 percent time, effective September 1, 2018.

Marissa Rotenberry, M.S.N. (Stephen F. Austin State University), Visiting Lecturer of Mathematics and Statistics, at a four-month salary of \$22,500 for 100 percent time, effective September 1, 2018.

LIBRARY

Edward Kownslar, M.L.S. (University of North Texas) Librarian III, at an annual salary of \$66,000 for 100 percent time, effective August 13, 2018.

STAFF APPOINTMENTS

ACADEMIC AFFAIRS

Stephanie Weatherford, Academic Assistance Resource Center Program Director, at an annual salary of \$46,800 for 100 percent time, effective August 6, 2018.

ATHLETICS

Alisa Blair, Assistant Volleyball Coach, at an annual salary of \$33,000 for 100 percent time, effective July 23, 2018.

Cody Dukquits, Conditioning Professional Specialist, at an annual salary of \$36,000 for 100 percent time, effective September 3, 2018.

Ryan Friedline, Athletic Marketing Coordinator, at an annual salary of \$38,321 for 100 percent time, effective July 9, 2018.

Hadrien Choukroun, Assistant Track Coach, at an annual salary of \$52,000 for 100 percent time, effective September 12, 2018.

Hunter Key, Assistant Track Coach, at an annual salary of \$29,144 for 100 percent time, effective August 13, 2018.

Erin Scott, Tennis Head Coach, at an annual salary of \$47,000 for 100 percent time, effective July 23, 2018.

CAMPUS RECREATION

William Boucher, Campus Recreation Coordinator For Fitness and Wellness, at an annual salary of \$37,000 for 100 percent time, effective July 9, 2018.

Center for Career and Professional Development

Tierney White, Career Coordinator, at an annual salary of \$35,000 for 100 percent time, effective September 1, 2018.

CHARTER SCHOOL

Juliana Akerson, Teacher, at a 10-month salary of \$52,900 for 100 percent time, effective September 1, 2018.

Madison Taylor, Teacher, at a 10-month salary of \$39,600 for 100 percent time, effective September 1, 2018.

Brooke Taylor-Johnson, Teacher, at a 10-month salary of \$39,600 for 100 percent time, effective September 1, 2018.

Jacklyn Hamilton, Substitute Teacher, at a 10-month salary of \$39,600 for 100 percent time, effective September 1, 2018.

COLLEGE OF FINE ARTS

Thomas Nixon, Accompanist, at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2018.

COLLEGE OF FORESTRY AND AGRICULTURE

Sabrina Thomas, Lab Associate in Agriculture, at an annual salary of \$46,800 for 100 percent time, effective July 30, 2018.

COLLEGE OF SCIENCES AND MATHEMATICS

Adrienne Bay, STEM Programs Coordinator, at an annual salary of \$54,000 for 100 percent time, effective August 6, 2018.

RESIDENCE LIFE

Jamyia Barrett, Hall Director, at an annual salary of \$30,330 for 100 percent time, effective September 17, 2018.

Jonathan Boulanger, Hall Director, at an annual salary of \$30,330 for 100 percent time, effective August 9, 2018.

Jamil Frech, Hall Director, at an annual salary of \$30,330 for 100 percent time, effective September 10, 2018.

Lori Havard, Area Coordinator, at an annual salary of \$37,000 for 100 percent time, effective September 3, 2018.

Natalie Roberts, Hall Director, at an annual salary of \$30,330 for 100 percent time, effective July 9, 2018.

STUDENT AFFAIRS

Jalon Berry, Assistant Director of Student Affairs Programs for Multicultural Affairs, at an annual salary of \$43,000 for 100 percent time, effective October 1, 2018.

April Chaney, Compliance Specialist for Title IX Investigations, at an annual salary of \$50,000 for 100 percent time, effective September 17, 2018.

MacKenzie Enderwitz, Counselor Intern, at an annual salary of \$41,000 for 100 percent time, effective September 17, 2018.

Clare Fite, Counselor Intern, at an annual salary of \$41,000 for 100 percent time, effective September 12, 2018.

Julia Denhollem, Student Engagement Coordinator for Greek Life, at an annual salary of \$37,000 for 100 percent time, effective August 20, 2018.

Rhylie Gachot, Assistant Director of Student Affairs for Orientation, at an annual salary of \$40,000 for 100 percent time, effective August 20, 2018.

CHANGES OF STATUS

ACADEMIC AFFAIRS

Mary Smith, from Assistant Director of Instructional Technology, at an annual salary of \$74,910 for 100 percent time, to Interim Director of Instructional Technology, at an annual salary of \$74,910 for 100 percent time with an additional stipend of \$750 per month for 12 months for interim duties, effective September 1, 2018.

ALUMNI RELATIONS

Samantha Mora, from Director of Events and Engagement, at an annual salary of \$44,655 for 100 percent time, to Director of Events and Engagements with a change in job assignment at an annual salary of \$49,500 for 100 percent time, effective September 1, 2018.

ATHLETICS

Jeffrey Byrd, from Assistant Head Football Coach at an annual salary of \$95,000 for 100 percent time, to Interim Head Football Coach at an annual salary of \$95,000 for 100 percent time, with an additional stipend of \$8,000 per month for three months for interim duties, effective September 1, 2018.

Michael Courtney, from Assistant Track Coach at an annual salary of \$32,518 for 100 percent time, to Assistant Track Coach with a change in job assignment at an annual salary of \$52,450 for 100 percent time, effective September 1, 2018.

Jeremy Cox, from Assistant Head Basketball Coach at an annual salary of \$102,249 for 100 percent time, to Assistant Head Basketball Coach with a change in job assignment at an annual salary of \$120,000 for 100 percent time, effective September 1, 2018.

COLLEGE OF BUSINESS

Nicole Brantley, from Visiting Lecturer at an academic year salary of \$50,000 for 100 percent time, to Lecturer of Accounting at an academic year salary of \$50,000 for 100 percent time, effective September 1, 2018.

Laurie Rogers, from Visiting Lecturer of Business Communication and Legal Studies at an academic year salary of \$40,000 for 100 percent time, to Lecturer of Business Communication and Legal Studies at an academic year salary of \$47,000 for 100 percent time, effective September 1, 2018.

COLLEGE OF EDUCATION

Brandon Fox, from Associate Professor of Elementary Education at an academic year salary of \$64,958 for 100 percent time, to Associate Professor and Interim Assistant Chair of Elementary Education at an academic year salary of \$64,958 for 100 percent time with an additional stipend of \$3,332 per month for two months for interim duties, effective July 1, 2018.

Gloria Gresham, from Professor of Secondary Education and Educational Leadership at an annual salary of \$98,159 for 100 percent time, to Professor and Interim Assistant Chair of Secondary Education and Educational Leadership, at an annual salary of \$98,159 for 100 percent time with an additional stipend of \$1,820 per month for two months for interim duties, effective July 23, 2018.

Gloria Gresham, from Professor of Secondary Education and Educational Leadership at an annual salary of \$102,085 for 100 percent time, to Professor and Interim Assistant Chair of Secondary Education and Educational Leadership, at an annual salary of \$102,085 for 100 percent time with an additional stipend of \$1,493 for 12 months for interim duties, effective September 1, 2018.

Cyndra Krogen-Morton, from Specialist in Title IX at an annual salary of \$50,000 for 100 percent time, to Visiting Lecturer of Kinesiology and Health Science at an academic year salary of \$51,000 for 100 percent time, effective September 1, 2018.

Matthew McBroom, from Associate Dean of Forestry at an annual salary of \$119,102 for 100 percent time, to Associate Dean of Forestry and Interim Chair of English and Creative Writing at an annual salary of \$119,201 for 100 percent time with an additional stipend of \$1,000 for one month for interim duties, effective August 1, 2018.

Matthew McBroom, from Associate Dean of Forestry at an annual salary of \$119,102 for 100 percent time, to Associate Dean of Forestry and Interim Chair of English and Creative Writing at an annual salary of \$119,201 for 100 percent time with an additional stipend of \$1,000 for 12 months for interim duties, effective September 1, 2018.

Sharon Rice, from Visiting Faculty in Kinesiology and Health Science at an academic year salary of \$50,000 for 100 percent time, to Instructor of Kinesiology and Health Science at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2018.

Amber Wagon, from Lecturer of English and Creative Writing at an academic year salary of \$40,000 for 100 percent time, to Associate Professor of Secondary Education and Educational Leadership at an academic year salary of \$57,000 for 100 percent time, effective September 1, 2018.

COLLEGE OF FINE ARTS

Alexander Amato, from Lecturer of Music at an academic year salary of \$40,473 for 100 percent time, to Assistant Professor of Music at an academic year salary of \$50,000 for 100 percent time, effective September 1, 2018.

Tamey Angley, from Assistant Professor of Music at an academic year salary of \$51,419 for 100 percent time, to Professor of Music at an academic year salary of \$63,000 for 100 percent time, effective September 1, 2018.

David Campo, from Associate Professor of Music at an academic year salary of \$68,329 for 100 percent time, to Professor of Music and Director of Bands at an academic year salary of \$80,000 for 100 percent time, effective September 1, 2018.

Lee Goodhew, from Visiting Assistant Professor of Music at an academic year salary of \$54,000 for 100 percent time, to Associate Professor of Music at an academic year salary of \$58,000 for 100 percent time, effective September 1, 2018.

Kirsten Nelson, from Assistant Professor of Music at an academic year salary of \$50,947 for 100 percent time, to Lecturer of Music at an academic year salary of \$52,221 for 100 percent time, effective September 1, 2018.

Kenneth Verdugo, from Visiting Assistant Professor of Theatre at an academic year salary of \$50,000 for 100 percent time, to Assistant Professor of Theatre at an academic year salary of \$51,735 for 100 percent time, effective September 1, 2018.

Eric Walker, from Technical Director of Theatre at an annual salary of \$51,000 for 100 percent time, to Technical Director of Theatre with reclassification to an exempt position at an annual salary of \$52,530 for 100 percent time, effective September 1, 2018.

COLLEGE OF FORESTRY AND AGRICULTURE

Sheryl Jerez, from Associate Professor of Forestry at an academic year salary of \$68,297 for 100 percent time, to Associate Professor and Interim Associate Dean at an academic year salary of \$68,297 with an additional stipend of \$1,000 per month for one month for interim duties, effective August 1, 2018.

Sheryl Jerez, from Associate Professor of Forestry at an academic year salary of \$70,988 for 100 percent time, to Associate Professor and Interim Associate Dean at an academic year salary of \$70,988 with an additional stipend of \$1,000 per month for nine months for interim duties, effective September 1, 2018.

COLLEGE OF LIBERAL AND APPLIED ARTS

Mark Barringer, from Professor and Chair of History at an annual salary of \$116,447 for 100 percent time, to Professor of History at an academic year salary of \$73,000 for 50 percent time and Director of Research at an annual salary of \$25,000 for 25 percent time, effective September 1, 2018.

Leslie Cecil, from Associate Professor and Chair of Anthropology, Geography and Sociology, at an 11-month salary of \$96,240 for 100 percent time, to Associate Professor of Anthropology, Geography and Sociology at an academic year salary of \$72,000 for 100 percent time, effective September 1, 2018.

Dana Cooper, from Professor of History and SFA 101 Coordinator at an academic year salary of \$78,025 for 100 percent time, to Professor of History at an academic year salary of \$63,370 for 100 percent time, effective August 18, 2018.

Aparecida Cordeiro Dutra, from Research Associate in the Heritage Research Center at an annual salary of \$42,815 for 100 percent time, to Lecturer of Languages, Culture and Communication at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2018.

Rhanda McGee, from Adjunct Faculty in English and Creative Writing at a five-month salary of \$11,000 for 100 percent time, to Lecturer of English and Creative Writing at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2018.

Kelsey Pelham, from Visiting Lecturer in Languages, Culture and Communication at an academic year salary of \$40,000 for 100 percent time, to Lecturer of Languages, Culture and Communication at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2018.

Mark Sanders, from Professor and Chair of English and Creative Writing at an annual salary of \$119,489 for 100 percent time, to Professor and Associate Dean of Liberal and Applied Arts at an annual salary of \$122,000 for 100 percent time, effective August 1, 2018.

Kristi Warren, from Adjunct Faculty in Psychology at a five-month salary of \$11,600 for 100 percent time, to Lecturer of Psychology at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2018.

Charles White, from Visiting Instructor of Psychology at an academic year salary of \$47,000 for 100 percent time, to Lecturer of Psychology at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2018.

COLLEGE OF SCIENCES AND MATHEMATICS

Erin Childress, Lab Coordinator in Biology at an 11-month salary of \$40,022 for 100 percent time, to Lecturer of Biology at an academic year salary of \$43,000 for 100 percent time, effective September 1, 2018.

Puntitra Glendowne, from Visiting Assistant Professor of Computer Science at an academic year salary of \$74,000 for 100 percent time, to Assistant Professor of Computer Science at an academic year salary of \$84,000 for 100 percent time, effective September 1, 2018.

Michele Harris, from Professor of Chemistry at an academic year salary of \$84,813 for 100 percent time, to Professor at an academic year salary of \$44,119 for 40 percent time and Associate Dean at an 11-month salary of \$63,727 for 60 percent time, effective September 1, 2018.

Cheryl Janusa, from Program Director of the Academic Assistance Resource Center at an annual salary of \$46,800 for 100 percent time, to Lecturer of Mathematics and Statistics at an academic year salary of \$45,000 for 100 percent time, effective September 1, 2018.

CONTROLLER'S OFFICE

Kallie Westmoreland, from Accounting Clerk III in STEM Center at an annual salary of \$36,500 for 100 percent time, to Accountant II at an annual salary of \$49,500 for 100 percent time, effective July 1, 2018.

HEALTH SERVICES

Janice Ledet, from Physician at an academic year salary of \$96,697 for 100 percent time, to Director of Health Services at an annual salary of \$150,000 for 100 percent time, effective September 1, 2018.

INFORMATION TECHNOLOGY SERVICES

Michael Carmical, from Programmer/Analyst I at an annual salary of \$38,892 for 100 percent time, to Programmer/Analyst I with reclassification to an exempt position at a salary of \$40,448 for 100 percent time, effective September 1, 2018.

Julian Fenison, from Programmer/Analyst I at an annual salary of \$38,892 for 100 percent time, to Programmer/Analyst I with reclassification to an exempt position at a salary of \$40,059 for 100 percent time, effective September 1, 2018.

Charles Fox, from Programmer/Analyst I at an annual salary of \$38,150 for 100 percent time, to Programmer/Analyst I with reclassification to an exempt position at a salary of \$40,058 for 100 percent time, effective September 1, 2018.

Sheldon Harrison, from Network Support Specialist II at an annual salary of \$51,687 for 100 percent time, to Network Support Specialist II with a change in job assignment at an annual salary of \$53,625 for 100 percent time, effective September 1, 2018.

David Justus, from Associate Director of Library Technology at an annual salary of \$87,651 for 100 percent time, to Compliance Coordinator at an annual salary of \$88,286 for 100 percent time, effective September 1, 2018.

Jon Laurent, from Technical Support Specialist I at an annual salary of \$37,691 for 100 percent time, to Security Specialist I at an annual salary of \$50,000 for 100 percent time, effective August 21, 2018.

Timothy Lewallen, Assistant Manager of Technical Support at an annual salary of \$52,257 for 100 percent time, to Assistant Director of Customer Service at an annual salary of \$72,000 for 100 percent time, effective August 13, 2018.

Kreg Mosier, Manager of Web Services at an annual salary of \$60,250 for 100 percent time, to Manager of Web Services with a change in job assignment at an annual salary of \$63,660 for 100 percent time, effective September 1, 2018.

Karrie Roberson, Database Administrator at an annual salary of \$53,000 for 100 percent time, to Database Administrator with a change in job assignment at an annual salary of \$55,120 for 100 percent time, effective September 1, 2018.

Jared Roten, from Director of Public Safety Technology at an annual salary of \$70,168 for 100 percent time, to Coordinator of Training at an annual salary of \$55,320 for 100 percent time, effective September 1, 2018.

Jennifer Stringfield, from Assessment Specialist at an annual salary of \$42,339 for 100 percent time, to Project Analyst at an annual salary of \$58,000 for 100 percent time, effective August 16, 2018.

RESIDENCE LIFE

LaShirine Howard, from Casual Employee at a 24-month salary of \$30,324 for 100 percent time, to Hall Director at an annual salary of \$30,330 for 100 percent time, effective August 16, 2018.

UNIVERSITY POLICE DEPARTMENT

Marcus Madden, from Lieutenant at an annual salary of \$58,837 for 100 percent time, to Interim Associate Director/Assistant Chief at an annual salary of \$58,837 with an additional stipend of \$1,000 per month for two months for interim duties, effective July 17, 2018.

RETIREMENTS

The following retirements were accepted:

Shelly Lackey, Director of Divisional Operations for University Affairs, effective August 31, 2018, with 35 years of service.

Sean Lonergan, Assistant Track Coach, effective August 31, 2018, with 10 years of service.

Phil Stetz, Professor of Management and Marketing, effective August 13, 2018, with 16 years of service.

Larry O'Neal, Associate Professor of Management and Marketing, effective August 31, 2018, with 30 years of service.

Treba Marsh, Professor of Accounting, effective August 31, 2018, with 22 years of service.

ACADEMIC AND STUDENT AFFAIRS

BOARD ORDER 09-02

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

CURRICULUM CHANGES FOR FALL 2018

WHEREAS, the board members considered the following: The following new Music Performance courses were inadvertently omitted from the curriculum appendix approved by the Board of Regents at the April 2018 Board of Regents meeting. They have already been approved by all appropriate levels through the level of the provost. They are designed to replace MUS 370, Diction for Singers, which is a four semester-hour sequence in Italian, English, French, and German diction (one semester hour per language). The School of Music prefers to have separate course numbers for each language because this creates a clearer and more compelling record of course content on students' transcripts.

MUP 371L	Italian Diction
MUP 372L	English Diction
MUP 373L	French Diction
MUP 374L	German Diction

The following new English and Interdisciplinary Studies courses were inadvertently omitted from the agenda of the October 2017 Board of Regents meeting. They have already been approved by all appropriate levels through the level of the provost. They are necessary to run the new Master of Arts in Publishing degree, which was approved by the Board of Regents at the October 2017 meeting.

ENG 571	History of Journal and Book Publishing
ENG 572	Digital Publishing
ENG 579	Academic and Scholarly Publishing
ENG 584	Development and Design of Publications
ENG 586	Manuscript Acquisition
IDS 570	Professional Internship

THEREFORE, it was ordered that the above listed undergraduate and graduate curriculum changes be made to be effective immediately.

BOARD ORDER 09-03

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

CURRICULUM CHANGES FOR FALL 2019

WHEREAS, the board members considered the following: Changes in curriculum originate in the departments based on changing demands of the discipline and student need. Per SFA policy 5.7,

Curriculum Review, Modifications, and Approvals, curriculum changes are reviewed by the appropriate department curriculum committee and department chair, the appropriate college curriculum committee(s) and appropriate dean, the university undergraduate or graduate curriculum committee, the Deans Council, and the provost and vice president for academic affairs. After approval by the Board of Regents, curriculum changes are submitted to the Texas Higher Education Coordinating Board and the Southern Association of Colleges and Schools Commission on Colleges as appropriate.

In accordance with policy, the following new courses/programs are proposed for board approval:

Graduate Certificate in Teaching Psychology (18 hours)

PSY 530, Advanced Human Sexuality (created for the Graduate Certificate in Psychology)

THEREFORE, it was ordered that the above listed graduate curriculum changes be made to be effective in fall 2019.

BOARD ORDER 09-04

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

CONSIDERATION OF REVISIONS TO BOARD RULES AND REGULATIONS

WHEREAS, the board members considered the following: The *Rules and Regulations of the Board of Regents* provide guidelines for the performance of duties which are delegated to the board by the Texas Legislature. Regular updates are necessary to reflect needed changes. Proposed changes were emailed to members of the board at least fifteen days before this October 29, 2018 meeting, as required for their consideration. The general counsel has reviewed the proposed updates shown in Appendix 1.

Section 6 has been updated to provide that the board chair will apprise all members of the board of their duties and responsibilities, including statutory obligations. Section 10 has been revised to conform with state law and university policy. Section 13 has been revised to permit all attorneys within the Office of the General Counsel to review and forward contracts for signature. Section 14 has been revised to align with the language in the audit charter. Sections 25 and 27 have been deleted because the board has approved a university policy stating the same. Section 26 has been added to mandate an annual evaluation of the board consistent with Southern Association of Colleges and Schools Commission on Colleges guidelines.

THEREFORE, it was ordered that the revisions to the *Rules and Regulations of the Board of Regents* as presented in Appendix 1 be adopted.

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 8:

Acceptable Use of Information Technology Resources 16.32 (New)
Appearances Before the Board of Regents 1.1 (To be deleted)
Assessment of Institutional Effectiveness 2.3
Authority for Official Statements 1.2 (To be deleted)
Authorization for the University President to Suspend Faculty and Staff 11.3
Cloud and Third Party Services 14.12 (To be deleted)
Computer and Network Security 14.2 (To be deleted)
Computer System Access 14.3 (To be deleted)
Computing Software Copyright 9.1 (To be deleted)
Dual Employment 11.7 (To be deleted)
Financial Aid Code of Conduct 4.7
Food Services 10.2 (To be deleted)
Information Security for Portable Devices 14.6 (To be deleted)
Kennedy Auditorium 16.14
Notary Public 2.8
Organized Work Stoppage 11.18
Outside Employment 11.19
Reduction in Force of Non-Academic Employees 11.23
Selection of Vice Presidents, Athletic Director and Head Coaches 1.8
Terminal Degrees 7.30
Ticket Office Services 16.29
U.S.A. Patriot Act 11.31 (To be deleted)
Use of Electronic Information Resources 16.32 (To be deleted)
Workplace Accommodations for Lactation and Breastfeeding 11.33

BUILDING AND GROUNDS

BOARD ORDER 09-05

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

PURCHASE OF PROPERTY AT 1521 BAKER STREET (Executive Session Item)

WHEREAS, the board members considered the following: In the past, the university has purchased Nacogdoches city property that is adjacent to or near university-owned property. An opportunity exists to purchase property located at 1521 Baker Street. Property located in this section of campus has been utilized to expand student parking. An appraisal was conducted, and the property was valued at \$98,900.

THEREFORE, the Board of Regents approved the property purchase at 1521 Baker Street at a purchase price of \$98,900 and the payment of all closing costs.

NAMING OF THE LOU ANN RICHARDSON CLASSROOM ON THE FIRST FLOOR,
MCGEE BUSINESS BUILDING (Executive Session Item)

WHEREAS, the board members considered the following: In accordance with Board Rules and Regulations and university policy 1.5, Naming Guidelines, buildings and other facilities may be named for persons, both living and deceased, who make a significant donation to the university. The board will consider the appropriate naming of a collaborative classroom located on the first floor of the McGee Business Building, which houses the Nelson Rusche College of Business.

THEREFORE, it was ordered that the collaborative classroom (Room 167) located on the first floor of the McGee Business Building be named as the Lou Ann Richardson Classroom. The following resolution was adopted:

WHEREAS, Lou Ann Richardson attended Stephen F. Austin State University and was a member of the Ladyjack Tennis Team in 1979; played Intramural Sports 1979 through 1983; was a member and officer of Gamma Sigma Sigma; Resident Assistant (Gibbs Hall and Steen Hall) 1981 through 1983; and was the Ladyjack Mascot during basketball season 1982 through 1983; and

WHEREAS, she received a bachelor of business administration degree from SFA in 1983; and

WHEREAS, since graduating from SFA, she has served as a member of the Executive Advisory Board of the Rusche College of Business since 2012, currently serves as chair of that board; and in 2014 was honored by the Alumni Association as a Distinguished Alumna; and

WHEREAS, she has worked in financial services for more than 34 years; and in 1995 joined Wells Fargo where she is executive vice president and head of Relationship Foundations and Programs within the Wholesale COO group, based in Dallas; and

WHEREAS, she serves her community on the Board of Communities in Schools of the Dallas region; received the 2013 GFI Global Citizen Award; was a recipient of the International Group Management and Excellence and Diversity Champion Awards; chaired the IG Diversity Council from 2007 to 2009; and was a past chair of the GFI Community Support Campaign; and

WHEREAS, Lou Ann Richardson has faithfully served and continues to serve Stephen F. Austin State University with distinction and honor as a dedicated alum; and

WHEREAS, in her loyal dedication to SFA and her generous spirit of service and standards of excellence, she is setting a distinguished example for others;

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Lou Ann Richardson by naming Room 167 situated on the first floor of the McGee Business Building the **Lou Ann Richardson Classroom**.

BOARD ORDER 09-06

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

**NAMING OF THE LIEUTENANT KILE G. WEST MEMORIAL OBSTACLE COURSE
(Executive Session Item):**

WHEREAS, the board members considered the following: In accordance with Board Rules and Regulations and the university policy on Naming Guidelines, buildings and other facilities may be named for persons, both living and deceased, and the board may create any alternate naming opportunity within its discretion. The board will consider the appropriate naming of the obstacle course located adjacent to the Student Recreation Center on the campus of Stephen F. Austin State University.

THEREFORE, it was ordered that the obstacle course located adjacent to the Student Recreation Center on the campus of Stephen F. Austin State University be named the Lieutenant Kile G. West Memorial Obstacle Course. The following resolution was adopted:

WHEREAS, Lieutenant Kile G. West graduated from Stephen F. Austin State University on December 17, 2005 and was commissioned as a 2nd Lieutenant in the United States Army; and

WHEREAS, upon commissioning Lieutenant West attended Field Artillery Officers Basic Course and was assigned to the 1st Calvary Division at Fort Hood, Texas ; and

WHEREAS, in an absolute display of Loyalty, Duty, Selfless Service and Personal Courage, Lieutenant West and four of his men were killed in action on May 28th, 2007 in Abu Sayda, Iraq while enroute to rescue the crew of a U.S. aircraft that had been downed; and

WHEREAS, Lieutenant West was the first officer commissioned at Stephen F. Austin State University to be killed in action; and

WHEREAS, Lieutenant West was posthumously awarded the Bronze Star with Valor and the Purple Heart; and

WHEREAS, Lieutenant West absolutely embodied the Lumberjack Battalion motto “Be the Best,”

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Lieutenant Kile G. West by naming the obstacle course located adjacent to the Student Recreation Center on the campus of Stephen F. Austin State University the **Lieutenant Kile G. West Memorial Obstacle Course.**

BOARD ORDER 09-07

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

SELECTION OF ARCHITECT FOR A FINE ARTS EXPANSION INITIATIVE, WELCOME CENTER AND STUDENT SUPPORT SERVICES ONE STOP SHOP, AND RESIDENCE HALL AND DINING HALL CONSTRUCTION AND RENOVATIONS

WHEREAS, the board members considered the following: To select a design firm for the fine arts expansion, welcome center and student support services one stop shop, and residence hall and dining hall, the university issued an architectural request for qualifications (RFQ). Architectural firms' responses were evaluated, ranked, and three finalists were selected from the respondents: Kirksey Architecture, EYP, Inc., and Gensler.

To prepare the design and programming for the fine arts expansion, welcome center and one stop shop, the construction of a new student residence hall and a new dining hall, and renovations to residence hall and dining facilities, the administration recommends the selection of an architectural firm from the finalists presented. The Building and Grounds Committee interviewed all three finalists and recommends that the Board of Regents select Kirksey Architecture as the firm most qualified to serve SFA as the architecture firm for these projects.

THEREFORE, it was ordered that Kirksey Architecture be selected as the architectural firm for these projects. The president was authorized to sign all associated contracts and all purchase orders that total \$100,000 and greater. Should negotiations with the selected firm fail to produce an agreement, the administration was further authorized to negotiate with another finalist.

SELECTION OF ARCHITECT FOR A BASKETBALL PRACTICE FACILITY

WHEREAS, the board members considered the following: At the October 23, 2017 meeting, the regents authorized the university to issue an architectural request for qualifications (RFQ) to assess the university's athletic facilities' needs. From a group of architectural finalists, the regents selected Gensler Architects at the January 30, 2018 meeting to develop an assessment of university athletics facilities. The report that followed indicated a need in the basketball program for additional practice space for men's and women's basketball.

To select a design firm for a basketball practice facility, the university issued an architectural request for qualifications (RFQ) in August 2018. Architectural firms' responses were evaluated, ranked, and three finalists were selected from the respondents: Populous, Inc., HKS, Inc., and Gensler.

To design the basketball practice facility and related renovations, the administration recommends the selection of an architectural firm from the finalists presented. The Building and Grounds Committee recommends that the Board of Regents select Populous, Inc. as the architectural firm most qualified to serve SFA as the architectural firm for this project.

THEREFORE, it was ordered that Populous, Inc. be selected as the architectural firm for the basketball practice facility and related renovations. The president was authorized to sign all

associated contracts and all purchase orders that total \$100,000 and greater. Should negotiations with the selected firm fail to produce an agreement, the administration was further authorized to negotiate with another finalist.

SELECTION OF A CONSTRUCTION MANAGER-AT-RISK FOR A FINE ARTS EXPANSION INITIATIVE, WELCOME CENTER AND STUDENT SUPPORT SERVICES ONE STOP SHOP, BASKETBALL PRACTICE FACILITY AND RESIDENCE HALL AND DINING HALL CONSTRUCTION AND RENOVATIONS

WHEREAS, the board members considered the following: To select a construction manager-at-risk (CMR) for the fine arts expansion, welcome center and student support services one stop shop, basketball practice facility, and the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities, the university issued an architectural request for proposals (RFP). Construction firms' responses were evaluated, ranked, and three finalists are presented to the Board of Regents for CMR consideration to engage the aforementioned projects: SpawGlass Construction Corp., Kingham Dalton Wilson, Ltd., and Webber Commercial Construction, LLC.

To construct the fine arts expansion, welcome center and student support services one stop shop, basketball practice facility and the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities, the administration recommends the selection of a CMR from the finalists presented. The Building and Grounds Committee recommends that the Board of Regents select Kingham Dalton Wilson, Ltd. as the firm most qualified to serve as the construction manager-at-risk for these projects.

THEREFORE, it was ordered that Kingham Dalton Wilson, Ltd. be selected to serve as construction manager-at-risk for the construction of the fine arts expansion, welcome center and student support services one stop shop, basketball practice facility and the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities. The president was authorized to sign all associated contracts and all purchase orders that total \$100,000 and greater.

APPROVAL TO ISSUE A REQUEST FOR QUALIFICATIONS (RFQ) FOR CONSTRUCTION PROGRAM MANAGEMENT

WHEREAS, the board members considered the following: The university has been given authority to issue revenue financing bonds to construct a fine arts expansion initiative, a welcome center and student support services one stop shop, a basketball practice facility, the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities. Project fund deposits for the initiatives are estimated to total slightly over \$115 million, with the aggregate principal amount of the bonds issued not to exceed \$125 million. To help guide and manage the projects that could be engaged simultaneously, the administration would like to issue a Request for Qualifications (RFQ) for construction program management.

THEREFORE, the Board of Regents approved the issuance of an RFQ for construction program management. Respondents will be evaluated, ranked, and finalists will be presented to the regents at a later meeting.

LEASE OF CLASSROOM AND OFFICE SPACE AT LONE STAR COLLEGE-UNIVERSITY CENTER AT THE WOODLANDS

WHEREAS, the board members considered the following: The original Lone Star College lease agreement term was for one (1) year commencing on March 1, 2016 and expiring on February 28, 2017. A new lease agreement was executed for six (6) months commencing on March 1, 2017 and expiring on August 31, 2017. A subsequent amendment and one-month extension was executed to extend the term through September 27, 2018. The amendment to the agreement provided additional office space due to increased course offerings.

On September 28, 2018, a second amendment was signed that extended the lease term through September 27, 2019. The administration wishes to ratify the second amendment that extended the lease term through September 27, 2019 in the amount of \$50,708. Prior to the second amendment the total cost of the lease was \$96,396.

THEREFORE, the Board of Regents ratified the second amendment to the Lone Star College classroom and office space lease agreement through September 27, 2019 in the amount of \$50,708. The Board of Regents approved any future amendments to the existing lease agreement through Fiscal Year 2022, up to a maximum cumulative amount of \$350,000, and the president was authorized to sign purchase orders and any associated contract documents.

APPROVAL OF BUILDING AND GROUNDS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 8:

Campus Facilities for Political Purposes 16.8
Naming Guidelines 1.5
Vending 16.35

FINANCIAL AFFAIRS

BOARD ORDER 19-08

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

RICHARDS CARLBERG CONTRACT BUDGET UPDATE (EXECUTIVE SESSION ITEM)

WHEREAS, the board members considered the following: The university has received a gift commitment designated to the university's marketing campaign. In order to use this gift as part of the campaign, the budget for the 2018-2019 fiscal year would need to be increased.

THEREFORE, the Board of Regents ordered that the marketing campaign budget for 2018-19 be amended to a cost not to exceed \$940,792.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

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

- Physical Plant Departmental Audit
- Early Childhood Lab Departmental Audit
- Charter School Departmental Audit
- Equine Center Departmental Audit
- Update on Audit Plan

APPROVAL OF ANNUAL AUDIT REPORT

The annual audit report was approved as presented.

APPROVAL OF AUDIT CHARTER

The audit charter was approved as presented in Appendix 2.

APPROVAL OF UNIVERSITY SERVICES FEE INCREASE

WHEREAS, the board members considered the following: The campus master plan presents the need to upgrade campus facilities and infrastructure. Many of those initiatives have been addressed and others are planned. Based on the campus master plan and a recent assessment by Gensler Architects, the university proposes to address facility needs in athletics. A proposed facility construction and associated renovation will provide space support for men's and women's basketball. To fund the construction, a bond issuance is proposed to fund the construction debt service. The administration proposes a \$10 increase in the university services fee for debt service and operations support.

THEREFORE, it was ordered that the university services fee be increased by \$10, to be set at \$83 per semester credit hour, effective fall 2019.

FISCAL YEARS 2020 AND 2021 RESIDENCE HALL RATES

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

The administration proposes to issue revenue financing bonds to construct a new residence hall and dining hall, and provide renovations to existing residence life and dining facilities. To fund the debt service on the proposed bond issue, it is necessary to increase residence hall room rates beginning in Fiscal Year 2020.

The proposed room rates are presented in Appendix 3 and reflect a 6.5% increase for both FY 20 and FY21. FY20 rates will become effective fall 2019 and FY21 rates will become effective fall 2020.

THEREFORE, it was ordered that the room rates be approved as presented in Appendix 3.

APPROVAL OF THE RESOLUTION AUTHORIZING SOLICITATION OF PROPOSALS FOR SHORT-TERM CONSTRUCTION PROJECT FINANCING

WHEREAS, the board members considered the following: The university has proposed construction projects that include a fine arts expansion, welcome center and one stop shop, basketball practice facility, and the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities. In addition, the administration has requested approval to utilize cash reserves to fund pre-bond issuance construction project-related expenditures.

To provide cash management flexibility, the administration would like to have an option to obtain short-term financing for pre-bond issuance construction-related expenditures. To pursue that option, the administration would like to issue a request for proposals (RFP) for short-term construction financing. If this option were selected, the financing institution, terms and pricing would be brought back to the Board of Regents at a later meeting for approval.

THEREFORE, it was ordered that the resolution in Appendix 5 authorizing the university to solicit proposals for short-term construction financing be approved.

ROAD BUS PURCHASE

WHEREAS, the board members considered the following: The Physical Plant Department transports an average of 6,750 SFA students and faculty traveling approximately 52,000 miles on 150 individual local, statewide, and national trips each year utilizing two 52-passenger road buses. One of the road buses is 16 years old, and is increasingly more expensive to maintain. The costs of chartering outside buses or securing flights for SFA university departmental business travel are much higher than the expenses to operate travel in-house with the use of road buses.

THEREFORE, it was ordered that a new road bus be purchased and customized at a cost not to exceed \$615,000, with pledged auxiliary fund balance used to fund the purchase. The president was authorized to sign associated purchase orders and contracts of \$100,000 and greater.

SHUTTLE BUS PURCHASE

WHEREAS, the board members considered the following: The Physical Plant Department averages approximately 112,000 student transports between parking lots and university facilities each year, operating five days a week, eight hours per day. In addition to on-campus transport, these shuttle buses are occasionally used for university travel as well. One of the current shuttles has over 80,000 miles and 7,415 engine hours. As a result of the usage and mileage, the shuttle is increasingly more expensive to maintain.

THEREFORE, it was ordered that a new shuttle bus be purchased at a cost not to exceed \$200,000, with Higher Education Fund (HEF) used to fund the project and associated costs. The president was authorized to sign purchase orders and contracts of \$100,000 or greater.

SOFTWARE PURCHASE FOR THE OFFICE OF STUDENT LEARNING AND INSTITUTIONAL ASSESSMENT

WHEREAS, the board members considered the following: Recent changes to Southern Association of Colleges and Schools Commission on Colleges accreditation standards have placed renewed emphasis on the need for institutions to engage in ongoing, comprehensive, and integrated research-based planning and evaluation processes that focus on institutional quality and effectiveness and incorporate a systematic review of institutional goals and outcomes. For the past five years, the university has been using multiple software platforms to manage institutional effectiveness, academic program assessment, and core curriculum assessment.

One of the university vendors, Nuventive, has recently developed several product enhancements that will negate the need for multiple assessment software products at the university level. Upgrading our Nuventive software will allow the university to maintain one assessment platform that integrates data from other university systems (e.g., Learning Management System, Enterprise Resource Planning, etc.) to measure institutional effectiveness and student learning.

This integration will give the university the ability to aggregate data from multiple sources; tie that data to existing goals, objectives, and key performance metrics; and make data informed decisions associated with our strategic plan goals through student learning outcomes.

The upgrades include hosting services, dedicated product support and services, LMS and ERP integration, data visualization, and interactive dashboards.

THEREFORE, it was ordered that the Nuventive Improve software be purchased at a cost not to exceed \$296,000 over five years, with the source of funds being designated funds. The president was authorized to sign associated purchase orders.

COURSE FEE DELETIONS

WHEREAS, the board members considered the following: Course and lab fees provide instructional departments with funds to support the actual cost of consumable supplies, service and travel related to specific course. Course and lab fees are allocated to instructional departments for expenditures that are necessary for course delivery. A review of the courses listed in Appendix 6 indicates that deletions must be made to accurately reflect the cost of delivering the course. The following course fee changes were made with the changes effective in fall 2018.

THEREFORE, it was ordered that the changes to the course fees listed in Appendix 6 be ratified.

INTEGRATED LIBRARY SYSTEM UPGRADE

WHEREAS, the board members considered the following: SirsiDynix's Symphony is the current Integrated Library System (ILS) for SFA. The ILS is a system to track items such as electronic books and journals, orders made, bills paid, and patrons who have borrowed. Steen Library and ITS have determined that moving the system from on premise (SFA) hosting to cloud hosting will help gain efficiencies in terms of ITS server support, secure online access, and better experiences for students. A seven-year contract cost of the cloud-based updated Symphony system totals \$591,748.56.

THEREFORE, it was ordered that Steen Library be authorized to contract with SirsiDynix for a cloud-based Integrated Library System and associated maintenance costs for a period of 7 years, through December 17, 2024, at a cost not to exceed \$591,748.56, with designated funds used for the purchase. The president was authorized to sign the associated contract and purchase order.

GRANT AWARDS

WHEREAS, the board members considered the following: In fiscal year 2018, the university received multi-year grant awards totaling \$18,638.213. Of that total, grants awarded allocable to fiscal year 2018 were \$6,003,280, an increase of \$113,484 since the last report.

For fiscal year 2019, the multi-year grant award total is currently \$5,449,048. Of this total, grant awards allocable to fiscal year 2019 are currently \$3,481,599.

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

THEREFORE, it was ordered that the additional fiscal year 2018 grant awards that total \$113,484, and grant awards for fiscal year 2019 that total \$3,481,599 be approved and ratified as they are detailed in Appendix 7.

MEDICAL INSURANCE BILLING CONTRACT EXTENSION

WHEREAS, the board members considered the following: At the January 29, 2013 meeting, the Board of Regents approved Vivature, Inc. to provide insurance company medical billing services for the SFA Health Clinic. The contract was scheduled to expire on October 31, 2018. On April 15, 2013 a contract amendment with Vivature, Inc. was signed that added medical billing services for the athletic department.

On August 17, 2017, an additional contract amendment was signed that extended the contract period from November 1, 2018 through December 31, 2019. The administration wishes to ratify the contract amendment that extended the medical services billing contract with Vivature, Inc. through December 31, 2019.

THEREFORE, it was ordered that the medical services billing contract extension from November 1, 2018 through December 31, 2019 be ratified. The president was authorized to sign purchase orders and any associated contract documents.

APPROVAL OF FINANCIAL AFFAIRS POLICY REVISIONS

The following policy revisions were adopted as presented in Appendix 8:

Contracting Authority 1.3

Ethics 2.6

Fraud 2.7

Items Requiring Board of Regents Approval 1.4

Property Inventory and Management 17.14

Private Support Organizations or Donors 3.25

BOARD ORDER 19-09

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

APPROVAL OF THE RESOLUTION AUTHORIZING THE ISSUANCE OF ONE OR MORE SERIES OF BOARD OF REGENTS OF STEPHEN F. AUSTIN STATE UNIVERSITY REVENUE FINANCING SYSTEM REVENUE BONDS; PROVIDING FOR THE SECURITY FOR AND PAYMENT OF SAID BONDS; ESTABLISHING PROCEDURES FOR SELLING AND DELIVERING ONE OR MORE SERIES OF THE BONDS; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO (the “Bond Resolution”)

WHEREAS, the board members considered the following:

Bond Resolution. The bond resolution authorizes the issuance of revenue financing system bonds in one or more series for the acquiring, purchasing, constructing, improving, renovating, enlarging or equipping university property, buildings, structures, facilities, roads or related infrastructure including the 1) Welcome Center and Student Support Services One Stop Shop, 2) Basketball Practice Facility, 3) Fine Arts Expansion Initiative and 4) Construction and Renovation of Student Residential and Dining Facilities (all as further described below, the “projects”). In addition to financing such projects, the proceeds of the bonds will also be used to pay the costs of issuance of the bonds as well as capitalized interest to the extent determined advantageous to the university. The bond resolution also permits any series of bonds to be issued as tax-exempt, taxable or any combination thereof in accordance with federal tax law. The bond resolution delegates to the vice president for finance and administration to finalize pricing terms for issuing one or more series of the bonds so long as the aggregate principal amount of bonds issued does not exceed \$125 million and the maturity date of any series of bonds is not later than October 15, 2053. The delegation authority to sell bonds pursuant to the bond resolution expires on October 30, 2019.

Reimbursement. Pursuant to the selection of architects and a construction manager at risk, the administration wishes to begin design and pre-construction planning before bonds are issued for the respective projects. To begin that process and qualify pre-bond issuance expenditures for bond proceeds’ reimbursement, a reimbursement resolution must be approved. Section 40 of the bond

resolution includes the necessary reimbursement representations to reimburse pre-bond issuance expenditures.

Projects:

Basketball Practice Facility. The university's current campus master plan includes development of athletic facilities. At the January 30, 2018 meeting, the regents selected Gensler Architects to conduct an athletic facilities assessment. The group concluded its facilities' assessment and provided project proposals to the board of regents' Athletic Subcommittee. As one phase of the comprehensive assessment, Gensler Architects recommended the construction of a basketball practice facility. The estimated project costs for the basketball practice facility is \$26 million.

Welcome Center and Student Support Services One Stop Shop. The university has examined ways to provide additional service and support for prospective students, visitors and currently enrolled students. The recent campus space study conduct by Facilities Programming and Consulting (FP&C) recommended the creation of a welcome center to serve prospective students, families and visitors. In that capacity, the welcome center would house university employees who could provide information about admission, advising, billing and payments, campus life and housing, and financial aid. As a complement to the welcome center for prospective students and visitors, the student support services one stop shop initiative would enhance student support services for current students with the consolidation of admissions, advising, business office, financial aid, and residence hall operations. Using the FP&C study as a guide, the administration proposes to renovate and repurpose Kennedy Auditorium and the Rusk building to support current and prospective students. The estimated project costs for the welcome center and student support services one stop shop projects is \$13 million. Residual project funds could be used to support the fine arts expansion initiative.

Fine Arts Expansion Initiative. The university's current campus master plan includes fine arts expansion initiatives. Using that plan as a guide, the university issued an architectural request for qualifications to assess the College of Fine Arts' space and performance needs. At the April 12, 2016 meeting, the regents selected Kirksey Architecture to develop a programming assessment for the performing arts in the College of Fine Arts. The assessment was completed and reported to the Board of Regents.

A recent campus space assessment conducted by FP&C identified space needs in the Department of Art. The estimated project costs for the fine arts expansion initiative is \$37 million. Residual project funds could be used to support the welcome center and student support services one stop shop initiative.

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

options. The estimated project costs for the student residential and dining facilities project is \$39.5 million.

THEREFORE, it was ordered that the bond resolution in Appendix 4 and financing of these projects be approved. The president was authorized to sign project-associated contracts and purchase orders that are \$100,000 or greater.

BOARD ORDER 19-10

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

APPROVAL OF THE 2020-21 LEGISLATIVE APPROPRIATIONS REQUEST

WHEREAS, the board members considered the following: Required by the Legislative Budget Board (LBB), final revisions to the 2020-21 Legislative Appropriations Request (LAR) were submitted October 19, 2018. The LAR includes a \$2,000,000 biennial request to fund a STEM/Early Childhood initiative and a tuition revenue bond capital request to construct a \$48,000,000 Natural Resources Science and Innovations Laboratory (NRSIL). The request also included \$8,369,718 in biennial debt service funding for the new facility. Additionally, the university requested \$33,463,758 that includes tuition revenue bond debt service, special item, and general revenue-dedicated funding.

THEREFORE, it was ordered that the 2020-21 LAR that includes nonformula funding requests of \$33,463,758 and \$10,369,718 in exceptional item requests be approved.

BOARD ORDER 19-11

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

APPROVAL TO INCREASE THE STEM BUILDING BUDGET AND GROSS MAXIMUM PRICE

WHEREAS, the board members considered the following: The new STEM Building was considered substantially complete in August 2018, and classes began in the fall 2018 semester. The STEM Building project budget was established at a level of \$46,400,000, funded by tuition revenue bonds proceeds.

During the term of the project, bond proceeds were invested, and current investment earnings total \$778,491. Using current interest rates, total project earnings are expected to approximate \$850,000. The investment earnings also provide an opportunity to complete components of the STEM Building project that were planned initiatives, based on investment earnings and available project savings. At the April 24, 2018 meeting, the regents authorized a contractor's gross maximum price (GMP) increase of \$2,969,875, for a GMP total of \$39,792,315 to reconstruct Clark Boulevard, provide STEM Building parking space, and complete the fourth floor addition of the STEM Building.

To accomplish additional project initiatives, the administration would like to increase the STEM Building project budget to recognize the amount of the project's investment earnings. In addition, with the use of additional investment earnings and project contingency savings, the university would like to increase the construction contractor's current GMP.

THEREFORE, it was ordered that the STEM Building project budget be increased by \$850,000 to a total budget level of \$47,250,000. In addition, the contractor's GMP be increased from \$39,792,315 to \$40,992,315, an increase of \$1.2 million. The president was authorized to sign associated contracts and purchase orders that are \$100,000 and greater.

REPORTS

In the absence of the president, Dr. Westbrook provided a report to the regents on the following topics:

- Upcoming Dates
- SFA Gala
- Commencement

Jason Reese, Faculty Senate Chair presented a report on the following topics:

- Alignment of SFA Envisioned and Faculty Promotion and Tenure Guidelines
- Faculty Senate Activities
- Faculty Accomplishments

Jeffrey Agouna-Deciat, SGA President, gave a report on the following topics:

- 95th Anniversary Celebration
- Ambassador to the Republic of Chad
- Lumberjacks Vote Initiative
- Charging Docs/Printing Systems

Chair Henderson appointed the nominating committee for 2018-19 board officers. Regent Scott Coleman will serve as committee chair and members will be Regent Tom Mason and Regent Ken Schaefer.

The meeting was adjourned by Chair Henderson at 3:11 p.m.

**Stephen F. Austin State University
Minutes of the Board of Regents Special Telephone Meeting
Tuesday, October 30, 2018
3:00 p.m.
Austin Building, Room 307
Nacogdoches, Texas
Meeting 319**

A special telephone meeting of the SFA Board of Regents was called to order in open session on Tuesday, October 30, 2018, at 3:05 p.m. by Chair Brigitte Henderson.

PRESENT BY TELEPHONE:

Board Members: Mrs. Nelda Blair
 Dr. Scott Coleman
 Mrs. Karen Gantt
 Mr. Bob Garrett
 Mr. Ken Schaefer
 Mr. Tom Mason

PRESENT IN ROOM 307:

Board Members: Mrs. Brigitte Henderson, Chair
 Mr. David Alders
 Ms. Kate Childress
 Mr. Alton Frailey

Vice-Presidents: Dr. Steve Bullard
 Dr. Danny Gallant
 Dr. Steve Westbrook

General Counsel Mr. Damon Derrick

Other SFA administrators, staff, and visitors

After a roll call and introductions, the board moved immediately into executive session to consider the following:

Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the vice presidents and the president (Texas Government Code, Section 551.074)

At 3:27 p.m. the board moved back into open session.

Board Order 19-12

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

ACTING AUTHORITY DURING PRESIDENT'S ABSENCE

WHEREAS, the board members considered the following: President Baker Pattillo is presently unable to fulfill the duties of president. University policy 2.4, Authority to Act in the Absence of the President, provides authority to act in the president's place; however, that policy is for situations where the president is temporarily off-campus and still acting within a presidential capacity. It is necessary for the Board of Regents to name, by official action, an individual to serve as acting president to allow for the continued, standard operation of the university.

THEREFORE, the Board of Regents ordered that Dr. Steve Westbrook, vice president for university affairs, serve as acting president until the president is able to return to his duties.

The meeting was adjourned at 3:28 p.m.

**Stephen F. Austin State University
Minutes of the Special Called Meeting of the Board of Regents
Nacogdoches, Texas
December 14, 2018
Austin Building 307
Meeting 320**

Friday, December 14, 2018

A special called meeting of the Board of Regents was called to order in open session at 3:03 p.m. on Friday, December 14, 2018, by Chair Brigitte Henderson.

PRESENT:

Board Members: Mrs. Brigitte Henderson, Chair
 Mr. David Alders
 Mrs. Nelda Blair
 Dr. Scott Coleman
 Mr. Alton Frailey
 Mrs. Karen Gantt
 Mr. Bob Garrett
 Mr. Tom Mason
 Ms. Kate Childress, student member

Acting President: Dr. Steve Westbrook

Vice-Presidents: Dr. Steve Bullard
 Dr. Danny Gallant
 Dr. Adam Peck
 Ms. Jill Still

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regent Ken Schaefer was unable to attend the meeting.

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

Deliberations Regarding Security Devices or Security Audits (Texas Government Code, Section 551.076)

Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the head football coach, the chief of police, the assistant chief of police, the vice presidents, and the president (Texas Government Code, Section 551.074)

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to employment agreements and property leases (Texas Government Code, Section 551.071)

The executive session ended at 5:10 p.m. and the Board of Regents meeting returned to open session.

BOARD ORDER 09-13

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

APPOINTMENT OF HEAD FOOTBALL COACH

The appointment of Colby Don Carthel as head football coach was approved. The president was authorized to negotiate and execute a contract for the head men's football coach, upon review for legal form and sufficiency by the Office of the General Counsel.

BOARD ORDER 09-14

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

INFORMATION TECHNOLOGY SERVICES (ITS) SECURITY UPGRADE

WHEREAS, the board members considered the following: To provide information technology services (ITS) security enhancements, the administration proposes to purchase additional capacity for enhanced ITS logging capabilities, a multi-factor authentication solution, a next generation anti-malware solution, a password management solution, information security support tools and necessary hardware to support the security initiatives which will strengthen information security. Component costs will be allocated between capital higher education fund (HEF) eligible and operating costs.

THEREFORE, the purchase of enhanced logging capabilities, a multi-factor authentication solution, a next generation anti-malware solution, a password management solution, information security support tools and necessary hardware was approved, at a cost not to exceed \$429,500. The Higher Education Fund (HEF) and pledged auxiliary funds will be used for the purchase. The president was authorized to sign purchase orders and contracts greater than or equal to \$100,000.

BOARD ORDER 09-15

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

RETIREMENT OF THE PRESIDENT

WHEREAS, the board members considered the following: The president is one of four employees who report directly to the board. The president desires to retire from the university.

THEREFORE, it was ordered that the retirement of Dr. Baker Pattillo, president, be accepted effective January 1, 2019, after approximately 52 years of service. The chair of the Board of Regents was authorized to negotiate and execute any contracts or agreements associated with the retirement, upon review for legal form and sufficiency by the Office of the General Counsel.

BOARD ORDER 09-16

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

APPOINTMENT OF INTERIM PRESIDENT

WHEREAS, the board members considered the following: President Baker Pattillo has notified the Board of Regents of his retirement scheduled to be effective January 1, 2019. It is necessary for the Board of Regents to appoint an interim president to serve until such time as the board names a permanent president.

THEREFORE, it was ordered that Dr. Steve Westbrook, current acting president, be appointed as interim president of Stephen F. Austin State University at a salary of \$300,000 annually, effective January 2, 2019.

The meeting was adjourned by Chair Henderson at 5:45 p.m.

**Stephen F. Austin State University
Minutes of the Board of Regents Special Telephone Meeting
Wednesday, January 16, 2019
10:00 a.m.
Austin Building, Room 307
Nacogdoches, Texas
Meeting 321**

A special telephone meeting of the SFA Board of Regents was called to order in open session on Wednesday, January 16, 2019 at 10:06 a.m. by Chair Brigittee Henderson.

PRESENT BY TELEPHONE:

Board Members: Mrs. Nelda Blair
 Dr. Scott Coleman
 Mrs. Karen Gantt
 Mr. Bob Garrett
 Mr. Ken Schaefer
 Mr. Tom Mason

PRESENT IN ROOM 307:

Board Members: Mrs. Brigittee Henderson, Chair
 Mr. David Alders
 Ms. Kate Childress
 Mr. Alton Frailey

Interim President: Dr. Steve Westbrook

Vice-Presidents: Dr. Steve Bullard
 Dr. Danny Gallant
 Dr. Adam Peck
 Mrs. Jill Still

General Counsel Mr. Damon Derrick

Other SFA administrators, staff, and visitors

After a roll call and introductions, the board moved immediately into executive session to consider the following:

Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the president (Texas Government Code, Section 551.074)

At 11:01 a.m. the executive session ended and the board moved back into open session.

The board chair announced that the selection of a presidential search firm would be considered at the January 27-29, 2019 meeting.

The meeting was adjourned at 11:10 a.m.

FACULTY APPOINTMENTS

Explanation:

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

Recommendation:

It is recommended by the administration that the following faculty appointments be approved.

COLLEGE OF EDUCATION

Yuan He, Ph.D. (Nanjing Normal University), Assistant Professor of Elementary Education, at an academic year salary of \$44,000 for 100 percent time, effective November 1, 2018.

COLLEGE OF FORESTRY AND AGRICULTURE

Jessica Glasscock, M.S. (Sul Ross University), Instructor of Forestry, at an academic year salary of \$50,000 for 100 percent time, effective January 1, 2019.

COLLEGE OF SCIENCES AND MATHEMATICS

Timothy Nix, Ph.D. (Texas A & M University), Associate Professor of Computer Science, at an academic year salary of \$93,000 for 100 percent time, effective January 1, 2019.

Collin Timmons, M.S. (Stephen F. Austin State University), Lecturer of Physics, Engineering and Astronomy, at an academic year salary of \$44,000 for 100 percent time, effective September 1, 2018.

LIBRARY

Shannon Bowman, MLIS (University of Oklahoma), Librarian II, at an annual salary of \$47,000 for 100 percent time, effective November 1, 2018.

STAFF APPOINTMENTS

Explanation:

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

Recommendation:

It is recommended by the administration that the following staff appointments be approved.

ACADEMIC AFFAIRS

Alisha Windham, Budget Analyst, at an annual salary of \$62,000 for 100 percent time, effective November 7, 2018.

ATHLETICS

Freddie Banks, Assistant Football Coach, at an annual salary of \$45,000 for 100 percent time, effective December 17, 2018.

Kevin Bleil, Assistant Football Coach, at an annual salary of \$61,250 for 100 percent time, effective December 10, 2018.

Chance Chapman, Assistant Soccer Coach, at an annual salary of \$35,000 for 100 percent time, effective January 7, 2019.

Wendel Davis, Assistant Football Coach, at an annual salary of \$60,000 for 100 percent time, effective January 3, 2019.

Kincaid Faske, Assistant Football Coach, at an annual salary of \$55,000 for 100 percent time, effective December 8, 2018.

Nathaniel Johnson, Assistant Football Coach, at an annual salary of \$63,500 for 100 percent time, effective December 10, 2018.

Malcolm Kelly, Assistant Football Coach, at an annual salary of \$45,000 for 100 percent time, effective December 23, 2018.

Alex Luna, Assistant Volleyball Coach, at an annual salary of \$45,000 for 100 percent time, effective December 3, 2018.

Jared May, Assistant Football Coach, at an annual salary of \$61,250 for 100 percent time, effective December 8, 2018.

Brian Natkin, Assistant Football Coach, at an annual salary of \$70,000 for 100 percent time, effective December 14, 2018.

Scott Power, Assistant Football Coach, at an annual salary of \$112,500 for 100 percent time, effective December 8, 2018.

Matthew Storm, Assistant Football Coach, at an annual salary of \$112,500 for 100 percent time, effective December 8, 2018.

DEVELOPMENT

Rayburn Mitchum, Development Officer II, at an annual salary of \$65,000 for 100 percent time, effective October 8, 2018.

INFORMATION TECHNOLOGY SERVICES

Taylor Day, Programmer/Analyst I, at an annual salary of \$41,000 for 100 percent time, effective January 14, 2019.

Michael Deruiter, Programmer/Analyst I, at an annual salary of \$41,000 for 100 percent time, effective January 14, 2019.

Justin Mlinar, Programmer/Analyst I, at an annual salary of \$41,000 for 100 percent time, effective January 14, 2019.

RESIDENCE LIFE

Jacqueline Conde, Hall Director, at an annual salary of \$30,330 for 100 percent time, effective January 7, 2019.

STUDENT ENGAGEMENT

Benjamin Tucker, Student Engagement Coordinator, at an annual salary of \$37,000 for 100 percent time, effective November 7, 2018.

UNIVERSITY POLICE DEPARTMENT

John Fields, Chief of Police, at an annual salary of \$110,000 for 100 percent time, effective January 21, 2019.

Craig Goodman, Assistant Chief of Police, at an annual salary of \$90,000 for 100 percent time, effective January 2, 2019.

CHANGES OF STATUS

Explanation:

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

Recommendation:

It is recommended by the administration that the following changes of status be approved.

ACADEMIC AFFAIRS

Sahitya Neeli, from Research Analyst in Institutional Research, at an annual salary of \$57,413 for 100 percent time, to Senior Research Analyst at an annual salary of \$57,413 for 100 percent time, effective January 1, 2019.

Katelyn Childress, from Graduate Assistant in Student Affairs Programming at an academic year salary of \$10,125 for 50 percent time, to Coordinator of Student Success in the Student Success Center at an annual salary of \$43,000 for 100 percent time, effective January 1, 2019.

ATHLETICS

Cody Clark, from Assistant Track Coach at an 11-month salary of \$32,518 for 100 percent time, to Assistant Track Coach with a change in job assignment at an 11-month salary of \$53,500 for 100 percent time, effective October 1, 2018.

Michael Courtney, from Assistant Track Coach at an annual salary of \$52,450 for 100 percent time, to Assistant Track Coach with a change in job assignment at an annual salary of \$41,972 for 100 percent time, effective September 1, 2018.

Ashley Schevers, from Assistant Soccer Coach at an annual salary of \$33,000 for 100 percent time, to Assistant Soccer Coach with a change in job assignment at an annual salary of \$35,000 for 100 percent time, effective December 10, 2018.

COLLEGE OF LIBERAL AND APPLIED ARTS

Katie McLain, from Analyst in Human Resources at an annual salary of \$57,200 for 100 percent time, to Lecturer of Government at an academic year salary of \$40,000 for 100 percent time, effective January 1, 2019.

CONTROLLER'S OFFICE

Dedra Michalowski, from Clerk II at an annual salary of \$31,848 for 100 percent time, to Accountant II at an annual salary of \$47,000 for 100 percent time, effective January 1, 2019.

FINANCE AND ADMINISTRATION

Jessica Barrett, from Budget Analyst at an annual salary of \$70,003 for 100 percent time, to Budget Director at an annual salary of \$115,000 for 100 percent time, effective December 1, 2018.

INFORMATION TECHNOLOGY

Tristan Adams, from Programmer/Analyst III at an annual salary of \$61,395 for 100 percent time, to Manager of ITS Development at an annual salary of \$72,800 for 100 percent time, effective October 1, 2018.

Michael Carmical, from Programmer/Analyst I at an annual salary of \$40,448 for 100 percent time, to Programmer/Analyst II at an annual salary of \$46,058 for 100 percent time, effective January 1, 2019.

William Croft, from System Programmer II at an annual salary of \$63,621 for 100 percent time, to Systems Programmer III at an annual salary of \$66,150 for 100 percent time, effective November 1, 2018.

Daniel Davis, from Programmer/Analyst II at an annual salary of \$47,840 for 100 percent time, to Programmer/Analyst III at an annual salary of \$54,080 for 100 percent time, effective October 1, 2018.

Tracey Foster, from Programmer/Analyst IV at an annual salary of \$72,013 for 100 percent time, to Manager of IT Applications at an annual salary of \$78,013 for 100 percent time, effective October 1, 2018.

Charles Fox, from Programmer/Analyst I at an annual salary of \$40,058 for 100 percent time, to Programmer/Analyst II at an annual salary of \$46,058 for 100 percent time, effective October 1, 2018.

Joseph Jacobs, from Network Support Specialist I at an annual salary of \$45,000 for 100 percent time, to Network Support Specialist II at an annual salary of \$48,000 for 100 percent time, effective November 1, 2018.

Travis Killen, from Systems Programmer II at an annual salary of \$63,621 for 100 percent time, to Manager ITS Systems at an annual salary of \$70,000 for 100 percent time, effective October 1, 2018.

Stacy Little, from Programmer/Analyst II at an annual salary of \$46,800 for 100 percent time, to Programmer/Analyst III at an annual salary of \$54,080 for 100 percent time, effective January 1, 2019.

Kreg Mosier, from Manager of Library Web Services at an annual salary of \$63,660 for 100 percent time, to Programmer II Systems at an annual salary of \$63,660 for 100 percent time, effective December 1, 2018.

Cathy Rhodes, from Senior Specialist Security Access at an annual salary of \$50,792 for 100 percent time, to Analyst Identity Management III at an annual salary of \$54,590 for 100 percent time, effective December 1, 2018.

Karrie Roberson, from Administrator of Library Database at an annual salary of \$55,120 for 100 percent time, to Systems Programmer I at an annual salary of \$55,120 for 100 percent time, effective December 1, 2018.

Scott Speichert, from Database Administrator III at an annual salary of \$67,466 for 100 percent time, to Manager of Database Administration at an annual salary of \$73,500 for 100 percent time, effective November 1, 2018.

Brandon Stringfield, from Specialist II at an annual salary of \$69,000 for 100 percent time, to Interim Chief Information Security Officer at an annual salary of \$69,000 for 100 percent time with an additional stipend of \$1,000 per month for 10 months for interim duties, effective November 1, 2018.

Henry Wiederhold, from Systems Programmer I at an annual salary of \$52,250 for 100 percent time, to Systems Programmer II at an annual salary of \$55,250 for 100 percent time, effective November 1, 2018.

Tracy Wilbanks, from Specialist Security Access at an annual salary of \$44,359 for 100 percent time, to Analyst Identity Management II at an annual salary of \$45,200 for 100 percent time, effective September 1, 2018.

PHYSICAL PLANT

John Branch, from Senior Associate Athletic Director External Affairs at an annual salary of \$83,585 for 100 percent time, to Assistant Director at an annual salary of \$83,585 for 100 percent time, effective January 1, 2019.

Jeffrey Ghiringhelli, from Assistant Director at an annual salary of \$81,838 for 100 percent time, to Associate Director at an annual salary of \$86,000 for 100 percent time, effective January 1, 2019.

STUDENT AFFAIRS

Lacey Folsom, from Director of Office of Student Engagement at an annual salary of \$61,400 for 100 percent time, to Interim Assistant Dean Student Affairs Programs at an annual salary of \$61,400 for 100 percent time, with an additional stipend of \$1,000 per month for three months for interim duties, effective November 14, 2018.

Hollie Gammel Smith, from Assistant Dean at an annual salary of \$82,742 for 100 percent time, to Interim Dean of Student Affairs at an annual salary of \$82,742 for 100 percent time, with an additional stipend of \$1,500 per month for three months for interim duties, effective November 14, 2018.

Adam Peck, from Dean of Student Affairs and Assistant Vice President at an annual salary of \$121,245 for 100 percent time, to Interim Vice President for University Affairs at a salary of \$121,245 for 100 percent time, with an additional stipend of \$2,500 per month for three months, effective November 14, 2018.

TITLE IX COMPLIANCE

Melissa Turner, from Career Coordinator at an annual salary of \$36,400 for 100 percent time, to Compliance Specialist at an annual salary of \$47,000 for 100 percent time, effective October 6, 2018.

UNIVERSITY POLICE DEPARTMENT

Marcus Madden, from Lieutenant at an annual salary of \$62,367 for 100 percent time, to Interim Assistant Chief at an annual salary of \$62,367 for 100 percent time with an additional stipend of \$1,000 per month for four months, effective September 1, 2018.

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:

Chris Barker, Associate Professor of Geology, effective December 31, 2018, with 20 years of service.

Jack Ethridge, Professor of Accounting, effective December 31, 2018, with 35 years of service.

David Justus, ITS Compliance Coordinator, effective October 31, 2018, with 27 years of service

Donna Mettier, ITS Programmer/Analyst III, effective December 31, 2018, with 10 years of service.

APPROVAL OF ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Academic and Student Affairs Committee will consider: the curricula of the various colleges and departments of the university with any other matters dealing with academic programs and the progress thereof; the research programs within the university and their relationship to all graduate education; student affairs within the university; and personnel matters within the university.

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

Recommendation:

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

Affirmative Action 11.1
Continuing Education 5.3
Course Add/Drop 6.10
Course Grades 5.5
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STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Affirmative Action

Policy Number: 11.1

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): The policy outlines the guidelines for affirmative action

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Formatting changes only.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources
Anthony Espinoza, Chief Information Officer, Information Technology Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Affirmative Action

Original Implementation: Unpublished

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

Stephen F. Austin State University is fully committed to the national and state goal of affording equal employment opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status.

Definitions

Affirmative action means that a search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups as required by federal regulations.

General

~~Stephen F. Austin State University is fully committed to the national and state goal of affording equal employment opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status.~~ The university's fundamental policy will be to provide equal employment opportunity in all of its operations and in all areas of employment practices and to assure that there shall be no discrimination against any employee or applicant for employment on the grounds of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status. Additionally, discrimination is prohibited on the basis of sexual orientation, gender identity, and gender expression. The university policy extends to recruiting, hiring, training, compensation, overtime, job classifications, work conditions, promotions, transfers, employee treatment, suspensions, terminations, layoffs, return from layoffs, tuition aid, recreational programs, and all other terms, conditions, and privileges of employment. The following special guidelines apply to university employment practices:

1. Provide equal pay for equal work.
2. Provide hiring standards that do not discriminate on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, or gender expression.
3. *In general, an employer may hire the individual best qualified to perform a particular job but must take affirmative action that will open up job opportunities on all levels to women, minorities, disabled individuals and veterans.* ~~In general, an employer may hire the individual best qualified to perform a particular job. Federal regulations require~~

~~proof that the search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups.~~

4. Requirements must be job related and qualifications must be the minimum needed for entrance to a given job.
5. Recruiting efforts must reach minority and women applicants.
6. Selections must be made following strict guidelines that prevent discrimination in all phases of the selection process: job analysis, uniform classification, retention and maintenance of applications, interview practices, and notification of results of the selection process. Appointments must be made considering only job related factors.

Additional information concerning the university's affirmative action policy, plan, and guidelines for recruiting, screening, interviewing, employee selection, record keeping, employee training, performance management and new employee orientation can be obtained from the director of human resources.

Cross Reference: U.S. Const. amend. XIV, § 1; 8 U.S.C. § 1324b; 20 U.S.C. §§ 1681, 1684; 29 U.S.C. §§ 206, 621, 623, 793; 42 U.S.C. §§ 2000d, 2000e-2 - 2000e-3, 6101-6102; Tex. Civ. Prac. & Rem. Code § 106.001; Tex. Hum. Res. Code §§ 121.001, .003(f); Tex. Gov't Code §§ 657.002-.007; Tex. Lab. Code Ch. 21; Tex. Const. art I, § 3a; Texas General Appropriations Act

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources and General Counsel

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Continuing Education

Policy Number: 5.3

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

Date of last revision, if applicable: 11/2/2015

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

Purpose of Policy (what does it do): To support the public service and outreach responsibilities of Stephen F. Austin State University.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include basic edits for clarification purposes. Added policy 3.26 Receipts and Deposits as a cross reference.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Continuing Education

Original Implementation: March 9, 1978

Last Revision: ~~November 2, 2015~~ January 29, 2019

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

Definitions

Continuing education (~~CE~~) activities are defined as organized public activities sponsored by the university, or a constituent unit of the university, that provide participants some type of non-academic credit, continuing education credit or certification. Continuing education activities may include short courses, seminars, workshops, training sessions, conferences or institutes.

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

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

Responsibility

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

A reasonable fee may be charged for ~~CE/CP~~ continuing education and community/public service activities.

To bear the name of the university or any of its units, fees must be received and accounted for ~~by~~ in accordance with university accounting procedures as outlined in Receipts and Deposits (3.26).

Facilities for continuing education and community/public service ~~CE/CP~~ activities must be reserved in accordance with university policies covering Use of University Facilities (16.33) and Academic Facilities for Non-Academic Activities (16.1). Academic programs will always be given priority for the use of university facilities.

Oversight

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

Awarding Continuing Education Units

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

Cross Reference: Use of University Facilities (16.33); Academic Facilities for Non-Academic Activities (16.1); *Receipts and Deposits* (3.26); Tex. Educ. Code § 54.545

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

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

Forms: Continuing Education and Community/Public Service Activities Approval

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Course Add/Drop

Policy Number: 6.10

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): Policy provides rules related to students adding and/or dropping courses.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Deleted the fifth rule and created a new policy specific to student medical appeals. Other revisions include basic edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Course Add/Drop

Original Implementation: April 27, 1986

Last Revision: ~~July 28, 2015~~ January 29, 2019

Students may add courses through the second class day during the summer semesters and through the fourth class day during the fall or spring semesters. Academic unit chairs/directors will reconcile class schedules by the official reporting date. Students may drop classes through five working days past mid-semester or mid-session as applicable. A student may not drop a course after these dates, unless withdrawing from the university. *For withdrawals related to medical concerns see policy 6.24.*

The following rules apply:

1. A withdrawal or course dropped by the official reporting date will not be recorded on a student's transcript.
2. After the official reporting date, a drop or withdrawal will be noted as a "W" grade on the student's official transcript. Undergraduate students who enrolled in a Texas public institution of higher education for the first time in the fall 2007 or thereafter may not drop more than six courses with a "W" grade. This number includes any course dropped at another Texas public institution but excludes full semester withdrawals and exceptions as defined in Texas law (Education Code section 51.907). After six withdrawals, the student will receive the grade awarded for each attempted course.
3. Beginning on the sixth working day after mid-term for full semester courses or mid-session for partial semester courses, a drop will not be permitted unless the student withdraws from all courses for the term. This withdrawal will be noted on the transcript as a "WP" if the student is passing at the time or a "WF" if the student is failing at the time.
4. If a student has been found guilty of academic dishonesty, a grade of "WP" or "WH" may be changed to "WF" at the discretion of the faculty member. In the case of a grade change to "WF," the course will not count toward the six course drop limit since the student is incurring an academic penalty.
5. ~~Approved medical withdrawals may be granted for medical conditions that prevent the student from completing the semester (see policy 6.24). Medical withdrawals are not intended to shield a student from unsatisfactory progress. Medical withdrawal requests must be made to the Office of the Registrar within six months of the illness or incident cited in the medical withdrawal request, and will be considered by a committee comprised of the registrar and other appropriate university officials.~~

Cross Reference: General Bulletin; Graduate Bulletin; Schedule of Classes; Tex. Educ. Code § 51.907; Tex. Admin. Code § 4.10; Academic Integrity (4.1); Military Service Activation (6.14); *Student Medical Appeal* (6.24)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Registrar

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Course Grades

Policy Number: 5.5

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): Defines/outlines recorded grades, withheld grades, grade point average, repeat grades, mid-semester grades, final grade reporting, and grade changes.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording change.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Course Grades

Original Implementation: January 25, 2000

Last Revision: ~~January 26, 2016~~ January 29, 2019

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

Recorded Grades

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

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

Withheld Grades

At the discretion of the instructor of record and with the approval of the academic unit head, a grade of WH will be assigned only if the student cannot complete the course work because of unavoidable circumstances. Students must complete the work within one calendar year from the end of the semester in which they receive a WH, or the grade automatically becomes an F, except as allowed through policy [i.e., Active Military Service (6.14)]. If students register for the same course in future semesters, the WH will automatically become an F and will be counted as a repeated course for the purpose of computing the grade point average.

Grade Point Average

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

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

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

Repeat Grades

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

Mid-Semester Grades

Mid-semester grades will be posted for 000-, 100- and 200-level courses during fall and spring semesters. These grades will be posted before the last day to drop courses each semester. Appropriate academic personnel will provide students with recommendations and options regarding academic performance.

Final Grade Reporting

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

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

Course grades may not be posted publicly.

Grade Changes

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

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

Forms: WH and Grade Change Form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Curriculum Reviews, Modifications and Approvals

Policy Number: 5.7

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): It is the responsibility of each academic unit of the university to maintain current curricula and engage in continuous review of its curricula.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Basic edits for clarification purposes

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Curriculum Reviews, Modifications and Approvals

Original Implementation: October 17, 1978

Last Revision: ~~January 27, 2015~~ January 29, 2019

Introduction

It is the responsibility of each academic unit of the university to maintain current curricula and engage in continuous review of its curricula. The provost and vice president for academic affairs and appropriate dean will set timelines for the modification and approval process.

Curricular Modification Procedures

Curricular modifications include:

- new courses;
- modified courses (e.g., course title, credit hours);
- new programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- modified programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- deletion of courses and/or programs (e.g., degrees, endorsements, certificates, minors, concentrations); and
- changes in mode of delivery such as off-campus face to face, online instruction, and other distance delivery methods.

Curricular modifications will be developed and submitted at the program level, and recommended for approval by:

- the academic unit's ~~curriculum committee~~;
- the academic unit head;
- appropriate councils or committees in the college [~~e.g., Professional Educators' Council (5.16) for teacher certification~~];
- the college dean;
- the university Undergraduate Council or Graduate Council;
- the Deans Council; and
- the provost and vice president for academic affairs.

New courses and new, modified or deleted undergraduate and graduate programs and changes in mode of delivery will then be considered for approval by:

- the university president; and
- the Board of Regents.

Where appropriate, approval will then be sought from (and/or notification will be made to) the Texas Higher Education Coordinating Board (THECB), the Texas Education Agency, the Southern Association of Colleges and Schools, or other outside agencies and organizations.

Changes will be ~~made~~ *reflected* in the General Bulletin and/or Graduate Bulletin after approval.

Substantive Change

Any curricular changes that involve substantive change as defined by the Southern Association of Colleges and Schools Commission on Colleges must be communicated by the Office of the Provost and Vice President for Academic Affairs to the appropriate entity and, if necessary under the rules on the entity, be approved before implementation. For further information, see the university policy on Substantive Change (4.10).

Cross Reference: THECB Instructions and Classification of Instructional Programs Codes; Certificate Programs (5.2); Course Fees (3.8); Laboratory Fees (3.22); Substantive Change (4.10); Academic Program Review (5.1); and Professional Educators' Council (5.16)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Forms for program revision, course proposals, substantive change, distance education and laboratory/course fee requests are available at the university website.

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Discontinuance of Program or Academic Unit

Policy Number: 5.9

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

Date of last revision, if applicable: 10/27/2014

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

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

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Basic edits for clarification purposes

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Discontinuance of Program or Academic Unit

Original Implementation: October 18, 2011

Last Revision: ~~October 27, 2014~~ January 29, 2019

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

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

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

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

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

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

Cross Reference: Tenure (7.29)

Responsible for Implementation: President

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Discrimination Complaints

Policy Number: 2.11

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): Provides guidelines for filing a discrimination complaint, investigating a complaint and appealing the findings of a discrimination complaint.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: Not applicable

Specific rationale for each substantive revision: Changes were made to the investigation process, the process for identifying appeal board members and presenting information before the appeal board to ensure objectivity and an open process.

Specific rationale for deletion of policy: Not applicable

Additional Comments:

Reviewers:

Loretta C. Doty, Director of Human Resources
Dr. Steve Westbrook, Acting President
Damon Derrick, General Counsel

Discrimination Complaints

Original Implementation: September 1990/February 2, 1982

Last Revision: ~~January 26, 2016~~ January 29, 2019

General Policy Guidelines

Purpose:

This policy affirms Stephen F. Austin State University's intent to provide an educational and working environment free of unlawful discrimination or harassment to all members of the university community. This policy applies to visitors, applicants for admission to or employment with the university, and students, and employees of the university who allege discrimination by university employees, students, visitors, or contractors.

~~**Non-discrimination Statement:** It is the policy of Stephen F. Austin State University, in accordance with federal and state law, to prohibit unlawful discrimination on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status. Unlawful discrimination based on sex includes discrimination defined as sexual harassment. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression. Stephen F. Austin State University is committed to the principles of Equal Employment Opportunity (EEO) law. An employee who violates this policy is subject to disciplinary action up to and including termination. A student that violates this policy is subject to disciplinary action up to and including expulsion.~~

~~The president or designee will be responsible for overseeing the Discrimination Complaint policy (2.11) and procedures and for ensuring compliance with EEO laws. All employment decisions will be based on objective, job related, and measurable criteria that can be consistently applied. Human resources or designee will annually review all personnel policies and procedures to ensure compliance with EEO laws and present any recommendations for changes to the president. All employment related documents will be maintained in accordance with the university's Texas State Record Retention Schedule.~~

~~For employee related complaints, the human resources director or designee will be responsible for maintaining records of all formal complaints and the results of such complaints. For student related complaints, the dean for student affairs or designee will be responsible for maintaining records of all formal complaints and the results of such complaints.~~

~~Instances of sex discrimination based on sexual harassment or hostile environment are governed by the Sexual Misconduct policy (2.13).~~

Definitions

Complaint means a signed document or a communication submitted electronically from an account assigned to complainant alleging discrimination under this policy.

Complainant means a person who submits a written complaint alleging discrimination under this policy. As there may be more than one complainant in an unlawful discrimination case, the term "complainant" as used herein shall refer to one or more complainants. In the event of a third party charge, the university may serve as the complainant.

Discrimination is defined as conduct directed at a specific individual or a group of identifiable individuals that subjects the individual or group to treatment that adversely affects their employment or education because of their race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age, disability, genetic information, citizenship, or veteran status.

Harassment as a form of discrimination is defined as verbal or physical conduct that is directed at an individual or group because of race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age, disability, genetic information, citizenship, or veteran status when such conduct is sufficiently severe, pervasive, or persistent so as to have the purpose or effect of interfering with an individual's or group's academic or work performance; or of creating a hostile academic or work environment.

The totality of the circumstances will be considered in determining whether a hostile environment exists. Relevant factors in determining whether the conduct has created a hostile environment include but are not limited to the type, frequency, and severity of the conduct, whether the conduct is physically threatening or humiliating, and the relationship between the individuals.

Respondent means the person alleged to be responsible for the prohibited discrimination or harassment alleged in a complaint. The term "respondent" may be used to designate persons with direct responsibility for a particular action or those persons with administrative responsibility for the procedures and policies in those areas covered in a complaint.

~~The totality of the circumstances will be considered in determining whether a hostile environment exists. Relevant factors in determining whether the conduct has created a hostile environment include but are not limited to the type, frequency and severity of the conduct, whether the conduct is physically threatening or humiliating, and the relationship between the individuals.~~

General

~~**Non-discrimination Statement:**~~ It is the policy of Stephen F. Austin State University, in accordance with federal and state law, to prohibit unlawful discrimination on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status. Unlawful

discrimination based on sex includes discrimination defined as sexual harassment. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression. Stephen F. Austin State University is committed to the principles of Equal Employment Opportunity (EEO) law. An employee who violates this policy is subject to disciplinary action up to and including termination. A student that violates this policy is subject to disciplinary action up to and including expulsion.

The president or designee will be responsible for overseeing this policy and procedures and for ensuring compliance with EEO laws. The human resources director or designee will annually review all personnel policies and procedures to ensure compliance with EEO laws and present any recommendations for changes to the president. All employment related documents will be maintained in accordance with the university's Texas State Record Retention Schedule.

For employee-related complaints, the human resources director or designee will be responsible for maintaining records of all formal complaints and the results of such complaints. For student-related complaints, the dean for student affairs or designee will be responsible for maintaining records of all formal complaints and the results of such complaints.

Instances of sex discrimination based on sexual harassment or hostile environment are governed by the Sexual Misconduct policy (2.13). **Procedures**

Reporting:

A person who believes that he or she has been subjected to any type of discrimination should report the incident to any university official, administrator, or supervisor. Students are encouraged to report such incidents to the dean of student affairs. Employees and visitors are encouraged to report to the director of human resources. Reports of sexual harassment or other forms of sexual misconduct should be reported in accordance with the Sexual Misconduct policy (2.13). Incidents should be reported as soon as possible after the time of their occurrence. No person is required to report discrimination to the alleged offender. Any allegations of sex-based discrimination may also be directed to the attention of the Title IX coordinator; allegations of disability-based discrimination may also be directed to the ADA coordinator but will be investigated in accordance with this policy.

Referral Responsibility:

Every supervisor, administrator, department head, and university official is responsible for promptly reporting incidents of discrimination that come to his or her attention to the appropriate university official. Student-to-student complaints should be reported to the dean of student affairs. All other complaints should be reported to the director of human resources. Any allegations of sex-based discrimination may also be directed to the attention of the Title IX coordinator and allegations of disability-based discrimination may also be referred to the ADA coordinator but will be

investigated in accordance with this policy. Every attempt should be made to keep the information confidential and restricted to only those who have an absolute need to know.

Complaint Resolution Procedures

Definitions

Complaint means a signed document alleging discrimination under this policy.

Complainant means a person who submits a written complaint alleging discrimination under this policy. As there may be more than one complainant in an unlawful

discrimination case, the term "complainant" as used herein shall refer to one or more complainants. In the event of a third party charge, the university may serve as the complainant.

Respondent means the person alleged to be responsible for the prohibited discrimination or harassment alleged in a complaint. The term "respondent" may be used to designate persons with direct responsibility for a particular action or those persons with administrative responsibility for the procedures and policies in those areas covered in a complaint.

Complaint Procedure

Complaint: A complaint alleging discrimination or harassment must be submitted in writing. The complaint must contain the following information:

- Name of the complainant;
- Contact information, including address, telephone number, email address;
- Name of person(s) directly responsible for alleged violations(s);
- Date(s) and place(s) of alleged violation(s);
- Nature of alleged violation(s) as defined in this policy;
- Detailed description of the specific conduct that is the basis of alleged violation(s);
- Copies of documents pertaining to the alleged violation(s);
- Names and contact information (if known) of any witnesses to alleged violation(s);
- Action requested to resolve the situation;
- Complainant's signature and date of filing;
- Any other relevant information.

Time Limit: ~~In some cases, the Equal Employment Opportunity Commission (EEOC) requires that A written~~ a written complaint should be filed within 180 calendar days of the occurrence of the alleged violation. Depending on the circumstances, the university may accept and investigate a complaint even if filed after 180 calendar days.

Third Party Charge: If a pattern of harassment appears to exist but no complainant files charges,

the university may file a third-party charge against an individual. Such charges will be handled with as much care and control as any other complaint so as to avoid acting on rumor or unjustified accusation.

Investigative Process for Employee and Third-Party Related Complaints

~~The dean or director (or other An appropriate administrator) for the area involved~~ from within the division whereof the complaint was filed, but not within the unit involved will investigate, not as a representative of the complainant, but as an impartial party. *Notwithstanding, the university reserves the right to appoint an external investigator or investigator from a different division in its discretion. If the director is the direct supervisor of the respondent (accused), the vice president will assign an alternative director from within their division so the investigator is not investigating his or her own department.* The investigation shall normally be conducted within 20 business days from when the investigation investigator is appointed to the dean or director. Case complexity will vary and the termination of the investigation will depend on case circumstances; however, the investigation will conclude under normal circumstances within 20 business days. It is incumbent upon the investigator ~~ing official to~~ document a reasonable justification for extending an investigation beyond 20 business days.

The investigator will interview the complainant and persons who are considered to have pertinent factual information related to the complaint. The investigator will also gather and examine documents relevant to the complaint. Facts will be considered on the basis of what is reasonable to persons of ordinary sensitivity and not on the particular sensitivity or reaction of an individual. Findings will be based on the totality of circumstances surrounding the conduct complained of, including, but not limited to, the context of that conduct, its severity, its frequency, and whether it was physically threatening, humiliating, or simply offensive in nature. ~~The dean or director~~ investigator conducting the investigation may also consult with appropriate management personnel, including the director of human resources, the ADA coordinator, the Title IX coordinator, and/or the general counsel for advice and guidance as applicable.

The university reserves the right to take such action as may be reasonably appropriate upon receipt of a complaint to protect the complainant or university community pending outcome of the investigation, including interim suspension with pay of an employee.

Notification of the Respondent: After investigating the allegations, ~~the dean or director~~ investigator will meet with the respondent, provide them with a copy of the complaint, and give them an opportunity to respond. The respondent may, but is not required to, submit a written response to the allegations in the time prescribed by the investigator.

Report of Findings and Recommendations: The investigator is responsible for preparing a report responding to each allegation that the complainant has made. This report should describe the investigator's findings and conclusions to each allegation. The report should also include a brief overview of the investigative process including the category and number of individuals interviewed,

timelines, and a summary of each allegation. Finally, the report should contain the investigator's recommendations for resolution of the matter. This report should be addressed to the appropriate vice president (*or president if the complaint concerns a unit reporting directly to the president, or chair of the Board of Regents if the complaint concerns an employee reporting directly to the Board of Regents or a member of the Board of Regents*) with copies provided to the general counsel, the director of human resources, and the Title IX or ADA coordinator, as applicable.

The vice president/*president* shall review the findings and recommendations of the investigator and take such action deemed appropriate. Such action shall be communicated in a letter to the complainant and respondent with copies to the general counsel, director of human resources, and the Title IX or ADA coordinator, as applicable, ~~within~~ *within five (5) business days* of receipt from the investigator.

Appeal Process: If the decision of the vice president/*president* is not satisfactory to the complainant or respondent, that individual has five (5) business days in which to request a formal hearing of the discrimination complaint review board ("review board"). The request must be put in writing to the vice president/*president* issuing the decision. If the vice president/*president* concludes that the charges are serious enough to require termination or suspension, the faculty or staff member may be placed on a leave of absence with pay, pending a hearing by the review board and ~~action by the president~~ *final determination*.

Discrimination Review Board: The review board of three individuals will be selected from a panel of 20 pre-selected faculty members and 20 pre-selected staff members to be appointed by the president. If the respondent is a faculty member, the review board will be composed of at least two faculty members. If the respondent is a staff member, the review board will be composed of at least two staff members. The complainant will select one member and the respondent will select one member from the applicable panel. The two selected members will choose the third person from the panel. None of the review board members shall be from the department of the respondent or the complainant (if applicable), *and at least one member should be from a different department than the other two members*. These three individuals will comprise the review board and will elect a chair from among them. The university president may remove any selected review board member if substantial proof of bias exists.

The chair of the review committee is responsible for coordinating the hearing. The complainant, the respondent, and the university all have the right to be advised by counsel, but lawyers will not be allowed to conduct or participate in the hearing. ~~The day~~ *At least five (5) business days prior* ~~days prior~~ to the scheduled review committee hearing, each side shall submit a list of its witnesses and four copies of its evidence to the chair. *The list of witnesses should contain a short description of the testimony each witness is expected to provide.* A list of witnesses and copy of the evidence will be provided to each side. ~~The rest of the review committee will not receive the material until the time of the hearing.~~ All materials presented must be maintained in a confidential manner by all

parties involved.

The ~~dean or director who conducted the investigation~~ investigator will apprise the review board of the charges and will normally present all relevant evidence ~~the investigation process, evidence and findings.~~ Both The complainant and respondent parties will have an opportunity to respond to the charges and present evidence. Each party may make a *five (5-minute) minute* opening statement prior to presentation of the evidence. The burden will be on the complainant to prove by a preponderance of the evidence that the respondent has committed an act of unlawful discrimination. Cross examination of the witnesses is allowed by all parties. Each party may make a *five (5) -minute* closing statement. The review board is permitted to question the parties and/or witnesses at any time during the proceeding.

The chair of the review board will conduct a fair hearing before the complainant and the respondent and shall allow relevant witnesses and evidence from both parties. The hearing shall be closed to the public. The general counsel and/or the director of human resources may be consulted in procedural matters ~~of the review board~~ and may be present at meetings. All information presented in the hearing is confidential to the extent allowed by law and restricted to only those who have an absolute need to know. The review board will normally have five (5) *business* days after the completion of the hearing to summarize its findings and make a written recommendation to the president.

Review by the President: The president may accept, reject, or modify the decision of the review board and will have access to all evidence, both parties, and witnesses as deemed appropriate. In all instances except those that involve the revocation of tenure or termination with an unexpired appointment extending beyond the date of the proposed dismissal, the decision of the president is final. In cases that involve the revocation of tenure or termination with an unexpired appointment extending beyond the date of the proposed dismissal, termination proceedings shall commence under university policy 7.29. Such termination proceedings shall not reconsider whether discrimination occurred, but rather determine if good cause exists for dismissal. Pending termination proceedings, a faculty member may be suspended and removed from the university or assigned to other duties with pay at the president's discretion. Final disposition of the case will be communicated to the respondent and the complainant.

Sanctions

University imposed: University sanctions for violations of this policy may include any disciplinary action, up to and including termination of employment for faculty or staff. Such activities may be viewed as constituting a violation of the Faculty Code of Conduct policy (7.11) and grounds for termination under the Tenure *and Continued Employment* policy (7.29), and a major work rule violation under the Discipline and Discharge policy (11.4).

Civil: Unlawful discrimination is illegal under state and federal law. Official governmental investigations by the Equal Employment Opportunity Commission, the Texas Commission on

Human Rights, and/or the Office of Civil Rights of the Department of Education may result in civil lawsuits against any person guilty of unlawful discrimination.

False charges may result in disciplinary action against the complainant by the university or civil charges against the complainant by the respondent. An unsubstantiated charge is not considered "false" unless it is found to be made with the knowledge of it being false.

Investigative Process for Student-to-Student Complaints

The dean for student affairs, or their appointee, shall investigate student to student complaints and follow the timeframes described in the preceding guidelines for employees. If student discipline is recommended, policy 10.45, Student Discipline-Code of Conduct will guide the proceedings. Informal and formal disposition procedures are outlined within the policy; and it contains full due process procedures.

Student Sanctions: Disciplinary action for student-to-student related complaints may range from sensitivity counseling to suspension or expulsion. False charges may also result in disciplinary action. An unsubstantiated charge is not considered "false" unless it is found to be made with knowledge of it being false.

Retaliation

A supervisor or employee commits an unlawful employment practice if the supervisor or employee retaliates or discriminates against a person, who (a) opposes a discriminatory or harassing practice, (b) makes or files a complaint alleging employment discrimination or harassment, (c) or testifies, assists, or participates in any manner in an investigation, proceeding, or hearing. Any employee who retaliates against another employee violates the university's policies and procedures and may be subject to disciplinary action up to and including termination. Instances of alleged retaliation shall be investigated pursuant to the procedures of this policy. A student violates this policy if the student retaliates or discriminates against a person. A student that violates this policy is subject to disciplinary action up to and including expulsion.

The dean/director (or other appropriate administrator) who investigated the complaint/investigator will be responsible for monitoring the circumstances surrounding the complaint to insure the situation has been remedied.

Training

The university is required by the Texas Labor Code 21.010 to provide EEO training to each new employee, including student employees on policies regarding discrimination, including sexual harassment, no later than 30 days after the date of hire. In addition, supplemental EEO training is required every two years. All employees will receive a copy of this policy within 30 days of employment. A signed statement verifying attendance training is required to be maintained in the

employee's personnel file.

Additional training shall be provided in accordance with applicable law.

Cross Reference: Faculty Code of Conduct (7.11); Tenure *and Continued Employment* (7.29); Discipline and Discharge (11.4); Student Discipline (~~Code of Conduct~~ (10.45); Sexual Misconduct (2.13); 42 U.S.C. § 2000e, e-2, e-3; 42 U.S.C. § 1981; 20 U.S.C. §§ 1681, 1684; 42 U.S.C. § 12101; 29 U.S.C. § 623; 29 U.S.C. § 794; 29 U.S.C. § 206(d); 8 U.S.C. § 1101; Tex. Lab. Code Ch. 21; Tex. Penal Code § 39.03; Pub. L. 88-352; Pub. L. 102-166; Pub. L. 110-233

Responsible for Implementation: President

Contact for Revision: Title IX Coordinator, Director of Human Resources, and the General Counsel

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Effort Reporting and Certification for Sponsored Activities

Policy Number: 8.1

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): This policy establishes requirements to facilitate compliance with laws and regulations concerning employee effort for salary expenditures and cost-sharing requirements related to grants, contracts and other sponsored agreements (grants).

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include basic updates and edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Effort Reporting and Certification for Sponsored Activities

Original Implementation: January 29, 2008

Last Revision: July 28, 2015

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

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

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

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

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

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

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

2. Effort certification reports are required for ~~faculty, staff, and students~~ *all employees* who devote effort (paid or cost-shared) to one or more grants. These records are generated by and retained in the Banner effort system for salaried individuals. For hourly paid individuals, certified time records are generated and retained in the TimeClock Plus system or recorded manually on time sheets retained by the department, and serve as alternate official effort certification records.
3. After-the-fact effort reporting is required for all sponsored projects grants regardless of the source of funds (Federal, state, or private). *After-the-fact reporting is defined as certification reports originated after the work has been performed.*
4. Project directors (PDs) or principal investigators (PIs) are responsible for ensuring that effort certification reports are completed accurately and in a timely manner for each individual subject to this policy from a grant for which they serve as PD/PI.

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

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

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

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

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Director~~Dean, Office of Research and ~~Sponsored Programs~~
Graduate Studies

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Affirmative Action Recruitment

Policy Number: 11.9

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): The policy outlines the guidelines for affirmative action

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Employee Affirmative Action/Recruitment Plan

Original Implementation: February 3, 2005

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

Stephen F. Austin State University affirms its intention to comply with an affirmative action/recruitment plan developed to assure equal access to employment opportunities.

Definitions

Affirmative action means that a search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups as required by federal regulations.

General

Equal opportunity is the law of the land. In the public sector of our society this means that all persons, regardless of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, or veteran status shall have equal access to positions in public service limited only by their ability to do the job. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression.

Vigorous enforcement of the laws against discrimination is essential. Equally important are affirmative, voluntary efforts to assure that positions in the public service are genuinely and equally accessible to qualified persons, without regard to their sex, racial or ethnic characteristics.

Stephen F. Austin State University is committed to equal employment opportunities and strongly feels that increasing diversity should be a significant part of the hiring process. Employment discrimination and retaliation on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, and gender expression shall be strictly prohibited.

It is the policy of the university to comply fully with all state and federal laws prohibiting employment discrimination and relevant court decisions interpreting those laws as it implements its affirmative action/recruitment plan.

~~The Texas Commission on Human Rights Act, codified in Chapter 21 of the Texas Labor Code, passed the 68th Texas Legislature in Special Session on June 26, 1983. Section 21.001 of the Texas Labor Code includes the general purpose of securing for Texans, including persons with disabilities, freedom from discrimination in certain employment transactions, in order to protect their personal dignity.~~

~~In keeping with the spirit of that Act,~~ Stephen F. Austin State University affirms that it shall be its public policy not to discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, or veteran status. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression. Further, the university shall take all necessary steps to ensure the employment and promotion of otherwise qualified classes who may be underrepresented in the ~~university's~~ ~~agency's~~ workforce.

The university is committed to the principles of equal employment opportunity law and the spirit of equal access. Therefore, a written plan has been prepared to ensure that Stephen F. Austin State University's affirmative action/recruitment plan shall be properly implemented, and no artificial barriers shall be intentionally or otherwise created to deny applicants or employees of the university's equal employment opportunities.

The document is available in the human resources office for review by university employees, applicants, and to the general public on request.

Program Responsibilities

Being a results-oriented program, Stephen F. Austin State University's affirmative action/recruitment plan shall have the support of the president, board of regents, and other management or supervisory personnel. Therefore, specific responsibilities shall be assigned and delegated to university management personnel to ensure that the necessary authority is available to implement the provisions of the plan.

The director of human resources shall be designated as the affirmative action/recruitment officer for the university with the authority for administering the plan. It shall be the responsibility of the director of ~~hHuman rResources~~ to ensure that compliance with the university's affirmative action/recruitment policies are implemented in an efficient and effective manner. The director of ~~hHuman rResources~~ shall maintain progress reports and information to support and monitor the plan.

~~The hHuman rResources~~ office should be contacted for specific procedures related to recruitment of faculty and staff.

Program Goal

The program's goal is to ensure objectivity, consistency, uniformity and job relatedness through design and implementation of appropriate personnel policy and procedural systems that affect the equal employment opportunities of the university's employees and applicants for employment.

Cross Reference: Tex. Lab. Code Ch. 21; Affirmative Action (11.1)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

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

Policy Number: 8.5

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): This policy defines facilities and administrative costs and provides guidelines for the use of these funds.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include basic edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

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

Original Implementation: October 26, 1999

Last Revision: ~~July 28, 2015~~ January 29, 2019

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

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

F&A Cost Recovery

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

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

Recovered F&A Distribution and Use

Recovered F&A is subject to the provisions of the Texas Education Code, Section 145.001:

“The retained funds are subject to the following requirements:

- (1) The funds shall be expended under guidelines approved by the institution's governing board for projects encouraging further research at the unit, agency, or department level at which the research was conducted, including:
 - (A) conducting early pre-grant feasibility studies;
 - (B) preparing competitive proposals for sponsored programs;
 - (C) providing carryover funding for research teams to provide continuity between externally funded projects;
 - (D) supporting new researchers pending external funding;
 - (E) engaging in research programs of critical interest to the general welfare of the citizens of this state;
 - (F) purchasing capital equipment directly related to expanding the research capability of the institution; and
 - (G) research or project administrative costs; and
- (2) the funds remaining after the application of Subdivision (1) shall be used by a general academic teaching institution or a medical or dental unit to support research as approved by a general academic teaching institution or a medical or dental unit.”

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

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Director~~ Dean, Office of Research and Sponsored Programs ~~Graduate Studies~~

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

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty Code of Conduct

Policy Number: 7.11

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): Tax-supported colleges and universities must function in accordance with the public trust, and actions by faculty within them must be consistent with the execution of that trust. This policy outlines offenses representing breaches of that trust and violations of the SFASU Faculty Code of Conduct.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Added a statement related to collegiality and minor edits for clarification purposes

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Faculty Code of Conduct

Original Implementation: April 28, 2005

Last Revision: ~~July 28, 2015~~ January 29, 2019

Tax-supported colleges and universities must function in accordance with the public trust, and actions by faculty within them must be consistent with the execution of that trust. The following offenses represent breaches of that trust and violations of the Stephen F. Austin State University Faculty Code of Conduct:

- A. Plagiarism;
- B. Forgery or unauthorized alteration or use of university documents, records or identification materials;
- C. Knowingly furnishing false information to the university, or failure to acquire and maintain appropriate licensure and certification required for supervision and practice;
- D. The use of violent or other forceful methods to obstruct the functions of the university, which include teaching, research, administration, public service, presentations by guest lecturers and speakers, and other authorized activities;
- E. Physical abuse of any person on university-owned or controlled property or at university-sponsored or supervised functions, or conduct that threatens or endangers the health or safety of any such person;
- F. Executing professional responsibilities related to teaching, research supervision, committee work, and similar faculty responsibilities that involve a student related to the faculty member within the second degree of affinity or third degree of consanguinity as defined in university policy 11.16, Nepotism;
- G. Theft of or negligent damage to the university or to the property of a member of the university community or a campus visitor;
- H. Unauthorized entry to or use of university facilities or resources;
- I. Unlawful manufacture, distribution, dispensing, possession, or use of controlled substances, or any substance the possession or distribution of which is regulated by federal or Texas law, except where the manufacture, distribution, dispensing, possession, or use are in accordance with the laws of each (See Illicit Drugs and Alcohol Abuse (13.11));
- J. Discrimination and/or sexual misconduct as determined under university policy (See Discrimination Complaints (2.11), Sexual Misconduct (2.13));

K. Lewd, indecent, or obscene conduct or language on university-owned or controlled property or at a university-sponsored or supervised function;

L. *Unprofessional conduct; that is, behavior that a reasonable person in a professional setting would find inappropriate, rude, disorderly, or offensive, and that is persistent, destructive and/or intimidating;*

M. Violation of other promulgated university policies or rules;

~~MN~~. Conviction of a criminal or civil offense that reflects negatively upon the university.

Procedures

1. Each faculty member is required to notify his or her immediate supervisor of any felonious criminal conviction no later than five days after such conviction. Additionally, each faculty member is required to notify his or her immediate supervisor of alleged violations of D, E, F, I, J or M no later than five days after any faculty member becomes aware of such alleged violation.
2. Faculty members are required to abide by the terms of this policy as a condition of employment.
3. Alleged violations of the standards established in this policy should immediately be brought to the attention of the academic unit head to whom the individual is responsible. The academic unit head will then immediately notify the dean of the college, if part of a college. The dean of the college, or academic unit head if not part of a college, will inform the provost and vice president for academic affairs of the alleged violation without delay. The provost and vice president for academic affairs will immediately notify the president and general counsel. The general counsel will determine whether the alleged violation should be investigated pursuant to the Faculty Code of Conduct or other applicable policy. If the investigation is to proceed under the Faculty Code of Conduct, the provost and vice president for academic affairs or his or her designee will immediately investigate the incident and promptly provide a written report to the president which includes the allegation, scope, findings and results of the investigation, and recommendation for action, if any. The president may accept, modify, or reject the report and/or recommendation. The faculty member will be notified in writing of the president's determination and any action to be taken.
4. Violations of the standards established in this policy can result in the assessment of a penalty ranging from an oral reprimand to termination. Tenured and tenure-track faculty members are also subject to standards and procedures in the Tenure policy (7.29).

5. Faculty members may appeal disciplinary action, other than dismissal or non-renewal, taken pursuant to this policy by following the appeal procedure outlined in Faculty Disagreements (7.25). If the president determines that dismissal or non-renewal is appropriate, the procedures outlined in Termination and Non-Renewal of Contracts Procedural Guarantees in Tenure (7.29) will control.

Cross Reference: Tenure (7.29); Discrimination Complaints (2.11); Sexual Misconduct (2.13); Property Inventory and Management (17.14); Use of University Facilities (16.33); Illicit Drugs and Alcohol Abuse (13.11); Faculty Disagreements (7.25); Misconduct in Scholarly or Creative Activities (7.19); Misconduct in Federally Funded Research (8.7); Ethics (2.6)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty Compensation

Policy Number: 12.6

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): Stephen F. Austin State University (SFA) is responsible for securing a qualified and competent faculty and for utilizing public funds for faculty salaries and wages in an effective manner.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include basic edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Faculty Compensation

Original Implementation: February 3, 2005

Last Revision: ~~July 28, 2015~~ January 29, 2019

Stephen F. Austin State University (SFA) is responsible for securing a qualified and competent faculty and for utilizing public funds for faculty salaries and wages in an effective manner.

1. Faculty Employee

Faculty personnel are any university employees with academic rank or duties that include teaching, research, academic administration, or other scholarly activity and who are paid in full or in part from the line item "Faculty Salaries" or from *another* academic funding source. The provost and vice president for academic affairs, associate provost, and academic deans are considered staff for purposes of this policy.

2. Authority to Set Compensation

The Board of Regents has the authority to set compensation levels paid to faculty members through review and adoption of the annual operating budget. The itemized budget specifies the salary authorized for each position. The provost and vice president for academic affairs must give initial approval of all changes to budgeted faculty positions outside of the annual operating budget.

3. General Compensation

It is the policy of the university to distribute *funds for salaries and wages* fairly and equitably. ~~funds available for salaries and wages.~~ Initial faculty salaries are determined based on a combination of factors, including the funding available for the position, the academic discipline, faculty rank at the time of appointment [see Academic Appointments and Titles (7.2)], highest degree earned, the job description, professional experience, market value, and the needs of the department and college. ~~Upon the Salary recommendations by of the chair-academic unit head and dean are submitted to ,the provost for approval. es all faculty salaries prior to hiring.~~

4. Non-Discrimination

All position and salary range assignments will be made on the basis of the work to be performed without regard to race, color, religion, sex, age, disability, national origin, genetic information, citizenship, veteran status, ~~or~~ marital status, *sexual orientation, gender identity, or gender expression*, and in accordance with the laws, policies, and regulations of the United States government, the state of Texas, and the ~~Board of Regents~~

of SFA university.

5. Administration of Faculty Compensation

The provost and vice president for academic affairs, in conjunction with the academic deans, has responsibility for the administration of this policy. *Academic Unit* heads will recommend compensation for their employees in accordance with university policies, procedures, and guidelines.

6. Faculty Compensation

- a. General Information: Faculty salaries are normally budgeted for a 9-month period. Faculty members are compensated on the basis of a fair and reasonable workload. See Faculty Workload (7.13). Under the Federal Wage and Labor Law, faculty employees are exempt from overtime regulations.
- b. Market Data: University administrators will use the College and University Professional Association for Human Resources (CUPAHR) as its primary determinant of the market value for faculty salaries. Other relevant market data will be considered when appropriate.
- c. Compensation for Summer Teaching: Summer teaching is not guaranteed. See Summer Teaching Appointments (7.28). ~~Normally, faculty members are compensated for summer teaching at a rate of 1/6 of their 9-month teaching salary for a 100% teaching assignment for each summer session. In certain budgetary circumstances, the rate of compensation may be adjusted. Compensation is prorated for assignments less than two teaching units.~~ Compensation for summer teaching is provided through the SFA summer budget.
- d. Compensation for Adjunct Faculty: When considered necessary to hire adjunct faculty to teach courses, the compensation should be based on the following ranges:

Years of Experience Salary Range (per course)	
Zero to Six	\$2,500 - \$3,000
Seven to Ten	\$2,650 - \$3,200
Over Ten	\$2,800 - \$3,800

e. Stipends may vary by college, discipline, need, and the educational level of the proposed adjunct faculty member. Any variation must be recommended by the chair and dean and approved by the provost and vice president of academic affairs prior to appointment.

~~f.~~ Additional Compensation: In instances where faculty members provide services outside of their normal teaching duties, they may be eligible for additional

compensation. See Salary Supplements, Stipends and Additional Compensation (12.16).

~~g.f.~~ Overload Compensation: In instances where faculty members are needed to teach an overload, they may be eligible for overload compensation. At a minimum, the overload compensation will be comparable to that of an adjunct faculty member. Upon the recommendation of the ~~department~~ *academic unit* head and dean and approval of the provost and vice president of academic affairs, overload compensation may vary based on the funding available, needs of the department, and qualifications of the faculty member.

~~h.g.~~ Associate Dean, Assistant Dean or ~~Department~~ *Academic Unit* Head Compensation: When appointed as an associate dean, assistant dean, or *academic unit* ~~department~~ head, a faculty member may receive a combination of a stipend and reassignment time for performing administrative duties. See Academic Unit Head Appointments (4.2).

~~h.h.~~ Grants, Endowments, and Other Arrangements: Grants, endowments, awards and other arrangements may provide for an additional stipend or salary support for a faculty member within applicable regulatory parameters. See Compensation from Grants, Contracts and Other Sponsored Agreements (12.1).

7. Increases in Compensation

- a. General Increases: All salary increases for faculty members, unless otherwise mandated by the state's legislature, will be based on merit and/or equity. Quality of teaching, research, scholarly/creative activity, administrative responsibilities, and service may be considered in the merit process. Equity adjustments may be awarded based on the recommendations of the ~~department~~ *academic unit* head and dean, subject to the approval of the provost and vice president of academic affairs.
- b. Recommendations: *Academic unit* ~~Department~~ heads will recommend salary rates, equity adjustments, and merit increases in the annual department budget request based on the budget guidelines issued by the president. The recommendations will, in turn, be submitted to the appropriate academic dean and the provost and vice president of academic affairs for approval. Each faculty member is to provide an annual performance report to the ~~department~~ *academic unit* head for use in consideration of a merit increase. See ~~Consideration for~~ Faculty Merit Pay (7.6).
- c. Salary Increases for Promotion: Faculty members, through the promotion process [see Academic Promotion (7.4)], are awarded increases in the subsequent budget year based on budgeted resources and the promotion rank.

Cross Reference: Academic Appointment and Titles (7.2); Academic Promotion (7.4); Academic Unit Head Appointments (4.2); ~~Faculty Compensation (12.6);~~ Faculty Workload (7.13); Salary Supplements, Stipends and Additional Compensation (12.16); Compensation from Grants, Contracts and Other Sponsored Agreements (12.1); ~~Consideration for~~ Faculty Merit Pay (7.6); Summer Teaching Appointments (7.28).

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty/Staff Athletic Ticket Purchases

Policy Number: 12.8

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

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Allows for discounted ticket prices for university faculty/staff.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Clarifying that eligibility for discounted season tickets is limited to faculty, staff, and retirees. Such individuals may continue to purchase as many season tickets as they desire. Deleted procedure from policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ryan Ivey, Director of Athletics
Dr. Steve Westbrook, Acting President
Damon Derrick, General Counsel

Faculty/Staff Athletic Ticket Purchases

Original Implementation: Unpublished

Last Revision: ~~January 26, 2016~~ January 29, 2019

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

~~Season ticket applications are mailed annually to each faculty/staff member who purchased tickets the previous year. Information on season tickets is distributed annually to each employee via a campus wide email and in SFA Today in order to contact as many new faculty/staff members as possible and to offer faculty/staff who did not purchase tickets the previous year a chance to do so. The Department of Intercollegiate Athletics will inform university faculty and staff of the availability of discounted season tickets on at least an annual basis. Faculty/staff season tickets are not honored during post-season play.~~

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: Director of Intercollegiate Athletics

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: File Maintenance for Faculty Personnel Files

Policy Number: 4.6

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): To meet SACs requirements, the following guidelines have been established to address the contents of the file and the designated office responsible for maintaining the file.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Updated titles.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

File Maintenance for Faculty Personnel Files

Original Implementation: October 31, 2000

Last Revision: ~~July 28, 2015~~ January 29, 2019

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

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

Full-time academic rank faculty

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

Filed in the Office of the College Dean:

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

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

Graduate teaching assistants (when instructor of record)

- Curriculum vitae
- Official transcripts from all degree granting institutions attended or verification that official transcripts are in the ~~Office of the Dean of the Graduate School~~ *Office of Research and*

Graduate Studies.

- Three letters of reference
- Faculty Certification of Credentials form

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Final Examination Scheduling

Policy Number: 7.14

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

Date of last revision, if applicable: 11/2/2015

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

Purpose of Policy (what does it do): To ensure that faculty members hold class during finals week according to the official final exam schedule.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Final Examination Scheduling

Original Implementation: June 16, 1982

Last Revision: ~~November 2, 2015~~ January 29, 2019

Faculty members will hold class during finals week according to the official final exam schedule. Any exceptions must be approved by the academic unit head prior to the start of the semester.

Class meetings during finals week, for courses taught at times not listed in the final exam schedule, including but not limited to distance education courses, online courses, and evening or weekend courses, should be scheduled in consideration of resource availability.

All final examinations or ~~instructional~~ *course* activities must be scheduled to conclude by midnight on the last day of the final exam schedule. Exceptions may be made by the appropriate academic dean.

Cross Reference: Faculty Handbook; Dead Week (7.8)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Fixed Amount Awards

Policy Number: 8.12

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): Defines fixed amount awards both to the university (federal and non-federal) and from the university.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include basic edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Fixed Amount Awards

Original Implementation: July 28, 2015

Last Revision: ~~None~~ January 29, 2019

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

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

Fixed Amount Awards to the University

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

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

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

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

Non-Federal Awards

1. The PI/PD will certify that the sponsor has accepted all required deliverables, the controller's office will confirm that the sponsor has made final payment. *If the remaining balance exceeds \$500, and* the full federally-negotiated F&A rate will be charged against the award. Any residual balance should be no more than 20% of the original award.

2. If the residual balance is less than 20% of the original award, (up to \$10,000 or 25% of the residual balance, whichever is less), ~~is then the amount~~ is transferred to a fixed-price residual (FPR) fund for the PI/~~or~~ PD, or into an FPR fund established for a university-recognized center. The remaining balance in excess of 25% or \$10,000 is transferred to a designated fund pool to be used in support of research and development.

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

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

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

Federal Awards

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

Fixed Amount Awards from the University

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

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Director~~*Dean*; ~~Office of Research and Sponsored Programs~~*Graduate Studies*

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

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Grants and Contracts Administration

Policy Number: 8.3

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): The Office of Research and Graduate Studies establishes and makes available procedures for the programmatic administration of grants, contracts and other sponsored agreements.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Updates of titles

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Grants and Contracts Administration

Original Implementation: August 1, 2000

Last Revision: ~~July 28, 2015~~ January 29, 2019

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

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

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Director~~ *Dean*, Office of Research and ~~Sponsored Programs~~ *Graduate Studies*

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Health and Safety

Policy Number: 13.10

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

Date of last revision, if applicable: 1/26/2016

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

Purpose of Policy (what does it do): This policy establishes SFA's commitment to employee, student, and visitor health and safety, while meeting OSHA's requirements.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The purpose of the policy and general information were edited to better reflect the requirements of OSHA and to establish the authority and responsibility for the management of SFA's Health and Safety Program.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dr. Jeremy K. Higgins, Director of Environmental Health, Safety and Risk Management
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Health and Safety

Original Implementation: February 11, 1977

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy affirms the university's commitment to protect *the health and safety of its employees, students, and the general public, as well as the university's physical and financial assets. This document establishes the authority and responsibility for the proper management of the university's health and safety program, which is achieved through appropriate compliance with university policies, procedures, and applicable laws and regulations. its human and physical resources and to maintain a safe and healthful environment that allows the university to accomplish its goals.* It also intends to create an awareness of and a commitment to an effective safety program among all members of the university community.

Definitions

Risk Management for Texas State Agencies (RMTSA) Guidelines is the *primary* program document for the university's safety and health program. It is developed by the State Office of Risk Management and provides the direction and basis for developing and implementing a comprehensive risk management program.

General

The primary concern of ~~this~~ *health and safety* program is the safety and well-being of the students, faculty, staff, and visitors. The program is promoted through safety procedures, *hazard identification, training, identification of hazards, and initiation of loss-control measures aimed at the focused on the overall reduction of accidents and risk. This policy applies to all university employees, students, university affiliates, visitors, and owned or leased facilities, buildings, or property.*

Responsibility and coordination of various aspects of the university's *health and safety* program is vested in the Environmental Health, Safety, & Risk Management (EHS&RM) Department that reports to the vice president for finance and administration of the university. *EHSRM will ensure the university is compliant with all applicable federal and state laws and regulations relating to health and safety. The Risk Management for Texas State Agencies Guidelines, published by the State Office of Risk Management, is the primary program document for the university's safety and health program. While health and safety compliance rests primarily with EHSRM, it is also the responsibility of all university members to comply with the health and safety policy, procedures, trainings, and inspections.*

Responsibilities are assigned to individuals at appropriate levels of authority and expertise as follows:

- ~~The responsibility for physical safety, fire and life safety protection and emergency protocols, occupational health and safety, emergency procedures, risk management, safety training and inspections, workers' compensation, acquiring adequate property insurance~~

coverage, environmental safety, hazardous and radioactive materials, asbestos management, laboratory safety, and accident prevention and investigation is assigned to the director of environmental health, safety, and risk management (EHS&RM), who reports to the vice president for finance and administration. The director of EHS&RM also serves as the official university contact for federal and state agencies regarding environmental and occupational safety and health.

-
- The responsibility for campus security, emergency procedures, traffic control, criminal investigation, and civil order is assigned to the chief of university police who reports to the vice president for university affairs.
-
-
- The responsibility for the maintenance of the health of students is assigned to the director of university health services, who reports to the vice president for university affairs.

Providing a Safe Workplace

Facilities will be designed in a manner consistent with health and safety regulations and standards of good design. University departments responsible for the design, construction, and/or renovation of facilities shall consult *in a timely manner* with EHS&RM to ensure that there is appropriate health and safety review of facility concepts, designs, *fire protections*, and plans.

Faculty and staff supervisors, in coordination with EHSRM, shall ensure that personnel receive proper safety training as required by their job task or by result of hazard identification. SFA encourages employees and students to report health and safety hazards to their supervisors or EHS&RM. Employees and students shall not be retaliated against in any manner for bona fide reporting of health and safety hazards to SFA.

Faculty and staff supervisors, in coordination with EHS&RM, shall ensure that regular, periodic inspections of workplaces are conducted to identify and evaluate workplace hazards and unsafe work practices. Means of correcting discovered hazards and/or protecting individuals shall be determined and implemented appropriately and in a timely manner. Unsafe conditions which cannot be corrected by the supervisor must be reported to ~~the next higher level of department management~~ *and EHSRM*.

Any individual who becomes aware of a ~~serious concealed danger to~~ *situation immediately dangerous to* health or safety shall ~~immediately~~ *promptly* report the danger to ~~the EHS&RM Department~~ and to the faculty, staff, and students who may be affected. The director of EHS&RM has the authority to intervene or shut down any university activity considered to present a clear and imminent danger to health or safety. This shall remain in effect until the danger has passed or been mitigated to the extent that the imminent danger no longer exists.

Support

In addition to these ~~specific aforementioned and specifically assigned~~ responsibilities, it shall

be the general responsibility of all SFA employees and students to keep themselves informed of conditions affecting their health and safety; to comply with SFA health and safety policies, programs, procedures, and practices; to participate in training *and inspection* programs provided by their supervisors and EHS&RM; and to adhere to healthy and safe practices in their workplace, classroom, and laboratories.

Management and supervisors are responsible for protecting the health and safety of employees and students under their supervision by implementing SFA health and safety policies, practices, and programs; ~~by and~~ ensuring *all laboratories*, workplaces, and equipment are safe and well maintained; and by ensuring that workplaces or laboratories are in compliance with federal, state, and local regulations. ~~They~~ Supervisors are also responsible for the education of their employees and students ~~in regard to~~ concerning proper job procedures and recognized hazards before making task assignments.

Implementation

In all university activities and endeavors, safety is the first concern. The members of the university community shall comply with all federal, state, and local statutes, rules, regulations, and codes by which the university is bound. They shall also attempt to comply with the spirit of any non-binding requirement which would further the university's intent to provide and maintain a safe and healthful environment in which to work, study, and live.

Cross Reference: Risk Management (13.19); Tex. Health & Safety Code Ch. 502

Responsible for Implementation: President

Contact For Revision: ~~President,~~ Director of Environmental Health, Safety, and Risk Management.

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Illicit Drugs and Alcohol Abuse

Policy Number: 13.11

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

Date of last revision, if applicable: 7/1/2015

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Define and state federal, state and local laws

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Updated terminology and definitions.
Updated services provided by departments, procedures, and building/services names.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Jill Miley, Director of Counseling Services
Hollie Smith, Acting Dean of Student Affairs
Michael Walker, Assistant Dean of Student Affairs for Support Services
Peggy Scott, Director of Office of Student Rights and Responsibilities
Dr. Steve Westbrook, Acting President
Damon Derrick, General Counsel

Illicit Drugs and Alcohol Abuse

Original Implementation: September 1, 1986

Last Revision: ~~July 28, 2015~~ January 29, 2019

It is the declared policy of the United States government to create a drug-free America. As a part of that policy, the Drug-Free Workplace Act of 1988, 41 U.S.C. §§ 701-707, was adopted. On December 12, 1989, President Bush signed the Drug-Free Schools and Communities Act Amendment of 1989, 20 U.S.C. § 1011i, which amends provisions of the Drug-Free Schools and Communities Act of 1986 and the Higher Education Act of 1965. University policies relating to the use of illegal drugs and alcoholic beverages have been established by the Board of Regents of Stephen F. Austin State University in compliance with state and federal law.

Definitions

1. Controlled substance means a controlled substance in schedules I through V of the Schedules of controlled substances, 21 U.S.C. § 812. Examples include, but are not limited to: heroin, marijuana, mescaline, peyote and cocaine. This definition does not include medication prescribed by a physician.
2. Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes.
3. Criminal drug statute means a criminal statute involving manufacture, distribution, dispensation, use or possession of any controlled substance.
4. Federal agency means an agency as that term is defined in 5 U.S.C. § 551(1).

Standards of Conduct

It is the university's policy that all members of the university community and guests are required to comply with federal, state and local laws regarding the possession, consumption and distribution of alcoholic beverages. All employees (full-time and part-time faculty, staff and students) are prohibited from engaging in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcoholic beverage in the workplace, or reporting to work under the influence of alcoholic beverages or illegal drugs. None of the funds appropriated to the university by the state legislature for travel expenses may be expended for alcoholic beverages.

Alcoholic beverages will be permitted at authorized events on university controlled property only as allowed under ~~the Alcohol Service policy (13.7)~~ *university policy*. The unauthorized use of intoxicating beverages on university-controlled property or at university-sponsored activities, including, but not limited to, intercollegiate and intramural athletic events is prohibited. Alcoholic beverages are not permitted in university residence halls.

It is the policy of Stephen F. Austin State University that any unlawful manufacture, possession or

delivery of any controlled substance or illegal drug is strictly prohibited. Moreover, it is the policy of the state of Texas and of this university that this institution will be as free of illegal drugs as it can possibly be.

Health Risks

ALCOHOL ABUSE

Alcohol is a primary and continuous depressant of the central nervous system. Impairment of judgment and of recently learned, complex and finely tuned skills begins to occur at blood alcohol concentrations as low as 0.025 percent. These impairments are followed by the loss of more primitive skills and functions, such as gross motor control and orientation at concentrations in excess of 0.05 percent. Alcohol in moderate doses impairs nearly every aspect of information processing, including the ability to abstract and conceptualize, the ability to use large numbers of situational cues presented simultaneously, and the cognitive ability to determine meaning from incoming information. Alcohol consumption can therefore promote action on impulse without full appreciation of, or concern about, the potential negative consequences of such action. Chronic long-term effects of heavy drinking over a period of years can result in brain damage; cancer of the mouth, esophagus or stomach; heart disease; liver damage resulting in cirrhosis, alcoholic hepatitis, and cancer of the liver; peptic ulcer disease; and possible damage of the adrenal and pituitary glands. Prolonged, excessive drinking can shorten life span by 10 to 12 years.

ILLICIT DRUGS

Illicit drugs include narcotics, such as heroin or morphine; depressants, such as barbiturates, *quaaludes*, or valium; stimulants, such as cocaine or "crack"; hallucinogens, such as PCP, LSD or mescaline; cannabis, such as marijuana or hashish; inhalants, such as nitrous oxide, amyl nitrite (poppers) or various hydrocarbon solvents; and designer drugs, such as α -methylfentanyl (China White), methamphetamine (*Meth/Crank/Speed*), 3,4-methylenedioxy-methamphetamine (*MDMA*/Ecstasy) or meperidine (Demerol).

Narcotics. Narcotics initially produce a feeling of euphoria that is often followed by drowsiness, nausea and vomiting. Tolerance may develop rapidly and dependence is likely. The use of contaminated syringes may result in diseases such as human immunodeficiency virus (HIV), endocarditis (inflammation of the lining of the heart) and hepatitis.

Depressants. The effects of depressants are in many ways similar to the effects of alcohol. Small amounts can produce calmness and relaxed muscles, but a somewhat larger dose can cause slurred speech, ataxia or unstable gait, and altered perception. Very large doses can cause respiratory depression, coma and death. The combination of depressants and alcohol can multiply the effects of the drugs, thereby multiplying the risks. The use of depressants can cause both physical and psychological dependence.

Stimulants. Cocaine stimulates the central nervous system. Its immediate effects include dilated pupils; elevated blood pressure, heart and respiratory rate; and increased body temperature. Occasional use can cause a stuffy or runny nose, while chronic use can ulcerate the mucous membrane of the nose with long-term use eroding the nasal septum. The injection of cocaine with unsterile equipment can cause human immunodeficiency virus (HIV), hepatitis and other diseases. Preparation of freebase, which involves the use of volatile solvents, can result in death or injury from fire or explosion. Cocaine can produce psychological and physical dependency. In addition, tolerance develops rapidly. Crack or freebase rock is extremely addictive. The physical effects include dilated pupils, increased pulse rate, elevated blood pressure, insomnia, loss of appetite, tactile hallucinations, paranoia and seizures. Overdoses occur easily.

Hallucinogens. *Include a diverse group of drugs that alter perception (awareness of surrounding objects and conditions), thoughts, and feelings. They cause hallucinations, or sensations and images that seem real though they are not. Hallucinogens can be found in some plants and mushrooms (or their extracts) or can be human-made. Common hallucinogens include the following: ayahuasca, DMT, D-lysergic acid diethylamide (LSD), peyote (mescaline), and 4-phosphoryloxy-N,N-dimethyltryptamine (psilocybin). Some hallucinogens also cause users to feel out of control or disconnected from their body and environment.* Phencyclidine (PCP) users frequently report a sense of distance and estrangement. Time and body movement are slowed down. Muscular coordination worsens, and senses are dulled. Speech is blocked and incoherent. Chronic PCP users report persistent memory problems and speech difficulties. Mood disorders, such as depression, anxiety and violent behavior, may also occur. In late stages of chronic use, users often exhibit paranoid and violent behavior and experience hallucinations. Large doses may produce convulsions and coma, heart failure, lung problems and/or ruptured blood vessels in the brain. Lysergic acid (LSD), mescaline and psilocybin cause *perceptual distortions (mixed senses, such as "seeing" sounds or "hearing" colors)* illusions and hallucinations. The physical effects may include dilated pupils, elevated body temperature, increased heart rate and blood pressure, loss of appetite, sleeplessness and tremors. Sensations and feelings may change rapidly. It is common to have adverse ~~bad~~ psychological reaction to LSD, mescaline and psilocybin. The user may experience panic, confusion, suspicion, anxiety and loss of control. Delayed effects or flashbacks can occur even after use has ceased.

Inhalants. The chemicals in most inhalants are rapidly absorbed in the lungs and exert their central nervous system effects within seconds, producing an altered mental state for about five to fifteen minutes. Immediate effects of inhalants include nausea, sneezing, coughing, nose bleeds, fatigue, lack of coordination and loss of appetite. Solvents and aerosol sprays can decrease the heart and respiratory rates and impair judgment. Amyl and butyl nitrite can cause rapid pulse, headaches, and involuntary passing of urine and feces. Inhalation of toluene as well as other hydrocarbons has been associated with kidney and liver damage, peripheral nerve problems, convulsions, encephalopathy (organic brain damage) and other central nervous system disorders. Sudden death associated with both glue sniffing and especially the inhalation of aerosols containing halogenated hydrocarbons

(Freon) has been reported and is thought to be secondary to cardiac arrhythmias (abnormal electrical conduction patterns in the heart).

Marijuana. The short term effects of marijuana include distortion of time perception, increased heart rate, dilation of blood vessels and loss of short-term memory. Also decreased are visual perception and psychomotor skills, which have adverse effects on driving ability. The effects of long-term use include loss of motivation, chronic bronchitis, decreased vital lung capacity and an increased risk of lung cancer. Tolerance and psychological dependence develop with marijuana.

~~Designer~~ *Other Illegal Drugs.* Designer drugs are synthetic chemical modifications of older drugs of abuse that are designed and manufactured in covert laboratories and sold at great profit for recreational use. These drugs can be several hundred to several thousand times stronger than the drugs they are designed to imitate. Designer drugs similar to opiates include fentanyl, demerol, and "china white." The narcotic analogs of designer drugs can cause symptoms such as those seen in Parkinson's disease - uncontrollable tremors, drooling, impaired speech, paralysis and irreversible brain damage. Analogs of amphetamines and methamphetamines cause nausea, blurred vision, chills or sweating and faintness. Psychological effects include anxiety, depression and paranoia. Withdrawal problems include sweating, diarrhea, fever, insomnia, irritability, nausea and vomiting, and muscle and joint pain. *Flunitrazepam (Rohypnol) is a benzodiazepine chemically similar to prescription sedatives such as Valium and Xanax but much more powerful and has been used to commit sexual assaults due to its ability to sedate and incapacitate unsuspecting victims. Similarly, Gamma-hydroxybutyrate (GHB) is a depressant and is sometimes used as a date rape drug.*

Synthetic cannabinoids are part of a group of drugs called new psychoactive substances (NPS). NPS are unregulated mind-altering substances that have become newly available on the market and are intended to produce the same effects as illegal drugs. Synthetic cannabinoids are marketed under a wide variety of specific brand names, including K2, Spice, Joker, Black Mamba, Kush, and Kronic. Synthetic cannabinoids are not safe and may affect the brain much more powerfully than marijuana; their actual effects can be unpredictable and, in some cases, more dangerous or even life-threatening. Synthetic cathinones, more commonly known as "bath salts," are human-made stimulants and are include in the group of NPS. Common effects of synthetic cathinones included elevated heart rate, blood pressure, and chest pain. Other effects include delirium, dehydration, breakdown of skeletal muscle tissue, and kidney failure. Intoxication from synthetic cathinones can result in death.

University Penalties

STUDENTS

Any student who is determined, through the regular disciplinary procedures of the university, to have violated the policy on the use of illicit drugs will be suspended from the university for no

more than two years and no less than the remainder of the current semester. *This includes suspension for possession of illegal drugs and the potential for expulsion for the sale or distribution on campus.* At the discretion of the vice president for university affairs or his/her designee, a student suspended under this policy may, under certain conditions, remain enrolled at the university on disciplinary probation. These conditions can include substance abuse evaluation, treatment and/or counseling. Any cost for services or treatment not offered as a student service on campus will be the responsibility of the student.

University sanctions imposed for alcohol possession or consumption can include progressive levels of probation leading to suspension for multiple offenses, attendance at an alcohol education class offered by the university, community service, substance abuse evaluation, treatment and/or counseling. Any cost for services or treatment not offered as a student service on campus will be the responsibility of the student.

EMPLOYEES

All employees (full-time and part-time faculty, staff and students) are prohibited from engaging in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcoholic beverage in the workplace, or reporting to work under the influence of alcoholic beverages or illegal drugs. None of the funds appropriated to the university by the state legislature for travel expenses may be expended for alcoholic beverages.

Observance of the policy regarding alcoholic beverages and illegal drugs is a condition of employment for all university employees. An employee violating this policy shall be subject to employment discipline up to and including termination, or shall be required to undergo satisfactory participation in a drug abuse assistance or rehabilitation program, such as the Employee Assistance Program of the university.

Any employee directly engaged in the performance of work pursuant to the provision of a federal grant or contract who is convicted of violating a criminal drug statute shall notify his/her immediate supervisor of the conviction no later than five days after the conviction. The immediate supervisor shall promptly report the conviction to the appropriate vice president and the ~~director~~-~~dean~~ of research and ~~sponsored programs~~*graduate studies*. On behalf of the university, the ~~director~~-~~dean~~ of research and ~~sponsored programs~~*graduate studies* ~~shall~~*will* notify the federal agency grantor or contractor of the conviction within ten days of the university's receipt of notice from the employee or of receipt of other actual notice.

Good Faith Effort

Stephen F. Austin State University shall make a good faith effort to maintain a drug-free workplace by implementing and enforcing this policy. The university shall also comply with United States Department of Transportation regulations regarding drug testing of drivers with a commercial

driver's license.

Federal Law

Offense	Minimum Punishment	Maximum Punishment
Manufacture, distribution or dispensing drugs (includes marijuana)	A term of imprisonment not more than 20 years, and a minimum fine of \$1,000,000	A term of life imprisonment without release (no eligibility for parole) and a fine not to exceed \$4,000,000 (for an individual) or \$20,000,000 (if other than an individual)
Possession of drugs (including marijuana)	Civil penalty in amount not to exceed \$10,000	Imprisonment for not more than 20 years or not less than 5 years, a fine of not less than \$5,000 plus costs of investigation and prosecution
Operation of a common carrier under the influence of alcohol or drugs		Imprisonment for up to 15 years and a fine not to exceed \$250,000

Texas Law

Offense	Minimum Punishment	Maximum Punishment
Manufacture or delivery of controlled substances (drugs)	Confinement in the Texas Department of Criminal Justice State Jail facility for a term of not more than two years or less 180 days, or confinement in a community correctional facility for not more than 1 year, and a fine not to exceed \$10,000	Confinement in TDCJ for life or for a term of not more than 99 years or less than 15 years, and a fine not to exceed \$250,000
Possession of controlled substances (drugs)	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000	Confinement in TDCJ for life or for a term of not more than 99 years or less than 15 years, and a fine not to exceed \$250,000
Delivery of marijuana	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000
Possession of marijuana	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000	Confinement in jail for a term of not more than 2 years or less than 30 days, or confinement in TDCJ for a term of not more

		than 10 years or less than 2 years and a fine of not more than \$10,000
Driving while intoxicated (includes intoxication from alcohol, drugs, or both)	Confinement in jail for a term of not more than two years or less than 72 hours, and a fine of not more than \$2,000, possible loss of driver's license and license surcharge up to \$2,000 per year for three years.	Confinement in jail for a term of not more than two years or less than 30 days, or confinement in TDCJ for a term of not more than ten years or less than two years and a fine of not more than \$10,000
Public intoxication		A fine not to exceed \$500
Purchase or consumption or possession of alcohol by a minor	Fine of not more than \$500	For a subsequent offense a fine of not less than \$250 nor more than \$2000
Sale of alcohol or furnishing alcohol to a minor	Fine of up to \$4,000 and/or up to 1 year in jail	Both
Purchase of alcohol or furnishing alcohol to a minor at a gathering involving abuse of alcohol, including binge drinking or coercion	In addition to any other penalty, community service for not less than 20 hours, attendance at an alcohol awareness program, and suspension of driver's license for 180 days.	In addition to any other penalty, community service for not more than 40 hours, attendance at an alcohol awareness or driving awareness program, and suspension of driver's license for 180 days.
Driving under the influence of alcohol by a minor	Fine of not more than \$500 and community service related to education about or prevention of misuse of alcohol.	A fine of not less than \$500 or more than \$2,000, confinement in jail not to exceed 180 days and/or both; community service related to education about or prevention of misuse of alcohol.

Limited Immunity When Requesting Medical Assistance

A minor does not commit an offense for consumption or possession of an alcoholic beverage if the minor: (1) requests emergency medical assistance in response to the possible alcohol overdose of the minor or another person; (2) was the first person to make a request for medical assistance; and (3) if the minor requested emergency medical assistance for the possible alcohol overdose of another person, the minor remained on the scene until medical assistance arrives and cooperated with medical assistance and law enforcement personnel.

This immunity shall also apply to the imposition of any university sanction.

Limited Immunity When Reporting Sexual Assault

A minor does not commit an offense for consumption or possession of an alcoholic beverage if the minor reports the sexual assault of the minor or another person, or is the victim of a sexual assault reported by another person, to: (1) a health care provider treating the victim of sexual assault; (2) an employee of a law enforcement agency, including the University Police Department; or (3) the Title IX Coordinator or other university employee responsible for responding to reports of sexual assault. The alleviation of sanctions will not apply to any student found to be responsible for committing a sexual assault.

This immunity shall also apply to the imposition of any university sanction.

Counseling, Treatment and Rehabilitation

STUDENTS

Stephen F. Austin State University, through the counseling services office, *provides individual and group counseling, including counseling for alcohol/other drug prevention and intervention, which is available to all students.* ~~alcohol/drug abuse prevention service which is available to all students.~~ Services include assistance in abstaining from the use of chemical substances, early intervention when chemical abuse is detected, and referral to ~~a campus support system and/or a community referral resources~~ for inpatient/outpatient services not available on campus. Medical counseling and printed information on chemical dependency are available through ~~University Health Services, the campus student health facility~~ *the Student Health Clinic*. Students may seek individual counseling or request printed information at either campus location.

Prevention/Education.

Consistent with the overall objective of this policy to prevent the unlawful possession, use, or distribution of illicit drugs and alcohol by students and employees on campus, prevention and education initiatives are designed to: increase awareness of the students, faculty, and staff concerning the psychological and health risks associated with chemical use; provide information to students regarding a variety of wellness issues which promote successful college adjustment; and, orient students, faculty and staff to the services available on campus and locally for treatment options. The Lumberjacks Care Peer Educator program (Student Wellness Action Team) offer presentations to student groups on a variety of topics including alcohol and substance abuse, adult children of alcoholics, assertiveness skills, stress and time management, self-esteem and related issues. Public programing occurs throughout the year across campus including but not limited to, wellness fairs, campus events, passive tabling, and Residence life programs. In addition, student groups, departments, or individual courses, may request private trainings addressing the risk of substance abuse and other wellness programing by contacting the Lumberjacks Care office.

On request, Counseling Services provides presentations on a variety of topics including healthy stress management techniques, maintaining personal wellness, and other mental health related topics, which include information designed to increase awareness of the psychological and health risks associated with chemical use.

Referral/Assessment.

Any SFA student requiring information about, or assistance with, a chemical abuse problem may be referred to the assistance program counseling services. A student may initiate a self-referral by contacting the counseling office; university faculty and staff may initiate a student referral.

Participation by a student is voluntary, except when mandated by the student conduct authority. A counselor conducts an assessment interview on the student's initial visit and provides the student with details regarding confidentiality and record keeping requirements. The counselor informs the student of alternatives and makes recommendations based on the student's needs.

Campus Support System.

Counseling services can assist students in accessing support systems on campus, including providing group counseling support as needed. Support groups function under guidelines established by counseling services.

~~Counseling services serves as a link between the individual student and support groups which are available for chemical dependency, adult children of alcoholics and victims of sexual abuse. Support groups function under guidelines established by counseling services.~~

Community Referral.

Services for chemical dependency are available in the Nacogdoches community and include: private practitioners offering individual counseling or intellectual/psychological assessment; *and agencies (such as the Alcohol and Drug Abuse Council) which provide a variety of services such as individual counseling, self-help groups such as Alcoholics Anonymous and Narcotics Anonymous, and inpatient or outpatient treatment.* ~~self-help groups such as Alcoholics Anonymous and Narcotics Anonymous; and inpatient/outpatient treatment.~~

EMPLOYEES

University employees with supervisory responsibilities should be cognizant of employee behavior related to unacceptable job performance which may result from drug or alcohol abuse. Any decision to initiate employee counseling or a referral to human resources should be based on the employee's unacceptable job performance (which may include violations of this policy). Employee counseling, referral and related record keeping should be conducted with the degree of care and confidentiality appropriate to such personnel matters. ~~Alcohol and drug abuse seminars are among the services provided cost-free to university employees. Other s~~Services for employees with a chemical dependency are available in the community, including private practitioners offering individual counseling, self-help groups such as Alcoholics Anonymous and Narcotics Anonymous,

and inpatient/outpatient treatment at various health care facilities.

Review and Assessment

It is the intent of Stephen F. Austin State University to continue to strive for a drug-free campus and to comply with state and federal regulations regarding prevention programs established to eliminate the illegal use of drugs and alcohol abuse. To this end, SFA will provide written notice to each student and employee a copy of this policy. Students will receive written notice according to the following schedule:

- On the first business day following the 12th class day of each long semester
- On the first business day following the 8th class day following mid-term in each long semester
- On the first business day following the 2nd class day of Maymester
- On the first business day following the 4th class day of Summer I and II semesters

Employees will receive written notice no later than October 31st of each year, and all new employees will be notified during new employee orientation.

In addition, the university will conduct a biennial review of the program implemented to provide a learning and working environment free of drug and alcohol use. The purposes of the biennial review will be to: 1) determine the effectiveness of the program and implement needed changes; and 2) ensure that the sanctions included in the program are consistently enforced. The university's dean of student affairs will be responsible for initiating the biennial review. The results of this review will be released in July of even numbered years.

Cross Reference: Drug-Free Workplace Act of 1988, 41 U.S.C. §§ 701-707; Drug-Free Schools and Communities Act Amendments of 1989, 20 U.S.C. § 1011i, 34 C.F.R. §§ 86.1-.411; 21 U.S.C. §§ 812, 841-865; 5 U.S.C. § 551(1); General Appropriations Act; Texas Gov't Code § 2113.012; OMB Circular A-21; Tex. Transp. Code § 708.102; Tex. Alco. Bev. Code §§ 106.01-.15; Tex. Penal Code §§ 12.01-.49, 49.01-.12; State of Texas Travel Allowance Guide; Faculty Code of Conduct (7.11); Student Code of Conduct (10.4); Drug and Alcohol Testing (11.6); Discipline and Discharge (11.4); Alcohol Service (13.7)

Responsible for Implementation: President

Contact for Revision: ~~General Counsel~~ *Director of Human Resources, Dean of Student Affairs*

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

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

Policy Number: 8.6

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): The IACUC ensures that all university activities comply with government regulations set forth by the United States Department of Health and Human Services, Office of Laboratory Animal Welfare (OLAW) and by the United States Department of Agriculture-Animal and Plant Health Inspection Service (USDA-APHIS) under the Animal Welfare Act (AWA).

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include change of institutional official (IO) from provost and vice president of academic affairs to dean of research and graduate studies, addition of IACUC manual to cross references, and revised contact to dean of research and graduate studies.

Specific rationale for deletion of policy:

Additional Comments:

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Reviewers:

Academic Affairs Policy Committee

Steve Bullard, Provost and Vice President for Academic Affairs

Damon Derrick, General Counsel

Institutional Animal Care and Use Committee (IACUC)

Original Implementation: April 17, 2012

Last Revision: ~~July 28, 2015~~ January 29, 2019

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

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

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

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

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

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

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

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

Policies and Procedures Manual

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Dean of the Director, Office of Research and Sponsored Programs~~
Graduate Studies

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Mail Services

Policy Number: 16.16

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

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Student Services

Purpose of Policy (what does it do): Delineates the authority for on campus mail service

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor revisions for clarification

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Gavin McCarty, Director of Printing and Postal Services
Sam Smith, Director Student Services/Student Center
Dr. Adam Peck, Acting Vice President for University Affairs
Damon Derrick, General Counsel

Mail Services

Original Implementation: September 1, 1965

Last Revision: ~~January 26, 2016~~ January 29, 2019

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

The Stephen F. Austin State University Post Office is considered the official receiving point for all mail *and packages not requiring SFA inventory tags on behalf of* ~~for~~ university offices, departments, residence halls and apartments.

University departments and administrative offices will use the SFA Post Office for all postal transactions. Departments will not be permitted to purchase or retain stamps without written permission from the university president. A copy of the written permission will be filed in the SFA Post Office.

All SFA mail is considered delivered when the Nacogdoches Post Office delivers it to the SFA Post Office.

SFA Post Office staff will attempt to deliver incorrectly addressed mail according to USPS requirements. Business mail addressed only to the university will be sent to the Business Office for proper routing.

Post Office box numbers must be used on all correspondence.

All outgoing mail requiring metered postage, or mailed under SFA permit, must be for official university business and have a complete return address with "Stephen F. Austin State University" and the department of origin used within the address. A completed postage IDT card must be attached to the mail to ensure proper accounting of postal charges. Mail (other than bulk rate) must be received in the post office by 4:00 p.m. for dispatch the same day.

Campus mail is defined as mail related to official university business and is delivered to campus boxes without postage. Mail addressed to USPS boxes 4600-4659 and all personal mail requires postage.

All campus mail should be enclosed in a campus mail envelope. If other envelopes are used, they must be marked "Campus Mail" and have a complete return address including the department of origin and the box number. ~~Campus mail in plain envelopes without a return address will be delivered postage due.~~

All residents of university-owned housing are required to have a SFA Post Office box and notify correspondents of the box number.

Retired faculty or staff members are permitted to retain a box at their own expense on a space-available basis.

It is the responsibility of each department to distribute, forward or return mail addressed to personnel within the department.

~~SFA Post Office observes the same holidays as the U.S. Post Office. Morning mail will be boxed on holidays not observed by the university but sales windows will be closed. SFA Post Office will remain open on U.S. Post Office holidays not observed by the university, unless notification is made in advance, but mail will not be delivered or picked up on that day. Instead it will be delivered or postmarked on the first normal day of business following the holiday.~~

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Manager of University Post Office

Forms: Postage IDT Card (available in the SFA Post Office)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Meeting and Conducting Classes

Policy Number: 7.18

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

Date of last revision, if applicable: 11/2/2015

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

Purpose of Policy (what does it do): To ensure that faculty members will meet their assigned classes at the officially scheduled times and places.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Meeting and Conducting Classes

Original Implementation: June 16, 1982

Last Revision: ~~November 2, 2015~~ January 29, 2019

Faculty members will meet their assigned classes at the officially scheduled times and places. When a faculty member cannot meet an assigned class, the faculty member will notify the academic unit head prior to the scheduled class meeting, or as soon as possible after the start time of the class, so that a timely announcement can be made to the students. Courses will be conducted in accordance with the descriptions contained in the university's General Bulletin and Graduate Bulletin.

Exceptions to the above may be made with appropriate academic unit head approval.

Cross Reference: General Bulletin, Graduate Bulletin, Faculty Handbook

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Payments to Human Research Subjects

Policy Number: 8.8

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

Date of last revision, if applicable: 7/28/2015

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

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

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Document retention requirements changed to be consistent with federal guidelines. Revisions include other basic edits for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Payments to Human Research Subjects

Original Implementation: July 21, 2009

Last Revision: ~~July 28, 2015~~ January 29, 2019

During the conduct of research studies with human subjects, it is recognized that participants may incur personal costs for which they are entitled to reimbursement. It is also desirable in some instances to provide a reward or recognition to participants for the time and effort they have devoted to participate in a research project.

At the time of application to the Stephen F. Austin State University (SFA) Institutional Review Board (IRB) for approval of the conduct of research studies with human subjects, the principal investigator must present a rationale to establish the appropriate level of compensation for participants in the study.

Any reimbursement or incentive to participants in a research study must not involve coercion or constitute undue inducement or influence an individual's decision to participate in the study.

Subject to university policy, cash, gift cards and gifts such as t-shirts or coffee mugs may be used for compensation and/or personal expenses such as travel and child care costs may be reimbursed. Gifts must be provided to participants at the completion of the relevant activity. Payments by check should be avoided as they require disclosure of personal information to the business office.

Use of Grant Funds – Reimbursements or incentives for participation in a research study must be detailed in the grant application and in the application to the IRB by method and amount. The payments must be approved by the funding agency and the IRB.

Informed Consent - It is critical that participants are informed during the consent process that if, either in one or multiple studies in a given calendar year, the total payments and/or gift values exceed \$100, their social security number and contact information will be provided to the SFA business office in order to comply with Internal Revenue Service regulations. Further, study participants must be informed that if they receive payments that total more than \$599, they will receive a tax form from SFA at the end of the calendar year.

Finally, participants must be told that they can elect not to receive payments to avoid disclosure of this information to the SFA business office.

Documentation – Principal investigators are required to maintain a tracking list or spreadsheet with individual code numbers and payments of any value. *Once compensation exceeds a total of \$100 in a calendar year* ~~If compensation is by gift or gift card,~~ the principal investigator must record the individual's name, social security number, address, and signature at the time of

payment. Unless the study guarantees participant anonymity, the principal investigator must also keep a master list linking code numbers and individual participant names, which must be kept in a password-protected computer file and/or locked filing cabinet. The tracking spreadsheet or other documentation with study and individual code numbers must be retained by the principal investigator for a minimum of *five* ~~seven~~ years after completion of the study or the requirements of the specific grant award, whichever is longer.

Cross Reference: Ethical Principles and Guidelines for the Protection of Human Subjects in Research: The Belmont Report; 45 C.F.R. § 46; Gifts, Prizes and Awards (3.18).

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Director of the~~ *Dean of the* ~~Office of~~ Research and Graduate
Studies ~~Sponsored Programs~~

Forms: SFA business office and Institutional Review Board forms

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Return to Work

Policy Number: 11.24

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Vice President of Finance and Administration

Purpose of Policy (what does it do): The policy outlines the guidelines for the return to work program.

Reason for the addition, revision, or deletion (check all that apply):

☒ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Formatting and minor word changes only.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources

Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

Return to Work

Original Implementation: January 28, 1997

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

It is the policy of Stephen F. Austin State University to provide a return to work program as the means to return employees to meaningful, productive employment following injury or illness. To provide the highest level of quality service to the citizens of Texas, the necessity exists for every employee of the university to be available for work, ready, and capable of performing the duties and responsibilities for which the employee was hired.

Definitions

General

~~It is the policy of Stephen F. Austin State University to provide a return to work program as the means to return employees to meaningful, productive employment following injury or illness. To provide the highest level of quality service to the citizens of Texas, the necessity exists for every employee of the university to be available for work, ready, and capable of performing the duties and responsibilities for which the employee was hired.~~

The return to work program may provide opportunities for any employee of Stephen F. Austin State University who sustains a compensable injury during the course and scope of employment, a disability as defined by the Americans with Disabilities Act Amendments Act of 2008, and/or a serious health condition as defined by the Family and Medical Leave Act, to return to work at full duty. If the employee is not physically capable of returning to full duty, the university may provide opportunities, when available, for the employee to perform a temporary assignment in which the employee's regular position is modified to accommodate the employee's physical capacities, or to perform duty at an alternate position.

Each case will be evaluated on an individual basis according to the limitations of each employee as documented by a physician and the job responsibilities of the position. In the event of a worker's compensation injury or illness, the physician's *restrictions must be* documented ~~ation must be~~ and submitted on the Worker's Compensation Work Status Report DWC-0073, including a thorough assessment of the employee's specifications considering their official job description. A copy of the job description will be provided to the physician and can be obtained from the director of human resources, if requested. Failure to provide the appropriate documentation for light or medium duty return to work conditions may be grounds, among others, for denial of light or medium duty assignments. Light duty, if offered, is limited to a specific time frame and may not exceed 12 weeks before being upgraded to medium work, then on to regular work. All modified duty or restrictions to the employee's normal job duties as described on the official job

description must be approved and accompanied by an Offer of Employment. The Offer of Employment is prepared by the safety officer and presented to the employee by the supervisor or department head. The university will request a release from the employee for direct communication with the physician regarding those matters that directly relate to return to work assessments. The university reserves the right to properly assess and verify the employee's physical capabilities as they relate to the job.

This return to work program shall not be construed as recognition by Stephen F. Austin State University, its management, or its employees that any employee who participates in the program has a disability as defined by the Americans with Disabilities Act Amendments Act (ADAAA) of 2008. If an employee sustains an illness or injury that results in a disability under the ADAAA, it is the employee's responsibility to inform the supervisor or a person in a responsible management position that a disability under the ADAAA exists and that a reasonable accommodation will be necessary to perform the essential functions of the position held. Once the employee has informed the supervisor, the human resources director must then be informed. ~~Confirmation of the disability by a licensed physician or other appropriate medical provider as determined by the university is required. Such documentation may be assessed or verified by the university.~~ Reasonable accommodations may be granted in conjunction with the physician's assessment of the employee's capabilities as it relates to the job and the needs of the university and as described in the Reasonable Workplace Accommodation for Disabilities policy (11.22).

As each situation arises, the case will be evaluated independently by the supervisor, head of department, safety officer, director of human resources, the physician, and other administrators as necessary. Timely contact of individuals cited in their respective areas of responsibility is required to provide the employee with prompt care and justifiable accommodations. ~~If possible, a modified offer of employment will be proposed. The Offer of Employment form is to be used for this purpose.~~ *Human resources conveys the conditions and requirements of accommodations granted to the employee.*

Cross Reference: Family and Medical Leave (12.9); Workers Compensation Coverage (12.23); Reasonable Workplace Accommodation for Disabilities (11.22); Americans with Disabilities Act of 1990, 42 U.S.C. § 12101, as amended by the Americans with Disabilities Act Amendments Act of 2008, Pub. L. No. 110-325, 122 Stat. 3553; Family and Medical Leave Act of 1993, 29 U.S.C. §§ 2601-2654

Responsible for Implementation: Vice President for Finance and Administration

Contact For Revision: Environmental Health, Safety, and Risk Management Department and Human Resources

| **Forms:** Worker's Compensation Work Status Report ~~DWC-73~~ ~~DWC-073~~, Offer of Employment (available in: Environmental Health, Safety, and Risk Management Department)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Satisfactory Academic Progress for Financial aid Recipients

Policy Number: 6.16

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 7/28/2018

Unit(s) Responsible for Policy Implementation: Provost and Vice President for Academic Affairs

Purpose of Policy (what does it do): Federal regulations mandate minimum standards of satisfactory progress for students receiving financial assistance.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Basic edits for clarification purposes

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Steve Bullard, Provost and Vice President for Academic Affairs
Damon Derrick, General Counsel

Satisfactory Academic Progress for Financial Aid Recipients

Original Implementation: September, 1985

Last Revision: ~~July 28, 2015~~ January 29, 2019

Federal regulations mandate minimum standards of satisfactory progress for students receiving financial assistance. Satisfactory academic progress (SAP) is the term used to denote a student's successful completion of coursework toward a certificate or degree. These standards apply to the student's entire academic history, whether financial aid was received or not, and to all types of aid: grants, loans, and work-study. The standards for determining progress for continued financial aid at the university are composed of three separate measurements: grade point average (GPA), pace of completion, and maximum hours allowed for a degree level. All students must be enrolled in a degree or certificate program *to be eligible to receive state or federal financial aid*.

Satisfactory academic progress will be evaluated after each fall, spring and summer terms. Although summer terms include Maymester, Summer I and Summer II, the summer SAP evaluation will only occur at the end of Summer II. Students who fall behind in their coursework or fail to achieve minimum standards for grade point average and completion of classes may lose their eligibility for all types of federal, state and university aid. Students will be notified of their financial aid eligibility via university email. Students can find their SAP status within the financial aid menu on the university student portal.

Students who are admitted to Stephen F. Austin State University (SFA) as non-degree, provisional, transient, career interest or self-improvement, course audit, or concurrent enrollment shall NOT be eligible to receive *state or federal* financial aid. When the student is admitted to a degree program or special student status has changed, a student may then be considered for financial assistance. The U.S. Department of Education does not recognize academic fresh start and requires an institution to count courses applicable to a student's major (regardless of whether or not financial aid was received) in evaluating a student's SAP.

Financial aid probation/suspension is different from academic probation/suspension. Students on academic suspension who are allowed by their academic dean to attend may receive financial aid only if they meet the financial aid satisfactory academic requirements.

SAP standards apply to all federal, state, and institutional financial assistance programs with exceptions as defined by applicable law.

GRADE POINT AVERAGE (GPA)

For financial aid purposes, an undergraduate student must maintain a cumulative GPA of 2.0,

and graduate or doctoral students must maintain a cumulative GPA of 3.0. Grade point averages are verified at the end of each semester.

PACE OF COMPLETION

For financial aid purposes, students must complete 67% of the cumulative hours attempted at SFA, including accepted transferred hours. Pace of completion is measured at the end of each semester.

Grades of A, B, C, D, RA, RB, RC, RP or P denote satisfactorily completed credit hours. Repeated and remedial courses are counted in the calculation of pace of completion. Grades of F, W, WH, WF, WP, RD, RF, RWH, RWP, RWF, RW, or QF are not satisfactory.

MAXIMUM HOURS ALLOWED FOR DEGREE OR CERTIFICATE

For financial aid purposes, the maximum number of hours allowed is one-and-a-half times the minimum program length for all degree programs and allowable certificate programs. A student's entire academic record is used in calculating maximum hours allowed. Maximum hours allowed are verified at the end of each semester and students exceeding the allowable number of hours will be denied further financial aid and will not be eligible for a warning period.

WARNINGS

Students will be given a warning semester when the required GPA or pace of completion is not met. At the end of the warning semester, students not in compliance are not eligible for financial aid. Students who have reached the maximum hours allowed are not eligible for a warning semester.

APPEALS

Students who are not making satisfactory academic progress and have had a warning semester may file an appeal with the financial aid office within thirty (30) days after the first class day of the semester. Appeals should state why the student failed to meet satisfactory academic progress and what has changed that would allow the student to fulfill the requirements at the end of the next semester.

Appeals will only be accepted in the case of extenuating circumstances, such as death in the family, illness or injury to the student or immediate family member, or mitigating circumstances beyond the student's control. Appeals based solely on financial and/or emotional needs without sufficient explanation or documentation will not be ~~accepted~~ *approved*. Appeals must include documentation to support extenuating circumstances. All decisions on appeals are final. Students will be notified of the disposition of their appeal in writing. A student who filed a financial aid

appeal must be prepared to pay registration costs regardless of any pending appeal status. If an appeal is granted, *and the student can regain eligibility in one semester*, the student is placed on financial aid probation. A student who is placed on financial aid probation may receive financial aid for one subsequent semester. If an appeal is denied or is not submitted the student must meet the minimum SAP standards at the end of the next evaluation period in order to regain financial aid eligibility.

ACADEMIC PLAN

Students may be given an academic plan if they cannot meet the minimum SAP requirements at the end of the next evaluation period. The plan will specify the number of hours that must be completed and/or the grade point average that will be necessary to bring the record back into compliance. Failure to meet the standards established in the academic plan will result in the loss of future financial aid eligibility.

DEFINITIONS

Audited Courses

Students may audit regular academic courses; however, these courses are not eligible for financial aid. Audited courses will not impact a student's SAP eligibility.

Change of Major

Students are allowed to make changes in their course of study and major for purposes of this policy; however, all changes will count in a student's SAP calculation. Change of major can result in a possible overage of attempted credit hours which would impact the maximum time frame component.

Conflicting Information

All conflicting information is reviewed for SAP monitoring. For example, late posted grades or grade changes will not automatically change current status. Students may request that the SAP status be recalculated after they have confirmed with the registrar that the grade change has been posted to their academic record.

Evaluation

Loss of Title IV eligibility occurs immediately if SAP is not met. If the student's appeal is successful, the student is placed on financial aid probation and Title IV funds are disbursed for the next payment period only. The student must meet SAP at the end of each fall, spring or summer

term or comply with the requirements of the academic plan designed to ensure the student will make SAP by a specified point in time.

Incompletes

Incompletes (grade of WH) do not affect a student's cumulative GPA for SAP, but count as credit hours attempted toward both pace and maximum time frame. Students with a grade of incomplete are encouraged to contact the financial aid office for further evaluation.

Pass/Fail Courses

In some classes students receive a grade of either pass or fail. A passing grade will be included in the student's pace of completion and maximum time frame calculations. A grade of F will be included in the student's GPA, pace of completion and maximum time frame calculations.

Financial Aid Probation

If an appeal is granted, the student is placed on financial aid probation. A student who is placed on financial aid probation may receive financial aid for one semester. At the conclusion of the financial aid probation period, the student must meet the SAP standards or will no longer be eligible for financial aid.

Developmental Courses

Students are eligible to receive financial aid for developmental courses. These courses are counted in the calculation of both attempted and earned hours for determining satisfactory progress.

Repeated Coursework

Students are allowed to repeat a course and, if passed, have it count toward enrollment for financial aid eligibility once. Each course attempt will count toward a student's pace of completion and all prior attempts with lower grades will count as unsuccessful credit hours attempted.

Transfer Credits

Transfer credit grades will not count toward a student's cumulative GPA; however, these will count as both attempted and earned hours toward both pace of completion and maximum time frame for SAP.

Withdrawals

Withdrawals do not affect a student's cumulative GPA for SAP, but count as credit hours attempted toward both pace of completion and maximum time frame. A withdrawal (grade of W) is different from a course which is dropped (no grade and no record of attempt). Students who withdraw prior to the first class date will not be penalized for SAP purposes. Should a student withdraw after the first class date, those hours will count towards a student's pace of completion and time frame calculation.

Financial Aid Warning

Students will be given a warning semester when the required GPA or pace of completion is not met. At the end of the warning semester, students not in compliance are not eligible for financial aid. Students who have reached the maximum hours allowed are not eligible for a warning semester.

Cross Reference: 20 U.S.C. 1091(a)(2), (c); 34 CFR 668.16(e), 668.32(f), 668.34; Military Service Activation (6.14)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Director of Financial Aid; Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Selection of President, General Counsel, Chief Audit Executive, and Coordinator of Board Affairs

Policy Number: 1.7

Is this policy new, being reviewed/revised, or deleted? Delete

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do):

Reason for the addition, revision, or deletion (check all that apply):

☒ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: Duplicates material already contained in Board Rules and Regulations.

Additional Comments:

Reviewers:

Dr. Steve Westbrook, Acting President
Damon Derrick, General Counsel

**~~Selection of President, General Counsel, Chief Audit Executive, and
Coordinator of Board Affairs~~** (Policy to be Deleted)

~~Original Implementation:~~ April 26, 1975

~~Last Revision:~~ January 26, 2016

~~The Board of Regents selects the president, the general counsel, the chief audit executive, and the coordinator of board affairs annually when the budget is passed.~~

~~Cross Reference:~~ Board of Regents Rules and Regulations

~~Responsible for Implementation:~~ President

~~Contact for Revision:~~ President

~~Forms:~~ None

~~Board Committee Assignment:~~ Academic and Student Affairs Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Medical Appeal

Policy Number: 6.24

Is this policy new, being reviewed/revised, or deleted? New

Date of last revision, if applicable: NA

Unit(s) Responsible for Policy Implementation: Provost and Vice President for Academic Affairs

Purpose of Policy (what does it do): Provides a method for students to appeal a withdrawal based on a medical condition or related incident.

Reason for the addition, revision, or deletion (check all that apply):

☐ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☒ Other, please explain: The verbiage outlining the procedure was located in the Add/Drop policy, which made it very difficult for students to locate. Additionally, the verbiage regarding a “medical withdrawal” was inaccurate.

Please complete the appropriate section:

Specific rationale for new policy: The new policy corrects the verbiage and makes the information more accessible.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Policy Committee

Steve Bullard, Provost and Vice President for Academic Affairs

Damon Derrick, General Counsel

Student Medical Appeal

Original Implementation: January 29, 2019

Last Revision: None

Approved medical appeals may be granted for medical conditions that prevent the student from completing the semester. Medical appeals are not intended to shield a student from unsatisfactory progress. Medical appeals will be considered by a committee comprised of the registrar and other appropriate university officials.

The following rules apply:

1. Medical withdrawal requests must be made to the Office of the Registrar within six months of the semester affected by the medical condition.
2. The medical condition must have occurred to the student.
3. Upon receipt of the completed medical appeal, the committee has 30 days to make a decision.

Specific procedures and the appeal form for making an appeal are located at the registrar's office.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Registrar/Controller

Forms: Request for Medical Withdrawal available in the registrar's office

Board Committee Assignment: Academic and Student Affairs Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Telecommuting

Policy Number: 11.27

Is this policy new, being reviewed/revised, or deleted? New

Date of last revision, if applicable:

Unit(s) Responsible for Policy Implementation: Vice President of Finance and Administration

Purpose of Policy (what does it do): The policy outlines the guidelines for requesting and approving a telecommuting agreement.

Reason for the addition, revision, or deletion (check all that apply):

☐ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☒ Other, please explain: Requested by management.

Please complete the appropriate section:

Specific rationale for new policy: To allow the option of telecommuting to be utilized by management when it is in the best interest of SFA.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources

Anthony Espinoza, Chief Information Officer, Information Technology Services

Damon Derrick, General Counsel

Telecommuting

Original Implementation: January 29, 2019

Last Revision: None

Purpose

The purpose of this policy is to establish guidelines for utilizing a telecommuting option for staff employees at Stephen F. Austin University (SFA) that optimizes costs, increases effectiveness and allows for efficient use of SFA resources and time.

Definitions

Telecommuting is an option for performing the employee's job duties and tasks at a remote work location rather than traveling to SFA facilities. The employee performs their job duties and interacts with other SFA employees using advance technology.

Remote workplace is a location other than SFA premises, where telecommuting employees utilize technology to perform their job duties and communicate with other employees.

General

Telecommuting is not an SFA job entitlement. It is an option that must be requested by an employee, reviewed and approved by the department head, human resources, vice president and the president. Employees must complete and submit a Telecommuting Request form and, if approved, a Telecommuting Agreement. The criteria used by the approvers to determine if the position is appropriate for telecommuting includes but is not limited to the following considerations:

1. The job duties of the position can be performed at a remote site without diminishing the quality of the work or disrupting the productivity of the department.
2. The confidentiality of information connected to the position and the ability to maintain confidentiality at a remote location will not be compromised.
3. A supervisor must have the ability to establish work expectations and a method to measure employee productivity.
4. A supervisor must establish the amount of time the employee is required to physically interact with other SFA staff.
5. A justification that provides a benefit to SFA, its customers, and other department employees.

The criteria used by approvers to evaluate an employee requesting consideration for a telecommuting option include but is not limited to whether the employee:

1. Consistently demonstrates satisfactory performance as noted on their last performance evaluation.
2. Demonstrates the ability to work with minimal supervision, ability to establish priorities and manage time effectively, and thorough knowledge of telecommuting work tasks.

3. Provides a remote workplace at which SFA equipment and work related materials will be safe and where required job duties can be performed.
4. Complies with the university's policy on Ethics (2.6).
5. The employee's supervisor must ensure that the appropriate type of secure equipment and software necessary to perform the job is used. When SFA equipment, software, and supplies are used, personal use is restricted. If the telecommuting employee will be working with or dealing with category 2 or higher data, the employee must utilize the SFA VPN to work with the data.

The following constraints apply to the employee's telecommuting work hours.

1. Telecommuting employees will work hours that comply with the work hours established by policy for all SFA employees as stated in Working Hours and Holidays policy (12.24). The employee's schedule must be approved by his or her supervisor and must meet the operational needs of SFA.
2. Telecommuting employees are not eligible to claim or earn state compensatory time unless it is approved by the president in compliance with Texas Government Code, 659.018b.

A telecommuting agreement can be terminated at any time at the discretion of the supervisor for unsatisfactory performance, failure to adhere to SFA policies and procedures, disciplinary action, when no longer beneficial to SFA, and any other relevant reason.

Cross Reference: Tex. Gov't Code §§ 658.010, 659.018b; Ethics (2.6); Overtime and Compensatory Time (12.14); Working Hours and Holidays (12.24); Acceptable Use of Information Resources (14.2).

Responsible for Implementation: Vice President of Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Request for Approval of Telecommuting form and Telecommuting Agreement form are available on the human resources website.

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Vacation Leave

Policy Number: 12.21

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Vice President of Finance and Administration

Purpose of Policy (what does it do): The policy outlines the guidelines for eligibility to accrue and use vacation leave.

Reason for the addition, revision, or deletion (check all that apply):

☒ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Formatting and minor word changes only.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

Vacation Leave

Original Implementation: Unpublished

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy establishes the eligibility to earn vacation leave, defines the rates of accrual, and describes related requirements.

Definitions

General

Employees of the university, other than faculty with appointments of less than twelve months, shall, without deduction in salary, be entitled to a vacation *leave* in each fiscal year. SFA Charter School teachers are excluded from this policy. Additionally, this policy will not apply if alternative leave benefits were negotiated in a contract agreement with an employee. Additionally, employees excluded from this policy include those who do not work at least 20 hours per week for a period of at least 4.5 months or employees in positions that require student status. An employee will earn vacation entitlement beginning on the first day of employment with the state and terminating on the last day. Vacation with pay may not be granted until the employee has had continuous employment with the state for six (6) months, although credit will be accrued during that period. Such entitlement shall be earned as listed below:

Employees with Total State Employment of:	Hours Accrued Per Month	Maximum Hours to Carry Forward from One Fiscal Year to Next Fiscal Year
0 but less than 2 years	8	180
2 but less than 5 years	9	244
5 but less than 10 years	10	268
10 but less than 15 years	11	292
15 but less than 20 years	13	340
20 but less than 25 years	15	388
25 but less than 30 years	17	436
30 but less than 35 years	19	484
35 and over years	21	532

Vacation credit for the higher rate of accrual as shown on the chart above shall be given on the first calendar day of the month if the employee's anniversary date falls on the first calendar day of the

month; otherwise, the increase will occur on the first calendar day of the following month.

Part-time employees are also eligible for annual leave, but their accrual rate and maximum annual leave carryover amounts are proportionate to the number of hours they work. For example, half-time employees earn and carry over annual leave at one-half the rate authorized for full-time employees.

The annual leave hours in excess of the maximum allowable carryover left at the end of a fiscal year shall be credited to the employee's sick leave balance. If the employee is on any type of –paid leave that extends into the following month, the accrual will not be posted until the employee returns to duty. An employee forfeits this accrual if he or she fails to return to duty.

~~Time during which any employee is excused from work because of holidays shall not be vacation.~~

If a state employee transfers directly from one state agency to another, they shall be entitled to credit with the newly employing agency for accumulated but unused vacation entitlement, provided that employment with the state is uninterrupted. A state employee who resigns, is dismissed, or departed from state employment shall be entitled to be paid for all vacation time duly accrued at the time of separation from state employment, provided the employee has had continuous employment with the state for six (6) months.

Vacation leave for non-faculty employees must be approved in advance by the appropriate supervisor. Non-faculty employees must request vacation using either a Request for Vacation, Compensatory Time, Sick Leave Taken form, the system leave request form (electronically), or document the leave in a manner established and documented by the department head. Every effort should be made to accommodate the vacation requests, but supervisors may request that such leave be taken during periods other than departmental peak work periods.

Cross Reference: Tex. Gov't Code §§ 661.152-.153

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: *Vacation/Comp Time/Sick Leave Request form* ~~for Vacation, Compensatory Time, Sick Leave Taken form (available from Human Resources)~~

Board Committee Assignment: Finance and Audit

TEXAS DEPARTMENT OF TRANSPORTATION EASEMENT AT EAST COLLEGE
AND UNIVERSITY STREETS

Explanation:

The Texas Department of Transportation (TxDOT) wishes to upgrade the traffic signals, pedestrian signals, pedestrian crosswalk markings, and sidewalks at the intersection of East College Street and University Drive. TxDOT has indicated there are challenges in obtaining a new, reliable, and easily maintainable electrical service to this intersection. Currently, TxDOT utilizes service that extends from the east side of University Drive, and connects to an electrical unit at the East College and University Drive intersection.

TxDOT plans to place a new electrical unit in the southeast area of the coliseum commuter parking lot, near the East College Street and University Drive intersection. In order to establish this electrical service, TxDOT plans to bore underneath University Drive to the East College and University Drive intersection, bore underneath the SFA commuter parking lot and connect with electrical service on the southwest side of the parking lot.

Recommendation:

The administration recommends the university grant an easement to TxDOT that will support upgraded electrical service, providing the easement does not interfere or compromise university infrastructure.

WALTER C. TODD AGRICULTURAL RESEARCH CENTER LIVESTOCK FACILITY
ARCHITECTURAL DESIGN

Explanation:

On the morning of November 14, 2018, the 6,000 square foot beef livestock barn at the SFA Walter C. Todd Agricultural Research Center facility and contents were completely destroyed by a fire. The beef barn was used for teaching agriculture laboratory classes, hosting community and agricultural awareness events, elementary school tours, and college recruitment events.

The facility will need to be re-built and the contents replaced. The barn and associated contents are covered by insurance, however the deductible for the claim is \$250,000. The administration would like to engage an architect to design a new facility. When plans are complete, the administration will present the proposed project to the board of regents.

Recommendation:

The administration recommends the selection of an architectural firm from the current pool of Indefinite Delivery/Indefinite Quantity (IDIQ) architects to design the facility.

INDEFINITE DELIVERY/INDEFINITE QUANTITY ENGINEERING SERVICES CONTRACTS

Explanation:

The university maintains contractual relationships with several architectural and engineering firms for indefinite delivery/indefinite quantity (IDIQ) design and engineering services. The university seeks to add additional contracts for engineering services. The university recently issued a Request for Qualifications (RFQ) for the IDIQ engineering services. Firm selection was made pursuant to Government Code 2254.

Recommendation:

The administration recommends selection of the firms listed below for negotiation of a contract for one year with the option to renew for two additional one year periods with the fee structure to be negotiated annually and subject to administrative approval. The administration also recommends the president be authorized to sign purchase orders and any associated contract documents.

Campos Engineering Inc.

Estes McClure & Associates Inc.

Jones DBR Engineering Company LLC

Purdy-McGuire Inc.

Two Fifteen Consulting LLC

APPROVAL OF BUILDING AND GROUNDS POLICY REVISIONS:

Explanation:

The *Board Rules and Regulations* state that the Building and Grounds Committee will consider:

- use and occupancy of university property; and
- planning of, locating of, receiving bids for, awarding contracts for, construction of, and maintenance of buildings, utilities, and other physical facilities of the campus.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented:

Issuance and Control of Campus Keys 14.7

Markers and Monuments 16.17

Norton HPE Complex 16.18

Smoking, Vaping and Use of Tobacco Products 13.21

Student Center Operations 16.26

Space Assignment, Management, and Planning 16.3

Telecommunication Services 16.28

Work Requests 16.37

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Issuance and Control of Campus Keys

Policy Number: 14.7

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do):

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ron Watson, Director of Physical Plant
Michaelyn Greene, Director of Administrative Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Issuance and Control of Campus Keys

Original Implementation: Unpublished

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy establishes responsibility for university security and outlines a process for the issuance and control of campus keys.

Definitions

General

The security of the university is the responsibility of several departments on campus. First, the University Police Department (UPD) is responsible for ~~the~~ overall campus security. Second, the various head administrators are responsible for their respective areas. Third, the Physical Plant Department (PPD) is responsible for maintaining access control hardware, and a campus key control system.

~~A vital part of this system is the lock and key system of the university.~~ Other than during normal working hours, all campus buildings will be locked. Faculty and staff may be issued keys to university buildings upon the request of the head administrator responsible for the building or area of the building. *An individual entering or leaving a locked building shall be responsible for securing the door and may be held liable for any loss or damage to university property resulting from failure to do so.*

An authorized individual entering or leaving a locked building shall not permit any individual to enter who would not normally be permitted to enter the building during ~~the~~ hours it is locked. An authorized individual may have guests so long as the guests stay in the proximity of the faculty or staff member having the assigned key, and the authorized individual assumes full responsibility for their presence.

~~An individual entering or leaving a locked building shall be responsible for securing the door and may be held liable for any loss or damage to university property resulting from failure to do so.~~

~~In residence halls with~~ *In spaces with* card access systems, employees shall use the appropriate card key to gain access rather than bypassing the tracking system by using hand keys *unless the card access system fails.*

Each head administrator will be responsible for the issuance of keys to the employees in their area

of responsibility and will be responsible for the level of security in that area. The ~~PPD Physical Plant Department~~ will only issue keys to individuals at the written request of the head administrator. It will be the responsibility of the head administrator of each area to maintain a record of who has been issued keys and to collect keys from departing employees. The person to whom a key has been issued shall be held responsible for the use of that key until it has been properly returned to the corresponding head administrator.

If a key is lost or stolen, it should be immediately reported to the employee's supervisor, the ~~PPD Physical Plant Department~~ and to the ~~UPD University Police Department~~. Failure to report lost or stolen keys in a timely manner may result in disciplinary action up to and including termination. Duplication of university keys is strictly forbidden. If a duplication of a key is made without university consent and the individual is identified, the key will be recovered and the individual(s) involved in duplicating keys shall be reported to their administrative supervisor for appropriate disciplinary action up to and including termination.

Employees shall not loan or transfer keys to anyone. Individuals involved in loaning keys shall be reported to their respective administrative supervisor for appropriate disciplinary action up to and including termination.

Any person found to be in possession of an unauthorized key shall be liable for its use and subject to disciplinary or legal action. Unauthorized keys shall be returned to the ~~PPD Physical Plant Department~~ immediately.

Alarm systems are available to departments through the University Police Department. The ~~PPD Physical Plant Department~~ is not responsible for the installation or maintenance of alarm systems.

The ~~PPD Physical Plant Department~~ is responsible for the maintenance and upkeep of doors and locks to campus buildings. However, loss of integrity of lock systems due to loss of keys or inadequate record keeping at the department level is not the responsibility of the ~~PPD Physical Plant Department~~. The ~~PPD Physical Plant Department~~ will re-key areas at the request of the department responsible, but there will be a charge for this service.

University Police Department is responsible for locking and unlocking buildings and for determining the hours that buildings will be open. Requests for special events, schedule changes, etc. should be directed to the ~~UPD University Police Department~~.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Physical Plant Department

Forms: None

| **Board Committee Assignment:** Buildings and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Markers and Monuments

Policy Number: 16.17

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do):

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Title changed and major revision for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Monuments and Markers Policy Committee
Ron Watson, Director of Physical Plant
Michaelyn Greene, Director of Administrative Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Markers, ~~and~~ Monuments, and Artwork

Original Implementation: July 17, 2001

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

Stephen F. Austin State University has a large dynamic campus that is constantly in a state of change to meet the various needs of the diverse departments that make up the university as a whole. There are limitations on where and how markers ~~and~~, monuments, and artwork may be added to or removed from the campus so as not to encumber future university needs. The rules articulated in this policy apply to all students, faculty, staff, and their approved organizations, as well as all other persons and groups.

Definitions

Markers, ~~and~~ monuments, or artwork include all types of permanent applications that are placed anywhere on campus including signs of a permanent nature ~~features that are erected, affixed, or otherwise installed on any institutional building or land for a time period extending beyond 14 days.~~

Non-permanent markers, ~~or~~ monuments, or artwork would be those meeting the criteria described in Policy 16.24, Section IV concerning signs displayed for 14 days or less.

General

Markers, monuments, or artwork including historical markers or signs, may be placed on or removed from campus when it is in the best interest of the university. A committee will review all such requests. Nominations for a new marker, monument, or artwork and applications for removal of an existing marker, monument, or artwork may be found on the Physical Plant Department (PPD) website.

Markers, monuments, or artwork placed on campus without prior written permission will be removed by the PPD. Removed items will be held for sixty (60) days prior to disposal. Notification will be provided if possible.

Committee

The vice president of finance and administration will appoint a markers, monuments, and artwork committee that includes one representative from each of the following: development, alumni, faculty, physical plant, university marketing and communications, and a student representative. Each faculty and staff member will serve on the markers, monuments, and artwork committee for a term of two (2) years, with the possibility of reappointment. The SFA student representative will

serve a term of one (1) year with the possibility of reappointment. The markers, monuments, and artwork committee will review all nominations for markers, monuments, and artwork as well as applications for deaccession of markers, monuments, and artwork. Upon review of the nominations and applications by the markers, monuments, and artwork committee, recommendations will be made to the vice president of finance and administration for final approval.

New Marker, Monument, or Artwork

Upon receipt of a nomination for a new marker, monument, or artwork by a university stakeholder, the markers, monuments, and artwork committee will review the nomination for a new marker, monument, or artwork for the following:

- Preservation of the beauty of the SFA campus;*
- Historical significance;*
- Advancement of the university's educational mission;*
- Building access and campus circulation is not impeded;*
- Size, scope, and relevance;*
- Copyright;*
- Safety;*
- Prominence and location on campus;*
- Aesthetic merit;*
- Funding for costs including installation, maintenance, and insurance.*

Please note that each marker, monument, or artwork nomination will be considered individually based on the SFA campus master plan and SFA policy and procedure as well as current and future costs. The markers, monuments, and artwork committee and/or the vice president of finance and administration reserves the right to refuse nominations for markers, monuments, and artwork after review of the nomination.

Deaccession

Upon receipt of an application to remove a marker, monument, or artwork by a university stakeholder, the markers, monuments, and artwork committee will review the application for the following:

- Safety;*
- Aesthetic merit;*
- Historical significance;*
- Accidental loss or destruction;*
- Repatriation;*
- Educational value;*
- Building access;*
- Size, scope, and relevance;*

- Condition;
- Prominence and location on campus;
- Cost of maintenance and insurance.

Please note that each marker, monument, and artwork application for removal will be considered individually based on the SFA campus master plan and SFA policy and procedure as well as current and future costs. The markers, monuments, and artwork committee and/or the vice president of finance and administration reserves the right to refuse applications for removal of markers, monuments, and artwork after review of the application.

~~General~~Exceptions to Committee Review

Markers or monuments honoring or in memory of an individual are limited to students, faculty, or staff who have passed away while in a student, faculty, or staff status. Such monuments are limited to the memorial walk area on the south side of the Ag Pond. Markers or monuments may not be placed at any other location on campus.

Monuments will be purchased by the individual or group desiring to place the monument on the walk. Installation will be by ~~the PPD~~Physical Plant Department. The ~~PPD~~Physical Plant Department will provide maintenance at the same level as the existing walk. Markers that are broken or otherwise damaged or lost will not be the responsibility of ~~the PPD~~Physical Plant Department. *Requests to place a marker should be directed to the director of the physical plant.*

~~Markers or monuments, including historical markers or signs, may be located at other locations on campus when it is in the best interest of the university. Such markers, monuments or signs are subject to removal or relocation when, and if, space is needed for further campus improvements.~~

~~Markers placed on campus without prior written permission will be removed by the Physical Plant Department. Markers will be held for sixty (60) days prior to disposal. Notification will be provided if possible.~~

~~Requests to place a marker should be directed to the director of the physical plant. The director of the physical plant will compare requests to the campus Long Range Plan and overall campus design. Requests may be denied or recommended for an alternate location.~~

The Walk of Recognition (located at SFA fountain plaza) includes markers and bricks as coordinated through the SFA Alumni Association. Requests and guidelines for placement of markers and bricks at the Walk of Recognition are established by the SFA Alumni Association separate from this policy.

Cross Reference: *Signs and Exhibits (16.24)* ~~None~~

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: *Nomination for a New Monument, Marker or Artwork, Application for Removal of an Existing Monument, Marker or Artwork on PPD website* ~~None~~

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Norton HPE Complex

Policy Number: 16.18

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Provost and Vice President for Academic Affairs; Vice President for University Affairs

Purpose of Policy (what does it do):

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Reviewed with no revisions recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Jay Thornton, Chair of the Department of Kinesiology and Health Science
Ken Morton, Director Campus Recreation
Dr. Steve Bullard, Provost and Vice President for Academic Affairs
Dr. Adam Peck, Acting Vice President for University Affairs
Damon Derrick, General Counsel

Norton HPE Complex

Original Implementation: Summer, 1975

Last Revision: ~~January 26, 2016~~ January 29, 2019

The provisions of university policy 16.33, Use of University Facilities, govern the use of all buildings, facilities, equipment and grounds, hereinafter referred to as facilities, under the control of Stephen F. Austin State University (SFA). That policy provides that the university may establish additional procedures for the reservation and use of specific facilities; therefore, the following provisions apply to the Norton HPE complex.

The Lucille Norton HPE Complex is a shared use facility on campus between the Kinesiology and Health Science Department, the Athletic Department, and the Campus Recreation Department which also oversees the Employee Wellness program. The following guidelines have been created in an effort to maximize the use of available spaces while supporting a collaborative relationship between all users of the facility.

Facility Usage

A valid SFA ID card is required to use the facility during recreational programming. There is no charge for SFA students, faculty, or staff to use the facility. The complex is not available for use by anyone other than current SFA students, faculty, staff, and members of the Employee Wellness program unless through a contracted rental of the facility.

Non-SFA groups may rent the facility in accordance with Policy 16.33.

The facility may be used during emergency operations (i.e. evacuation shelter) when deemed necessary by the vice president for university affairs. During such use, University Affairs staff will be responsible for facility management. Every effort will be made to minimize the impact on academic classes scheduled in the HPE Complex.

Priority of Use/Scheduling

The following spaces have been designated for priority usage by the following groups. Any entity wishing to use these spaces must request them from the designated group who is responsible for the scheduling of the facility during these times. The designated group below is responsible for supervision of the space during these times, for leaving the space clean and usable for the next group and for locking the facility at the end of their use (when appropriate).

HPE Weight Room	12 am – 6 am	Campus Recreation
	6 am - Noon	Kinesiology & Health Science

	Noon – 1 pm	Campus Recreation
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Racquetball	12 am – 8 am	Campus Recreation
	8 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	-Campus Recreation
	1 pm – 4pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Indoor Pool	12 am – 8 am	Campus Recreation
	8 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	Campus Recreation
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Big Gym	12 am – 6 am	Campus Recreation
	6 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	Campus Recreation
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Gymnastics Room	12 am – 6 am	Campus Recreation
	6 am – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE/Shelton Classrooms and Labs	12 am – 12 am	Kinesiology & Health Science
	Weekends	Kinesiology & Health Science
Shelton Gym	12 am – 6 am	Campus Recreation
	6 am – 4 pm	Kinesiology & Health Science
	4 pm – 7 pm	Athletic Department
	7 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation

Intramural Fields	12 am – 8 am	Campus Recreation
	8 am – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
Tennis Courts	12 am – 8 am	Campus Recreation
	8 am – 4 pm	Kinesiology & Health Science
	4 pm – 7 pm	Athletic Department (Courts #5-8 & 11-14 only)
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation

Cross Reference: Use of University Facilities (16.33)

Responsible for Implementation: Provost and Vice President for Academic Affairs; Vice President for University Affairs

Contact for Revision: Chair of the Department of Kinesiology and Health Science; Director of Campus Recreation

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Smoking, Vaping and Use of Tobacco Products

Policy Number: 13.21

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Establishes SFA as a tobacco and vape free campus.

Reason for the addition, revision, or deletion (check all that apply):

☒ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor word changes only.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dr. Steve Westbrook, Interim President
Damon Derrick, General Counsel

Smoking, Vaping and Use of Tobacco Products

Original Implementation: October 22, 1991

Last Revision: ~~January 26, 2016~~ January 29, 2019

~~Effective August 22, 2016,~~ Stephen F. Austin State University is a tobacco and vape free campus. The use of all tobacco and vape products (including but not limited to cigarettes, cigars, pipes, smokeless tobacco, e-cigarettes, vaporizers, vape pens, hookahs, blunts, pipes, snuff, and any other tobacco or vape related product) is prohibited on all property that is owned, leased, occupied, or controlled by Stephen F. Austin State University. Additionally, the sale or free sampling of tobacco or vape products is prohibited on university property. This policy applies to all employees, students, university affiliates, contractors, and visitors.

The university shall offer and promote tobacco prevention and education programming on campus as well as provide applicable resources to help individuals who want to quit using tobacco products.

Cross Reference: Tex. Educ. Code §§ 95.21, 101.41

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Center Operations

Policy Number: 16.26

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Student Services

Purpose of Policy (what does it do): Governs the Operations of the Student Center

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: This is a major revision of this policy. The intention is to create a clear separation between policy and procedure. Elements of this policy that have been deleted are being moved to a procedures manual that will be maintained in the Student Center Office.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Sam Smith, Director Student Services/Student Center
Adam Peck, Acting Vice President for University Affairs
Damon Derrick, General Counsel

Student Center Operations

Original Implementation: 1966

Last Revision: ~~July 29, 2014~~ January 29, 2019

GENERAL OPERATIONS

The purpose of the student center is to provide a place that brings together students, faculty, staff, alumni and guests, providing space to build community, support programs, provide services and maintain facilities that promote student learning and development.

Specific rules governing the use of the facilities are maintained in the student center administrative offices and may be reviewed upon request.

GENERAL OPERATIONS

1. *Because the student center is intended as a non-academic space, no classes, lectures, laboratories, tests or any type of class for credit shall be scheduled in the student center, except under extenuating circumstances.*
- ~~1. Reservations in the student center (SC) are made through the coordinator of university reservations and conferences (coordinator).~~
2. *For any events presented in the student center, it is the responsibility of the sponsoring agency to ensure that the programs, related activities and printed material are accessible to persons with disabilities. The university does not accept responsibility for ensuring that the programs or activities of the group are in compliance with the provisions of the Americans with Disabilities Act. Questions regarding accessibility of facilities for a specific program being held in the student center should be directed to the coordinator.*
- ~~3. Lounges are primarily intended for general use by the university community. Limited use of the areas for active programming will be allowed upon approval of the director of the student center. Approval will depend upon several variables that will include time, size and type of program.~~
- ~~4.3.~~ Animals or pets of any kind, excluding service animals, shall not be permitted in the building at any time.
- ~~5.4.~~ Individuals or groups reserving space in the student center shall be responsible for the behavior of their members and guests and also shall be responsible for any damage caused by their guest or members.
- ~~6.5.~~ Failure to comply with the operations policy, *procedures* or with requests of the persons enforcing this policy may result in suspension of privileges to use the student center and/or lead to action under the university disciplinary code.
- ~~7.6.~~ Disorderly conduct and disturbing the peace shall not be permitted in the student center and may lead to disciplinary action.

~~8. Card playing or table games may be played only in rooms reserved for such purposes. No such games will be played in any food service areas or lounge areas. Gambling in the building is prohibited.~~

~~9.1. No classes, lectures, laboratories, tests or any type of class for credit shall be scheduled in the student center, except under extenuating circumstances.~~

RESERVATIONS

1. *Reservations in the student center (SC) are made through the coordinator of university reservations and conferences.*
2. *Reservations for the next calendar year begin on the first working day of the new calendar year and assigned on a first-come, first-served basis. Reservation contracts must be confirmed and the reservations document signed or confirmed by e-mail by the reserving person two weeks prior to each event. Unconfirmed reservations after this time will automatically be canceled.*
3. *The scheduling of activities, facilities or equipment for recognized university clubs and organizations must be made by a group officer or the sponsor of the organization.*
4. *Failure to use or release a student center facility 48 hours prior to the event may result in the group paying the regular room rates.*
5. *Groups scheduling activities with an expected attendance of 300 or more are required to confirm the presence of a university police officer at the event. This confirmation must occur no later than 14 days prior to the event.*
6. *Commercial enterprises are normally not permitted to reserve or use space in the student center for purposes of promotion or selling. The director of the student center may approve a commercial enterprise entering into an agreement with the student center for solicitation within the center, provided the activity has cultural or educational value.*
7. *Off campus groups or individuals may be required to make a prepayment of three- fourths of the expected total bill two weeks before the event.*
8. *Groups and individuals with outstanding bills or debts owed to the student center may have their reservation privileges in the SC suspended.*
9. *Only food and beverage prepared by the student center food service will be served in the meeting and dining rooms of the student center. A catering booklet with menus and student center charges is available in the coordinator's office and on the catering website.*
10. *Only registered university organizations may reserve tables adjacent to the lounge areas in the student center.*
11. *Events that will continue after 9 p.m. must be scheduled at least two (2) weeks prior to the event.*
12. *Use of university facilities or services is subject to be changed or canceled based upon priority needs of the university as determined by the director of the student center.*

FACILITY USAGE BY APPROVED STUDENT ORGANIZATIONS AND UNIVERSITY DEPARTMENTS

1. *Approved student organizations and university departments will be permitted to use student center facilities for non-catered events at no charge.*
2. *Registered student organizations will be allowed to reserve up to two (2) hours per week for recurring meetings. No recurring meetings may be scheduled during university holiday periods unless approved by the coordinator. Series meetings are scheduled In order to make space available to as many groups as possible, series reservations will be canceled if two weekly series meetings are missed.*
3. *An activity scheduled to continue past midnight must be supervised by a university police officer(s). A fee will be assessed for UPD service in addition to the SC late charge.*

FACILITY USAGE BY OFF-CAMPUS GROUPS

1. *Off-campus groups that are sponsored by a university department may use the student center facilities without room charges.*
2. *Off-campus groups without a university department sponsor shall be permitted to use the facilities of the student center subject to guidelines and charges.*

SOLICITATION

1. Selling, canvassing, petitioning, fund raising, surveying and membership drives by approved student organizations will be permitted in the student center after registration with the director of the student center. University departments, faculty and staff organizations, the alumni association, and other organizations and entities officially associated with the university must seek approval from the director of the student center. Reservations for tables and space in the student center must then be made with the coordinator.
2. No group, except for university departments and the alumni association with approval, shall act as an agent for a commercial company.
3. Fund raising or charitable solicitation and the sale of products or services by community organizations or businesses are prohibited in the student center. This regulation shall not apply to university functions as defined in the university solicitation policy.
4. Solicitation for newspaper delivery may be conducted in the student center on days designated by the director of the student center in areas assigned by the coordinator. All newspaper solicitors will have equal space.
5. Commercial cable service providers under contract with Stephen F. Austin State University may conduct solicitation in the student center on days designated by the director of the student center in areas assigned by the student center coordinator.

—BUILDING HOURS

1. ~~The main portion of the student center will be open daily as supported by student traffic when classes are in session for fall and spring semesters. There will be a late charge, for those who reserve rooms, for each additional hour after 10 p.m. The student center may stay open late without charge for a university-sponsored event. The post office area will be open 24 hours daily. Food service areas will be open according to posted schedules.~~
2. ~~All events in the student center will conclude by midnight, Sunday through Thursday and by 1 a.m. Friday and Saturday. All patrons of the facilities are to vacate the center immediately after that time. No student, faculty or staff member, except by permission of the director of the student center, shall remain in the student center after it is officially closed.~~
3. ~~Hours of operations of the various areas, and closing of the building between semesters, on holidays and during summer semesters, shall be at the discretion of the director of the student center.~~

~~—DECORATIONS~~

1. ~~Organizations or individuals conducting activities in the student center may request assistance with decorating. Arrangements for decorations will be made with the coordinator.~~
2. ~~There is no charge for using the table decorations from the existing inventory, for catered meals and receptions. Groups and individuals reserving rooms are responsible for safekeeping of arrangements and will be charged for loss or damage. If SC linen tablecloths are used, no crepe paper may be used due to fading. There will be charges for the use of SC linen on non-food tables.~~
3. ~~Delivery of decorator items from the student center to other buildings is prohibited except as approved by the director of the student center and with appropriate charges.~~
4. ~~The student center will not store items overnight for patrons. All items, including balloons, brought into the center for decorating purposes must be removed immediately following the event. Trash bags may be supplied by the SC custodial service for balloon and trash removal.~~
5. ~~The student center shall not be responsible for any articles left in the building.~~
6. ~~Decorations will be attached only to self-supporting scaffolding and/or attachments provided for decorating purposes. Standards, easels, room dividers or tack boards are available and may be requested through the coordinator.~~
7. ~~Excessive decorating requests such as hanging and removing items from the ceiling or sides of the room above the existing wires and activities requiring the use of scaffolding, ladders and electrical hookups will be charged a maintenance fee. (See charges.)~~

- ~~8. The use of adhesive tape, glues including spray glue and hot glue, tacky tape, thumb tacks, masking tape or nails on doors, posts, ceilings, walls, floors or fixtures is prohibited.~~
- ~~9. The use of hay or other flammable materials will not be permitted in the SC without prior approval.~~
- ~~10. Decorations must be constructed by the organization outside the facility. Sawing, painting or hammering, other than joining complete sections, must be done outside the building.~~
- ~~11. In case of special decorating needs, check with the coordinator. A time may be established for entry into the facility for the purposes of decorating with appropriate charges.~~
- ~~12. Services and equipment provided at no charge are subject to availability and working conditions.~~
- ~~13. Glitter is not permitted for any event in the SC.~~

RESERVATIONS

- ~~1. Reservation books are opened the first working day of the new calendar year for the following calendar year. The general policy is to honor reservations on a first come, first served basis. Regular summer camps and special university functions will automatically be scheduled for the corresponding dates each year.~~
- ~~2. Reservation contracts must be confirmed and the reservations document signed or confirmed by e-mail by the reserving person two weeks prior to each event. Unconfirmed reservations after this time will automatically be canceled.~~
- ~~3. Reservations will not be accepted the day of the event.~~
- ~~4. The scheduling of activities, facilities or equipment for recognized university clubs and organizations must be made by a group officer or the sponsor of the organization.~~
- ~~5. Failure to use or release a student center facility 48 hours prior to the event may result in the group paying the regular room rates.~~
- ~~6. Groups scheduling activities with an expected attendance of 300 or more are required to confirm the presence of a university police officer at the event. This confirmation must occur no later than 14 days prior to the event.~~
- ~~7. Commercial enterprises are normally not permitted to reserve or use space in the student center for purposes of promotion or selling. The director of the student center may approve a commercial enterprise entering into an agreement with the student center for solicitation within the center, provided the activity has cultural or educational value.~~
- ~~8. Changes in physical set-up of reserved space must be arranged with the coordinator or, after office hours, with the student center night manager. Requested changes will be accommodated only as time permits and will be subject to charges.~~

9. ~~Off campus groups or individuals may be required to make a prepayment of three-fourths of the expected total bill two weeks before the event.~~
10. ~~Groups and individuals with outstanding bills or debts owed to the student center will have their reservation privileges in the SC suspended.~~
11. ~~Only food and beverage prepared by the student center food service will be served in the meeting and dining rooms of the student center. A catering booklet with menus and student center charges is available in the coordinator's office and on the catering website.~~
12. ~~Only registered university organizations may reserve tables adjacent to the lounge areas in the student center.~~
13. ~~Events that will continue after 9 p.m. must be scheduled at least two (2) weeks prior to the event.~~
14. ~~Use of university facilities or services is subject to be changed or canceled based upon priority needs of the university as determined by the director of the student center.~~

~~TECHNICAL SERVICES~~

1. ~~The student center will provide technical equipment if available. The coordinator can provide a list of available equipment and prices. The equipment and price list is also available on line on the student center website. Reservations for any needed technical equipment should be made with the coordinator at least two weeks before the event. Late additions of technical equipment to the order must be made at least 72 hours prior to the event and a late charge may be assessed (See charges).~~
2. ~~Only student center personnel will be permitted in the technical service booth above the Grand Ballroom and the movie theatre.~~
3. ~~Student center technical equipment may be taken from the student center only by student center personnel unless approved by the director of the student center. Appropriate charges will apply.~~

~~FACILITY USAGE BY APPROVED STUDENT ORGANIZATIONS AND UNIVERSITY DEPARTMENTS~~

1. ~~Approved student organizations and university departments will be permitted to use student center facilities for non-catered events at no charge.~~
2. ~~Any dance or show sponsored by a registered student organization must have prior approval from the dean of students or designee before room reservations will be made. These events are limited to one (1) per month per organization.~~
3. ~~Registered student organizations will be allowed to reserve up to two (2) hours per week for series meetings. No series meetings may be scheduled during university holiday periods unless approved by the coordinator. Series meetings are scheduled by e-mail on a first come, first served basis. Once the series is confirmed and the reservation is processed, changes will not~~

~~be made without a fee. In order to make space available to as many groups as possible, series reservations will be canceled if two weekly series meetings are missed.~~

- ~~4. An activity scheduled to continue past midnight must be supervised by a university police officer(s). A fee will be assessed for UPD service in addition to the SC late charge.~~

~~FACILITY USAGE BY OFF-CAMPUS GROUPS~~

- ~~1. Off-campus groups that are sponsored by a university department may use the student center facilities without room charges.~~
- ~~2. Off-campus groups without a university department sponsor shall be permitted to use the facilities of the student center subject to guidelines and charges.~~

~~CATERING~~

~~Detailed information about catering is available in the catering booklet available from the coordinator and on the catering website.~~

~~The service of alcohol at catered functions is governed by the Alcohol Service policy (13.7).~~

~~CAMPUS LOST AND FOUND~~

~~The student center shall maintain a campus Lost and Found Department at the Information Desk. (See Disposition of Abandoned Personal Property policy (13.6) for more information)~~

~~CHARGES~~

~~The price list for student center services is available from the coordinator and online on the SC website.~~

Cross References: Alcohol Service (13.7); Illicit Drugs and Alcohol Abuse (13.11); *Use of University Facilities* (16.33)

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Director of Student Services/Director of Student Center

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Space Assignment, Management and Planning

Policy Number: 16.3

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do):

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ron Watson, Director of Physical Plant
Michaelyn Greene, Director of Administrative Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Space Assignment, Management, and Planning

Original Implementation: ~~January 26, 2016~~ January 29, 2019

Last Revision: None

Purpose

This policy establishes the process for assignment, reassignment, management, planning, and modification of Stephen F. Austin State University (SFA) space to promote the most efficient stewardship of this limited resource.

Definitions

Space means all interior buildings and facilities and exterior areas owned or leased by the university.

Educational and general (E&G) space means an area which is used for academic instruction, research, and support of the institution's mission. It does not include space that is permanently unassigned, or space used for operations independent of the institution's mission.

Auxiliary enterprise space are buildings and facilities that are managed as essentially self-supporting activities. Examples are residence halls, food services, student health services, intercollegiate athletics, retail spaces, campus recreation, and student center spaces.

Space management refers to oversight of all university space and the assignment and reassignment of such to remain in compliance according to this policy and state and federal codes, regulations, and laws.

Space planning means the creation of ideas, solutions, and recommendations for space-related needs.

Space assignment means allocating/designating space to a particular individual or unit.

Space reassignment means reallocating/re-designating space from one individual or unit to another.

Routine maintenance includes expenditures made for the normal upkeep of physical properties (i.e. land, buildings, and equipment) including recurring, preventive, and on-going maintenance necessary to delay or prevent the failure of critical and non-critical building systems and *excludes work that will not* requires emergency attention, *or* alters the structure, *or supports an event*.

General

Stephen F. Austin State University (not any group, individual, or unit within it) owns and/or controls all interior and exterior spaces on campus as well as additional properties off-campus including leased properties. All space decisions are based upon the Higher Education Coordinating

Board (THECB) space utilization requirements and aligned with academic, research, clinical, administrative, or community engagement needs which are consistent with the strategic initiatives of the university. The assignment, reassignment, alteration, and/or reclassification of space are made to meet the overall needs and best interests of the university. Oversight and management of space will remain in compliance with this policy and state and federal codes, regulations, and laws.

Space Assignment, Reassignment, Construction and/or Renovation

Assignment and utilization of university space shall be the decision of the president or his/her delegate, who is authorized to assign or reassign space to any unit on campus. The president may delegate such decision-making authority.

Space modification or design requests are required for all changes to university space including, but not limited to reassignment, reclassification, and changes to capacity, use, or function, and alteration or renovation not considered routine maintenance. Space modification or design requests are reviewed by the space modification committee and recommendations are submitted to the provost and vice president for academic affairs and to the vice president for finance and administration for final approval regarding E&G space and to the vice president for university affairs and to the vice president for finance and administration for final approval regarding auxiliary space.

Vacated Space

Space vacated within an academic or administrative unit due to normal employee turnover may remain internally assigned within that unit at discretion of the president or his/her designee. Space vacated by an academic or administrative unit that occurs due to a permanent reduction in workforce, downsizing or elimination of a unit, reorganization, or relocation reverts to the university administration for re-assignment.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: President

Forms: Request for space modification or design is located on the SFA business forms webpage.

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Telecommunication Services

Policy Number: 16.28

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Defines and outlines SFA telecommunication services.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revision of position responsible for implementation.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Anthony Espinoza, Chief Information Officer
Mike Coffee, Deputy Chief Information Officer
Dr. Steve Westbrook, Acting President

Telecommunication Services

Original Implementation: December 8, 1987

Last Revision: ~~January 26, 2016~~ January 29, 2019

Information Technology Services (ITS) is responsible for the administration of Stephen F. Austin State University (SFA) communication services, including telecommunication services. Telecommunication services consist of the installation, maintenance, and operation of the university-owned telephone switch, connective infrastructure, associated services, cellular services (policy 3.6), and all outside telephone lines connecting to university locations and billing.

TELEPHONE USAGE

All telephone services exist primarily for the transaction of official university business (except for residence hall telephones). Personal local calls may be made but should be minimized. Personal toll calls must be charged to home telephones, personal telephone calling cards, or reimbursed to the unit. Reimbursements for personal calls on a university telephone should be coordinated with the department head (or account custodian). It is the responsibility of the department head (or account custodian) to review all telephone bills to ensure compliance with the usage policy.

All charges for telephone services, including campus telephone lines, toll-free numbers, toll calls (long distance access codes), and cellular telephones remain the responsibility of the unit head (or account custodian) until written notification is received by ITS for their discontinuance.

EQUIPMENT MAINTENANCE

Requests for installation, relocation, alteration, or repair of telephone equipment should be submitted to the ITS Help Desk. A work order will be issued, and upon completion, the appropriate account may be charged.

LONG DISTANCE ACCESS CODE

Requests for long distance access codes should be submitted by the unit head (or account custodian) to ITS. The request should include the individual's name, campus ID number, and account number. Requests for multiple long distance access codes (for charging to more than one account number) may be included in a single memorandum. However, full information must be provided for each access code requested.

TOLL-FREE TELEPHONE NUMBERS

Requests for toll-free telephone numbers should be submitted by the unit head (or account custodian) to ITS. The memorandum must include the purpose of the toll-free service, account number, existing telephone number where the toll-free number will ring, directory listing information (if appropriate), and name and telephone number of a contact person. Discontinuance of the toll-free service or changes to the ring extension require a memorandum from the unit head (or account custodian) to ITS.

Cross Reference: Cellular Telephones and Wireless Communication Devices (3.6)

Responsible for Implementation: ~~Provost and Vice President for Academic Affairs~~ *President*

Contact for Revision: Chief Information Officer

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Work Requests

Policy Number: 16.37

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do):

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ron Watson, Director of Physical Plant
Michaelyn Greene, Director of Administrative Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Work Requests

Original Implementation: December 7, 1987

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy outlines the responsibilities of the Physical Plant Department in regards to routine maintenance and emergency situations. It also describes the methods to request service for routine and emergency maintenance or for space modifications.

Definitions

Routine maintenance includes expenditures made for the normal upkeep of physical properties (i.e. land, buildings, and equipment) including recurring, preventive and on-going maintenance necessary to delay or prevent the failure of critical and non-critical building systems and excludes work that requires emergency attention, alters the structure, or supports an event.

Emergency maintenance requires immediate action to prevent endangerment of life and/or property damage in the opinion of the requestor.

Alterations to a structure is work that involves modifying space (i.e. moving walls, renovation) and must be submitted through the SFA space modification process and is not typically considered part of routine maintenance.

General

The Physical Plant Department (PPD) is responsible for maintaining all Education & General (E&G) space at the university. In addition, *the* PPD may perform work for auxiliary departments upon request or where service efficiency or practicality dictates. ~~;~~ ~~this work for auxiliary departments~~ is billed accordingly through the SFA inter-department transfer (IDT) process.

Work performed by *the* PPD includes mechanical maintenance (electrical, electronics, HVAC, plumbing); building trades (carpentry, painting, graphics, locksmith); custodial services; special services (waste management, move/event services); transportation services (auto repair and rental); grounds maintenance; and special and capital construction project management.

All work requested through *the* PPD must be submitted through the SFA computerized maintenance management system (CMMS). Assistance in completing a request is available by calling *the* PPD.

Any work requests to modify indoor or outdoor institutional property or estimates for work subject to space modification and design falling under the following categories are required to be submitted for vice president approval through the space modification committee: finishes; building structural change; building system change; space function change; new space request; technology, furniture and equipment that is attached to the building.

The PPD will assess charges as appropriate for services rendered outside of routine maintenance.

Routine Maintenance

The ~~PPD~~Physical Plant Department performs routine maintenance based on importance, priority and available manpower. ~~Routine maintenance includes anything of a normal nature that will not require emergency attention or alter the structure. Examples of routine maintenance~~Such requests include temperature control, minor plumbing or custodial problems, minor electrical problems, pest control, etc. Requests of this nature should be submitted through the CMMS.

Any work requested beyond the scope of routine building maintenance requires authorization from a designated official of the requesting department and will be billed accordingly through the IDT process.

~~Work that involves altering space (i.e. moving walls, renovation) must be submitted through the SFA space modification process and is not typically considered part of routine maintenance.~~

Emergencies

Emergency work requests, ~~which in the opinion of the requestor, require immediate action to prevent endangerment of life and/or property damage,~~ should be reported immediately, as follows:

During normal working hours (Monday – Friday, 7:00 a.m. through 4:00 p.m.): contact PPD
During evenings, weekends, holidays, shut-down periods: contact University Police Department

Cross Reference: ~~None~~ Physical Plant Charges (16.20), Space Assignment, Management and Planning (16.3)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Physical Plant

Forms: None

Board Committee Assignment: Building and Grounds

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

Explanation:

The *Board Rules and Regulations* state that the chief audit executive shall assist the board in carrying out its oversight responsibilities as they relate to the university's a) financial and other reporting practices, b) internal control, and c) compliance with laws, regulations and ethics. The chief audit executive reports to the Board of Regents on the status of the annual audit plan, internal and external reports, risk assessment and audit/compliance issues.

The audit services report as presented includes the following:

- Office of Research and Graduate Studies Departmental Audit
- International Programs Departmental Audit
- Geology Departmental Audit
- Computer Science Departmental Audit
- Alumni Departmental Audit
- Safety and Security Audit
- Information Technology Patching, Anti-virus, and Vulnerability Management Audit
- Investigations
- NCAA Agreed Upon Procedures
- Update on Audit Plan

Recommendation:

Pending consideration of the Finance and Audit Committee

APPROVAL OF THE 2017-18 ANNUAL FINANCIAL REPORT

Explanation:

As required by state law, Stephen F. Austin State University submitted the August 31, 2018, Annual Financial Report on November 20, 2018, to the Office of the Governor, Comptroller of Public Accounts, Legislative Budget Board, Texas Higher Education Coordinating Board, Legislative Reference Library, Texas State Library and Texas State Auditor's Office. The report reflected the university's financial activities for the period September 1, 2017, through August 31, 2018.

Recommendation:

The administration recommends approval of the Stephen F. Austin State University 2017-18 annual financial report.

Report and Board Action on Agenda Item:

CHANGES IN COURSE FEES FOR FY 2019-20

Explanation:

Course and lab fees provide instructional departments with funds to support the actual cost of consumable supplies, service and travel related to specific courses. Course and lab fees are allocated to instructional departments for expenditures that are necessary for course delivery.

Recommendation:

The administration recommends approval of the changes in course and lab fees for fiscal year 2019-20 shown in the following chart.

Report to the Board of Regents - Reconvene Board Meeting in Open Session

Changes in Course Fees 2019-20							
College of Business							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Management & Marketing	MKT	353		Personal Selling	\$0	\$30	New
College of Education							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Agriculture	AGD	491	050-099	Student Teaching	\$0	\$135	new
Agriculture	AGD	491	150-199	Student Teaching	\$0	\$246	new
Elementary Education	ECH	328	face to face	Foundations of ECH	\$20	\$5	modify
Elementary Education	ECH	328	online only	Foundations of ECH	\$20	\$7	modify
Elementary Education	ECH	331	face to face	Child-Centered Environments	\$20	\$13	modify
Elementary Education	ECH	331	online only	Child-Centered Environments	\$20	\$15	modify
Elementary Education	ECH	332	face to face	ECH Theory and Practice	\$20	\$5	modify
Elementary Education	ECH	332	online only	ECH Theory and Practice	\$20	\$0	Delete
Elementary Education	ECH	350	face to face	EC-6 Field Experience I	\$10	\$71	modify
Elementary Education	ECH	350	online only	EC-6 Field Experience I	\$10	\$40	modify
Elementary Education	ELE	301	face to face	Teaching Science in EC-6	\$25	\$20	modify
Elementary Education	ELE	301	online only	Teaching Science in EC-6	\$25	\$0	Delete
Elementary Education	ELE	302	face to face	Teaching Social Studies in EC-6	\$30	\$15	modify
Elementary Education	ELE	302	online only	Teaching Social Studies in EC-6	\$30	\$0	Delete
Elementary Education	ELE	303	face to face	Teaching Mathematics in EC-6	\$23	\$20	modify
Elementary Education	ELE	303	online only	Teaching Mathematics in EC-6	\$23	\$15	modify
Elementary Education	ELE	304	online only	Technology in Teaching	\$0	\$7	new
Elementary Education	ELE	441	001-049 (3 credits)	Student Teaching in the Elementary School	\$100	\$0	Delete
Elementary Education	ELE	441	050-099 (6 credits)	Student Teaching in the Elementary School	\$100	\$135	modify
Elementary Education	ELE	441	100-149 (3 credits)	Student Teaching in the Elementary School	\$100	\$0	Delete
Elementary Education	ELE	441	150-199 (6 credits)	Student Teaching in the Elementary School	\$100	\$246	modify
Elementary Education	ELE	441	200-249 (3 credits)	Student Teaching in the Elementary School	\$100	\$135	modify
Elementary Education	ELE	441	250-299 (3 credits)	Student Teaching in the Elementary School	\$100	\$246	modify
Elementary Education	ELE	450	face to face	EC-6 Field Experience II	\$0	\$5	new
Elementary Education	ELE	450	online only	EC-6 Field Experience II	\$0	\$7	New
Elementary Education	ELE	555	050-099	Student Teaching	\$100	\$135	modify
Elementary Education	ELE	555	150-199	Student Teaching	\$100	\$246	modify
Elementary Education	MLG	400	face to face	The Adolescent Learner	\$15	\$5	modify
Elementary Education	MLG	400	online only	The Adolescent Learner	\$15	\$0	Delete
Elementary Education	MLG	401	face to face	The Middle-Level Learning Community	\$40	\$44	modify
Elementary Education	MLG	401	online only	The Middle-Level Learning Community	\$40	\$46	modify
Elementary Education	MLG	401P	face to face	The Middle-Level Learning Community	\$0	\$20	New
Elementary Education	MLG	402	face to face	Learner-Centered Middle Schools	\$30	\$5	modify
Elementary Education	MLG	402	online only	Learner-Centered Middle Schools	\$30	\$0	Delete
Elementary Education	MLG	403	face to face	Integrating Middle Grades Learning	\$40	\$15	modify
Elementary Education	MLG	403	online only	Integrating Middle Grades Learning	\$40	\$17	modify
Elementary Education	MLG	403P	face to face	Integrating Middle Grades Learning	\$0	\$33	New
Elementary Education	MLG	422	face to face	Science in the Middle Grades	\$20	\$5	modify
Elementary Education	MLG	422	online only	Science in the Middle Grades	\$20	\$0	Delete
Elementary Education	MLG	423	face to face	Social Studies in the Middle Grades	\$15	\$5	modify
Elementary Education	MLG	423	online only	Social Studies in the Middle Grades	\$15	\$0	Delete
Elementary Education	MLG	424	face to face	Mathematics in the Middle Grades	\$20	\$5	modify
Elementary Education	MLG	424	online only	Mathematics in the Middle Grades	\$20	\$0	Delete

Report to the Board of Regents - Reconvene Board Meeting in Open Session

Elementary Education	RDG	318	face to face	Survey of Reading	\$5	\$5	modify
Elementary Education	RDG	318	online only	Survey of Reading	\$5	\$0	Delete
Elementary Education	RDG	320	face to face	Language and Literacy I	\$14	\$5	modify
Elementary Education	RDG	320	online only	Language and Literacy I	\$14	\$0	Delete
Elementary Education	RDG	322	face to face	Language and Literacy II	\$10	\$5	modify
Elementary Education	RDG	322	online only	Language and Literacy II	\$10	\$0	Delete
Elementary Education	RDG	390	face to face	Content Area Reading and Writing	\$10	\$5	modify
Elementary Education	RDG	390	online only	Content Area Reading and Writing	\$10	\$0	Delete
Elementary Education	RDG	415	face to face	Language and Literacy III	\$10	\$10	modify
Elementary Education	RDG	416	face to face	Reading as a Language Process	\$0	\$15	New
Elementary Education	RDG	416	online only	Reading as a Language Process	\$0	\$10	New
Human Sciences	HMS	113	001-099	Pre Portfolio Development	\$0	\$18	new
Human Sciences	HMS	113	601-699	Pre Portfolio Development	\$0	\$21	new
Human Sciences	HMS	139	001-099	Management in Meal Production	\$34	\$40	modify
Human Sciences	HMS	139	500-599	Management in Meal Production	\$34	\$0	Delete
Human Sciences	HMS	204		Aesthetics and Trends in Merchandising	\$46	\$49	modify
Human Sciences	HMS	212		History of Interior Furniture, Furnishings & Architecture	\$75	\$53	modify
Human Sciences	HMS	232		Twentieth Century Costume	\$41	\$111	modify
Human Sciences	HMS	233		Apparel Design	\$0	\$86	new
Human Sciences	HMS	311		Interior Materials & Cabinetry	\$70	\$59	modify
Human Sciences	HMS	323		Specialty Merchandising	\$41	\$78	modify
Human Sciences	HMS	343		Visual Merchandising	\$114	\$150	modify
Human Sciences	HMS	404		Advanced Culinary Planning & Preparation	\$30	\$45	modify
Human Sciences	HMS	407		Customer Relations Hospitality Industry	\$55	\$60	modify
Human Sciences	HMS	409		Community Nutrition	\$0	\$6	new
Human Sciences	HMS	413	501-599	Portfolio Development	\$120	\$0	delete
Human Sciences	HMS	452		Specialty Merchandising	\$62	\$51	modify
Human Sciences	HMS	463		Specialty Merchandising	\$62	\$51	modify
Human Services	COU	524		The School Counselor	\$25	\$0	delete
Human Services	CSD	300		Speech Disorders	\$5	\$0	delete
Human Services	RHB	220		Introduction to Rehabilitation Services	\$0	\$10	new
Human Services	SPE	439	all sections	ABA Applied Behavior Analysis	\$20	\$0	delete
Human Services	SPE	443	050-099	Student Teaching in Special Education	\$100	\$135	modify
Human Services	SPE	443	150-199	Student Teaching in Special Education	\$100	\$246	modify
Human Services	SPE	554	all sections	Practicum in Professional and Ethical Practice	\$0	\$85	new
Human Services	SPE	555	all sections	Practicum in Diagnostic Evaluation	\$75	\$0	delete
Human Services	SPE	564	all sections	Early Childhood Special Education	\$30	\$0	delete
Human Services	SPH	471		Advanced Language Development for the Deaf	\$64	\$47	modify
Human Services	SPH	504		Clinical Practicum	\$40	\$0	Delete
Human Services	SPH	514		Clinical Practicum: Early Childhood Intervention	\$0	\$163	new
Human Services	SPH	554		Clinical Practicum: Praxis Prep & Case Studies in Communication Disorders	\$0	\$23	new
Kinesiology & Health Science	DAN	380		Dance Company	\$120	\$140	modify
Kinesiology & Health Science	HSC	151		ARC First Aid for Health Emergencies	\$20	\$38	modify
Kinesiology & Health Science	KIN	115		Bowling	\$0	\$30	new
Kinesiology & Health Science	KIN	206		Basic Rifle Marksmanship	\$0	\$47	new
Kinesiology & Health Science	KIN	353L		Physiology of Exercise	\$30	\$20	modify
Kinesiology & Health Science	KIN	433		Coaching Practicum	\$0	\$13	new
Kinesiology & Health Science	KIN	508		Emergency Care	\$0	\$36	new
Kinesiology & Health Science	KIN	521		Athletic Training Clinical I	\$110	\$168	modify

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Kinesiology & Health Science	KIN	541		Athletic Training Clinical III	\$30	\$67	modify
Kinesiology & Health Science	KIN	560		Psychophysiology	\$20	\$0	Delete
Kinesiology & Health Science	KIN	551		Athletic Training Clinical IV	\$30	\$37	modify
Kinesiology & Health Science	SED	442	001-049 (3 credits)	Student Teaching in a Secondary Learning Community	\$100	\$135	modify
Kinesiology & Health Science	SED	442	050-099 (6 credits)	Student Teaching in a Secondary Learning Community	\$100	\$135	modify
Kinesiology & Health Science	SED	442	100-149 (3 credits)	Student Teaching in a Secondary Learning Community	\$100	\$246	modify
Kinesiology & Health Science	SED	442	150-199 (6 credits)	Student Teaching in a Secondary Learning Community	\$100	\$246	modify
Kinesiology & Health Science	SED	442	200-249 (3 credits)	Student Teaching in a Secondary Learning Community	\$100	\$246	modify
Kinesiology & Health Science	SED	442	250-299 (3 credits)	Student Teaching in a Secondary Learning Community	\$100	\$135	modify
Kinesiology & Health Science	SED	443	all sections	Education in a Global Society	\$0	\$25	new
Kinesiology & Health Science	SED	443	001 & 002	Education in a Global Society	\$11	\$0	delete
Kinesiology & Health Science	SED	544	001-049	Student Teaching	\$100	\$135	modify
Kinesiology & Health Science	SED	544	100-149	Student Teaching	\$100	\$246	modify
College of Liberal & Applied Arts							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Psychology	PSY	497		Research Seminar	\$40	\$40	Modify
Psychology	PSY	507		Design & Analysis II	\$40	\$40	Modify
Psychology	PSY	585		Graduate Research Seminar	\$10	\$10	Modify
Psychology	PSY	133		General Psychology	\$3	\$5	modify
Psychology	PSY	350		Biopsychology	\$0	\$9	new
Government	CIS	460		Internship in Criminal Justice	\$50	\$50	modify
English	IRW	99		Developmental English	\$10	\$5	modify
English	ENG	131	001-300	Rhetoric and Composition	\$10	\$5	modify
English	ENG	132	001-300	Research and Argument	\$7	\$5	modify
English	ENG	273	001-300	Technical and Scientific Writing	\$7	\$5	modify
English	ENG	381	001-300	Writing About Literature	\$7	\$5	modify
English	ENG	382		Reasoning and Writing	\$7	\$5	modify
English	ENG	473		Advanced Technical Writing	\$7	\$5	modify
English	ENG	481		Advanced Composition	\$7	\$5	modify
English	ENG	261		Introduction to Creative Writing	\$10	\$5	modify
English	ENG	359		Intermediate Poetry Workshop	\$10	\$5	modify
English	ENG	361		Intermediate Fiction Workshop	\$10	\$5	modify
English	ENG	362		Intermediate Non-Fiction Workshop	\$10	\$5	modify
English	ENG	459		Advanced Poetry Workshop	\$10	\$5	modify
English	ENG	461		Advanced Fiction Workshop	\$10	\$5	modify
English	ENG	462		Advanced Non-Fiction Workshop	\$10	\$5	modify
English	ENG	463		Elements of Craft	\$10	\$5	modify
English	ENG	559		Graduate Poetry Workshop	\$10	\$5	modify
English	ENG	561		Graduate Fiction Workshop	\$10	\$5	modify
Mass Communication	MCM	2015		Media Writing	\$0	\$5	new
Mass Communication	MCM	212		Audio Production	\$50	\$136	modify
Mass Communication	MCM	250		Photographic Journalism	\$0	\$53	new
Mass Communication	MCM	300		Single Camera Productions	\$35	\$123	modify
Mass Communication	MCM	302		Studio Productions	\$35	\$123	modify
Mass Communication	MCM	305		Convergence Reporting	\$0	\$53	new
Mass Communication	MCM	350		Photographic Journalism	\$0	\$53	new
Mass Communication	MCM	353		Social Media Content Production	\$0	\$53	new
Mass Communication	MCM	381		Public Relations Writing	\$0	\$5	new
Mass Communication	MCM	383		Public Relations Campaigns	\$0	\$53	new

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Mass Communication	MCM	404	Media Graphics	\$0	\$53	new
Mass Communication	MCM	420	Broadcast Practicum	\$0	\$136	new
Mass Communication	MCM	440	Backpack Journalism	\$0	\$53	new
Mass Communication	MCM	456	Advanced Television Productions	\$0	\$123	new
History	HIS	133	US History to 1877	\$5	\$0	delete
History	HIS	134	US History since 1877	\$5	\$0	delete
History	HIS	151	Western Civilization to 1500	\$5	\$0	delete
History	HIS	152	Western Civilization since 1500	\$5	\$0	delete
History	HIS	161	World History to 1500	\$5	\$0	delete
History	HIS	162	World History since 1500	\$5	\$0	delete
History	HIS	210	The Craft o History	\$5	\$0	delete
History	HIS	300	US Diplomatic History	\$5	\$0	delete
History	HIS	303	Global Diplomacy	\$5	\$0	delete
History	HIS	304	History of Science	\$5	\$0	delete
History	HIS	308	Introduction to Public History	\$5	\$0	delete
History	HIS	310	Topics in US History	\$5	\$0	delete
History	HIS	312	Topics in World Regional History	\$5	\$0	delete
History	HIS	313	Topics in Comparative and/or Global History	\$5	\$0	delete
History	HIS	314	Women's History	\$5	\$0	delete
History	HIS	315	Modern South Asia	\$5	\$0	delete
History	HIS	316	History of the Islamic World	\$5	\$0	delete
History	HIS	317	Ancient Greece	\$5	\$0	delete
History	HIS	318	Ancient Rome	\$5	\$0	delete
History	HIS	319	Middle Ages	\$5	\$0	delete
History	HIS	320	Modern East Asia	\$5	\$0	delete
History	HIS	324	Renaissance and Reformation, 1350-1648	\$5	\$0	delete
History	HIS	325	Age of Absolutism, 1648-1789	\$5	\$0	delete
History	HIS	326	Age of Absolutism, 1815-1914	\$5	\$0	delete
History	HIS	328	Contemporary Europe	\$5	\$0	delete
History	HIS	330	European Popular Culture, 1500-1800	\$5	\$0	delete
History	HIS	332	History of Latin America	\$5	\$0	delete
History	HIS	333	History of Mexico	\$5	\$0	delete
History	HIS	334	US Mexico Borderlands	\$5	\$0	delete
History	HIS	335	History of Texas	\$5	\$0	delete
History	HIS	336	Latino History, 1848-Present	\$5	\$0	delete
History	HIS	341	Origins of Medieval Britain	\$5	\$0	delete
History	HIS	342	The Making of Modern Britain	\$5	\$0	delete
History	HIS	343	Colonial America	\$5	\$0	delete
History	HIS	344	The American South	\$5	\$0	delete
History	HIS	345	The American West	\$5	\$0	delete
History	HIS	349	African-American History	\$5	\$0	delete
History	HIS	350	US Military History	\$5	\$0	delete
History	HIS	352	Twentieth-Century Russia	\$5	\$0	delete
History	HIS	376	Teaching History and Social Studies in Secondary Schools	\$5	\$0	delete
History	HIS	417	Early Christianity	\$5	\$0	delete
History	HIS	426	French Revolution and Napoleon	\$5	\$0	delete
History	HIS	438	American Cities and Suburbs	\$5	\$0	delete
History	HIS	440	American Revolution	\$5	\$0	delete
History	HIS	443	The Early Republic	\$5	\$0	delete

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History	HIS	445		Civil War and Reconstruction (1850-1877)	\$5	\$0	delete
History	HIS	448		The Making of Modern America (1865-1921)	\$5	\$0	delete
History	HIS	449		United States in World War II	\$5	\$0	delete
History	HIS	450		The Roaring Twenties and Great Depression	\$5	\$0	delete
History	HIS	451		America Since 1945	\$5	\$0	delete
History	HIS	452		Vietnam War	\$5	\$0	delete
History	HIS	457		Europe and World War I	\$5	\$0	delete
History	HIS	459		Nazi Germany	\$5	\$0	delete
History	HIS	460		Cold War Cultures (1945-1991)	\$5	\$0	delete
History	HIS	461		History of American Sports	\$5	\$0	delete
History	HIS	463		American Legal and Constitutional History	\$5	\$0	delete
History	HIS	464		American Popular Culture	\$5	\$0	delete
History	HIS	470		Senior Seminar	\$5	\$0	delete
English	ENG	131	492	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	493	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	494	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	495	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	496	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	497	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	499	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	504	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	505	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	506	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	507	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	508	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	509	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	701	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	702	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	703	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	704	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	500	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	501	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	502	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	503	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	500	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	501	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	502	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	503	Rhetoric and Composition	\$10	\$0	delete
English	ENG	273	590	Technical Writing	\$7	\$0	delete
English	ENG	273	591	Technical Writing	\$7	\$0	delete
English	ENG	273	592	Technical Writing	\$7	\$0	delete
English	ENG	273	595	Technical Writing	\$7	\$0	delete
English	ENG	273	273	Technical Writing	\$7	\$0	delete
English	ENG	273	495	Technical Writing	\$7	\$0	delete
English	ENG	273	496	Technical Writing	\$7	\$0	delete
English	ENG	273	593	Technical Writing	\$7	\$0	delete
English	ENG	273	594	Technical Writing	\$7	\$0	delete
English	ENG	273	596	Technical Writing	\$7	\$0	delete
English	ENG	273	597	Technical Writing	\$7	\$0	delete

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English	ENG	381	500	Into to Lit. Analysis	\$7	\$0	delete
English	ENG	132	490	Research and Argument	\$7	\$0	delete
English	ENG	132	491	Research and Argument	\$7	\$0	delete
English	ENG	132	492	Research and Argument	\$7	\$0	delete
English	ENG	132	493	Research and Argument	\$7	\$0	delete
English	ENG	132	495	Research and Argument	\$7	\$0	delete
English	ENG	132	496	Research and Argument	\$7	\$0	delete
English	ENG	132	497	Research and Argument	\$7	\$0	delete
English	ENG	132	499	Research and Argument	\$7	\$0	delete
English	ENG	132	498	Research and Argument	\$7	\$0	delete
English	ENG	132	504	Research and Argument	\$7	\$0	delete
English	ENG	132	505	Research and Argument	\$7	\$0	delete
English	ENG	132	508	Research and Argument	\$7	\$0	delete
English	ENG	132	510	Research and Argument	\$7	\$0	delete
English	ENG	132	511	Research and Argument	\$7	\$0	delete
English	ENG	132	700	Research and Argument	\$7	\$0	delete
English	ENG	132	107	Research and Argument	\$7	\$0	delete
English	ENG	132	702	Research and Argument	\$7	\$0	delete
English	ENG	132	703	Research and Argument	\$7	\$0	delete
English	ENG	132	704	Research and Argument	\$7	\$0	delete
English	ENG	132	705	Research and Argument	\$7	\$0	delete
English	ENG	132	706	Research and Argument	\$7	\$0	delete
English	ENG	132	500	Research and Argument	\$7	\$0	delete
English	ENG	132	502	Research and Argument	\$7	\$0	delete
English	ENG	132	503	Research and Argument	\$7	\$0	delete
English	ENG	132	509	Research and Argument	\$7	\$0	delete
SFA 101	SFA	101	90-99	Freshman Seminar (Rec Center Ropes Course)	\$0	\$15	New
College of Forestry & Agriculture							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Agriculture	ANS	542L		Equine Production and Management	\$10	\$30	Modify
Agriculture	ANS	542		Equine Production and Management	\$4	\$50	Modify
Agriculture	ANS	442L		Equine Production and Management	\$10	\$30	Modify
Agriculture	ANS	442		Equine Production and Management	\$4	\$50	Modify
Agriculture	ANS	345		Small Ruminant Production	\$0	\$50	New
Forestry	FOR	310		Field Silviculture	\$70	\$90	Modify
Forestry	FOR	323		Land Measurement	\$70	\$90	Modify
Forestry	FOR	325		Timber Cruising	\$70	\$90	Modify
Forestry	FOR	329		Harvesting and Processing	\$70	\$90	Modify
Forestry	FOR	335		Non-timber Resources Management	\$70	\$90	Modify
Forestry	FOR	336		Field Wildlife Techniques	\$70	\$90	Modify
Forestry	FOR	610		Research Methods in Forestry	\$0	\$15	New
Forestry	FOR	627		Intensive Silviculture	\$0	\$50	New
Forestry	FOR	504		Southern Hardwood Silviculture	\$5	\$225	Modify
Forestry	FOR	604		Southern Hardwood Silviculture	\$5	\$225	Modify
Environmental Science	ENV	503		Remediation and Reclamation of Disturbed Land	\$0	\$20	New
Environmental Science	ENV	503L		Remediation and Reclamation of Disturbed Land Lab	\$0	\$10	New
Environmental Science	ENV	514		Wetland Delineation and Functional Assessment	\$0	\$20	New
Environmental Science	ENV	514L		Wetland Delineation and Functional Assessment Lab	\$10	\$10	Modify
Environmental Science	ENV	412		Environmental Hydrology Lab	\$0	\$25	New

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Environmental Science	ENV	412L		Environmental Hydrology	\$0	\$10	New
College of Science & Math							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Chemistry & Biochemistry	CHE	111L	5xx online sections	Introductory Chemistry Lab	\$30	\$0	delete
Geology	GOL	243	all sections	Sedimentary Petrology	\$0	\$190	new
Geology	GOL	132L	5xx online sections	Earth Through Time Lab	\$0	\$60	new
Geology	GOL	101L	040 ONLY	Fundamentals of Earth Science Laboratory	\$0	\$260	new
Geology	GOL	131L	040 ONLY	Introductory Geology Lab	\$0	\$280	new
Geology	GOL	420	all sections	Geochemistry	\$0	\$40	new
Geology	GOL	440	all sections	Earth Resources	\$0	\$170	new
Geology	GOL	505	all sections	Stratigraphy of North America	\$0	\$170	new
Geology	GOL	506	all sections	Sequence Stratigraphy	\$0	\$280	new
Geology	GOL	507	all sections	Sedimentology	\$0	\$210	new
Geology	GOL	508	all sections	Depositional Systems	\$0	\$180	new
Geology	GOL	515	all sections	Sedimentary Petrology	\$0	\$250	new
Geology	GOL	542	all sections	Exploration of Ore Resources	\$0	\$250	new
Geology	GOL	432	all sections	Petroleum Geology and Fossil Fuels	\$0	\$40	new
Geology	GOL	532		Petroleum Geology and Fossil Fuels	\$0	\$40	new
Geology	GOL	242	all sections	Igneous & Metamorphic Petrology	\$205	\$280	Modify
Geology	GOL	241	all sections	Mineralogy	\$0	\$155	new
Geology	GOL	445	all sections	Geochronology	\$0	\$125	new
Geology	GOL	540	all sections	Metamorphic Basement Geology	\$0	\$280	new
Geology	GOL	545	all sections	Geochronology	\$0	\$125	new
Mathematics & Statistics	MTH	233L		Calculus I Lab	\$10	\$20	Modify
Mathematics & Statistics	MTH	234L		Calculus II Lab	\$10	\$20	Modify
Mathematics & Statistics	MTH	333L		Calculus III Lab	\$10	\$20	Modify
Physics, Engineering & Astronomy	PHY	215L		Linear Circuit Analysis Lab	\$0	\$20	new
Physics, Engineering & Astronomy	ECR	210L		Geo Model for Mech Design Lab	\$0	\$20	new
Physics, Engineering & Astronomy	AST	105		Classical & Modern Astronomy	\$5	\$3	Modify
Nursing	NUR	305		Introduction to Nursing	\$38	\$46	Modify
Nursing	NUR	306		Basic Care of Adults	\$138	\$147	Modify
Nursing	NUR	308		Pharmacology	\$47	\$17	Modify
Nursing	NUR	330		Nursing Care young Adult to Elderly	\$250	\$231	Modify
Nursing	NUR	332		Nursing Care in Promotion of Mental Illness	\$47	\$57	Modify
Nursing	NUR	406		Nursing Care of Clients with Complex Health Needs	\$128	\$148	Modify
Nursing	NUR	407		Nursing Care Women and Children 2	\$110	\$101	Modify
Nursing	NUR	408		Nursing Care of Clients with Complex Health Needs	\$81	\$90	Modify
Nursing	NUR	431		Care of Community Populations	\$217	\$203	Modify
Nursing	NUR	432		Leadership and Coordination of Care	\$82	\$92	Modify
Nursing	NUR	437		RN-BSN Assessment Across the Lifespan	\$98	\$130	Modify
Nursing	NUR	438		RN-BSN Pathophysiology	\$66	\$91	Modify
Nursing	NUR	440		RN_BSN Care of Community Populations	\$66	\$91	Modify
Nursing	NUR	441		RN-BSN Leadership and Coordination of Care	\$66	\$91	Modify
Nursing	NUR	475		Special Problems	\$74	\$82	Modify
Nursing	NUR	531		Advanced Pathophysiology	\$70	\$158	Modify
Nursing	NUR	532		Advanced Health Assessment	\$102	\$197	Modify
Nursing	NUR	541		Advance Pharmacology	\$70	\$158	Modify
Nursing	NUR	542		Diagnostics and Procedures	\$189	\$283	Modify
Nursing	NUR	551		Primary Care I	\$33	\$108	Modify

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Nursing	NUR	561		Primary Care II	\$37	\$112	Modify
Nursing	NUR	570		MSN FNP Capstone	\$181	\$310	Modify

APPROVAL OF FY2019-20 BOARD RATES

Explanation:

Projected food service operating costs support the need for revised board rates for the 2019-20 fiscal year.

Pursuant to the relevant provisions of our food service contract, the administration and ARAMARK annually negotiate necessary rate increases for the upcoming fiscal year. Our contract uses the percentage increase in the Food and Beverage element of the Consumer Price Index (CPI) published by the Bureau of Labor Statistics, U. S. Department of Labor, for urban consumers ("CPI-U") in the South as a benchmark for any rate increase considered.

The proposed board rates for 2019-20 are presented following and reflect a 2.1% increase in the board plans.

These revised rates will become effective for the fall semester of 2019.

Recommendation:

The administration recommends approval of a 2.1% increase for ARAMARK services for FY2019-2020 as presented below.

Stephen F. Austin State University
Board Rates for 2019-2020

Meal plans (rates include sales tax)

	All Access Premium w/\$275	All Access w/\$50	7/14 Premium w/\$350	Basic 7/14 w/\$125
Campus Resident	\$2,002	\$1,800	\$1,955	\$1,753
Commuter	7/5 w/\$100 \$740	50 Block w/\$100 \$489	25 Block w/\$100 \$309	\$325 DD \$325
Summer Resident	7/14 w/\$75 \$644	7/20 w/\$50 \$805		
Summer Commuter	50 Block w/\$100 \$489	25 Block w/\$100 \$309		\$325 DD \$325

Stephen F. Austin State University
Board Rates for 2019-2020

Meal plans (rates include sales tax)

	All Access	All Access	7/14 Premium	Basic 7/14
Campus Resident	Premium w/\$275	w/\$50	w/\$350	w/\$125
	\$2,002	\$1,800	\$1,955	\$1,753
Commuter	7/5 w/\$100	50 Block w/\$100	25 Block w/\$100	\$325 DD
	\$740	\$489	\$309	\$325
Summer Resident	7/14 w/\$75	7/20 w/\$50		
	\$644	\$805		
Summer Commuter	50 Block w/\$100	25 Block w/\$100		\$325 DD
	\$489	\$309		\$325

DESIGNATED TUITION INCREASE FOR 2019-2020

Explanation:

To support academic delivery and operations, the administration proposes a designated tuition increase. The proposed increase will be used to support a faculty and staff salary pool.

Recommendation:

The administration recommends a \$____ per semester credit hour designated tuition increase that will be begin in fiscal year 2019-20.

FIXED-RATE TUITION INCREASE FOR FY2019-20

Explanation:

Texas Education Code (TEC) 54.017 provides the opportunity for entering undergraduate or transfer undergraduate students the opportunity to select a fixed-rate tuition plan (F RTP) under which the institution agrees not to increase tuition charges per semester credit hour for a participating student for at least the first 12 consecutive semesters that occur after the date of the student's initial enrollment at any public or private institution of higher education. Under the F RTP arrangement, a student who selects the plan pays a premium to freeze tuition costs for the term of the plan. The legislative requirement to offer a fixed-cost option applies to tuition only.

Recommendation:

For eligible students who enter the university in the fall 2019 semester and wish to enter into a fixed-rate tuition plan, it is also recommended that designated tuition be increased to \$____ per semester credit hour.

APPROVAL TO WAIVE CERTAIN RECREATION CENTER AND STUDENT CENTER
FEES FOR SUMMER STUDY ABROAD STUDENTS

Explanation:

The Board of Regents has waived the recreation center and student center fees for online-only students. Similarly, students who enroll in summer semester programs that are outside the country do not have access to the recreation and student centers.

Recommendation:

The administration recommends the Recreational Sports Fee and Student Center Fee be waived for study abroad students who participate in semester-long study abroad programs in Maymester, Summer I, and Summer II semesters.

APPROVAL OF RESOLUTION TO ACKNOWLEDGE REVIEW OF
INVESTMENT POLICY AND STRATEGY

Explanation:

In accordance with Chapter 2256 of the Texas Government Code, the university's investment policy and strategy must be annually reviewed by the governing board of the institution. In addition, the law requires the governing body to adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and strategy. The resolution acknowledges the board's annual review of Policy 3.21, Investments. Policy 3.21 is included in the policy revisions.

Recommendation:

The administration recommends approval of the Resolution to Acknowledge Review of Investment Policy and Strategy:

BOARD OF REGENTS
OF
STEPHEN F. AUSTIN STATE UNIVERSITY
Nacogdoches, Texas

RESOLUTION TO ACKNOWLEDGE
REVIEW OF INVESTMENT POLICY AND STRATEGY

WHEREAS, The Texas Public Funds Investment Act requires that each university's investment policy and strategy must be annually reviewed by the governing board of the institution; and

WHEREAS, the law also requires the governing body to adopt a written instrument stating that is has reviewed the investment policy and strategy;

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on January 29, 2019, and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 29, 2019 meeting of the board.

Attest:

APPROVAL OF RESOLUTION TO ACKNOWLEDGE REVIEW OF
INVESTMENT POLICY AND STRATEGY

Explanation:

In accordance with Chapter 2256 of the Texas Government Code, the university's investment policy and strategy must be annually reviewed by the governing board of the institution. In addition, the law requires the governing body to adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and strategy. The resolution acknowledges the board's annual review of Policy 3.21, Investments. Policy 3.21 is included in the policy revisions.

Recommendation:

The administration recommends approval of the Resolution to Acknowledge Review of Investment Policy and Strategy:

BOARD OF REGENTS
OF
STEPHEN F. AUSTIN STATE UNIVERSITY
Nacogdoches, Texas

RESOLUTION TO ACKNOWLEDGE
REVIEW OF INVESTMENT POLICY AND STRATEGY

WHEREAS, The Texas Public Funds Investment Act requires that each university's investment policy and strategy must be annually reviewed by the governing board of the institution; and

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BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 29, 2019 meeting of the board.

Attest:

TEXPOOL INVESTMENTS AUTHORIZED REPRESENTATIVES

Explanation:

The university uses TexPool as an investment entity for public fund investments. As a result of university administrative changes, a resolution is necessary to amend authorized institutional representatives. A resolution is presented that revises university authorized investment signatories.

Recommendation:

The administration recommends adoption of the Texpool Resolution Amending Authorized Representatives.



Resolution Amending Authorized Representatives

Please use this form to amend or designate Authorized Representatives.

This document supersedes all prior Authorized Representative forms.

* Required Fields

1. Resolution

WHEREAS,

Stephen F. Austin State University

Participant Name*

7 8 0 5 0

Location Number*

("Participant") is a local government of the State of Texas and is empowered to delegate to a public funds investment pool the authority to invest funds and to act as custodian of investments purchased with local investment funds; and

WHEREAS, it is in the best interest of the Participant to invest local funds in investments that provide for the preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act; and

WHEREAS, the Texas Local Government Investment Pool ("TexPool/ Texpool Prime"), a public funds investment pool, were created on behalf of entities whose investment objective in order of priority are preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act.

NOW THEREFORE, be it resolved as follows:

- A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.
- B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and
- C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

List the Authorized Representative(s) of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

1. Steven Westbrook Interim President
 Name Title
 9 3 6 4 6 8 2 2 0 1 9 3 6 4 6 8 2 2 0 2 swestbrook@sfasu.edu
 Phone Fax Email
 Signature
2. Danny R. Gallant Vice President of Finance and Administration
 Name Title
 9 3 6 4 6 8 2 3 5 0 9 3 6 4 6 8 7 0 2 7 dgallant@sfasu.edu
 Phone Fax Email
 Signature
3. Dannette Sales Controller
 Name Title
 9 3 6 4 6 8 2 3 5 4 9 3 6 4 6 8 2 2 0 7 salesdl@sfasu.edu
 Phone Fax Email
 Signature



Resolution Amending Authorized Representatives

Please use this form to amend or designate Authorized Representatives.

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* Required Fields

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Stephen F. Austin State University

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List the Authorized Representative(s) of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

1. **Judith Kruwell** **Director of Financial Services**
 Name Title
 9 3 6 4 6 8 4 5 4 1 9 6 8 4 6 8 7 0 2 7 kruwelljf@sfasu.edu
 Phone Fax Email
 Signature
2. **Jessica Barrett** **Director of Budget**
 Name Title
 9 3 6 4 6 8 2 1 1 6 9 3 6 4 6 8 7 0 2 7 barrettj1@sfasu.edu
 Phone Fax Email
 Signature
3. **Eric Ashworth** **Assistant Controller**
 Name Title
 9 3 6 4 6 8 2 2 1 8 9 3 6 4 6 8 2 2 0 7 ashworther@sfasu.edu
 Phone Fax Email
 Signature

Form Continues on Next Page

7 of 8
2 3

Title*

2. Mailing Instructions

3 of 3

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APPROVAL AND RATIFICATION OF GRANT AWARDS

Explanation:

In fiscal year 2019, the University received multi-year grant awards totaling \$8,434,097. Of that total, grants awarded allocable to fiscal year 2019 were \$4,939,336, an increase of \$1,457,737 since the last report.

The grant awards result from extensive faculty research and service engagement across many academic disciplines. The grants include direct federal, federal pass through, state and private awards.

Recommendation:

The administration recommends approval and ratification of grant awards for fiscal year 2019 that total \$1,457,737. The grant awards are detailed in attached report.

Report to the Board of Regents – January 2019
 Grants¹ awarded between September 22, 2018 and December 31, 2018

Fiscal Year 2019 – as of December 31, 2018

Amounts allocable to FY19 (detailed in this report)

Direct Federal	\$ 276,269
Federal Pass-through	\$ 778,637
State and State Pass-through	\$ 21,000
Private and Local Government	\$ 381,831
TOTAL	\$ 1,457,737

Cumulative amount allocable to FY19 **\$ 4,939,336**

New awards (detailed in this report, all project years) **\$ 1,076,022**

Cumulative award total, all project years **\$ 8,434,097**

Federal Workstudy Funds (not included in ORGS totals) \$ 586,747

New, Additional, or Previously Unreported Awards for FY 2019

Direct Federal**Previously Described Awards**

****Collaborative Research: UTMOST 3.0 Undergraduate Teaching and Learning in Mathematics with Open Software and Textbooks (Phase III)***

Award Total: \$95,745 **Amount allocable to FY 2019:** \$26,551

Previously Described Awards with Modifications

Certified Orientation and Mobility Instructor Training (COMIT)

Award Total: \$750,000 **Amount allocable to FY 2019:** \$150,000

OVW Relationship Violence Program FY18-21

Award Total: \$300,000 **Amount allocable to FY 2019:** \$99,718

Subtotal Amounts Allocable to FY2019 (this report) = \$276,269

Subtotal New Direct Federal Awards (total award) = \$95,745

Federal Workstudy Funds (not included in ORGS totals)**Department of Education federal work-study allocation**

FY2019 Award \$586,747

Agency: Department of Education

Manager: Rachele Garrett, Financial Aid

This program funds work-study students.

**New awards or additional funds added to a current award*

¹For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Sponsored Programs.

Report to the Board of Regents – January 2019
Grants¹ awarded between September 22, 2018 and December 31, 2018

Federal Pass-through

Title: **Ideal Temperatures for Applying Salvinicide III to Control Giant Salvinia*

Sponsor: Fish and Wildlife Service, US Department of the Interior
Award FWS-800-037-2018, CFDA 15.608

Award Term: July 1, 2018 – December 31, 2019

PI/PD: Dr. Shiyu Li, National Center for Pharmaceutical Crops, College of Forestry and Agriculture

Total Award: \$25,037 **Amount Allocable to FY 2019:** \$25,037

Previously Described Awards

**Visually Impaired Preparation (VIP) FY19*

Award Total: \$602,000 **Amount allocable to FY 2019:** \$602,000

**Texas AHEC East, Piney Woods Region, Federal FY19*

Award Total: \$151,600 **Amount allocable to FY 2019:** \$151,600

Subtotal Amounts Allocable to FY2018 (this report) = \$778,637
Subtotal New Direct Federal Pass-Through awards (total award) = \$778,637

State and State Pass-through Awards

Title: **Sculpture for All*

Sponsor: Texas Commission on the Arts

Award Term: September 1, 2018 – August 31, 2019

PI/PD: Dr. John Handley, School of Art

Total Award: \$3,000 **Amount Allocable to FY 2019:** \$3,000

Grant funds provide partial funding for the Sculpture for All Competition and Exhibition which include 10 artists from across the nation who will showcase sculptures in the SFASU Gardens between 2019 and 2021.

Previously Described Awards

**JAMP Special Projects: JAMP Camp 2019*

Award Total: \$18,000 **Amount allocable to FY 2019:** \$18,000

Subtotal Amounts Allocable to FY 2018 (this report) = \$21,000
Subtotal New State and State Pass-through Awards (total award) = \$21,000

**New awards or additional funds added to a current award*

¹For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Sponsored Programs.

Report to the Board of Regents – January 2019
Grants¹ awarded between September 22, 2018 and December 31, 2018

Private Entity and Local Government Awards

Previously Described Awards

Master of Science in Nursing – Family Nurse Practitioner Program Development

Award Total: \$750,000 **Amount allocable to FY 2019:** \$172,000

****Welch Departmental Research Grant: Basic Chemical Research, FY20-22***

Award Total: \$135,000 **Amount allocable to FY 2019:** \$45,000

Previously Described Awards with Modifications

Tallow Control on the Greens Bayou Wetlands Mitigation Bank

Award Total: \$150,000 **Amount allocable to FY 2019:** *\$30,000

Guest Speakers, Undergraduate Research, and Reading Group

Award Total: \$75,000 **Amount allocable to FY 2019:** *\$12,000

Economics Reading Group

Award Total: \$37,420 **Amount allocable to FY 2019:** *\$3,640

Bees of the Big Thicket National Preserve (Insecta: Hymenoptera: Apoidea)

Award Total: \$12,247 **Amount allocable to FY 2019:** *\$-809

Subtotal Amounts Allocable to FY2019 (this report) = \$381,831

Subtotal New Private and Local Awards (total award) = \$179,831

Note: Amounts are based on award notices as they are received from the funding entity, not on expenditures or balances in funds/accounts. To reflect the approximate availability of funds in a given fiscal year, some current year awards are estimates based on the total amount awarded spread over the award period.

****New awards or additional funds added to a current award***

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.

COMMENCEMENT CHAIRS AND EQUIPMENT PURCHASE

Explanation:

The university has had increases in its graduating classes for a number of years. To accommodate the number of graduates and visitors, the university began holding two graduation ceremonies for each fall and spring graduating class. The commencement chairs and equipment are old and need to be replaced.

In July 2018, the Board of Regents approved replacement of the chairs and equipment at a cost not to exceed \$105,330. Vendor prices increased from the original price quote, and the department reexamined the order. In the reexamination process, the department selected chairs that are more durable and have higher safety requirements. Consequently, additional funds of \$29,670 are needed.

Recommendation:

The administration recommends approval of the commencement chairs and equipment purchase using the higher education fund (HEF) in the amount of \$105,330, and pledged auxiliary funds in the amount of \$29,670, with a total amount not to exceed \$135,000. The administration further recommends presidential authorization to sign associated contracts and purchase orders that total \$100,000 or more.

APPROVAL OF FINANCIAL AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Finance and Audit Committee will consider: budgeting and appropriations request processes; all requests for appropriations and budgets covering expenditures of educational and general funds and auxiliary programs including, but not limited to, student housing and the athletic department; handling of university funds, depositories, etc., whether from appropriated or contributed funds; and the auditing function of the university including, but not limited to, annual audit plan, internal and external audit reports, risk assessment, and audit/compliance issues.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented:

Investments 3.21
Investments – Endowment Funds 3.20
Moving Expenses 3.23
Procurement Card 17.11
Receipts and Deposits 3.26
Student Accounts Receivable 3.28
Withdrawal without Financial Clearance 6.22

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments

Policy Number: 3.21

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/30/2018

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy provides guidance for the investment of all university funds that are governed by the Public Funds Investment Act.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive revisions; formatting changes and minor wording changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Judi Krewell, Director of Financial Services
Michaelyn Greene, Director of Administrative Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Investments

Original Implementation: April 30, 1996

Last Revision: ~~January 30, 2018~~ January 29, 2019

Purpose

This policy establishes guidance for the investment of all university funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act, and certain portions of the Texas Education Code. Endowment funds are invested in accordance with Investments – Endowment Funds policy (3.20) approved by the Board of Regents (board) annually. Quasi-endowment funds that are considered to be public funds will be governed by this policy.

Definitions

A. ~~Short-Term~~ investments have a maturity of less than 90 days. Funds needed to meet short-term operating requirements will be primarily invested in either investment pools or overnight sweep accounts established with banking institutions. The benchmark is the average three-month Treasury bill yield.

~~Intermediate--Term~~ investments have a maturity of 90 days to one year. United States Treasury and Agency securities, or United States Agency Discount Notes are the primary investment vehicles. United States Treasury securities are preferable because of their low risk and the ease with which they are traded. The benchmark is 95 percent of the average one-year Treasury bill yield.

~~Long--Term~~ investments have a maturity over one year. United States Treasury and Agency securities are the primary investment vehicles. The 30 Year Treasury Bond rate is the benchmark for long term funds.

~~Policy Statement~~General

Stephen F. Austin State University invests the public funds in its custody with primary emphasis on the preservation and safety of the principal amount of the investment. Secondly, investments must be of sufficient liquidity to meet the day-to-day cash requirements of the university. Finally, the university invests to maximize yield within the two previously indicated standards. All investments within this policy conform to all applicable state statutes and local rules governing the investment of public funds.

Scope

~~This policy establishes rules for the investment of all university funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act, and certain portions~~

~~of the Texas Education Code. Endowment funds are invested in accordance with policy 3.20, Investments—Endowment Funds, approved by the Board of Regents (board) annually. 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 *and to meet all reasonably anticipated operating 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.

Investment Strategy

All investments will be made in accordance with the university's investment policy. Investments may be diversified as needed to support the university's financial requirements. The preservation and safety of principal is the first priority, however, it is recognized that unrealized losses will occur in a rising interest rate environment, just as unrealized gains will occur during periods of falling interest rates. Investments will be structured to provide sufficient liquidity and marketability to meet operating requirements. The investment portfolio may be diversified with authorized securities to accommodate changing market conditions. An investment decision shall consider yield only after the requirements for principal preservation, liquidity, and marketability have been met.

All securities transactions, including collateral for repurchase agreements, but excluding mutual funds and investment pools, must be settled on a delivery versus payment basis.

An investment strategy may include investment pooling with another public institution as authorized in Texas Education Code Sec. 51.0031. Funds invested with another institution that meets guidelines established by Sec. 51.0031 will be managed in accordance with prudent person investment standards.

~~Investments may be categorized and described as:~~

~~B.—— 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.~~

~~C.—— 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.~~

~~D.—— Long Term—over one year: United States Treasury and Agency securities are the primary investment vehicles. The 30 Year Treasury Bond rate is the benchmark for long~~

~~term funds.~~

~~The length of time for investments within this policy will vary according to needs.~~

Investment Authority

The vice president for finance and administration, the director of financial services, and the director of administrative services shall be designated as the university's investment officers and are responsible for the duties outlined herein. The names and titles of the investment officers shall be filed with the Board of Regents. Changes of names and/or titles must be filed with the Board of Regents as they occur. The vice president for finance and administration, the director of financial services, and the director of administrative services may only invest funds regulated by this policy and purchase securities authorized by this policy.

The board may contract with an investment management firm registered under the Investment Advisers Act of 1940 or with the State Securities Board to provide for the investment and management of public funds under its control.

The board may contract with another institution(s) to invest all or part of the university's funds in accordance with Texas Education Code Sec. 51.0031.

Investment Responsibilities

The vice president for finance and administration is responsible for investment management decisions and activities. The vice president for finance and administration delegates the day—to—day management of the investment activities to the director of financial services or the director of administrative services.

The vice president for finance and administration shall be ultimately responsible for all transactions undertaken and shall establish a system of controls (Appendix A) to regulate the activities of officials and staff involved in investment transactions.

The vice president for finance and administration shall develop and maintain written administrative procedures and guidelines for the operation of the investment program which are consistent with and part of this Investment Policy (Appendix B).

The vice president for finance and administration may establish an investment committee. The committee may review investment reports, monitor investment activity or review and revise qualified investment brokers that are eligible to serve in an investment capacity for the university. The chair of the Board of Regents may designate a board member to serve as a liaison on the investment committee.

Prudence

The "prudent person" standard will be used in the investment function and shall be applied in the context of individual transactions as well as management of the overall portfolio.

Accordingly, all investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion, and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the expected income to be derived.

Investment Guidelines

Authorized Investments:

All university funds and funds held in trust for others may be invested in the securities listed below and/or pooled with another institution of higher education as authorized in Texas Education Code Sec. 51.0031. For investments exclusive of funds authorized by Sec. 51.0031, credit rating requirements will be monitored at least monthly. If or when a rating drops below the established minimum, the investment will be liquidated as soon as prudently possible. Authorized securities include:

- ~~A~~.a. obligations, including letters of credit, of the United States of America, or its agencies and instrumentalities;
- ~~B~~.b. direct obligations of the state of Texas or its agencies and instrumentalities;
- ~~C~~.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~~.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;
- 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
- e. less than A or its equivalent;
- ~~F~~.f. certificates of deposit and share certificates issued by a depository institution that conforms to Section 2256.010 of the Texas Government Code.
- ~~G~~.g. fully collateralized repurchase agreements that conform to Section 2256.011 of the Texas Government Code;
- ~~H~~.h. bankers' acceptances that conform to Section 2256.012 of the Texas Government Code;
- ~~I~~.i. commercial paper that conforms to Section 2256.013 of the Texas Government Code;
- ~~J~~.—no-load money market mutual funds and no-load mutual funds registered and regulated by the Securities and Exchange Commission and conform to Section
- j. 2256.014 of the Government Code;
- ~~K~~.k. guaranteed investment contracts that conform to Section 2256.015 of the Government Code;
- ~~L~~.l. investment pools that conform to Sections 2256.016 and 2256.019 of the Government Code;
- ~~M~~.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.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.o.~~ corporate bonds, debentures, or similar debt obligations rated by a nationally recognized investment rating firm in one of the two highest long-term rating categories, without regard to gradations within those categories.

Unauthorized Investments: *The following investments are prohibited:*

~~A.a.~~ obligations whose payment represents the coupon payments on the outstanding principal balance of the underlying mortgaged-backed security collateral and pay no principal;

~~B.b.~~ obligations whose payment represents the principal stream of cash flow from the underlying mortgage-backed security collateral and bear no interest;

~~C.c.~~ collateralized mortgage obligations that have a stated final maturity date of greater than 10 years; and

~~D.d.~~ collateralized mortgage obligations with an interest rate determined by an index that adjusts in an opposite direction to the change in a market index.

Asset Allocation: ~~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:

Category	Maximum
U. S. Treasury securities and securities having principal and interest guaranteed by the U. S. Government	100%
U. S. Government agencies, instrumentalities and government sponsored enterprises (excluding mortgage backed securities)	50%
Collateral mortgage backed securities	25%
Fully insured or collateralized certificates of deposit	100%
Bankers' acceptances	25%
Commercial paper	50%
Repurchase agreements	100%
Registered money market funds	80%
Local Government Investment Pool	100%
Corporate Bonds	50%

The vice president for finance and administration may diversify investment maturity to limit interest rate risk. Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity of an investment the greater the sensitivity of its fair value to changes in market interest rates. To the extent possible, investment maturity will be matched with anticipated cash flow requirements. Matching maturity and cash flow requirements will minimize occasions for sale of securities prior to maturity, thereby reducing market risk. However, no provision of this policy shall be interpreted as prohibiting the sale of any security prior to maturity, provided that it is in the university's financial interest to sell the security.

The maximum stated maturity date of any security may not exceed ten years, and the weighted average duration of the portfolio shall not exceed five years without approval by the vice president for finance and administration and ratification by the Board of Regents. No officer or designee may engage in an investment transaction except as provided under terms of this policy as approved by the Stephen F. Austin State University Board of Regents.

Credit risk is the risk that an issuer or counterparty to the investment will not fulfill its obligations to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. To limit credit risk, this policy limits investments in corporate bonds, debentures or similar debt obligation to the two highest long-term rating categories.

Insurance or Collateral: All depository bank accounts shall be secured by a pledge of collateral with a market value equal to no less than 100% of the deposits plus accrued interest less any amount insured by the FDIC. Pledged collateral must conform to Chapter 2257 of the Government Code, Collateral for Public Funds. Evidence of the pledged collateral associated with depository bank accounts shall be maintained by the director of financial services or the director of administrative services. Collateral shall be reviewed monthly by the controller and the director of financial services or the director of administrative services to assure the market value of the securities pledged equals or exceeds the depository bank balances.

Pledged collateral shall be maintained for safekeeping by an independent third party.

~~Collateral Defined: Collateral Defined:-~~

The university shall accept only the following securities as collateral:

- ~~A.a.~~ FDIC insurance coverage;
- ~~B.b.~~ United States Treasury, Agency, or Instrumentality securities;
- ~~C.c.~~ Direct obligations of the state of Texas or its agencies and instrumentalities;
- ~~D.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.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;

- a.f. Collateralized mortgage obligations (CMO) directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America. CMO must have a stated final maturity date of less than 10 years.

Authorized Financial Dealers and Institutions

Investment transactions (bids and offers) will occur only between the university and board authorized broker/dealers or institutions authorized by Texas Education Code Sec. 51.0031.

For funds subject to Chapter 2256 of the Texas Government Code, a written copy of the investment policy shall be presented to any person offering to engage in an investment transaction with Stephen F. Austin State University. The qualified representative of the business organization offering to engage in an investment transaction with Stephen F. Austin State University shall execute a written instrument substantially to the effect that the business organization has (a) received and reviewed the investment policy of the university and (b) acknowledges that the business organization has implemented reasonable procedures and controls in an effort to preclude investment transactions conducted between the university and the organization that are not authorized by Stephen F. Austin State University's investment policy.

Securities may not be bought from any organization whose representative has not provided the university with the acknowledgment required in the above paragraph.

Funds invested with institutions authorized by Texas Education Code Sec. 51.0031, will be invested pursuant to the qualifying institution's investment policy.

External Financial Advisor Contract Renewal or Extension

Pursuant to Chapter 2256 of the Texas Government Code, a contract with an external investment manager may not exceed two years. A renewal or extension of the contract by the board must be made by order, ordinance, or resolution.

Disclosure Requirements for Outside Financial Advisor

External financial advisors and service providers shall comply with Texas Government Code Chapter 2263, Ethics and Disclosure Requirements for Outside Financial Advisors and Service providers.

Performance Evaluation

The vice president for finance and administration and director of financial services or director of administrative services shall submit quarterly reports to the Board of Regents and the president of the university in the format prescribed by the Public Funds Investment Act, within a reasonable time after the end of the quarter. The reports must:

- ~~(A)~~a. describe in detail the investment position of the university on the date of the report;
- ~~(B)~~b. be prepared by the investment officer(s) of the university;
- ~~(C)~~c. be signed by the investment officer(s) of the university;
- ~~(D)~~d. contain a summary statement of each pooled fund group that states the:
 - ~~(1)~~i. beginning market value for the reporting period;
 - ~~(2)~~ii. ending market value for the period; and
 - ~~(3)~~iii. fully accrued interest for the reporting period;
- ~~(E)~~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)~~f. state the maturity date of each separately invested asset that has a maturity date;
- ~~(G)~~g. state the account or fund or pooled group fund for which each individual investment was acquired; and
- ~~(H)~~h. state the compliance of the investment portfolio of the university as it relates to the relevant provisions of the Public Funds Investment Act.

Internal Controls

Stephen F. Austin State University has established a system of written internal controls designed to prevent loss of public funds due to fraud, employee error, misrepresentation by third parties, unanticipated market changes, or imprudent actions by employees of the university. These controls are shown in Appendix A of this investment policy. These controls are subject to the review of and recommendations from the university's Department of Audit Services.

Disclosure Requirements for Investment Officers

Pursuant to Texas Government Code Sec. 2256.005, an investment officer of an entity who has a personal business relationship with a business organization offering to engage in an investment transaction with the entity shall file a statement disclosing that personal business interest. An investment officer who is related within the second degree by affinity or consanguinity, as determined under Chapter 573, to an individual seeking to sell an investment to the investment officer's entity shall file a statement disclosing that relationship. A statement required under this subsection must be filed with the Texas Ethics Commission and the governing body of the entity. For purposes of this subsection, an investment officer has a personal business relationship with a business organization if:

- ~~(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.

Training

Each member of the board and the investment officer(s) will obtain investment training as required by Section 2256.007 of the Texas Government Code. Training for the investment officer(s) will be conducted by an organization or firm that is approved by the Texas Higher Education Coordinating Board.

Audits

In order to comply with the audit requirements of the Texas Public Funds Investment Act, the university's Department of Audit Services shall conduct audits and reviews of the university's investment function and report the findings to the appropriate oversight authorities.

Investment Policy Adoption and Certification

Upon adoption by the Stephen F. Austin State University Board of Regents, the university's investment policy shall be reviewed annually to ensure current applicability and significant modifications thereto submitted to the Board of Regents for approval.

Cross Reference: Tex. Gov't Code Ch. 573, 2256-2257, 2263; 26 U.S.C. § 501(f); Tex. Educ. Code § 51.0031-.0032, *Investments-Endowment Funds (3.20)*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

APPENDIX A

INTERNAL CONTROLS

The university has prepared an investment policy as of April 12, 1996. The policy was approved by the Board of Regents April 30, 1996. The investment policy will be reviewed and/or updated no less than annually. All pledged securities shall conform to Chapter 2257 of the Government Code. The signature of the president, vice president for finance and administration, director of financial services, or director of administrative services is required for release of pledged securities from safekeeping. Increases in the level of collateralization require approval by the president, vice president for finance and administration, director of financial services, director of administrative services, controller or assistant controller. The controller's office will reconcile the appropriate investment accounts to broker's statements and other supporting documents monthly.

APPENDIX B

ADMINISTRATIVE PROCEDURES

The bursar's office will maintain a daily list of cash balances held in depository bank accounts. All investment transactions and related cash transfer requests, except for investment "rollovers" as defined, will require two signatures. "Rollovers" are investment transactions whereby an investment of certain type held by an entity matures and the proceeds are then used to purchase an investment of the same type within the same account within the same entity. The controller's office will record investments in compliance with Governmental Accounting Standards Board (GASB) and state comptroller's reporting requirements and reconcile the appropriate investment accounts to broker's statements and other supporting documents monthly. Quarterly investment reports are prepared by the director of financial services or the director of administrative services and approved by the vice president of finance and administration in accordance with the Performance Evaluation section of this investment policy. The market price of securities will be monitored quarterly using industry published data or appropriate financial publications.

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments-Endowment Funds

Policy Number: 3.20

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/30/2018

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy provides guidance for the investment of all university endowment funds.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive revisions; formatting changes and minor wording changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Judi Krewell, Director of Financial Services
Michaelyn Greene, Director of Administrative Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Investments - Endowment Funds

Original Implementation: Unpublished

Last Revision: ~~January 30, 2018~~ January 29, 2019

Purpose

This policy applies to all Stephen F. Austin State University endowment funds. The policy states the boards' attitudes, goals and objectives in the investment of the endowment assets and is intended to provide guidance to the finance committee, the university administration, and the investment consultant(s)/manager(s) in the management of the endowment assets. University funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act are invested in accordance with Investments policy (3.21).

Definitions

True (or Permanent) Endowment Funds are funds which a donor or other outside agencies have stipulated, as a condition of the gift instrument, that the principal is to be maintained in perpetuity and invested for the purposes of producing present and future income.

Quasi-Endowment Funds are funds for which the governing body of the university, rather than a donor has determined that the corpus is to be retained and invested. Since these funds are internally designated rather than externally restricted, the university has the right to expend principal with approval from the governing body.

Gift Instrument refers to the records that establish the terms of the gift and may consist of more than one document. The release or modification of restrictions on management, investment, or – purpose contained within the gift instrument is governed by Texas Property Code Section 163.007.

Investment Consultant represents an external firm or individual who can provide advice and/or guidance regarding investment decisions to the university, and/or hire investment managers.

~~GENERAL~~ **General**

Endowment funds represent private funds given to the university by individuals ~~or~~ 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.

~~The investment of endowment funds is~~ *University endowment funds are not considered to be public funds but instead are governed by Section 51.0031 of the Texas Education Code. This section of the Texas Education Code states that the university "... with regard to donations, gifts and trusts, may establish endowment funds that operate as trusts and are managed under prudent person standards". 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.”~~

~~As provided in the Texas Education Code, each member of the Board of Regents (board) has the legal responsibilities of a fiduciary in the management of funds under the control of the university. The board recognizes its responsibility to ensure that the assets of the endowment funds are managed for the exclusive benefit of the university in accordance with its donors’ intentions, effectively and prudently, in full compliance with all applicable laws.~~

~~This Investment Policy Statement (IPS) applies to all Stephen F. Austin State University (the university) endowment funds, including those that function as endowments, and are not considered to be public funds. The IPS states the boards' attitudes, goals and objectives in the investment of the endowment assets. As such, it is intended to provide guidance to the board, the finance committee, the university administration, and the investment consultant(s)/managers in the management of the endowment assets. The IPS clearly and concisely states the responsibilities of all parties involved with the endowment funds.~~

Investment Objectives

The overall objective of the ~~policy~~*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. In the management of the university endowment investments, consideration will be given to the need to balance a requirement for current income for present activities with a requirement for growth in principal to compensate for inflation.

Investment Risk Tolerance

The board believes that the endowment assets should be managed in a way that reflects the application of sound investment principles.

The board adheres to the traditional capital market theory that maintains that over the long term, the risk of owning equities should be rewarded with a somewhat greater return than available from fixed-income investments. This reward comes at the expense of higher volatility of returns and more exposure to market fluctuations than with fixed-income investments. Fixed-income investments provide a more predictable return ~~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 ~~will assume~~*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 averse to large downward fluctuations in the value of its investments resulting from volatile market value fluctuations, such year-to-year volatility should be minimized.

Prudence

The 'prudent person standard' is defined by Texas Education Code 51.0031(d) and described in Article VII, Section 11b, of the Texas Constitution, and means that standard of judgment and care that prudent investors, exercising reasonable care, skill, and caution, would acquire or retain in light of the purposes, terms, distribution requirements, and other circumstances of the fund then prevailing, taking into consideration the investment of all the assets of the fund rather than a single investment.

DEFINITIONS

True (or Permanent) Endowment Funds are funds which a donor or other outside agencies have stipulated, as a condition of the gift instrument, that the principal is to be maintained in perpetuity and invested for the purposes of producing present and future income.

Funds Functioning as Endowment Funds are funds for which the governing body of the university, rather than a donor has determined that the corpus is to be retained and invested. Since these funds are internally designated rather than externally restricted, the university has the right at any time to expend principal.

Gift Instrument refers to the records that establish the terms of the gift and may consist of more than one document. The release or modification of restrictions on management, investment or purpose contained within the gift instrument is governed by Texas Property Code Section 163.007.

Investment Consultant represents an external firm or individual who can provide advice and/or guidance regarding investment decisions to the university, and/or hire investment managers.

Responsibility and Delegation of Authority

As provided in the Texas Education Code, each member of the Board of Regents (board) has the legal responsibilities of a fiduciary in the management of funds under the control of the university. The board recognizes its responsibility to ensure that the assets of the endowment funds are managed for the exclusive benefit of the university in accordance with its donors' intentions, effectively and prudently, in full compliance with all applicable laws.

The university acknowledges that the ultimate responsibility for the investment of endowment funds rests with the board. The board will determine the institutional approach used to invest endowment funds. The board may choose to hire external investment consultants and/or managers, contract with another institution, or manage funds internally. To carry out this responsibility, the board delegates certain authority to the financial officer(s) to oversee and work with external investment consultants and/or managers the board has selected.

The Board

The specific responsibilities of the board in the investment process include:

- Develop a sound and consistent investment policy that establishes guidelines and reasonable objectives for the management of endowments;
- At least annually, review the policy for continued accuracy and completeness;
- Select suitable investment consultants, managers or qualifying institutions to provide for the management of endowment funds;
- Evaluate performance results; and
- Comply with all applicable laws, including conflict of interest provisions therein.

University Administration

The vice president for finance and administration (vice president), ~~the~~ the director of financial services, and the director of administrative services are designated as the investment officers for the university. The specific responsibilities of the vice president in the investment process include:

- Communicate with outside investment management team (consultants, managers and qualifying institutions);
- If appropriate, prudently select and recommend investment options to the board;
- Review and evaluate performance results to ensure policy guidelines are being adhered to and objectives are being met;
- Submit quarterly and annual investment reports to the board;
- Annually, determine the proper distribution of investment returns to the various spending accounts in accordance with the distribution section of this policy; and
- Comply with all applicable laws, including conflict of interest provisions.

The vice president may also establish an investment committee (committee). The committee may review and evaluate investment performance and review and revise qualified investment managers that are eligible to serve in an investment capacity for the university. The chair of the board may designate a board member to serve as a liaison on the committee.

Qualifying Institution

The board may contract to invest its funds with another Texas public institution. Endowment funds invested with a qualifying institution will be invested in accordance with the institution's Investment Policy and the asset allocation of the institution's policy will supersede the Investment Guidelines Section of this policy. The university's investment officer(s) will provide investment performance reports to the board.

Investment Consultant

The board may contract with an investment consultant to manage the university's endowment funds. The consultant may employ or delegate investment management to discretionary investment managers or affiliates. The consultant is responsible for ensuring that investment managers are in compliance with this ~~policy~~ ~~IPS~~.

Specifically, the consultant will:

- Assist the officers in the development of investment policy, objectives, asset allocation strategy and portfolio structure;
- Review investment managers, including search, selection and recommendation to the investment officers and committee;
- Monitor and report on investment manager performance;
- Monitor asset allocation and rebalance to target allocation on a periodic basis; and
- Provide written performance measurement reports as required to the investment officers, investment committee and board. The reports will contain sufficient information to determine if any changes or other actions are called for with respect to the investment portfolio.

Investment Managers

The board may choose to use an investment consultant to select investment managers. The investment consultant may exercise discretion to hire investment managers. If an investment manager is hired through the investment consultant, the consultant is responsible for ensuring that investment managers comply with all applicable ~~policy~~^{IPS} guidelines.

The board may choose to directly contract with external investment managers. Each investment manager selected or approved by the board is expected to manage the endowment's assets in a manner consistent with the investment objectives, guidelines and constraints of this policy and in accordance with applicable laws. This obligation includes discharging responsibilities with respect to the endowment consistent with "~~p~~^{Prudent i}nvestor" standards, and all other applicable fiduciary regulations and requirements.

If the university directly contracts with the investment manager, then the manager(s) will receive a copy of this ~~policy~~^{IPS} and the manager must execute a written statement to the effect that the registered principal of the organization has received and thoroughly reviewed the investment policy of the university. The statement must also acknowledge that the organization has implemented reasonable procedures and controls in an effort to preclude imprudent investment activities.

The investment manager(s) will:

- Be registered as an investment adviser under the Investment Advisers Act of 1940 (where applicable);
- Maintain adequate fiduciary liability insurance and bonding for the management of this account;
- —Acknowledge in writing that it is a fiduciary with respect to the assets under its control;
- —Be responsible for making decisions on a discretionary basis. This includes buy, hold, sell and timing decisions. The external manager(s) must make responsible decisions in the selections of specific securities and the general timing of purchases and sales necessary to invest only into the security class(es) for which they were retained to manage.

Custodian:

The custodian is responsible for the safekeeping for the endowment's investment assets. The specific duties and responsibilities of the custodian include:

- Maintain separate accounts by legal registration;
- Value the holdings;
- Collect all income and dividends owed to the endowment in its custody;
- Settle all transactions initiated by the investment manager; and
- Provide monthly reports that detail transactions, cash flows, securities held and their current value, and change in value of each security and the overall portfolio since the previous report.

Investment Policy Guidelines

For the purpose of this policy, all individual securities which use long-term credit ratings must be rated the equivalent of "B" or better by a nationally recognized credit rating service and the fixed income portfolio must have an overall credit rating of "A". Securities using short-term credit ratings must be rated at least A-2, P-2, F-2 or the equivalent by a nationally recognized credit rating service.

Authorized Investments: *The endowment's assets may be invested in the following:*

- a. Direct obligations of the United States government or its direct agencies.
- b. Direct obligations of federally-sponsored agencies in accordance with the above paragraph.
- c. Obligations of states, agencies, counties, cities, and other political subdivisions of any state in accordance with the above paragraph.
- d. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.
- e. Debentures or obligations, and preferred or common stock of international governments and corporations. International preferred and common stock issues must be listed on an organized stock exchange.
- f. Common stock and preferred stock issued by United States domiciled corporations and common stocks of ~~international~~foreign companies listed on the major U.S. or ~~international~~foreign security exchanges.
- g. Certificates of Deposit issued by federally insured state banks, federally insured savings and loan associations and saving banks or federally insured credit unions. Amounts over the insurance limit of the institutions must be secured by pledged securities.
- h. Bankers' acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.
- i. Money Market Mutual Funds. Funds must be registered with the Securities and Exchange Commission, have a maximum dollar weighted average maturity of no longer than 13 months, and be no-load funds. Funds must have assets

consisting of securities described in the paragraphs above and seek to maintain a stable net asset value of \$1.00 per share (or unit).

- j. Mutual Funds. Funds must be registered with the Securities and Exchange Commission and invest in assets authorized under this policy.
- k. Direct Security Repurchase Agreements. Direct Repos must be fully secured (collateralized) by securities authorized under the sections (a) through (g) above. Such collateral must be held by a third party. All agreements will comply with Federal Reserve Bank guidelines.
- l. Shares of investment companies as defined by the Investment Company Act of 1940. These companies include both closed-end investment companies and open--end investment companies (mutual funds). Shares in these companies may be purchased if they own securities described in sections (a) through (j) above.
- m. Shares of Exchange Traded Funds, known as ETFs.
- n. No more than ten percent (10%) of the equity portfolio can be invested at any time in one company based on the market value of the stock and portfolio.
- o. No more than thirty percent (30%) of the equity portfolio can be invested in any one industry sector based on the market value of the portfolio.
- p. Alternative investments. Permitted alternative investments may include hedge funds, managed futures funds, private equity funds, or real estate. Hedge funds are not subject to limitations of the "Prohibited Investment" section below. Investments in other strategies shall be reviewed and recommended by the investment officer prior to purchase.
- q. Permitted alternative investments in the portfolio are limited to diversified commingled trust fund vehicles or limited partnerships offered through a third party distribution channel, such as what is offered through many broker-dealer firms.
- r. Permitted alternative investments in the portfolio are limited to investment vehicles that offer the ability for the portfolio to make contributions or receive distributions at least quarterly (but preferably monthly) without restriction or incurring additional fees.
- s. The portfolio shall emphasize investments in fund-of-fund vehicles that are diversified by investment style and typically utilize multiple investment managers within a fund.

Unauthorized Investments:

The endowment's assets should not be invested in the following unless agreed to by the vice --president pursuant to an approved strategy ~~or~~ and specifically approved in writing by the vice president:

- a. Commodity trading including all futures contracts;;
- b. Short selling, option trading and margin trading unless by managers approved for that strategy;;
and
- c. Guaranteed investment contracts.

Asset Allocation:

The allowable range and target asset allocation for the endowment funds is:

Asset Category	Minimum	Maximum	Target
Total Fixed Income	0.0%	60.0%	35.0%
Total Equity	0.0%	70.0%	55.0%
Total Alternatives	0.0%	25.0%	10.0%
Total Cash or Cash Equivalents	0.0%	100.0%	0.0%

The allowable asset mix for fixed income and equities is:

Fixed Income	Minimum	Maximum
US Government Bonds	0.0%	100.0%
Corporate Bonds	0.0%	50.0%

Equity	Minimum	Maximum
Domestic Equity	0.0%	100.0%
International Equity	0.0%	30.0%

Interest Rate, Credit and Foreign Currency Risks:

The university will insure the safety of its invested funds by limiting interest rate, credit and — foreign currency risks. Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity of an investment the greater the sensitivity of its fair value to changes in market interest rates. The vice president may diversify investment maturity to limit interest rate risk. The average weighted duration of the portfolio should not vary from industry benchmarks by more than +/- 20%.

Credit risk is the risk that an issuer or counterparty to the investment will not fulfill its obligations to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. To limit credit risk, this policy requires all securities which use long-term credit ratings to be rated the equivalent of “B” or better with the overall credit rating for the fixed income portfolio to be rated “A” or better. All short-term credit ratings must be rated at least A-2, P-2, F-2.

Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of

investment. In order to mitigate this risk, ~~international foreign~~ equity investments are limited to a maximum of 30% of the equity portfolio.

Gifts ~~Of~~ Individual Securities

Gifts of individual securities will be liquidated and invested in accordance with ~~policy~~^{IPS} guidelines and investment procedures. Exceptions to this policy are securities described *as authorized investments in* ~~by~~ sections (a), (b), and (c) of the investment *policy* guidelines *above*. Such securities may be held so long as the asset allocation ranges are maintained.

~~Quasi-Funds Functioning As (Quasi)-Endowments~~

The board may establish a quasi-endowment using unrestricted gifts. Income from funds held in quasi-endowments is available for the purpose established by the board. The corpus of such funds will be held until such time as the board abolishes the quasi-endowment, at which time the corpus is available for such purpose(s) as may be designated by the board. Quasi-endowment funds that are not considered to be public funds ~~are~~^{may} be governed by this policy.

Distribution Policy

The spending policy should balance the long-term objective of maintaining the purchasing power of the endowment funds with the goal of providing a reasonable, predictable, stable, and sustainable level of income to support current needs. At the end of the investment year, in consultation with the investment manager, the vice president will review the total return on the endowment accounts and recommend an annual distribution.

Performance Evaluation

The vice president will submit quarterly reports to the board on the performance of the investment portfolio. The reports will disclose the book value and market value of the portfolio at the beginning and ending of the reporting period. The reports will disclose the realized and unrealized gains/losses and total return on the portfolio for the reporting period.

Conflicts Of Interest

Members of the board are frequently persons of wide-ranging business interests. Therefore, a prudent, independent investment decision process may result in investments in firms or organizations with which a member of the board is affiliated. Affiliation shall be interpreted within this section to mean an employee, officer, director, or owner of five percent or more of the voting stock of a firm or organization. The investment staff or an unaffiliated investment manager may invest in such securities. However, the following restrictions shall apply:

- 1.—A member of the board shall not direct nor participate in the decision to

purchase or sell securities of a firm with which such member is affiliated;
and

-

—Investments will not be purchased from or sold to a member of the board.

-

Audits

The Department of Audit Services of the university shall include endowment assets as a component of its annual audit risk assessment. If the department determines that the endowment assets meet its risk assessment criteria, audit services may perform an annual audit of the endowment assets to insure compliance with the endowment investment policy.

Investment Policy Adoption and Certification

Upon adoption by the Stephen F. Austin State University Board of Regents, the university's investment policy for endowment funds shall be reviewed annually to ensure current applicability and significant modifications thereto submitted to the Board of Regents for approval.

Cross Reference: Tex. Educ. Code § 51.0031; 15 U.S.C. §§ 80a-1 – 80a-64; Tex. Prop. Code Ch. 163, *Investments* (3.21)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Moving Expenses

Policy Number: 3.23

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): Provides guidance on when and how SFA will pay/reimburse for newly hired faculty or staff moving expenses.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive revisions. Made minor corrections; added clarification that any mileage reimbursement will be paid at the IRS rate in effect on the date of the move.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dannette Sales, Controller
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Moving Expenses

Original Implementation: December, 1988

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy establishes the guidelines whereby Stephen F. Austin State University may pay moving expenses for a newly hired faculty or staff member.

General

The university may pay reasonable moving expenses for a newly hired faculty or staff member. However, payment of moving expenses is not an entitlement. It is an option, with terms to be agreed upon between the university and the prospective employee in advance. Prior approval of the university president is required.

Departments may negotiate with the new employee to pay full or partial moving expenses. Payments must be made from non-appropriated funds, provided the funds are available in the department's budget. Moving expenses can be paid by either of two methods:

- Direct payment to vendor (preferred method);
- Reimbursement to new employee (Receipts documenting moving expenses must be attached to the Moving Expenses Payment/Reimbursement Form and submitted to the payroll office. Only actual documented expenses will be reimbursed).

The controller's office will coordinate all payments for moving expenses, regardless of which method of payment is used. The Electronic Personnel Action Form (EPAF) and the Moving Expenses Payment/Reimbursement Form must be completed and signed by the employee and each of the appropriate approvers before any moving expense can be processed for payment. The taxability of any reimbursed moving expense will be determined by Internal Revenue Service (IRS) guidelines. Any mileage reimbursements will be paid at the IRS rate *in effect* for moving expenses *on the date of the move* unless a lower rate is negotiated by the department.

Direct payment to vendors, such as to professional moving companies, are not subject to federal income tax and FICA (social security) withholding. Direct payments to vendors require an approved purchase order and invoice.

Cross Reference: Electronic Personnel Action Form (11.8); *Internal Revenue Service website*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: Electronic Personnel Action Form (EPAF) (available through Self Service Banner);
Moving Expenses Payment/Reimbursement Form (available online)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Procurement Card

Policy Number: 17.11

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): The policy exists to support the university's procurement card program and provides for overall responsibilities at various levels, training requirements and card termination options

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Added responsibility for uploading pcard receipts into electronic portal. Other minor wording clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Kay Johnson, Director of Procurement and Property Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Procurement Card

Original Implementation: July 26, 1999

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy establishes guidelines for university purchases using a procurement card (p-card) and related requirements and activities.

Definitions

Procurement Cards (p-cards) will be issued in the name of the employee with the SFA logo ~~state of Texas seal~~ and the wording 'For Official Use Only' clearly indicated on the card. The p-card is to be used for official university business purposes only and may not be used for any personal transactions.

General

Approved university employees may use the university procurement card (p-card) in accordance with the P-Card Program Guide to order supplies and small items in amounts not exceeding per transaction and monthly limits. The director of procurement, the procurement card coordinator and procurement department purchasers may purchase on behalf of the university any item of any amount using a procurement card if they have determined payment by p-card represents the best value to the university and all procurement policies and rules have been followed.

The terms and conditions of the MasterCard procurement card contract were specified and awarded by the Texas ~~Procurement and Support Services~~ *Comptroller of Public Accounts* for the state of Texas. In addition to internal policies and procedures, Stephen F. Austin State University will comply with the terms and conditions of the state contract.

Responsibilities

The cardholder is responsible and accountable for the security and documentation associated with the use of the SFA ~~p~~Procurement cCard and for complying with all policies and procedures related to the p-card program. Documentation shall include providing transaction detail information for each transaction through the university's financial system and keeping documentation of all transactions including returns, credits and disputed charges as required in the ~~Pp~~-Ccard Program Guide, *and for uploading p-card transaction records monthly into the university's electronic records portal.*

The department head or his/her designee is responsible for: 1) designating departmental cardholders

and their spending limits; 2) determining yearly encumbrance amounts for each fund/org against which credit card charges will be made; and 3) approving monthly reconciliations of p-card cardholder statements and supporting documentation to ensure purchases are within SFA policies and procedures, and departmental budgets. Department heads are responsible for ensuring that all employees issued a card understand the departmental budget constraints under which they are to use the card.

The procurement office is responsible for maintaining complete and accurate information regarding p-card users and associated spending limits, establishing and updating restricted merchant category codes, determining compliance with university policies and procedures through periodic cardholder audits, cardholder training, monitoring p-card activity, and other duties related to p-card administration. Cardholder limits will be compared to actual expenditures and adjustments will be made as needed by the p-card coordinator in order to limit the university's risk of liability and exposure.

Card Use by Another Employee or Student

The only person authorized to use the p-card is the cardholder whose name appears on the card. The cardholder may not allow another university employee or a student to use their card unless the cardholder and department head have completed a P-Card Use form and filed it with the p-card coordinator in the procurement office. Refer to the P-Card Program Guide for detailed information on allowing another employee or student to use a card, as specific rules apply.

Training and Issuing Cards

All department heads will be required to attend training and sign the Cardholder Application/Approval Form before any cards will be issued to employees within the department. All employees will be required to attend training and sign a Cardholder Agreement before being issued a card. All cardholders will be required to complete refresher training either in person or on-line with testing every two years. Acceptable grades and actions associated with not meeting grade requirements are outlined in the P-Card Program Guide.

Making a Purchase with the P-Card

Refer to the P-Card Program Guide for detailed information related to making a purchase with the p-card. The director of procurement, the procurement card coordinator and procurement department purchasers are not subject to the P-Card Program Guide, but rather to university policies and procedures relating to purchases.

~~Transaction Detail, Monthly Statement, Reconciliation and Approval~~ Monthly Card Reconciliation

The transaction detail entries are required and provide an accounting and audit trail for expenditures made with the p-card. Each individual purchase must be detailed in the university's

financial system. See the P-Card Detail Training Manual for detailed instructions on completing the transaction detail entries on-line through the university's financial system.

Upon receipt of the monthly statement from the credit card vendor, the cardholder shall reconcile the statement with the Transaction Detail Summary and forward the reconciled statement, Transaction Detail Summary and all supporting documentation to the department head for review and signature. If the department head is the cardholder, the department head must sign as the cardholder, and another employee within the department must sign as the reviewer. The department head or reviewer is responsible to review all transactions listed on the Transaction Detail Summary to verify that all purchases are appropriate expenditures for the department and fund/org charged. If the department head/reviewer questions any transaction, they should bring it to the attention of the department head or p-card coordinator, or it may be reported anonymously through the university's fraud and ethics reporting process. Reported transactions will be audited and appropriate action taken as specified herein and in the P-Card Program Guide.

P-card transaction documentation records, as identified in the P-Card Program Guide, are to be uploaded in the university's p-card records portal each month, and will be retained according to the Texas Records Retention Schedule. These are the official university records. Reference the P-Card Program Guide P-Card Records Portal instructional guide for procedures and detailed instructions. Paper records retained by departments must be kept for three (3) years plus the current fiscal year to comply with the state of Texas Records Retention Schedule. These are the official university records. The records for procurement card purchases will be required for periodic audits by the procurement office or when SFA is audited by the Texas Procurement and Support Services Division of the Texas Comptroller's Office, the Texas State Auditor, SFA controller or Department of Audit Services.

Card Termination

Certain p-card rule violations will result in immediate deactivation or cancellation of all of a cardholder's cards. Other violations will be tracked based on demerits accumulated by the cardholder. Each month, demerits accumulated over the previous 6-month period will be reviewed and appropriate action taken. Demerits will not carry over from one 6-month period to another. Note the reasons for cancellation or deactivation of cards should not be considered all inclusive. Demerits may be identified during any transaction review, research, or audit by either the p-card coordinator or the Department of Audit Services.

Occasionally, exceptions to the p-card rules may be approved by the p-card coordinator prior to the transaction taking place. If so approved, the cardholder and p-card coordinator will have an Exception form on file with the transaction, and the card cancellation, deactivation, or demerits will be waived.

1. Immediate Card Cancellation with no Option to ever Receive Another Card - When

there is intentional abuse or fraud of a p-card to make personal purchases, the p-card is used to secure a cash advance, or a second p-card is lost or stolen within three years after the first lost or stolen card, all of the cardholder's cards will be cancelled with no option to ever receive another card.

2. **Immediate deactivation** – If all transactions on the cardholder's p-card statement have not been detailed in Banner by the required deadlines as outlined in the P-Card Program guide, their p-card will be deactivated until all transactions have been detailed in Banner to the satisfaction of the p-card coordinator. When a cardholder commits the following violations, all of the cardholder's cards will be deactivated for a period of three months: a) transaction details are not posted by the required date for three consecutive months or three months during a six-month period; b) second offense of splitting purchases to avoid purchasing procedures; c) failure to provide documentation within the requested timeframe for a p-card audit. Cards will only be reactivated after three months and after the cardholder attends an instructor-led training.

3. **Demerit Accumulation** - Demerits will accumulate against each cardholder when various violations are identified (see Demerit Schedule in the P-Card Program Guide). An accumulation of demerits over a six-month period will result in the following actions:

Four demerits accumulated within the first four months of a six-month period —will trigger a need for a full audit of three months of transactions.

Six demerits accumulated within a six-month period— will cause all of cardholder's cards to be deactivated for a minimum of three months. Before any cards will be reactivated, the employee will be required to attend an instructor-led training.

Ten demerits accumulated within a six-month period— will cause all of cardholder's cards to be cancelled for a minimum of one year. New cards will be issued only after the one-year waiting period and only upon completion of a new P-Card Application/Approval Form and attendance of an instructor-led training.

4. **Other Card Cancellations and Actions** -

Non-Use:- If the cardholder has not used the procurement card within one year, the p-card will be cancelled. To receive a new card, the cardholder will be required to submit a P-Card Application/Approval Form and attend training.

Termination of University Employment: —When a cardholder terminates employment with the university, the department has specific obligation to reclaim the p-card and return it to the p-card coordinator prior to the employee termination date. A request may be made to the p-card coordinator for the card to be shredded by the department head or his/her designee. The request can be granted at the p-card coordinator's discretion. Failure to reclaim or dispose of cards as designated may result in the department being responsible for payment of any fraudulent charges and revocation of all department card privileges. Verification of card return will be part of an employee's exit interview with human resources. Any fraudulent charges made by a terminated employee after the employee's termination will be reported to the University Police Department. The

terminated employee will be expected to reimburse the university.

Transfer to a Different University Department:— When a cardholder changes employment from one university department to another, the department has specific obligation to reclaim the p-card and return it to the p-card coordinator prior to the effective date of change. A request may be made to the p-card coordinator for the card to be shredded by the department head or his/her designee. The request can be granted at the p-card coordinator's discretion. Failure to reclaim or dispose of cards as designated may result in revocation of all department card privileges.

Failure to Promptly Report a Lost or Stolen Card:— If a cardholder fails to make a report of a lost or stolen card immediately upon discovery, the cardholder may be required to reimburse the university for any fraudulent charges made on the card until it has been cancelled. The university will pay the charges and the employee will be required to reimburse the university. The cardholder will be subject to a minimum 3-month waiting period before a new card will be issued and will be required to attend an instructor-led training.

Failure to Complete the Mandatory Refresher Training: —Any cardholder who fails to complete the mandatory refresher training every two years will have all cards deactivated until the refresher training is complete. If the refresher training is not completed within six months of card deactivation, all cards will be cancelled, and the employee will be required to submit a P-Card Application/Approval Form and attend an instructor-led training before receiving new cards.

Administrative Authority:— The department head or supervising dean, vice president, or president has the authority to request that the p-card coordinator deactivate or cancel an employee's cards at any time for any reason. Any cards so deactivated or cancelled may be reactivated or new cards issued only with approval by the position that originally requested the deactivation or cancellation. Upon the p-card coordinator's determination or upon the request of the Department of Audit Services or general counsel's office, the p-card coordinator may deactivate an employee's card while transactions are being researched, investigated, or an audit is being conducted. At the conclusion of the research, investigation or audit, the cards will be reactivated and/or appropriate action taken as specified herein and in the P-Card Program Guide.

Cross Reference: P-Card Program Guide, P-Card Record Portal instructional guide

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Procurement and Property Services/HUB Coordinator

Forms: Cardholder Application/Approval Form, Cardholder Procurement Card Agreement, P-Card Use Form, Tax Exempt Letter, P-Card Dispute Form, P-Card Documentation/Problem Resolution Form, P-Card Exception Form, HEF Approval Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Receipts and Deposits

Policy Number: 3.26

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/25/2017

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): Provides procedures and guidelines to all SFA departments on the proper handling of receipts and deposits.

Reason for the addition, revision, or deletion (check all that apply):

☐ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☒ Other, please explain: Revised to reflect improved procedures to protect personal confidential information.

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Clarified that deposit documentation retention should not include copies of checks and other confidential information. Removed the directive that departments accepting checks should record driver's license number, date of birth, and employee's initials on the face of the check. Added business office will establish time of day deposits must be received and that deposit should include calculator tape. Other minor word changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Dannette Sales, Controller

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

Receipts and Deposits

Original Implementation: Unpublished

Last Revision: April 25, 2017/January 29, 2019

Purpose

This policy provides ~~guidance procedures and guidelines~~ to all Stephen F. Austin State University (SFA) departments handling receipts and deposits. ~~The policy also Procedures have been established to~~ encourages effective administration and internal control of receipt-handling operations throughout the university. Note: The term “receipts,” as referenced in this policy, is deemed to include currency, coins, personal checks, bank drafts, money orders, traveler’s checks, cashier’s checks, credit card transactions, debit card transactions, wire transfers, and any other method of receiving funds.

Definitions

The **custodian** is anyone who handles cash and receipts.

A **refund** is the return of funds for a transaction that occurred on a prior business day.

Cashier's check is a check purchased at a bank for any amount; the bank completes all information on the face of the check with a bank officer signing as the maker.

Certified check is a personal check guaranteed by the bank; the check is stamped "certified" and signed by a bank officer.

Money order is an instrument purchased at a bank, post office, or other business establishment for any amount that orders a sum of money to be paid to someone else.

Traveler's check is a special check supplied by banks or other companies for the use of travelers; these checks already bear the purchaser's signature and must be countersigned in the cashier's presence.

Personal check is a written order payable on demand, drawn on a bank by a depositor; a personal check is written against an individual's funds as opposed to a cashier's check, certified check, money order, or traveler's check, all of which are written against or guaranteed by bank funds.

Starter check is a non-personalized encoded check that a person receives from a bank when they establish a checking account. These are for the person's use prior to receiving encoded checks from the bank. Starter checks should only be accepted if the bank has encoded the routing number and account number on the bottom of the check.

Counter check is a non-personalized, non-encoded check that is available at most banks.

Third-party check is a check made payable to a person or organization other than the one accepting or cashing the check (e.g. a paycheck).

Foreign check is a check written on a foreign bank (e.g., a Canadian bank) not specifically prepared as U.S. currency. The maker's address might be outside the United States; however, it is the bank's address that must be examined.

Authority and Responsibility

General

The university has delegated the authority and responsibility for establishing policies and procedures for all receipt-handling activities to the controller's office. In carrying out this duty, the controller's office is responsible for:

1. Establishing and enforcing policies and procedures governing the receipt, handling, custody, and disbursement of funds.
2. Requiring the establishment and maintenance of records accounting for funds received and paid by the university.
3. Opening and closing bank accounts and transferring funds among such accounts as necessary and prudent, considering current interest rates and collateral levels.
4. Establishing and authorizing procedures for granting, maintaining, and terminating the departmental collection of university funds.

4. Applicability

This policy is applicable to every university department, administrative office, and affiliated organization that handles receipts for any university-related function. Employees that handle receipts on behalf of the university are required to be familiar with the provisions of this policy. Additionally, the controller's office or audit services may perform periodic audits of any department with receipt-handling operations.

Any individual handling university receipts is responsible to the university for proper security and accountability. Due to the personal liability involved in performing receipt-handling functions, it is important that only authorized employees accept funds for university business. In rare instances, non-employees (i.e. students or volunteers) may be authorized to accept fund for the university if written approval is obtained from the bursar. In these cases, an employee is responsible for ensuring that these persons are properly trained and receipts are handled appropriately. All persons accepting funds for the university are required to appropriately safeguard, account for, and document all receipts received on behalf of the university. Applicable university discipline and/or discharge policies will be followed in the imposition of sanctions related to a violation of this policy.

Summary

~~Any individual handling university receipts is responsible to the university for proper security and accountability. Due to the personal liability involved in performing receipt handling functions, it is important that only authorized employees accept funds for university business. In rare instances, non-employees (i.e. students or volunteers) may be authorized to accept funds for the university if written approval is obtained from the bursar. In these cases, an employee is~~

~~responsible for ensuring that these persons are properly trained and receipts are handled appropriately. All persons accepting funds for the university are required to appropriately safeguard, account for, and document all receipts received on behalf of the university. Applicable university discipline and/or discharge policies will be followed in the imposition of sanctions related to a violation of this policy.~~

Segregation of Duties

Guidelines

Receipt-handling operations must be subject to daily supervisory review and management. To minimize the potential for mistakes or misappropriation of receipts, the segregation of receipt handling duties is recommended. The duties of collecting receipts, maintaining documentation, preparing deposits, and reconciling records should be separated among different individuals. In departments where the separation of duties is not feasible, strict individual accountability and thorough management supervision and review is required.

Written Departmental Procedures

In addition to the receipt-handling ~~policies~~ procedures established in this document, each department that handles receipts is required to have its own internal ~~policies and~~ procedures for receipts. Written procedures should minimally include authorization of person(s) to collect receipts; maintenance of receipt books; security and reconciliation of receipts; preparing, approving, and depositing receipts at the business office; over/short procedures; and a procedure to notify the appropriate campus authority in the event of a loss.

In addition, it is the responsibility of the department head or supervisor to ensure that all employees with receipt-handling responsibilities have receipt-handling duties included in their job description.

Safekeeping

Departments handling receipts are responsible for the safekeeping of these university assets. Physical security should be emphasized to every employee involved in receipt handling. The following general guidelines should be followed to help maintain the integrity of those areas handling receipts:

- Unauthorized persons are not allowed in areas where receipts are handled.
- If possible, doors should be locked at all times in areas where receipts are handled. Safe doors should be kept closed during working hours and locked at times when it is not necessary to be in and out of the safe.
- All forms of payment including cash, checks, and credit card receipts should be counted and handled out of sight of the general public.
- Individuals should keep working funds to a minimum at all times. Excess funds should be in a locked device or deposited with the business office.
- Cash and receipts should **NEVER** be unattended. This applies to cash registers, desktops, cash drawers, and any other place in which cash is located. If an employee leaves his or her

workstation for any reason, regardless of how briefly, cash and receipts must be appropriately secured in a locked place.

- For overnight storage and during other periods when cash is not being used, it should be kept in a secure place, either a safe or locked container.
- If a safe location is not available within the department, the cash and receipts should be brought to the business office on campus for safekeeping. The cash and receipts should be kept in a locked bank bag provided by the business office. The department name and responsible party should be noted on the outside of the locked bag.
- If a safe location is not available within the department, and the business office is not open, the cash and receipts should be taken to the University Police Department (UPD) in a locked bag.
- Under no circumstances should an individual keep university cash with their own personal funds, deposit university funds in a personal bank account, or take university funds to one's home for safekeeping.
- Checks should always be properly restrictively endorsed upon receipt (see Endorsement Stamps, below).

Prohibition Against Transactions Involving Family Members

Employees may not receipt, accept, or handle checks, cash, or deposits from a relative, as defined by policy 11.16, Nepotism. Family member status is not terminated by death or divorce.

Custodian Responsibilities

The adequate and appropriate safekeeping of the university monies: While using cash funds for daily operational activities, procedures should be established to maintain a safe and secure working environment to ensure the safeguarding of funds and safety of personnel. Employees should be well informed of their responsibilities for handling cash and receipt transactions and being accountable for those funds. The custodian must see that appropriate internal control measures are enforced.

When not being used for operational activities, all cash and receipts should be kept in a safekeeping device, either a safe or locked container. Lock combinations and the custody of keys should be maintained by one person. These items should not be stored in an unlocked desk drawer or unsupervised area. For strictly emergency situations, the department head or other designated employee should have the safe combination or an extra set of keys.

Maintaining current and accurate records of the funds: The records should provide clear documentation of receipts from the time of collection to the time of deposit. This documentation should always be readily available for audit by the controller's office, internal or external auditors, or the department head. Specific information on appropriate documentation can be found under Receipts Procedures, below.

Overages and Shortages: Both overages and shortages should be noted and tracked by the custodian and then reviewed and certified by a supervisor or department head. Significant amounts should be immediately reported to the department head and the controller's office. If there appears to be a growing pattern or anything unusual or abnormal about the overages and shortages, that information

must be disclosed immediately.

Refunds: ~~A refund is the return of funds for a transaction that occurred on a prior business day.~~ Refunds cannot be made directly through the use of petty cash funds, change funds or funds received from cash receipts, unless specifically authorized by the business office. All refunds should be processed by the completion of a purchase voucher in adherence to the procedures as established by the controller's office, depending upon the type of transaction involved. Petty cash funds, change funds, or funds received from cash receipts must not be used to reimburse employees for out-of-pocket expenditures. These reimbursements will be made in accordance with procedures developed by the controller's office. All funds must be deposited into a university account before a department may use the receipted funds.

Training Requirements: Mandatory receipts training is required of all employees whose job duties include the acceptance, record keeping, and deposit of university receipts. Additionally, separate training is required for employees who handle payment cards. Receipts and payment card training is required on an annual basis and should be coordinated through the business office.

Receipting Revenues

University departments that collect receipts must have an established departmental procedure for documenting all receipts. Computer generated receipts, cash register receipts, or pre-numbered receipt books or tickets are acceptable forms of documentation. All pre-numbered receipt books are issued by the business office. All other receipts issued must be approved by the business office as to format.

As a minimum, receipt documentation should include:

1. Payer's name
2. Amount of payment
3. Mode of payment (cash, check, credit card, money order, etc.)
4. Check or money order number, if applicable
5. Purpose of payment
6. Date of payment
7. Initials of employee collecting funds

The above applies to receipts collected directly from individuals, as well as receipts received through the mail, over the Internet or by phone. With prior approval by the business office, departments that receive large volumes of checks by mail (~~such as application fees~~) may document their receipts by creating a spreadsheet which contains the information above. The check number, date of receipt, initials of the employee, and the amount must be noted on the face of the application or documentation received with the payment. The spreadsheet must be reconciled to the group of checks.

Canceled/Voided Transactions

The same-day cancellation of a transaction must be approved by a supervisor. Upon approval, the original receipt should be voided and the payment returned to the customer. The customer should

sign the voided receipt acknowledging the transaction.

Manual Cash Receipt Books

Manual pre-numbered cash receipt books may be obtained from the business office only. Receipt books will not be placed in campus mail. The business office will document the distribution of each receipt book. Documentation will include:

- 1.—Department name
- ~~2.1. Department account number~~
- ~~3.2.~~ Numbers of each book distributed
- ~~4.3.~~ Signature by the person receiving the book(s)
- ~~5.4.~~ Description of what the receipts book(s) will be used for

Each person issuing receipts and/or making deposits **MUST** have receipt training in order to ensure the proper procedures are followed. The business office will provide this training (see Training Requirements above).

The receipts **MUST** be used in consecutive order. All receipts, including voided receipts, **MUST** be accounted for. The original (white) receipt is given to the customer. The -green copy of each receipt is to be sent to the business office along with a Deposit Summary -form (approved by the business office as to format). The yellow copy of each receipt should remain in the receipt book for reference purposes.

Note: It is the department's responsibility to retain all documentation pertaining to deposits. Record retention schedules (see Records Management (2.9)) must be adhered to for all receipts, receipt books, Deposit Summary Forms, and any other backup. *Copies of checks and other confidential information should not be retained.* Documentation should be destroyed in accordance with the approved SFA Records Retention Schedule.

Reconciling Cash and Receipts

Cash receipts **must** be reconciled. On days when cash is collected, a reconciliation must be performed at the close of the business day when possible, and no later than the beginning of the next business day. Cash, checks and credit cards must reconcile with the daily receipts. All receipt numbers (including voids) utilized for the day's business must be accounted for.

At a minimum, the supervisor must perform a monthly reconciliation of receipts to deposits, verifying that the amounts receipted were actually deposited and credited to the appropriate accounts in the Banner System. Depending upon the volume of transactions, weekly or daily reconciliations may be more appropriate. The business office can assist in determining the frequency. Under no circumstance should this reconciliation be performed by the same individual who receipted the funds. The supervisor must keep written documentation of the reconciliations and report any discrepancies to the controller's office immediately.

Payment Acceptance

~~Payment Acceptance~~ Acceptable forms of payment with ~~p~~Proper identification:

- *Cashier's Check*
- *Certified Check*
- *Money Order*
- *Traveler's Check*
- *Personal Check*
- *Starter Check*

~~Cashier's Check~~ A check purchased at a bank for any amount; the bank completes all information on the face of the check with a bank officer signing as the maker.

~~Certified Check~~ A personal check guaranteed by the bank; the check is stamped "certified" and signed by a bank officer.

~~Money Order~~ An instrument purchased at a bank, post office, or other business establishment for any amount that orders a sum of money to be paid to someone else.

~~Traveler's Check~~

~~Unacceptable forms of payment~~ A special check supplied by banks or other companies for the use of travelers; these checks already bear the purchaser's signature and must be countersigned in the cashier's presence.

~~Personal Check~~ A written order payable on demand, drawn on a bank by a depositor; a personal check is written against an individual's funds as opposed to a cashier's check, certified check, money order, or traveler's check, all of which are written against or guaranteed by bank funds.

~~Starter Check~~ A non-personalized encoded check that a person receives from a bank when they establish a checking account. These are for the person's use prior to receiving encoded checks from the bank. Starter checks should only be accepted if the bank has encoded the routing number and account number on the bottom of the check.

~~Unacceptable~~ without permission of the business office:

- *Counter Check*
- *Third-Party Check*
- *Foreign Check*

~~Counter Check~~ A non-personalized, non-encoded check that is available at most banks.

Third Party Check ~~A check made payable to a person or organization other than the one accepting or cashing the check (for example, a paycheck).~~

Foreign Check ~~A check written on a foreign bank (e.g., a Canadian bank) not specifically prepared as U.S. currency. The maker's address might be outside the United States; however, it is the bank's address that must be examined.~~

Every check or money order must be reviewed for completeness as follows:

Item	Verification
Account holder's name, address, phone number	Verify the information is included on the check. A daytime phone number is preferred.
Bank coding and holder's account number	Observe that the check has the customer's bank account and routing number encoded on the bottom along with the bank and check number.
Payee	Must be payable to Stephen F. Austin State University, SFA, or SFASU.
Date	Verify check is not stale dated or postdated.
Amount	Verify that numerical amount is same as written amount.
Signature	Observe that check is signed.
Information	~~Departments accepting checks in person should record legibly the following items on the face of the check: the issuing person's driver's license number, date of birth (DOB), the accepting department, and the accepting employee's initials.~~

Credit Cards:

Stephen F. Austin State University accepts the following credit cards:

- Visa
- American Express
- MasterCard
- Discover

When accepting credit cards, the following guidelines should be observed:

- Credit cards shall be accepted for no more than the amount of purchase.
- The expiration date and security code are required.
- If information is received by phone, a contact phone number must be included.

- All credit card information should be considered confidential and must be protected (see Payment Card Acceptance and Security (14.8)).

Specific instructions for handling credit card transactions will be provided during receipt training and payment card training (see Training Requirements, above).

Signage

At the location where funds are collected, each department must have signage in place with the following information:

- MAKE CHECKS PAYABLE TO SFASU
- PLEASE ASK FOR A RECEIPT
- RETURNED CHECK FEE WILL BE CHARGED
- NO FUNDS LEFT OVERNIGHT

Endorsement Stamps

Each department must restrictively endorse all checks ***immediately*** upon receipt. This prohibits the negotiation of the check if it is stolen. Endorsement stamps can be obtained from Printing Services and read: “Stephen F. Austin State University, For Deposit Only”. The department should include the department’s name under the endorsement, so lost or stolen checks can be traced back to the department if found.

Deposits of Cash and Checks

Some university departments are authorized to make deposits directly to the bank in a locked bag via courier service provided by the UPD. These departments include: student center business office, Fine Arts ticket office, and Athletics. Other departments may request such authorization from the business office. All other departments will hand deliver their deposits in a locked bag to the business office or to one of the above named departments (upon approval by the business office). Each department that makes deposits shall submit the following to the business office on the deposit date:

- Deposit Summary form
- The green copies of the receipts or the cash register tapes

Deposits must be brought to the business office (or above named departments) within five (5) calendar days or when \$100 or more in receipts have accumulated, whichever comes first. *The business office will establish the time of day that deposits must be received.* Deposits must not be mailed to the business office.

All checks must be restrictively endorsed immediately upon receipt (see Endorsement Stamps above).

Preparing and Making the Deposit

It is the responsibility of the department to accurately count all currency and checks collected. *All*

currency must be separated by denomination and a calculator tape should be included to reflect this itemization. It is recommended that a second individual recount the currency and checks before completing the deposit. A Deposit Summary form must be completed and submitted to the business office with each deposit. The green copies of the receipts or the cash register tapes must also be included.

Sales Tax

Departments are responsible for collecting any applicable sales tax and reporting it to the business office on the Deposit Summary Form.

Cross Reference: Records Management (2.9); Payment Card Acceptance and Security (14.8); Returned Payments (3.27); Nepotism (11.16)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: Deposit Summary Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Accounts Receivable

Policy Number: 3.28

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): Establishes guidelines for the prudent collection of student accounts receivable, as well as delinquent receivables from vendors and non-student accounts.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Made minor spacing, punctuation, formatting and wording changes. Removed the reference to specific aging brackets that the controller's office will maintain. Removed the sentence stating collection fees are added to accounts immediately when turned over for collection, since that is no longer the procedure.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dannette Sales, Controller
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Student Accounts Receivable

Original Implementation: July 15, 2008

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This ~~policy document~~ establishes guidelines for the prudent collection of student accounts receivable in the best interest of Stephen F. Austin State University and the state of Texas. Although this policy primarily applies to student accounts receivable, including certain university issued short-term loans, ~~processes~~ ~~procedures~~ stated herein may be used ~~for to process~~ other delinquent receivables from vendors and non-student accounts. This policy does not apply to the write-off of any federal loans.

~~Definitions~~ General

~~Policy~~ procedures will be maintained by the controller's office, for at least the following:

- ~~•• a process~~ to ensure that the requested extension of credit is not a prohibited transaction.;
- ~~•• a procedure~~ to ensure that any extension of credit (installment plan contract, short-term loan request, or repayment agreement) is done so in a prudent manner, including the use of standardized credit applications and legal authority required for approval of the requested credit.;
- ~~•• a procedure~~ to analyze whether credit should be extended to students who are in default on other obligations or for whom previous obligations have been written off as uncollectible. If a -student account is past due, a transcript and registration hold will be placed on the account.;
- ~~•• procedures~~ for managing and monitoring the billing and collection activities on student accounts.;
- ~~•• procedures~~ for recording and monitoring credit extended and subsequent payments received on student accounts.;
- ~~•• procedures~~ to ensure that amounts reported as receivables on the financial statement ~~are recorded~~ *are recorded* in accordance with generally accepted accounting principles.

Criteria ~~For~~ Recognizing ~~An~~ Account Receivable

~~A~~ student account receivable will be recognized (recorded in the university's financial records) when:

- ~~•~~
- ~~••~~ a student has enrolled for classes at the university or has been registered for classes

by the university;

- a student has incurred charges for costs associated with attendance (tuition, fees, ~~housing and~~ housing and meal charges, post office charges, book purchases, parking permits and fines, etc.) -from which a benefit to the student is derived;
- payment is due to the university from the student or a third party;
- payment has not been received (collected) by the university from the student or third party;
- the accounts receivable does not represent an extension of credit that is prohibited by law; and,
- the recording is deemed to be appropriate by the university's fiscal officers.

Recording ~~An~~ Account Receivable ~~in The~~ Financial Records

An account receivable is recorded in the financial records automatically by the registration and billing process. These entries credit the appropriate revenue accounts and debit the appropriate account receivable accounts in the university's accounting system.

In the event that a student withdraws during the semester, the accounts receivable outstanding balance is reduced by the appropriate percentage refund rate relevant at the time of withdrawal.

Reconciling Accounts Receivable

The controller's office maintains adequate records of student accounts receivable and prepares a reconciliation of the student receivable records and the financial accounting records on a timely basis.

Aging Accounts Receivable

The controller's office also maintains an aging schedule for all student accounts receivable with the total of the aging schedule balanced to the total recorded accounts receivable. ~~The following aging brackets are used:~~

~~Greater than 30 days old~~

~~Greater than 90 days old~~

~~Greater than 1 year old~~

At year end, ~~the aging schedule~~ ~~other ranges~~ may be analyzed to aid in the process of the calculation of the allowance for doubtful accounts.

Collecting Accounts Receivable

The size of the account receivable may influence the collection efforts. The expenditure of time, effort, and money to collect large accounts receivable is appropriate; however, the same efforts expended on very small accounts receivable may not be economical. Guidelines as to the level of attention and the efforts expended on accounts receivable will be set by the university based on recommendations from collection agencies and management.

~~The following steps are conducted in collecting accounts receivable which are in default.~~

An account will be considered in default if the following apply:

- the account balance is at least 30 days old;
- the debtor has not exhibited concern regarding the delinquent account (i.e., requested a repayment agreement); and,
- the debtor is not an active student.

An account will be considered delinquent if it is past due.

Billing and Collection Activity on Delinquent Accounts or Accounts in Default

Active Students:

Active students will be billed throughout the term with due dates set by the business office. Students may be assessed penalties for late payments, but will not be turned over for collection in the term if they are actively enrolled.

Inactive Students:

Delinquent accounts will be analyzed and processed on a regular basis. Any general deposits will be applied to inactive students' outstanding balances to defray the amounts due to the university. After this analysis, delinquent accounts on inactive students will be subject to collection activity. Attempts will be made to contact students before delinquent accounts are turned over to collections. Students will not be assessed any collection agency fees or collection costs if they make a payment or request to set up a repayment *agreement* ~~fee~~ during the communication and contact period(s). After communication and contact periods expire, accounts will be placed with a collection agency or an attorney. The collection agency may give the student an additional period prior to assessing fees. ~~Collection fees will be calculated and added to the student's account either immediately when turned over for collection or after the last warning period has expired.~~ The fees assessed to the student will be negotiated in advance with the collection agencies and are subject to approval from the Texas Attorney General's office. Additionally, accounts may also be reported to the Texas Comptroller of Public Accounts as authorized by Texas Government Code § 403.055 to ensure that no treasury warrants are

issued or payments are paid to the debtor until the debt is paid.

If a debtor with a delinquent account establishes a repayment agreement and makes scheduled payments towards the balance within one of the warning periods, the debtor will be treated as an “active” student and will not be turned over to a collection agency unless monthly payments cease before the account balance is paid in full. If the account is turned over for collection, collection costs, collection agency fees and/or attorney fees will apply. There will be transcript and registration holds placed on the student’s account until the balance has been paid in full.

If a debtor has received a warning letter and begins making regular payments but then stops making regular payments before the account is paid in full, the debtor may be sent to an outside collection agency or attorney without further notice to the debtor.

All demand letters should be mailed in compliance with applicable collection laws. If an address correction is provided by the United States Postal Service, the demand letter should be mailed to the corrected address prior to the referral procedures described above. Demand should be made upon every debtor prior to referral of the account to an outside collection agency and the attorney general.

Write-Off ~~Of~~ ~~An~~ Uncollectible Account

The university will establish procedures to determine when the write-off of an uncollectible account will occur. These write-off procedures will take into account both the age of the account and the amount due from the student.

A list of all accounts written off will be filed in the controller’s office, and all student accounts that have been written off will be flagged in the student system. Additionally, a transcript and registration hold will be placed on these student accounts to prevent these persons from receiving future university services until their balances have been paid in full. Warrant holds placed on the student’s account will not be removed until the balance is paid in full.

Forgiveness ~~Of~~ Debt ~~Versus~~ ~~versus~~ Write-Off ~~Of~~ Uncollected Accounts

The write-off of an uncollected account is a bookkeeping entry only and does not relieve the debtor from his financial responsibility to the university. Although the uncollected account has been removed from the financial books and records (i.e., written-off as uncollectible), the university may still have a claim against the debtor and may still seek legal remedy (i.e., file suit for collection in a court of law). Therefore, it is the responsibility of the controller’s office to maintain adequate records regarding legal financial obligations (i.e., debts) owed to the university.

Allowance ~~For~~for Doubtful Accounts

The university records an allowance for doubtful accounts on past due accounts for all accounts that have not been written off or forgiven. Prior to closing each fiscal year's books, the controller's office will analyze and adjust the allowance for doubtful accounts, with offsets to the appropriate revenue accounts or bad debt expense, in accordance with accounting guidelines. An allowance for doubtful accounts will be set up as a contra-receivable in each appropriate general ledger.

Cross Reference: Texas Comptroller of Public Accounts Fiscal Policies & Procedures, Accounting for Uncollectible Accounts (APS 027); Tex. Gov't Code § 403.055; Ch. 2107

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Withdrawal without Financial Clearance

Policy Number: 6.22

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/26/2016

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): Establishes sanctions on students who leave the university with unsettled financial obligations, fail to return university property, or are otherwise indebted to the university.

Reason for the addition, revision, or deletion (check all that apply):

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Removed the section about the registrar's office notifying specific offices when a student withdraws, as this is not the current procedure.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dannette Sales, Controller
Lynda Langham, Registrar
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Withdrawal without Financial Clearance

Original Implementation: October 26, 1978

Last Revision: ~~January 26, 2016~~ January 29, 2019

Purpose

This policy establishes the sanctions and the process by which they will be imposed when a student leaves the university without financial clearance.

~~Definitions~~General

When students graduate, withdraw, or otherwise leave the university, they must clear their financial obligations, return university property, and settle other financial matters with the university. Students failing to fulfill these obligations will be subject to sanctions until such time as the financial obligations are cleared. Sanctions will be imposed when a student does not return university property or is otherwise indebted to the university. Upon graduation or withdrawal, the university will apply the student's general deposit to any unpaid obligations on his/her business office student account. If the general deposit is sufficient to cover these obligations, no sanction will be imposed.

If the general deposit is insufficient to cover all financial obligations, the following sanctions will be imposed: **Sanctions:**

- The student will not be permitted to register for classes.
- ~~The student will not be eligible to receive an official transcript of academic work completed.~~
- ~~_____~~
- **~~Procedures for Implementation:~~**
 - a. ~~_____~~
 - b. ~~_____~~
 - c. ~~When a student withdraws, notification will be sent by the registrar to:~~
 - d. ~~_____~~
 - e. ~~_____~~
 - f. ~~The dean of the appropriate academic college,~~
 - g. ~~The business office,~~
 - h. ~~The financial aid office,~~
 - i. ~~The housing office and~~
 - j. ~~The Ralph W. Steen Library.~~

Implementation

Each ~~area~~ department in which the student has a financial obligation requiring the imposition of sanctions will either notify the business office, citing the nature of the financial obligation,

or will place a –registration and transcript hold on the student's record. It will be the student's responsibility to contact the appropriate office to clear his/her record. These offices will then release the hold ~~or notify~~ *and notify* the registrar's office once the financial obligation has been resolved, *if needed*.

The university will impose sanctions specified in this policy until the student's financial obligations are cleared. Delinquent accounts will be handled in accordance with the university's policies and procedures.

Cross Reference: Student Accounts Receivable (3.28)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller, Registrar

Forms: None

Board Committee Assignment: Finance and Audit

Report from the President
January 29, 2019
Dr. Steve Westbrook

- Upcoming Dates
- Legislative Session
- Capital Campaign
- SACSCOC Accreditation

Report from the Faculty Senate
January 29, 2019
Dr. Jason Reese

- Faculty Senate Activities
- Faculty Accomplishments

Faculty Senate Report – January 2019

Outstanding Faculty Activities and Accomplishments

Nelson Rusche College of Business

Dr. Timothy Bisping, Dean

Dr. Emiliano Guidici (Department of Economics and Finance) published his paper to the Academy of Business Research in San Antonio, TX titled “An Examination of Intraday Trading Volumes of ETFs.”

Dr. Marsha Bayless (Department of Business Communication and Legal Studies) presented her poster at the 83rd Annual International Conference for the Association of Business Communication that discussed “Eight Years After the ABC Diamond Anniversary” in Miami, Florida. This poster presented a visual photo updated of the eight years since Dr. Bayless was the Project Director for the 75th Diamond Anniversary Keepsake at the 75th annual conference in Chicago. Bayless also presented “The Road Beyond: Managing Email is as Important as Crafting It” which focused on the idea that today’s business communication students often are unfamiliar with traditional email preferring social media applications in their daily lives.

Dr. Christopher McKenna (Department of Business Communication and Legal Studies) attended the Fall 2018 International Academy of Business Research Conference in which he presented “Management and Communication Failures in Faculty Hiring Processes: A Case Study.” This case study recounts the frequency with which university-based job search committees fail to follow best practices when communicating with job applicants. He also published this work in the American Journal of Management, North American Business Press.

Dr. Jason Reese (Department of Management and Marketing) presented at the Sports Marketing Association’s Annual Conference in Frisco, TX. His presentation titled “Pricing of Obstacle Racing: Examining the Use of Price Tiers in Participant Sporting Events” investigates consumer perceptions and behaviors related to an annual fundraising obstacle racing event in the South region of the United States.

Dr. Vijetha Koppa (Department of Economics and Finance) presented “Effect of Supplemental Instruction on student performance” to both the SFASU Department research series as well as the Annual Conference of Southern Economic Association. This included a study of the SI peer-to-peer mentoring on student outcomes, course grades, likelihood of participation, etc.

Dr. Pamela Rogers and Dr. Rajat Mishra (Department of Management and Marketing) both presented papers at the Decision Sciences Institute Annual Meeting in Chicago. Rogers’ discussed the “Analysis of Throughput Time on Quality Variability Amplification” in which a time series model is developed to identify the influence of throughput time on quality variability and its expected loss in a supply chain. Mishra presented over “The role of operational intellectual capital in the design and implementation of reverse logistic processes.” This focused on Nonaka’s framework of knowledge based view and aimed to apply it to reverse logistic processes.

Banker Phares (Department of Economics and Finance) presented at the National Business Institute's Probate and Trusts Seminar. Phares presented over the "New developments in Texas Probate and Trust Code."

Dr. Rajat Mishra (Department of Management & Marketing) performed in a student's academic short film titled "Happily Married".

Dr. Pamela Rogers (Department of Management and Marketing) published in the Decision Science Institute her work titled "Analysis of Throughput Time on Quality Variability Amplification."

Dr. Jose Vega (School of Accountancy) published "An Examination of SEC Revenue Recognition Comments and IPO Earnings Management" in the American Research Journal.

Dr. Ashley Hall and Dr. Carol Wright (Department of Business Communication and Legal Studies) published their work "Data Security: A Review of Major Security Breaches Between 2014 and 2018" in the Federation of Business Disciplines Journal. Security breaches have been a frequent news topic in recent years. Many companies have issued statements about data security breaches that have impacted the company itself, along with customers and vendors. This research reviews the reasons behind some of these breaches and analyzes the largest breaches from 2014 – 2018. The data shows trends in the types of breaches and types of companies impacted. In addition, recommendations for businesses and educators are provided.

Dr. Mark Schaub (Department of Economics and Finance) published "The Brexit Effect: The Case of UK ADR Performance One Year Later" Applied Economics Letters.

James I. Perkins College of Education

Dr. Judy Abbott, Dean

Dr. Susan Abbott (Department of Humanities) presented at the Music and Lifelong Learning Symposium as part of the MENC Adult & Community Music Ed Special Research Interest Group & Ithaca College School of Music in Ithaca, New York. Abbott's presentation was titled "The Joy of Singing with Others: An Evidence-Based Review and Preliminary Study of the Perceived Mental Health Benefits of Choral Singing."

Dr. Adam Akerson (Department of Elementary Education) presented at the National Conference on Co-Teaching and St. Cloud State University in Minneapolis, Minnesota. Akerson's presentation titled "Using One Teach, One Observe to Provide Meaningful Peer-to-Peer Feedback" detailed how teaching pre-service teachers to provide meaningful peer feedback can be a challenge and how co-teaching can develop a framework to focus on specific observable feedback.

Dr. Betty Alford (Department of Secondary Education and Educational Leadership) presented at the NCEP/AASA Conference in San Francisco, California. Alford presented over both "Developing a College Going Culture: Lessons Learned" and "Building Capacity for Quality Leadership with English Language Learners." Through this, Alford shared lessons learned from a ten year GEAR UP partnership as well as identified ideas for strengthening a college-going culture.

Dr. Leisha Bridwell (Department of Interior Design) presented at the Interior Design Educators Council Regional Conference. Bridwell presentation was titled “Design Thinking: A longitudinal Evaluation of Work Dispositions and Whole Person Development in Generation Y Design Interns.”

Dr. Bobby Bryant (Department of Human Services) presented at AERBVI International over the “History of O&M undergraduate programs” in Texas and Southwest region.

Dr. Lauren Burrow (Department of Elementary Education) presented at the AERA Research on Women and Education Fall Conference and the National Council of Teachers of English Annual Meeting. Burrow’s presentations were titled “Reclaiming an identity, together: A live storied performance of motherscholarhood” and “Barrio Writers: A Summer Community Writing Program to Promote Student Voice.” Dr. Burrow also published “Sharing stories in a digital age: Using technology to document children's connection with their worlds” in the publication titled “Early Years.”

Drs. Heather Olson Beal, Lauren Burrow, and Chrissy Cross (Department of Elementary Education) published “Barrio Writers Anthology 9th Ed” from the Stephen F. Austin State University Press. The 9th Edition includes youth writings from BW Summer 2017. A collection of works by youth in Santa Ana, California, Nacogdoches, Texas, Houston, Texas and Austin, Texas.

Dr. Wynter Chauvin (Department of Elementary Education) presented at the Texas Blackboard Users Group Conference. Chauvin presented strategies to build an online community.

Dr. Chrissy Cross (Department of Secondary Education and Educational Leadership) presented for the Research on Women in Education in San Antonio, Texas. Cross presented over “Creating a framework for using comic books as a Culturally Responsive Pedagogy for Empowering Women in STEM.”

Dr. Shannon Darst (Department of Human Services) presented at the CSOTTE 2018 – Fall 2018 Teacher Education Conference, the Southwest Orientation and Mobility Association (SWOMA) Conference – 2019, and the Northeast Association for Education and Rehabilitation of the Blind and Visually Impaired Conference – 2019. At CSOTTE, Darst presented over “Making Instruction Matter; Reflection, Collaboration, and Documentation in Special Education.” While at SWOMA and the Northeast Association for Education and Rehabilitation of the Blind and Visually Impaired, Darst discussed “Practice Session Using the O&M VISSIT to Determine Service Intensity.”

Layne Debardeleben (Department of Human Services) participated as a guest speaker for the Down Syndrome Support Group in Nacogdoches. Debardeleben provided parents with children with Down Syndrome with information about the Little Jacks preschool language program and about speech, language, and oral motor development milestones.

Dr. James Ewing (Department of Elementary Education) presented for the NAREN Tran-Zed as well as the California Mathematics Council 59th Annual Conference. For NAREN Tran-Zed, Ewing presented over “Math Mindsets for ELLs.” While at the California Mathematics Council conference, Ewing presented the “Mathematical Journey to Empower Emergent Bilinguals (ELs).” These focused on how to meet the needs of ELLs in mathematics. Ewing also published

“Facilitating pre-service teachers to engage emergent bilinguals in productive struggle” in the *The Journal of Multicultural Affairs*.

Dr. Flora Farago (Department of Human Development and Family Studies) presented at the 8th Gender Development Research Conference in San Francisco, California. Farago discussed “Gender Typicality, Stereotypes, and Body Image in 6-11 Year-Old Girls.”

Dr. Brandon Fox (Department of Elementary Education) presented a paper at the 2018 Annual Meeting for the Texas Association for Environmental Education in Palestine, Texas. Fox discussed “Examining the social, environmental, and humane realities in a rural teacher education program.” This presentation examined a curricular approach to social, environmental, and humane education in a teacher preparation program in rural, East Texas.

Dorothy Gottshall (Department of Elementary Education) presented at the NCATE Super Sunday Showcase. Gottshall facilitated three poster sessions and created four presentation posters.

Dr. Gloria Gresham (Department of Elementary Education) presented at the CSOTTE 2018 Fall Teacher Education Conference: Embracing Change. Gresham’s presentation titled “The EPP as a Service Provider: Changing the Narrative” discussed strategies to serve as a resource for school district teachers and other leaders.

Dr. Ali Hachem (Department of Secondary Education and Educational Leadership) presented at both the Critical Questions in Education Conference and the American Educational Studies Association Conference in Greenville, South Carolina. Hachem presented over “Community-based action research for the public good: Deweyan reconstructions in civil inquiry” and “Philosophical theorizing in the global then and now: Text, biography, and culture.”

Dr. Karen Jenlink (Department of Secondary Education and Educational Leadership) presented at the CSLEE 23rd Annual Values and Leadership Conference in Houston, Texas. Jenlink presented over “Examining Ethical Drift in Decision making: The Role of Moral Literacy in Preparing Educational Leaders.” Jenlink also wrote the foreword of the Teacher Education Yearbook XXVI, a Rowman and Littlefield Publishers / Association of Teacher Educators publication.

Dr. Patrick Jenlink (Department of Secondary Education and Educational Leadership) presented at the University Council of Educational Administration’s 32nd Annual Conference in Houston, Texas. Jenlink’s presentation entailed “Leadership Praxis as Counter to Social Injustices: The Intersection of Individual Accountability and Social Responsibility.” Dr. Jenlink also published “Teacher Education: At the Intersection of Race and Poverty in Today’s Schools” in the Teacher Education & Practice publication. Jenlink also published “Teachers Situated Learning in Communities of Inquiry and Practice: Examining Teacher Study Group through the Lens of Cultural Historical Activity Theory” in the Pedagogical Journal of Bashkortostan. The article examines the Russian theorists aligned with CHAT and the implications of CHAT and teacher study group in forming communities of inquiry and practice.

Dr. Steven Josephsen (Department of Elementary Education) presented at the CSOTTE Annual Meeting in San Antonio, Texas. Josephsen presented in the “Recruitment Action Plan Collaborative Workshop CSOTTE 2018.” The workshop invited participants to generate potentially

useful action points based on the 16 Recruitment Factors identified in the data. These ideas will be collated and disseminated back among the workshop attendees.

Dr. Rachel Jumper (Department of Human Services) presented at the National Council on Family Relations Annual Conference 2018 in San Diego, California. Jumper presented over “A Review of the literature regarding communicating about voluntary childlessness” that reviewed the research done on the lived experiences of primarily voluntary childless couples and the way they communicate and perform childlessness.

Drs. Rachel Jumper and Deborah Newquist (Department of Human Services) published this work titled “Importance of including the choice to not have children in family and consumer sciences curriculum” in the Texas Association of Family and Consumer Sciences Research Journal.

Dr. Leah Kahn (Department of Elementary Education) presented at the Association of Middle Level Education Annual Conference in Orlando, Florida. Kahn’s presentation titled “Guiding Middle School Students From “I” to “We” in an Outdoor Education Class” detailed participants learning about outdoor education curriculum that guides adolescents from focusing on themselves (“I”), to winning and losing graciously as they play as a team (“We”).

Dr. Janie Kenner (Department of Human Sciences) presented at the Heritage Festival Luncheon for the Historical Foundation of Nacogdoches County. Kenner’s presentation was titled “Dress: The Privileged Woman of the 1900s.”

Dr. Summer Koltonski (Department of Human Services) presented for the Louisiana School Psychologist Association. Koltonski’s presentation was over “Using Direct Instruction to Teach Social Skills” and focused on using direct instruction techniques to organize and sequence social skills curriculum. The session also included direct instruction teaching techniques.

Dr. Judith Lauter (Department of Human Services) presented at the Annual Research Conference for the Consortium of State Organizations for Texas Teacher Education (CSOTTE). Lauter presentation entailed “New horizons on individual differences: Navigating the Zebra Brain.”

Jay Lee (College of Education) presented at both the American Cancer Society’s San Antonio Leadership Institute as well as the American School Health Association 81st Annual Conference in Honolulu, Hawaii. For the American Cancer Society, Lee presented an overview of evaluation: the importance of assessment. At the American School Health Association conference, Lee’s presentation was titled “A local replication of the National School Health Education Leadership Institute: First year results of the San Antonio Leadership Institute.”

Dr. John Leonard (Department of Educational Leadership) presented at five different conferences. Leonard presented “Building capacity for change through professional development: One district’s magnet school experience” to Magnet Schools of America’s 25th Annual National Conference, the 7th Annual Curriculum & Pedagogy Conference, and NCPEA’s National Conference-Within-A-Conference. Leonard also presented to SFA’s College of Education at the Spring College of Education Faculty Meeting over Assessment of candidate learning. Lastly, Leonard participated at TASA/The First Texas Council of Professors of Educational Administration Conference-Within-A-Conference titled “Real time action research: A new scholarship.”

Ginny Love Watkins (Early Childhood Lab) presented a lecture titled “Not Just a Drill” in the Early Childhood Laboratory’s Teacher Assistant Training. Love Watkins taught the teacher assistants in her classroom the requirements for severe weather, a fire drill, and a lockdown drill.

Dr. Sheila Lumar (Department of Human Sciences) presented for the Texas Council on Family Relations’ Promoting Healthy Families in Austin, Texas. Lumar’s presentation was titled “Growing Pain: Adjustment to New Family Additions” that discussed challenges families face when a new family member is added to the family.

Dr. Paige Mask (Department of Special Education) was a presenter at the Magna Teaching with Technology Conference in St. Louis, Missouri. Mask’s presentation was titled “Technology Integration Versus Technology Use: Which One Am I Doing?” and described and demonstrated an education program’s action to integrate technology applications into the curriculum and create a sense of community and collaboration through technology integration.

Dr. Herbert Ninness (Department of Psychology) presented at the Association of Applied Behavior Analysis International Conference. Ninness’ presentation described “Behavioral and Biological Neural Network Analyses: A Common Pathway toward Pattern Recognition and Prediction.”

Dr. Adam Peck (University Affairs) presented a lecture at both the National Association for Campus Activities’ Annual Convention and for the Texas Association of Student Personnel Administrators (TACUSPA). For TACUSPA, Peck presented over “Innovative Solutions to Engaging First-Generation Students.” At the National Association for Campus Activities, his presentation discussed “Assessment in Student Activities: Making Assessment a Part of your Daily Work.”

Dr. Roger Perritt (Department of Agriculture) presented for Texas A&M University’s Texas Agricultural Lifetime Leaders at the SFA Poultry Research Center. Perritt provided an Overview of Agriculture at SFA.

Jennifer Perry (Department of Human Services) presented at SWOMA for TSBVI in Austin, Texas. Perry presented “Using Drones for O&M” that discussed using drones to enhance ability of OM instructors to monitor work, film and review lessons, and live stream data to parents or other interested parties.

Dr. Raul Prezas (Department of Human Services) presented at the American Speech-Language-Hearing Association Convention in Boston, MA and Rockville, MD. In Boston, Prezas presented over “Identification of Latino children at risk for autism spectrum disorder: Implication for SLPs” and provided data related to the administration and scoring of a survey regarding services for bilingual and latino children who may be at risk for autism spectrum disorder. In Rockville, Prezas presentation was titled “Services for bilingual children with highly unintelligible speech” and included topics such as the identification, assessment, and treatment of bilingual children with speech sound disorder. Additionally, Prezas presented the Keynote Plenary Address at both the Nancy McKinley Lecture Series at the University of Wisconsin and the National Student Speech-Language Hearing Association’s Fall Conference in Nacogdoches. At the Nancy McKinley Lecture Series, Prezas presented over the phonological assessment and intervention of bilingual children

with highly unintelligible speech. At the National Student Speech-Language Hearing Association Conference, Prezas' address was titled "Monolingual Clinicians in a Bilingual World: Providing Best Services for Highly Unintelligible Bilingual Children." Lastly, Prezas presented at Medbridge Education in Seattle, Washington over "Increasing Speech Intelligibility of Spanish-Speaking Children." He also published "Selective Stimulability in the Speech and Language Assessment of Bilingual Children with Selective Mutism" in the Journal of Human Services: Training, Research, and Practice.

Dr. Robin Rumph (Department of Psychology) presented at the Association for Behavior Analysis International annual convention in Seattle, Washington. Rumph's presentation was titled "Behavior analysis at Stephen F. Austin State University" that presented opportunities for studying behavioral analysis at SFA.

Dr. DawnElla Rust (Department of Kinesiology and Health Science) did a demonstration at the LSU-Shreveport teacher prep workshop. Rust presented population education materials to LSU-Shreveport middle school majors.

Dr. Heather Samuelson (Department of Kinesiology and Health Science) presented Oklahoma! The Musical for SFASU's School of Theatre. The SFA Repertory Dance Company was invited to perform and the musical was peer reviewed by the Kennedy Center in Washington, D.C.

Dr. Sarah Straub (Department of Elementary Education) presented at How Many More 'Til We Rise Up? Multicultural Education, a Radical Response of Love, Life, and Dr. King's Dream. Straub's presentation was titled "Promoting agency for refugee students in urban school districts" and discussed partnering with an organization that specializes in providing educational support for refugee students across a city.

Dr. Nagalpura Viswanath (Department of Human Services) presented at the Annual Convention of the American Speech, Language, and Hearing Association. Viswanath presented over "Dynamics of Part-word repetitions in Development and acquired stuttering."

Dr. William Weber (Department of Human Services) presented at the Texas Rehabilitation Association's Meeting the Challenges of Social Change and TRCEA Spring Continuing Education Workshop in Galveston, Texas. Weber served as the Workshop Director for TRCEA while presenting over "New treatment techniques for the narcotics addict" at Meeting the Challenges of Social Change.

Dr. Claudia Whitley (Department of Elementary Education) presented at the National Middle School Association's Symposium on Middle Level Teacher Preparation. Whitley's presentation was titled "Perceptions Regarding Teacher Preparation."

Drs. Gina Causin, Mary Olle, Hyunsook Kang (School of Human Sciences) published their work "Lifestyles, Income, Health Factors, and Life Satisfaction of Older Hispanic Adults" in the Journal of Human Services: Training, Research, and Practice. The aim of this study was to explore to what extent life styles, income, and health factors contribute to the life satisfaction of Hispanic older adults.

Drs. Deborah Williams and Tingting Xu (Department of Elementary Education) published their work titled "Teacher Candidates: A Traffic Light Review of Reflection."

Dr. Tingting Xu (Department of Elementary Education) published “Young children talking about food and health” in the publication titled Recent Patents of Food, Nutrition, & Agriculture.

College of Fine Arts

Dr. A.C. “Buddy” Himes, Dean

Dr. Bradley Meyer (School of Music) coordinated and led the third annual boombox parade, "Unsilent Night," on the SFA campus. Meyer gave lessons at SFA to several percussionists from multiple high schools across Texas. Many of them made it to All-Area. Additionally, Meyer moderated a panel discussion at the 2018 Percussive Arts Society International Convention with four other college professors from around the country on the topic of "Improving students' mental health & wellness during concert and marching seasons." He performed on several pieces with the SFA Stone Fort Wind Quintet. This includes SFWQ Performances and TMEA All-State Clinics, on Longview Symphony Orchestra' "A Very Merry Night" Concert, and with two percussionists on three pieces for the SFA Holiday Choir concert. Meyer also composed two pieces. One titled “Sound of Axe” from “The Blue Book, Vol. 2.” "Sound of the Axe" is a multi-percussion solo written for a high school/college level percussionist. Meyer also published “Ten Guidelines for First Year Ensemble Directors”, published by Bankmasters Review/Texas Bandmasters Association.

Dr. Tamey Angley (School of Music) coordinated and led the Lumberjack Marching Band as the exhibition performance for the 6A UIL state marching contest in San Antonio, TX. They performed a 15-minute show for some of the best bands in the country. Angley conducted at the November concert for the SFA Wind Symphony titled “Christmas at Home and Abroad.”

Dr. Jamie Weaver (School of Music) composed program notes that provide auditors with details about the music the orchestra is playing at “A Christmas Concert” at the Longview Symphony Orchestra, for the Longview Symphony League. Weaver gave an opening lecture about music that auditors for the Longview Symphony Orchestra, for the Longview Symphony League.

Carolyn Conn (School of Theatre) collaborated with faculty designers and directors to design lights for the production of “Cat on a Hot Tin Roof” at the SFA School of Theatre. She also supervised student lighting designers. She staged the production of Sweat for the Regional KCACTF Festival at Panola College. Conn also collaborated with faculty designers and director to design sound for production on a work titled “Three One Act Plays by Asian Authors.” Also supervised student assistant lighting designer and student assistant sound designer. Conn also published “Building a Mentoring Network: Bridging College to Career” in the University of New Mexico Mentoring Conference 2018 proceedings.

Charles Gavin, Jake Walburn, Gary Wurtz, Deb Scott, and J.D. Salas (School of Music) as part of the SFA Brass Quintet, performed a mini-concert for annual Brass Day.

Dr. Jennifer Dalmas (School of Music) served as concertmaster for Longview Symphony's Christmas concert, featuring works by Bizet and Tchaikovsky. Dalmas also performed the piano quintets of Elgar and Shostakovich with guest artists from TCU. This was titled “Remembrance: The Piano Quntets of Elgar and Shostakovich.”

Dr. Richard Berry (School of Music) performed tenor solos in Handel's Messiah at the First Presbyterian Church in Troup, Texas.

Dr. Tod Fish (School of Music) collaborated with colleague at Texas Tech University, Jake Taylor, to write an article that discussed strategies for the implementation of efficient choral rehearsals. The work is titled "No Time to Think: Effective Strategies for Efficient Rehearsals."

Dr. Stephen Lias (School of Music) creator in which saxophonist Joshua Baker performs movements of "Range of Light" with pianist Monica Bertucci on a University of Wisconsin-LaCrosse New Music Festival. Lias also wrote "Tarantella", published by Alias Press/Theodore Presser.

Christopher Kaatz (School of Music) as Associate Director of the Lumberjack Marching Band, co-lead the preparation and performance of the ensemble at their exhibition performance at the prelims for the UIL 6A State Marching Band Contest.

Dr. Deborah Dalton (School of Music) worked with eighteen student during voice lessons to prepare them for the Texas All-State auditions.

Charles Gavin, Lee Goodhew, Abby Held, Christina Guenther, and Chris Ayer (School of Music) toured as the Stone Fort Quintet, performing and recruiting. This was titled the "Woodwind Quintet Recitals."

Arthur Temple College of Forestry and Agriculture

Dr. Hans M. Williams, Dean

Dr. Tim Cherry (Department of Agriculture) presented at the American Veterinary Medical Association/AAAP in New Orleans over Hostazym groth promotant.

Dr. Kenneth Farrish (Department of Environmental Science) presented a lecture for the East Texas Brigades at SFA over Soils. This presentation was for local high school students in the Texas Brigades Program.

Dr. I-Kuai Hung (Department of Environmental Science) presented at the East Texas GIS & GPS User Group Meeting in Nacogdoches. Hung presented over "Integrating Drones within GIS Classes at Stephen F. Austin State University."

Dr. Gary Kronrad (Department of Environmental Science) presented for ACES' Natural Resources Benefitting People, Agricultural Extension Service's Carbon Sequestration and Carbon Credits, Dallas City Council Meeting, Ducks Unlimited's Managers' meeting, and Texas Forest Services' San Augustine Forest Landowners' Meeting. Over these five meetings, Kronrad presented over variables associated with (environmentally) successful payment for ecosystem services programs, carbon credits, forest ecosystem management, and financial analysis if planting mixed stands of hardwood on LMAV.

Dr. David Kulhavy (Department of Environmental Science) presented an exhibit at the Prince William Network in the Prince William School District in Virginia at the PollinatorLIVE National Conference over PollinatorLIVE Dance.

Dr. Rebecca Kathryn Kidd (Forestry) published “Differential relative bark thickness and aboveground growth discriminates fire resistance among hardwood sprouts in the southern Cascades, California” in the publication titled “Trees.” Kidd also published “Do repeated wildfires promote restoration of oak woodlands in mixed-conifer landscapes?” in the publication titled “Forest Ecology and Management.”

Drs. David Kulhavy, Daniel Unger, and I-Kuai Hung (Department of Environmental Science) published their work titled “Student Led Desire Path Evaluation Using Pictometry Neighborhood Imagery” in the Journal of Studies In Education.

Dr. Yuhui Weng (Forestry) published a technical report titled “ETPPRP Report 75” in the East Texas Pine Plantation Research Project Report-2018 measurement. Weng also published “Genetic variation of wood tracheid traits and their relationships with growth and wood density in clones of *Pinus tabulaeformis* Carr” in the Journal of Forest Research.

Drs. Daniel Scognamillo and Gary Kronrad (Forestry) published their work titled “Variables associated with (environmentally) successful payment for ecosystem services (PES) programs” in the ACES - A Community on Ecosystem Services conference abstract book.

Dr. Christopher Schalk (Forestry) published “Herpetology at Stephen F. Austin State University” in the Herpetological Review.

Drs. Jeremy Stovall, Biran Oswald, Yuhui Weng, and Hans Williams (Forestry) Published their work titled “Individual tree and stand-level carbon and nutrient contents across one rotation of loblolly pine plantations on a reclaimed surface mine” in the publication titled “New Forests.”

Dr. Frantisek Majs (Department of Agriculture) published “In Situ Structural Study of Sb (V) Adsorption on Hematite (1102) Using X-ray Surface Scattering” in the publication titled “Environmental Science & Technology.” Majs also published “In situ structural study of the surface complexation of lead (II) on the chemically mechanically polished hematite (1102) surface” in the Journal of Colloid and Interface Science.

College of Liberal and Applied Arts

Dr. Brian Murphy, Dean

Kyle Ainsworth (Ralph W. Steen Library) presented at the Teaching Undergraduates with Archives Symposium at the Bentley Historical Library in the University of Michigan. Ainsworth presented over “Student Success: Rediscovering the Purpose of the East Texas Research Center” which details thinking about the value of academic archives in terms of their value to students is a new paradigm for the academic archives.

Dr. Kwame Antwi-Boasiako (Department of Government) presented at the ASPA Annual Conference in Miami, Florida. Antwi-Boasiako presented over “Diversity Management: Development, Practices, and Perceptions among State and Local Government Agencies”.

Dr. Freddie Avant (School of Social Work) presented at both the BPD Annual Conference and the Council on Social Work Education Annual Meeting. At BPD, Avant presented over “Emergent Leadership Forum: Leadership as Vision” and “Social Work Policy Institute: A National Think Tank for the Profession.” At CSWE, he presented over “EPAS and the Accreditation Process and “A Social Work Response to Credentialing of Related Service Providers.”

Dr. Leslie Cecil (Department of Anthropology, Geography, and Sociology) presented at the East Texas Archeological Society in Nacogdoches, Texas. Cecil’s presentation was titled “Millard’s Farmstead: Summer Field School Excavations” and detailed the results of Summer 2018 field school. Cecil also published “Compositional Analysis and Fragmentation of Early Central” in the Journal of Archaeological Science.

Dr. Sam Copeland (School of Social Work) presented at the CSWE – Expanding Interprofessional Education to Achieve Social Justice. Copeland’s presentation titled “Futures Task Force Special Event” discussed envisioning the futures of social work. He also published his work “Envisioning The Future of The Profession of Social Work.”

Jillian Defore (Department of English) presented CV and Sample Work.

Dr. Jason Dormady (Multidisciplinary Studies) presented at the East Texas Historical Association over Spanish Colonial Texas.

Rachel Galan (Ralph W. Steen Library) presented at the Institute of Museum and Library Services’ WebWise in Miami, Florida.

Dr. Alan Greule (Department of Mass Communication) presented at the 2018 SWECJMC Symposium in Denver, Colorado. Greule’s presentation titled “The ever-expanding platform universe of college media” examines the extent student media offers content in ways different from the “root” media.

Dr. Marc Guidry (Department of English) presented at both University of Leeds’ International Medieval Congress and SFA Department of English’s Teaching Writing 2012: Multi-Model Mixed-Media Methods for Teaching Composition. For the University of Leeds’, Guidry presented over “Imaging War in the Knight’s Tale.” For SFA, Guidry presented “Composing a Profession: Case Study of Writing and Nursing.”

Dr. Sara Henning (Department of English) presented at Lamar University’s Poetry & Pints Reading Event and as a visiting writer, Franklin College as a Skype visit, and SFA’s University Press. Henning presented as an Author Reading for Lamar University and SFA while as a Visiting Writer for Franklin College. Henning also published poetry in a work titled “Another Fourth of July,” published by Connotation Press.

Edward Kownslar (Ralph W. Steen Library) presented at the Government Publishing Office’s Federal Depository Library Program Academy. Kownslar’s presentation was titled “Rural America:

Federal and Non-Profit Resources on Economic Development, Health and Housing” and introduced three online resources dedicated to analyzing and providing data for rural areas.

Dr. Eralda Lameborshi (Department of English) presented for the Association for Slavic, East European, and Eurasian Studies. Lameborshi presented over “Performing Nationalism: Film and Media in Eastern Europe.”

Perry Moon (Department of Modern Languages) presented at the Literature Film Conference in New Orleans, Louisiana. Moon presented over “Women and Atmosphere in French Poetic Realism” which looked at the relation between female characters and atmosphere in three French poetic realist films. Moon also published “The Poetics of the Self in C.R.A.Z.Y.” in the French Review. Drawing upon both Sartrean phenomenology and linguistic studies of narration, this article will explore C.R.A.Z.Y.’s poetics of the self. In turn, the article will show how C.R.A.Z.Y. raises larger questions about both same-sex attraction and the nature of the self.

Dr. Aaron Moulton (Department of History) presented at Columbia University’s Transnational Counterrevolutions: Ideas and Practices of the Right in Latin America’s Cold War. Moulton discussed “Counter-Revolutionary Synergy: A Caribbean Basin Anti-Communist Network, 1947-1952.”

Dr. Emmerentie Oliphant (School of Social Work) presented at SFA’s International Poetry Reading. Oliphant’s reading was titled “Winternag” – a poem in Afrikaans.

Jodene Pappas (Ralph W. Steen Library) presented at the Library and Information Technology Association’s Forum. Pappas presented over “One Record at a Time: Student Success, Collection Visibility, and Linked Data in the Mid-sized University.”

Dr. Mark Sanders (Department of English) presented a reading at the Western Literature Association Conference in Missoula, Minnesota. Sanders read from an essay – “Drinking and Driving”.

Dr. Peter Simbi (School of Social Work) presented at the International Consortium for Social Development Symposium in Kampala, Uganda as well as the SFA School of Social Work’s Mission Possible XVIII. For the ICSD, Simbi discussed “Challenges and Opportunities for delivering Services to People with HIV-AIDS in Rural”. At SFA’s Mission Possible XVIII, he presented “Administrative Justice: Fairness in the Distribution of Services and Use of Discretion in Human Services”.

Dr. Louise Stoehr (Department of Language, Cultures, and Communication) presented for the American Council on the Teaching of Foreign Languages. Stoehr’s presentation was titled “Oral Exam 2.0: Engaging Ways to Access Oral Communication”. Stoehr also published “Five Poems from Miss Suki, or America is not far by Utz Rachowski” in the publication titled “Transference.” The five short poems selected from Utz Rachowski’s (1954-) 2013 volume Miss Suki oder Amerika ist nicht weit! mark a shift in his poetic work.

Dr. Michael Tkacik (Department of Government) presented at the National Collegiate Honors Council over “Innovations and Transgressions in Honors Curricula” examining innovation in Honors curricula, including Honors study abroad, Honors in STEM, and resource constraints.

Tkacik also published “Understanding China’s Goals and Strategy in the South China Sea: Bringing Context to a Revisionist Systemic Challenge – Intentions and Impact” in the publication titled “Defense & Security Analysis.” Tkacik also published his work “The Tragedy of the Resignation of Jim Mattis” in the Shreveport Times.

Dr. Kenneth Untiedt (Department of English) preformed in the Nacogdoches’ Lamp-Lit Theatre’s production of “Yes, We Deliver”.

Dr. Jerry Williams (Department of Anthropology, Geography, and Sociology) published a poem titled “About the Future,” published by Friends of William Stafford.

Dr. Seth Bradshaw (Department of Mass Communication) published “Trust, Ideology, and Efficacy: Exploring Predictors of Political Expression on Social Networking Sites” in the Electronic Journal of Communication.

Dr. Paulo Dutra (Department of Languages, Cultures, and Communication) published ““Noite de Almirante”: Interracial love in Machado de Assis's nineteenth century” in the publication titled “Aletria.” The publication addresses the racial identification of Machado de Assis and his reception.

Dr. Charles Gregory (Department of Government) published “Committee Members Under the Spotlight: An Empirical Analysis of Why Senators Actively Participate in the Confirmation Hearings” in the Journal of Political Science. The article investigates why and how senators participate in the hearings to advance their political goals.

Dr. Michael Martin (Department of English) published “Sharing the Road with Burton Holmes and Dr. Jones: Mapping F. Scott Fitzgerald’s “The Cruise of the Rolling Junk” and the American Road Narrative” in The F. Scott Fitzgerald Review.

Dr. Joyce Johnston (Multidisciplinary Studies) published the edited book titled “Rethinking the French Classroom” with Routledge Press.

College of Science & Mathematics

Dr. Kimberly M. Childs, Dean

Dr. Jeremy Becnel (Department of Mathematics and Statistics) presented at MAA’s Texas Undergraduate Mathematics Conference in Nacogdoches. Becnel’s presentation was titled “Graphing Three-Dimensional Surfaces in Virtual Reality via Marching Cubes”.

Dr. Sara Bishop (School of Nursing) presented at SFA’s DeWitt SON Faculty Development Program as well as Sigma Theta Tau’s International Faculty Development Luncheon. Both presentations were over “NCSBN NCLEX Exam Update.” For SFA, Bishop discussed the Next Generation NCLEX, theory behind, types of possible questions, and status as of now. For Sigma Theta Tau, Bishop presented NCLEX conference updates.

Dr. Della Connor (School of Nursing) was appointed to the National Kidney Foundation’s Scientific Advisory Board.

Dr. Brown (Department of Geology) presented at the Annual Meeting of the American Geophysical Union. Brown's presentation was titled "2.5D Inductively-Coupled Resistivity Assessment of Karst Geohazards Along Ranch to Market 652, Culberson County, Texas".

Dr. Kefa Onchoke (Department of Chemistry and Biochemistry) presented at the 74th Annual SWRM Conference for the American Chemical Society. Onchoke presented over "Spectroscopic and electrochemical studies of benz(a)anthracene, dibenz(a,h)anthracene, and pyrene". Onchoke published "Electrochemical Characteristics of Benzanthrone Studied via Cyclic Voltammetry: Charge Transfer Redox Processes" in Analytical Chemistry Letters, published by Taylor & Francis and Har Krishnan Bhalla & Sons.

Dr. Matthew Beauregard (Department of Mathematics & Statistics) published "A variable nonlinear splitting algorithm for reaction diffusion systems with self- and cross- diffusion" in the publication titled "Numerical Methods for Partial Differential Equations." Beauregard also published "Numerical approximations to a fractional Kawarada quenching problem" in the publication titled "Applied Mathematics and Computation."

Drs. Kevin Stafford and Wesley Brown (Department of Geology) published "Unconfined hypogene evaporite karst: west Texas and southeastern New Mexico, USA" in the International Journal of Speleology.

Drs. Michele Harris and Matibur Zamadar (Department of Chemistry and Biochemistry) published "Effect of Toxic Metal Ions on Photosensitized Singlet Oxygen Generation for Photodegradation of Polyaromatic Hydrocarbon Derivatives and Photoinactivation of Escherichia coli" in the publication titled "Photochemistry and Photobiology."

Dr. Odutayo Odunuga (Department of Chemistry and Biochemistry) published "Size of protein is a major factor that affects retention on preparative IMAC columns" in The Protein Journal.

Drs. Matthew Kwiatkowski and Stephen Mullin (Department of Biology) published "Herpetology at Stephen F. Austin State University" in the publication titled "Herpetological Review."

Dr. Alexandra Van Kley (Department of Biology) published "Potential distribution of persian gazelle (*gazella subgutturosa subgutturosa*) in Bamoo National park, Shiraz, Iran: a presence-only model approach" and "The role of haloxylon plantations in improving carbon sequestration potential of sand dunes of Iran" in the publication titled "Applied Ecology and Environmental Research."

Dr. Thomas Judson (Department of Mathematics & Statistics) published "UTMOST Sage Cell Repository" in the Online Repository of Sage Cells. A repository of commonly used Sage cells to assist learners and allow authors to work more efficiently to incorporate Sage and R into their documents.

Dr. Keith Hubbard (Department of Mathematics & Statistics) published "We're like a family" in the Sawdust Magazine.

Dr. Norman Markworth (Department of Physics, Engineering and Astronomy) published an online textbook for introductory astronomy titled “Classical and Modern Astronomy.”

Report from the Student Government Association

January 29, 2019

Jeffrey Agouna Deciat

- Fall Recap/Accomplishments
- Goals for Spring 2019
- SGA Spring Elections
- Legacy of Dr. Pattillo