REPORT TO THE BOARD OF REGENTS

April 17 and 18, 2020
Meeting 335

STEPHEN F. AUSTIN STATE UNIVERSITY
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**BOARD OF REGENTS MEETING 335**

**Friday, April 17, 2020**

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AGENDA
SFA Board of Regents

Date April 17-18, 2020

Board members

Brigette Henderson, Chair | Alton Frailey, Vice Chair |
David Alders | Scott Coleman | Karen Gantt | Tom Mason | Judy Olson | Jenn Winston | Zoé Smiley

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<td>FRIDAY, April 17, 2020</td>
<td>Call to Order in Open Session</td>
<td>B. Henderson</td>
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<tr>
<td>2:00 p.m.</td>
<td>Welcome and Roll Call</td>
<td>B. Henderson</td>
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<td>University COVID-19 Update</td>
<td>S. Gordon</td>
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<td>BREAK</td>
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<td>3:00 p.m.</td>
<td>RECESS TO EXECUTIVE SESSION</td>
<td>B. Henderson</td>
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<td>Deliberations Regarding the Deployment, or Specific Occasions for Implementation, of Security Personnel or Devices (Texas Government Code, Section 551.076)</td>
<td>A. Espinoza</td>
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<td>D. Derrick</td>
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<td>D. Derrick</td>
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<tr>
<td>6:00 p.m.</td>
<td>Return to Open Session</td>
<td>B. Henderson</td>
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<td>Recess Board of Regents Meeting to Saturday, April 18, at 9:00 a.m.</td>
<td>B. Henderson</td>
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SATURDAY, April 18, 2020

9:00 a.m. Call to Order in Open Session B. Henderson

Welcome and Roll Call B. Henderson

Prayer Regent

Legislative Appropriations Request Review S. Gordon

- Agricultural Complex
- Life Sciences
- Center for Applied Research and Rural Innovation

BREAK

10:00 a.m. BUILDING AND GROUNDS COMMITTEE

Call to Order D. Alders

Report: Construction Report D. Gallant

Agenda Item 13: Approval of Building and Grounds Policy Revisions D. Derrick

- Firearms, Explosives and Ammunition 13.9
- Training and Certification of University Vehicle Operators 13.23
- Vehicle Repair and Maintenance 16.34

Adjourn Building and Grounds Committee D. Alders

10:30 a.m. FINANCE AND AUDIT COMMITTEE

Call to Order T. Mason

Agenda Item 14: Acknowledge Receipt of Audit Services Report G. Oglesbee

- Secondary Education and Education Leadership Departmental Audit
- University Police Department Departmental Audit
- Human Resources Departmental Audit
- Benefits Proportional by Fund Audit
- Follow-up Audit
- Risk Assessment
- Update on Audit Plan
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<td>Report: Contract Monitoring</td>
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<td>Adjourn Finance and Audit Committee</td>
<td>T. Mason</td>
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<td>12:00 p.m.</td>
<td>BREAK for Lunch</td>
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<td>1:00 p.m.</td>
<td>RECONVENE AS MEETING OF THE ACADEMIC AND STUDENT AFFAIRS COMMITTEE</td>
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<td>Call to Order</td>
<td>K. Gantt</td>
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Adjourn Academic and Student Affairs Committee

K. Gantt

BREAK

2:00 p.m. Reconvene as Committee of the Whole

B. Henderson

Installation of Chair-Elect Alton Frailey

B. Henderson

Action Item 1: Approval of Minutes from Meeting 333, January 26-28, 2020 and Special Called Meeting 334, March 20, 2020

A. Frailey

Action Item 2: Approval of Board Rules Amendment

A. Frailey

PERSONNEL

Action Item 3: Approval of Staff Appointments

S. Bullard

Action Item 4: Approval of Faculty Appointments

S. Bullard

Action Item 5: Approval of Changes of Status

S. Bullard
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<td><strong>REPORT FROM ACADEMIC AND STUDENT AFFAIRS COMMITTEE</strong></td>
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- Vehicle Repair and Maintenance 16.34

REPORT FROM FINANCE AND AUDIT COMMITTEE  T. Mason

Action Item 14: Acknowledge Receipt of Audit Services Report

- Secondary Education and Education Leadership Departmental Audit
- University Police Department Departmental Audit
- Human Resources Departmental Audit
- Benefits Proportional by Fund Audit
- Follow-up Audit
- Risk Assessment
- Update on Audit Plan

Action Item 15: Approval of Employee Tuition Assistance Program

Action Item 16: Approval of Summer 2020 Budget

Action Item 17: Approval of Grant Awards

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- Best Value Procurement 17.1
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- Proprietary Purchases 17.15
- Purchase of Demonstrator or Used Equipment  
  17.18
- Returned Payments 3.27

REPORTS

President  
S. Gordon
- COVID-19
  o Suspended and Modified Policies
  o University Teamwork, Communication, Unity and Unsung Heroes and Heroines
  o Community Partnerships
  o Post-COVID-19: The New and Unknown Landscape of Higher Education
- Initiative Progress
  o Internal
  o External

Faculty Senate  
J. Stovall
- Faculty Response to COVID-19
  o Increase in non-tenure-track representation on faculty senate

Student Government Association – Pre-recorded Video  
S. Lopez

Appointment of Board Committees for 2020-21  
A. Frailey

4:30 p.m.  
Adjourn Meeting of the Board of Regents  
A. Frailey
Stephen F. Austin State University
Board of Regents
Meeting 335
April 17-18, 2020
Stephen F. Austin State University
Board of Regents
Videoconference Meeting via Zoom
April 17-18, 2020

ROLL CALL

Regents:
Brigettee Henderson, Chair
Alton Frailey, Vice Chair and Secretary
David Alders
Scott Coleman
Karen Gantt
Tom Mason
Jenn Winston
Zoe Smiley
Judy Olson

Administrators
Scott Gordon
Damon Derrick
Gina Oglesbee
Steve Bullard
Danny Gallant
Steve Westbrook
Jill Still
Ryan Ivey
Erma Brecht
Anthony Espionza
Update on COVID-19 Response
January 28  Initial communication regarding the virus was issued to all students by e-mail notifying them of the outbreak of a new novel coronavirus, listing symptoms to watch for providing contact information for the Student Health Clinic.

February 6  SFA Public Health Committee convened to review and begin implementation of the SFA Pandemic Response Plan.

February 10  Campus-wide communication regarding the virus was distributed by e-mail. Downloadable Coronavirus Prevention fliers were included for posting.

The “Coronavirus Prevention” website was launched to keep the campus community informed and provide links to relevant sources of official information.
Student Health Services

- Increased disease surveillance according to CDC and State Health Directives.
- Inventory of Personal Protective Equipment (PPE) (i.e., gloves, masks, etc.) and ordering any additional equipment.
- Verify appropriate standing orders established.
- Four isolation rooms established and equipped with PPE in the Student Health Clinic.
- Modified traffic flow established in the Health Clinic as prescribed.
- Current information on the virus made available to University Marketing Communications to disseminate informative and preventive information to the University Community.
- Work with appropriate University personnel to prepare for possible isolation and quarantine of students if needed.
- Appropriate training for appropriate University Personnel (i.e., UPD, Residence Life, Facility Services, etc.) regarding the target disease has been made available.
- Director of Student Health Services serves as the institutional liaison between the Federal, State and Local Health Departments and the Incident Response Team.
University Police Department:
• Personnel receive updated information on virus.
• Appropriate Personal Protective Equipment obtained and each patrol vehicle equipped.
• Develop transportation plan related to students displaying virus-like symptoms.

Facilities Management/Housing Operations:
• Coordination with Residence Life and Environmental Health, Safety and Risk Management to identify needed ventilation systems for identified isolation/quarantine areas.
• Appropriate Personal Protective Equipment obtained and conduct training in its use.

Environmental Health, Safety and Risk Management:
• Appropriate Personal Protective Equipment obtained and conduct training in its use.
• Preparation made for additional hazardous material cleanup.
University Marketing Communications:
• Work with Incident Response Team to draft internal and external communications for all target populations (students, faculty/staff, parents, etc.).
• Prepared to assist with the production of signage as needed for isolation and/or quarantine.
• Develop, maintain and updated special website(s) as needed.

Student Affairs:
• Stand-up response plans in:
  • Student Counseling Center
  • Disability Services
• Prepare to stand-up Call Center to communicate with students and parents regarding questions and concerns.
President’s Office:
• Preparing, based on recommendations from State and/or Federal agencies, to modify:
  • Athletic events
  • Exchange programs
  • University related travel
  • Class schedules, etc.
• Notify BOR of any changes in normal operation – modified or restricted
• Communicate regularly with the BOR about campus operations during modified or restricted operations
• Notify SACSCOC of *Emergency Temporary Relocation of Instruction*
• Notify BOR about planned resumption of normal operation
Residence Life:
• Enact planning for potential isolation and quarantine of residential students who show signs of related illness. Student Health Services and the Environmental Health, Safety and Risk Management department will train essential personnel on risks and response.

SFA Dining (Director of Auxiliary Services):
• Ensure emergency response menu is planned for various degrees of need.
• Stock additional food and water as needed.
• Ensure food delivery process is planned and delivery supplies are on hand.
March 2  As spread of the virus increased, the original 7-member Coronavirus Response Team was expanded to a 22 member COVID-19 Incident Response Team to not only implement the Pandemic Response Plan, but also examine continuity of operations.

March 4  The COVID-19 Incident Response Team met to review current CDC guidance and review the university’s readiness for “alternate operations” should such be needed.

March 5  Campus-wide communication was issued as Spring Break approached. This message clarified that anyone traveling to an area classified by the CDC as high risk will be expected to self-isolate for a minimum of 14 days before returning to campus. A link to an on-line form to notify the university of such a self-isolation was included.
March 6  The COVID-19 Incident Response Team conducted an exercise to test our capacity to communicate and work remotely and to further frame issues related to “alternate operations” that would need to be addressed.

Two scenarios were tested.

**Scenario 1** reviewed operations should students and/or employees refuse to return to work or class after spring break due to confirmed cases in the area.

**Scenario 2** regarded a shift to on-line operations after a case was suspected or confirmed on campus.

Post-exercise the team members were to evaluate the preparedness gaps in each of their areas and prepare to debrief on those at a meeting scheduled for March 20, the Friday after spring break.
March 11  Rapidly evolving actions and reactions across the country necessitated the need for an emergency meeting of the president's cabinet.

Operational frameworks for both "modified operations" and "restricted operations" were reviewed.

March 12  Decision to move to "restricted" operations was finalized. Campus was notified by e-mail and through “Jack Alert” of this decision at 2:56 p.m.

Basic details included:
• Spring break extended by two days through March 17
• Classes resume on-line or in another distance-education format on March 18.
• Cancellation of all meeting and events for the remainder of the semester.
• Face-to-face classes to resume on April 6.
March 13  The residence halls opened to assist students with no alternative living arrangements.

March 14  Residential students were notified that those who chose not to return would receive prorated credits for their unused housing and dining during the March 15 - April 4 period.

Approximately 400 of the 3,616 spring residents returned.

March 17  Based on new social gathering limits from the CDC the Recreation Center suspended operations.
March 19 Monitoring of CDC guidance, information from the Texas Department of Health Services, and evaluation of the "climate" informed a decision to:

- Extend on-line and distance classes through the end of the semester.
- Postpone May commencement.
- Close residence halls for the remainder of the semester. Students currently in residence asked to vacate their halls no later than March 29. Process for move-out of all other residents to be distributed on March 25. Requests may be made for emergency housing.
- Provide refunds/credits for unused portions of housing, dining, rec sports fee, student center fee, and parking permit fees.
- Cancellation of all meeting and events for the remainder of the semester.

The campus community was notified at 3:51 p.m.
March 20 Residence Life develops emergency housing request process to review requests by residents to remain on campus.

Prepared isolation rooms are retained in case needed.

In the end, 41 students were granted emergency housing authorization. These students were ensured private rooms with private bathroom.

Aramark developed pick-up meal options for these students 3 times a day.

March 21 The Student Center remains open 9-5 daily for access to the Post Office, ID card production for employees who did not have cards needed to access locked buildings, and for the call center to remain operational.
March 25  Residence Life developed an April 4 – May 9 move-out plan that would enable allow for social-distancing. Residents were notified by e-mail and on the website.

March 29  The City of Nacogdoches and Nacogdoches County issue "stay-at-home" orders.

March 31  Governor Abbott issues a new Executive Order, part of which requires citizens to limit contact with people who are not members of the same household.

As of noon on this date 2,056 students had scheduled a time to move-out

April 2  To support efforts to reduce the spread of the virus, particularly over the term of the governor's order, the decision was made to postpone planned move-out to a set of dates TBD. Residential students were notified by e-mail, on the website, and by social media. Residence Life staff also began phone calls to impacted students.
April 4  VPUA and SFA Health Services develop protocol to notify campus community when first confirmed C19 case of a student or employee is received. Protocol is also developed to communicate with those impacted by the case and provide Quarantine information.

Emergency notification message was drafted to issue in compliance with the Clery act. Law requires the campus community be notified when a threat, including a threat of disease, has impacted the campus.

Our Director of Health Services, Dr. Janice Ledet, maintains constant communication with epidemiologists with the Texas Department of Health Services and the County Health Department to ensure most current guidance on how to manage our protocols should they be implemented.
What Now?

• Move to a “Modified Operations” status

• Daily call with the Texas Department of Health Services

• Review all guidance revisions from the CDC and TDHS

• Continue to strengthen plans for migrating to a “Restricted Operations” status

• Constant communication to the campus community
March 12  Decision to move to "restricted" operations was finalized. Campus was notified by e-mail and through “Jack Alert” of this decision at 2:56 p.m.

Basic details included:

- Spring break extended by two days through March 17
- Classes resume on-line or in another distance-education format on March 18
- Cancellation of all meetings and events for the remainder of the semester
- Face-to-face classes to resume on April 6
March 13-18  **Intensive Actions to Support Course Transitions**
- Keep Teaching website
- Webinars, including D2L Brightspace Content, Grading, Quizzes, Dropboxes, and Discussions
- Virtual and Walk-in Labs
- Phone and Email Support
- Pop-up Recording Studios
- CTL website, Facebook page, Twitter updates
- ITS Help Desk Collaboration
March 20  Dr. Gordon Provided Temporary Authority to Suspend Policy
March 25  Guidelines for Faculty for the Spring 2020 Semester
  • Service and Research Expectations: should be limited to essential activities only
  • Tenure and Post-Tenure Review: opportunity to extend the time period
  • Plans for Assisted Development: opportunity to extend the time period
  • Distance Education Stipends: course delivery and course development
  • Student Evaluation of Instruction: to be considered only within the context of the sudden conversion to distance education
  • Telecommuting
Academic Affairs

Jan. 28 – March 1

March 2 – March 6

March 7 – March 18

March 19 -

March 20  Dr. Gordon Provided Temporary Authority to Suspend Policy

March 25  Guidelines for Faculty for the Spring 2020 Semester

March 27  Zoom "Town Hall" Meeting with Faculty (to discuss Guidelines)

Facility Senate Resolution on Recommendations for Temporary Changes to Educational Policies for Spring 2020 in Response to the Coronavirus Pandemic

Proctorio "goes live"

Continuing Basis ...

Student Support, Student Registration, Advising, AARC
February 4-5  Physical Plant Department Custodial Leadership attended GBAC (Global Bio-Risk Advisory Council) COVID-19 Seminar as a proactive measure of preparedness.

PowerPoint summary of seminar and key takeaways was prepared by attendees and distributed on February 7, 2020.

Entire Physical Plant Custodial team was trained and given a refresher course on how to combat the coronavirus.

February 24

Physical Plant Custodians began intentional, enhanced cleaning and sanitizing of assigned buildings and high touchpoint areas as per trainings and guidelines.

Physical Plant Central Stores Warehouse began a buildup of custodial, sanitation, disinfectant, and Personal Protective Equipment (PPE) supplies and inventory.

Physical Plant Custodial shop also began to source, accumulate, and stock reserve supplies of critical supplies and inventory.
March 4  Finance and administration participated in the first SFA COVID-19 Zoom meeting to test SFA technology and capabilities.

EHS&MR, PPD, and Residence Life began discussions on access to personal protective equipment and the need for additional pandemic safety training.

Finance and administration participated in SFA COVID-19 drill

March 6  Physical Plant Assistant Director attended COVID-19 tabletop exercise with key SFA leadership.

March 12  Physical Plant Director and Assistant Director attend meeting led by Vice President of Student Affairs discussing COVID-19 preparedness.
Finance and Administration

March 14  Following email communications on March 13th, the Interim Director of Human Resources, General Counsel, Executive Director of Marketing and Communication, and VPFA began work on a human resources (HR) component of the SFA COVID-19 web site.

March 15  The HR component of the SFA COVID-19 website was launched Sunday evening on March 15th.

The initial March 15th posting included basic HR information such as reporting for work, telecommuting and benefits.

The finance and administration division issued a memo to all campus employees that provided information about the SFA COVID-19 website and in addition, provided information about reporting for work on Monday, March 16th.
March 15 continued

EHS&RM verified worker’s compensation and study abroad insurance coverage related to COVID-19. It was also determined there is no business interruption insurance for pandemics included in the State of Texas Property or Director’s and Officer’s insurance programs. SFA will have to rely on the State of Texas or Federal emergency funds to assist with expenditures.

EHS&RM developed SFA worker safety COVID-19 protocols should a worker be exposed to COVID-19.

COVID-19 expenditure account was developed and shared with the campus.

March 16

The VPFA Directors continued discussions from the prior week about tracking COVID-19 related costs in anticipation of reporting and reimbursement. New Banner Funds were created for Designated and Auxiliary funds in order to track costs.
Finance and Administration

March 17  The president held a video-taped “Presidential Chat” and included vice presidents Bullard, Gallant and Westbrook. The president and vice presidents discussed the SFA COVID-19 impact and the campus efforts in response to the pandemic.

VPFA team comprised of the Vice President, Budget Office, Controller’s Office and Human Resources discussed telecommuting time-keeping.

Budget Office and Controller’s Office began working on COVID-19 Expenditure Tracking Template. The team also reached out to colleagues from other Texas public institutions.

March 18  The Budget Office and Controller’s Office engaged ITS to create COVID-19 Time Tracking Form in Banner.

The VPFA empaneled a team to determine how student refunds would be processed and handled.
March 18 continued

Team members included representatives from the budget office, business office, finance, financial aid, human resources, information technology services (ITS), and institutional research.

Participants examined the various logistical issues that impact a student refund process.

Considerations include federal financial aid restrictions, scholarships, administrative logistics, and communication.

From information gleaned at the meeting and subsequent inter-departmental discussions, ITS began developing program development of a student refund process.

Human Resources, Payroll and IT began developing a plan to implement the Families First Coronavirus Response Act (FFCRA). Determination of methodology for tracking and paying employees in accordance with the Act was begun. Pay and leave codes were determined to be set up in Banner and TimeClock Plus to all for time and leave reporting related to the FFCRA.
March 18 continued

Finance and administration division held internal discussion on telecommuting.

PPD, EHSRM and Residence Life developed proper cleaning procedures for facilities and vehicles related to COVID-19.

March 19  A team from the Budget Office, Controller’s Office, and Human Resources continued working on Employee Leave Reporting.

The Legislative Budget Board (LBB) distributed a COVID-19 Survey requesting information regarding the fiscal impact of the COVID-19 virus to agencies. The survey will be due April 9th and then updated on the 5th of subsequent months.

March 20  The finance and administration division issued a campus memo to student employees that provided guidance on working on campus during the COVID-19 response period.
March 20 continued

A team from the Budget Office, Controller’s Office, and Human Resources finalized the COVID-19 Time Tracking Form with ITS.

The finance and administration division met via Zoom to discuss employee relations.

March 21

Physical Plant Director met with Dr. Gordon and other SFA personnel and representatives from local hospitals to begin planning for a COVID-19 testing site at the SFASU DeWitt Nursing Complex.

March 23

The Vice President for Finance & Administration, Budget Office, and Controller’s Office worked with Charlotte Sullivan to review and approve proposed changes to the Legislative Budget Board (LBB) COVID-19 Survey. The changes were proposed by the University System and Independent Universities.
March 25  The finance and administration division and general counsel developed an information document that included information about telecommuting and use of SFA property. The Interim Director of Human Resources issued the information to campus employees.

The Legislative Budget Board (LBB) sent agencies a revised COVID-19 survey with an April 9, 2020 response requirement.

A Director’s Forum was hosted to allow staff members to discuss SFA’s COVID-19 response, ask questions, and share information. This forum will continue each week until the need subsides.

March 26  The president held a meeting with Drs. Westbrook and Gallant to discuss student refunds and communication to students. The group decided to notify students on March 29th that refunds would be issued to students during the week of April 6th.
March 26 continued
The VPFA issued a campus memo that provided information about COVID-19 expenditure tracking that would be used for reporting to the Legislative Budget Board (LBB) and other oversight agencies.

March 29  City of Nacogdoches issues a stay at home order that took effect at noon on March 30th.

March 30  The VPFA issued a campus memo that requested employees to record all personnel time related to the COVID-19 response. Detailed instructions were provided as an attachment and the Payroll Department was established as the point of contact.
March 31  The VPFA issued a campus memo that provided information about the federal Families First Coronavirus Response Act (FFCRA), how it affected the SFA community, and provided instructions on how to report leave time as it related to the FFCRA and Nacogdoches County stay-at-home order.

April 1  Human Resources and Payroll began implementation of a process to determine the paid leave to be awarded under FFCRA to part-time employees, including student workers. FFCRA applies to all employees of the university that have been employed for 30 days or more.

April 2  VPFA team participated in an Education Advisory Board (EAB) webinar on Understanding the Federal Relief Package’s Impact on Higher Education.
### Revenue Loss

<table>
<thead>
<tr>
<th>Description</th>
<th>Actual</th>
<th>Projected</th>
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<tbody>
<tr>
<td><strong>Spring Semester Refunds</strong></td>
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<td>Parking Fee</td>
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<td>NCAA Projected Loss</td>
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<td>Spring Ticket Revenue Loss</td>
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<td>Study Abroad Application Fee</td>
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<td>Spring Events</td>
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<td>Camps and Other Summer Events</td>
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Stephen F. Austin State University  
Fiscal 2020 COVID-19 Financial Impact Report  
April 18, 2020

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<tr>
<th>COVID-19 Expenditures</th>
<th>Actual</th>
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<td><strong>Salaries and Wages</strong></td>
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<tr>
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<td>Travel</td>
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<td><strong>Total COVID-19 Expenditures</strong></td>
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<td>$11,926,575.97</td>
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SFASU TIMEKEEPING GUIDELINES
COVID-19/CORONAVIRUS

Are you working, either from campus or telecommuting?
- NO
  - Enter your work time as usual
  - Are you on scheduled leave or using sick time?
    - NO
      - Enter your leave time as usual
    - YES
      - Enter your work time as usual

Is the reason you are unable to perform your regular duties from campus or telecommuting for reasons other than childcare?
- NO
  - Enter Appropriate Leave
- YES
  - Have you exhausted the 10 hours of FFERS Emergency Paid Sick Leave?
    - NO
      - Enter Emergency Sick Leave Code
    - YES
      - Enter Emergency Leave

If the day in question on or after April 1, 2020?
- NO
  - Enter Appropriate Leave
- YES
  - Enter Emergency Sick Leave Code

Is the reason you are unable to perform your regular duties on campus or telecommuting due to lapses in childcare?
- NO
  - Work with your supervisor to explore flexible work options and/or Enter Emergency FMLA
- YES
  - If your questions are still unanswered, please contact the Human Resources Department.

*Appropriate Leave
- Sick Leave: Taken where sickness, injury, or pregnancy and confinement prevent an employee’s performance of duty, or when a member of their immediate family is actually ill.
- Vacation Leave/Comp Time/ Administrative Leave: Available for use, but must be authorized in advance.

**Emergency Sick Leave Code
- ESR (92200): Subject to quarantine pursuant to Federal, State, or local government.
- ESQ (92300): Quarantined at the advice of a health care provider.
- ELD (92500): Have a bona fide need to care for an individual subject to quarantine pursuant to Federal, State, or local government.
- ELS (92600): Must care for minor child (under 18 years of age) whose school or child care provider is unavailable due to COVID-19 reasons.
- ELF (92700): Experiencing a substantially similar condition as specified by the Secretary of Health and Human Services.

***Emergency FMLA Code
- 10 additional ten weeks of leave at ban бе the employee’s regular rate of pay.
- EFML (92100): Unable to work due to a bona fide need for leave to care for a child whose school or child care provider is closed or unavailable for reasons related to COVID-19.
Employee Rights

Paid Sick Leave and Expanded Family and Medical Leave
Under the Families First Coronavirus Response Act

The Families First Coronavirus Response Act (FFCRA or Act) requires certain employers to provide their employees with paid sick leave and expanded family and medical leave for specified reasons related to COVID-19. These provisions will apply from April 1, 2020 through December 31, 2020.

**Paid Leave Entitlements**

Generally, employers covered under the Act must provide employees:

- Up to two weeks (80 hours, or a part-time employee’s two-week equivalent) of paid sick leave based on the higher of their regular rate of pay, or the applicable state or Federal minimum wage, paid at:
  - 100% for qualifying reasons #1-3 below, up to $511 daily and $5,110 total;
  - ½ for qualifying reasons #4 and 6 below, up to $200 daily and $2,000 total; and
  - Up to 12 weeks of paid sick leave and expanded family and medical leave paid at ½ for qualifying reason #5 below for up to $200 daily and $12,000 total.

A part-time employee is eligible for leave for the number of hours that the employee is normally scheduled to work over that period.

**Eligible Employees**

In general, employees of private sector employers with fewer than 500 employees, and certain public sector employers, are eligible for up to two weeks of fully or partially paid sick leave for COVID-19 related reasons (see below). Employees who have been employed for at least 30 days prior to their leave request may be eligible for up to an additional 10 weeks of partially paid expanded family and medical leave for reason #5 below.

**Qualifying Reasons for Leave Related to COVID-19**

An employee is entitled to take leave related to COVID-19 if the employee is unable to work, including unable to telework, because the employee:

1. is subject to a Federal, State, or local quarantine or isolation order related to COVID-19;
2. has been advised by a healthcare provider to self-quarantine related to COVID-19;
3. is experiencing COVID-19 symptoms and is seeking a medical diagnosis;
4. is caring for an individual subject to an order described in (1) or self-quarantine as described in (2);
5. is caring for his or her child whose school or place of care is closed (or child care provider is unavailable) due to COVID-19 related reasons, or
6. is experiencing any other substantially similar condition specified by the U.S. Department of Health and Human Services.

**Enforcement**

The U.S. Department of Labor’s Wage and Hour Division (WHD) has the authority to investigate and enforce compliance with the FFCRA. Employers may not discharge, discipline, or otherwise discriminate against any employee who lawfully takes paid sick leave or expanded family and medical leave under the FFCRA, files a complaint, or institutes a proceeding under or related to this Act. Employers in violation of the provisions of the FFCRA will be subject to penalties and enforcement by WHD.

For additional information or to file a complaint:

1-866-487-9243
TTY: 1-877-889-5627
dol.gov/agencies/whd
University Marketing Communications
• Created COVID-19 website to serve as the central, official information source and performed frequent updates;
• Posted content for SFA's social media pages, including Facebook, Twitter and Instagram; and
• Closely monitored social media accounts and responded to students, parents and other stakeholders in a timely manner with COVID-19-related updates.

Development
• Communicated with major donors;
• Provided positive messaging about SFA, campus, etc.;
• Conducted high levels of prospect research; and
• Participated in numerous webinars to learn best practices.

Alumni Relations
• Canceled all scheduled events;
• Created and produced virtual events for students including Ring Dip, Senior Sendoff, etc.;
• Created, delivered positive messaging within social media channels; and
• Maintained regular communications with Alumni Association board members, volunteers.
Information Technology Services

Application Development Team

- Created a new mySFA portlet for COVID-19 with links.
- Created a process to change all summer courses in Banner from face to face to online courses in under 2 days.
- Created a process to refund a percentage of recreation center and student center fees.
- Created a process to refund a percentage of meal plans.
- Created a process to refund a percentage of student parking permits.
- Modified change tuition calculator to remove recreation center and student center fees for summer terms.
- Created a new housing signup form for students to sign up for a move out time.
Application Development Team (continued)

- Created a new drop/withdraw form for students.
- Created a form for tracking of faculty and staff absences or illness related to COVID19.
- Created a process to waive the 6-drop rule so students are not penalized for dropping at this time.
- Modified course schedule to account for all summer courses being moved to online delivery.
- Modified Banner hold program to not set registration holds for balances in the Spring.
- Updated mySFA with new links to Zoom, D2L, Housing form, drop/withdraw form.
Information Technology Services

Infrastructure Teams

• Collaborated with the Center for Teaching and Learning (CTL) to assist with course delivery via Zoom.
• Developed new training material and videos for Zoom, VPN and telecommuting.
• Installed wireless in the UC Parking Garage Floors 2,3 & 4 for individuals to telecommute/remote work from a vehicle, while adhering to CDC social distancing recommendations, if they have no internet at home. (180 spaces).
• Installed outdoor wireless access in ECRC (Charter School) parking lot. (100 parking spaces).
• Installed outdoor wireless access in Mays, North, South Halls parking area. (100 parking spaces).
• Worked with University Marketing department to create a map of all outdoor wireless spaces for students, faculty and staff to leverage if needed.
Information Technology Services

Infrastructure Teams (continued)

- Increased resources for mySFA, email, and Single Sign On environment.
- Increased availability of the virtual desktop environment to support academic programs.
- Worked with several IT vendors to secure additional licenses for services in case additional capacity is needed.
- Worked with Counseling Services to provide secure Zoom services and access to their restricted access software to allow Counseling Services to continue to serve the SFA community.
- Telecommuting Phone Support – Deploy needed software-based telephone options to support remote workers. Created numerous support articles and videos on how to use both telephone software packages that support normal soft phone functionality as well as call center tree functionality.
Information Technology Services

Infrastructure Teams (continued)

- Covid-19 Nursing Testing Site – Collaborated with Nacogdoches Medical Center and Nacogdoches Memorial Hospital to establish a call center and testing site for COVID-19. SFA created a twelve-phone call bank for the call center as well as provide fax and wireless network access for multiple organizations.

Project Management Office

- Escalated launch of Slate (CRM) to communicate with prospects.
- Provide trainings to faculty and staff for Zoom, Microsoft Teams and Forms.
- Collaborate with Academic Affairs concerning ideas to assist with Advising and Orientation.
- Escalated deployment of proctoring software in collaboration with CTL.
Information Technology Services

Help Desk

- Launched a virtual Help Desk to support remote students, faculty, and staff.
- Acquire (much easier said than done) and configure the additional laptops for telecommuting needs.
- Deployed a tool to allow individuals the ability to install programs as an administrator temporarily. Settings are locked revert the admin privilege after a few minutes, and it logs all actions taken while privileges are elevated.
Information Technology Services

Security Team

- Moved up the timeline for students to enroll in Duo (Two-factor authentication). Self-enrollment for students began at 5:00 PM on 3/31/2020. We are tentatively looking at a go-live and registration of all student on 5/31/2020.
- Added additional Host Intrusion Prevention (HIP) checks to all clients connecting to the VPN.
- Created a new VPN Gateway for students to support access to academic resources for students.
- Reconfigured the VPN to allow for more concurrent connections.
- Extended due dates for security trainings through the end of April.
Office of Financial Aid:
• Transitioned financial aid awarding and financial aid counseling via a telecommuting format.
• Payment of Federal Work Study Students honored, regardless if student is able to work or not.
• Policy review for Satisfactory Academic Progress
• Policy review for return of Title IV fund changes based on CARES Act.
• Outreach with Smith-Hutson scholarship donor to request refund to students.

Office of the Registrar:
• Extended date to submit mid-term grades
• Extended date for dropped courses and withdrawals from March 18 to March 20 and then to April 30.
• Postponed May Commencement Ceremony to a virtual commencement and opportunity to participate in a future in-person ceremony.
• Developing a virtual commencement experience for May graduates
Enrollment Management

Office of the Registrar: (cont.)
- Modified procedures to provide email/fax in transcript request in place of in-person request/pick up.
- Transitions forms to fillable PDF files for Request to Drop form and Withdrawal form allowing student access via a distance.
- Exempt dropped courses from the 6th drop rule.
- Website updates removing "come to office" language with online instructions.

Office of Admissions
- Process change to accept and utilize unofficial transcripts to evaluate applications.
- Cancelled March 28 Showcase Saturday
- Cancelled school group visits
- Maintained individual campus visits utilizing social distancing till March 20th
- Utilizing CRM – Slate for communications (limited fashion)
- Designed and implemented multiple virtual recruitment initiatives and activities.
Enrollment Management

Virtual Recruitment Initiatives

- Jack Chats – 63 chat topics during April hosted by admission counselors via Zoom
- 1:1 Admissions Counselor visits; and Group presentations via Zoom
- Virtual Office Hours to Chat live with admission counselor
- Website dedicated to SFA Campus tour/experience
- College Showcase – one virtual showcase for each college
- East Texas College Fair LIVE
Athletics

March 3  Received initial communication from Southland Conference regarding COVID 19 situation. The NCAA established the Coronavirus Advisory Panel to guide its response to the outbreak with many large national events scheduled to take place.

March 4  Athletics monthly departmental staff meeting. Discussed COVID 19, prevention guidelines from the CDC and pre-cautions:
  •  Strongly discouraged international travel at that time
  •  All S/A's and staff were required to report all personal international travel planned for the next 6 weeks

March 6-11  Began receiving regular updates from the NCAA and Southland Conference regarding guidance about upcoming championships (NCAA Indoor T/F, Southland Conference Basketball, and NCAA M/W Basketball)

March 11  Athletics executive team met to discuss procedures as to how to receive our student-athletes back to campus after Spring Break. Canceled Men's Golf trip to Washington state. Was decided to move forward with Southland basketball tournament with only 150 people per team allowed inside (athletes' family, etc.)
March 12  
7:30am: Southland Conference Athletics Directors' meeting in Katy, TX. Received update from conference office regarding status of tournament and began discussing alternative arrangements.

11:10 am: Southland Conference Tournament officially canceled.

1:16 pm: Southland Conference suspends all spring sports competition through March 30. This includes all conference and non-conference contests for the Southland’s spring sports. Practices are still up to each institution, including spring football. Conference and campus administrators will convene in the coming weeks to determine exact return-to-competition arrangements and other issues.

3:20 pm: NCAA cancels all winter and spring NCAA championships.

March 13  
Southland Athletics Directors teleconference to discuss next steps and want to do with remaining Spring sports schedule/championships.
March 13 continued
Athletic department executive team met and developed procedures for the following actions:

Screening of all student-athletes returning to campus after Spring Break

Virtual tutoring, study hall and preparedness assessment of all student-athletes as it pertained to online and distance learning

Assessed all student-athletes housing situations (international student-athletes and emergency situations)

NCAA announces in-person recruiting ban and freezes NLI and GIA issuances

March 14 Southland Conference canceled remaining spring sports competition and championships, superseding the suspension issued on March 12. Additionally, agreed to prohibit all team activities, organized or voluntary, through March 30.
Athletics

March 17  Announced refund policy for those ticket holders effected by cancelations. Options included:
- Refund on tickets purchased
- Apply as a credit to account for a future ticket purchase
- Move funds to PLF and receive gift credit

March 18  Implemented Teamworks to help streamline communication within the Athletics Department. Within two weeks, achieved the following:
- 2,095 messages sent
- 6,845 total Teamworks sessions
- 50 form completions
- 24 files shared

March 19  In light of news from the NCAA regarding a significant reduction in distribution revenue, Athletics implemented a spending freeze for non-essential items through the end of the fiscal year. Estimated reduction in NCAA distribution amount to Athletics in FY 20 is approximately $250k.

April 1  NCAA extends in-person recruiting ban to May 31. Lifts NLI and GIA restrictions on April 15
Examples of Impact

Financial
• Refunds (housing, meal plans, fees)
• Cancellations (meetings, camps, events)
• Athletic revenue (tickets, NCAA)

Credit Hours Generated (funding)
• Maymester ↓ 282 ch
• Summer I ↓ 883 ch
• Summer II ↓ 736 ch
• Fall ????

Recruitment/Enrollment
• Cancelled Showcase Saturdays
• No campus visits, tours, etc.
• Summer Enrollment
• Fall Enrollment

Faculty/Staff
• Time/energy to move online in short notice
• Increased workload; student demands of time, etc.
• Overtime
• Infrastructure investments

Estimated Financial Impact Through Summer 2020 = $
Key Communications From Office of the President

March 5  General COVID-19 Resources and Prevention Information
March 6  Note to campus about closely monitoring the situation
March 12 Campus Communication
    • Extending spring break
    • Resuming classes in online format
    • Utilizing 3/16 and 3/17 to prepare for online delivery
March 14 Campus Communication
    • Letter to all faculty and staff
March 16 Campus Communication
    • Suspension of international and non-essential domestic travel
March 19 Campus Communication
    • All on-campus programs, gatherings and events will be canceled, postponed or moved online to a virtual setting
    • Commencement Canceled
    • Spring and summer classes all online
March 27 Video Message to campus
March 30 Refund Message to students
Executive Session
Deliberations Regarding the Deployment, or Specific Occasions for Implementation, of Security Personnel or Devices (Texas Government Code, Section 551.076)
  • Report from chief information officer
    o Update on information security.
Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations (Texas Government Code, Section 551.073)
Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, NCAA Compliance, Jane SFA-CM Doe v. SFASU; Ann Wilder, Ph.D v. SFASU; USOR Site PRP Group v. Railroad Commission, et al.; and Pamela Clasquin v. SFASU (Texas Government Code, Section 551.071)
Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the director of athletics, vice presidents and the president (Texas Government Code, Section 551.074)
Stephen F. Austin State University
Board of Regents
Meeting 335
April 17-18, 2020
Stephen F. Austin State University
Board of Regents
Videoconference Meeting via Zoom
April 17-18, 2020

ROLL CALL

Regents:
Brigettee Henderson, Chair
Alton Frailey, Vice Chair and Secretary
David Alders
Scott Coleman
Karen Gantt
Tom Mason
Jenn Winston
Zoe Smiley
Judy Olson

Administrators
Scott Gordon
Damon Derrick
Gina Oglesbee
Steve Bullard
Danny Gallant
Steve Westbrook
Jill Still
Ryan Ivey
Erma Brecht
Anthony Espionza
NON-FORMULA SUPPORT REQUEST

Stephen F. Austin State University currently has inadequate facilities designed for the level of instruction demanded by 21st century students and their employers. This deficiency is most significant for careers and fields of study in Agriculture, Technology, and Interdisciplinary and Applied Sciences. Therefore, SFA is requesting capital funding that includes two related components — an Agriculture and Technology Complex located at the Walter C. Todd Agricultural Research Center located North of the main campus, and a new Interdisciplinary and Applied Sciences building located on the main campus. In these two facilities, the faculty and staff will align in multiple ways, with the off-campus facility focused on animal production and programs that require heavy equipment or materials. The on-campus building and operations will provide laboratory and greenhouse facilities as well as offices and classrooms for interdisciplinary programs.

SFA also proposes to expand its presence and impact in the region and Texas through the creation of the Center for Applied Research and Rural Innovation. The center will connect the talents and energy of the university and our communities to solve complex, real-world problems that are vital for igniting growth and economic development. With this mission, the center will serve as a ‘front door’ for businesses and many organizations to effectively interact with SFA’s students, faculty, and staff in high-impact research and activities that develop and deliver innovative solutions.
AGRICULTURE AND TECHNOLOGY COMPLEX

INVESTING IN THE FUTURE OF TEXAS

Request: $45 million
Capital funding request

95,000
Proposed square footage of complex

Programs to use complex:
- Agricultural engineering technology
- Industrial engineering technology

Complex to include:
- Meat processing operation
- Storefront
- Veterinary technology
- Veterinary nursing training capabilities
- Multiple-use classrooms
- Offices
- Event center
- Show arena

Stephen F. Austin State University currently has certain academic programs that have inadequate facilities designed to offer the level of instruction needed and demanded by 21st century students and its employers.

These programs include agriculture, agricultural engineering technology, biology, environmental science, forestry and wildlife sciences, geology, as well as programs being developed in industrial engineering technology. Existing laboratories, greenhouse facilities, and basic educational and general spaces are old and outdated. Extensive renovation and repurposing is required for 21st century instruction, research and service in these critical fields.

One of the most pressing institutional needs at SFA is in the agriculture program.

Although plans are underway to reconstruct a beef farm facility, the program needs a comprehensive agriculture center that blends complementary academic programs.

The proposed Agriculture and Technology Complex would include a new 95,000 square foot building that will contain agricultural engineering technology and industrial engineering technology programs at the Walter C. Todd Agricultural Research Center located north of SFA’s main campus.

The facility would include a multiple-use classrooms, offices, an event center and show arena. The facility will contain a meat processing operation, storefront, veterinary technology and veterinary nursing training capabilities.

FACILITIES TO MEET THE NEEDS OF OUR STATE

Life sciences and applied engineering technologies are critical disciplines for economic growth and advancement of economic opportunities in Texas (See Figure 1). This is especially true in rural communities across the state where animal agriculture has outstanding potential for growth in production, employment, and economic contribution. Agricultural and industrial engineering technologies are critical to support an expanding economy in the state, including the expansion of agricultural and manufacturing industries in many areas.

SFA currently has teaching, research, and service programs in agriculture, agricultural engineering technology, biology, geology, environmental science, and forestry and wildlife sciences. Demand for graduates in these disciplines with bachelors and masters degrees has been strong in recent years, and projections show a much greater need in these workforce areas in the future.

Figure 1. Projected occupational growth in Texas from 2016 to 2016 based on demand. (Texas Workforce Commission, 2018.)
INTERDISCIPLINARY AND APPLIED SCIENCES PROGRAM

INVESTING IN THE FUTURE OF TEXAS

Request: $53 million
Capital funding request

143,000
Proposed square footage of facility

Programs to use facility:
• Agriculture
• Biology
• Environmental sciences
• Forestry
• Geology
• Geospatial sciences
• Wildlife

Facility to include:
• Classrooms
• Laboratories
• Greenhouses
• Other related needs for academic areas
• Offices

Interdisciplinary and applied sciences are critical disciplines for economic growth in Texas. This is especially true in rural communities across the state where animal agriculture, life sciences, and applied engineering technologies have outstanding potential for growth in production, employment, and economic contribution.

Stephen F. Austin State University has inadequate facilities to offer the high-quality, hands-on instructional experiences demanded by modern students and their employers in interdisciplinary and applied sciences that include agriculture, agricultural engineering technology, biology, environmental science, forestry and wildlife sciences, geology, geospatial sciences, and industrial engineering technology.

Existing applied sciences laboratories, greenhouses, and educational facilities at SFA are obsolete.

SFA’s capital funding request is for an Interdisciplinary and Applied Sciences facility that will be located on the main university campus. Many of the faculty and programs in this facility will be closely aligned with the programs and operations of the Agriculture and Technology Complex located North of the main campus.

The Interdisciplinary and Applied Sciences building will contain offices, classrooms, laboratories, greenhouses, and related facilities for academic departments and programs in agriculture, biology, environmental sciences, forestry, wildlife, geospatial sciences, and geology.

FACILITIES TO MEET THE NEEDS OF OUR NATION

SFA is known internationally for its outstanding teaching, research, and service programs in life sciences and related disciplines. Demand for graduates with bachelors and masters degrees has been strong in recent years, and projections show a much greater need in these workforce areas in the future (See Figure 2). It is imperative that SFA have access to modern resources and facilities to produce society-ready, skilled professionals capable of meeting the future demand for skilled employment across our state and nation.

Figure 2. Projected occupational growth in life sciences and applied engineering professions for 2018-2028. (U.S. Bureau of Labor Statistics, 2018.)
CENTER FOR APPLIED RESEARCH AND RURAL INNOVATION

INVESTING IN THE FUTURE OF TEXAS

Request: $2 million
Exceptional item request

11,000
Proposed square footage of center

Collaborative environment for students and faculty members to interact and partner with:
• Businesses
• Industries
• Organizations
• Educational institutions
• Community partners

Possible projects initiated by:
• Local or state government agencies
• Manufacturers
• Banks
• Nonprofits
• Schools
• Entrepreneurs
• Recreation and entertainment venues
• Communities
• Economic development organizations
• And many others

Center to include:
• Offices
• Meeting rooms
• Cyber lounge
• Community rooms
• Other related needs

Stephen F. Austin State University proposes to expand its presence in the region and Texas through the creation of the Center for Applied Research and Rural Innovation. The center will bring faculty and students together with business, industry, education, and community partners in dynamic, interactive environments. Based on the principles of creativity, access, equity, sustainability, and quality, the center partners and participants will infuse innovation into everything they do, create collisions of ideas, foster robust public-private partnerships, and help solve real-world problems for rural areas and smaller communities.

The center will connect the talents and energy of the university and our communities to create dynamic, forward-thinking environments that stimulate ideas, collaboration, and immersive applied learning. The center will work to explore innovative solutions and help solve complex, real-world problems that are vital for igniting growth and economic development in rural areas and in smaller communities in the region and state. With this mission, the center will serve as a “front door” for businesses and organizations that want to work with SFA. The center will bring together faculty, students, and staff to assist businesses, industry, and organizations with high-impact research, consulting services, and student engagement that is specifically focused on solutions and innovations that address real-world problems.

Projects may be initiated by local or statewide government agencies, manufacturers, banks, nonprofits, schools, entrepreneurs, recreation and entertainment venues, communities, and economic development organizations. By actively engaging the expertise and talents of faculty, staff, and students, the center assists regional businesses and organizations while providing students with skills and experiences that will be useful throughout their academic lives and careers.

VISION FOR GROWTH

The center, in concert with the work being done by colleges, universities, and public and private entities throughout our region, will help realize the vision for growth that has been developing for more than a decade. Over the next five years, the center will become a major factor in:

• Increasing the capacity of the regional workforce in key areas such as data analytics, digital media, and tech commercialization and transfer.
• Developing regional leaders in business and education who understand the challenges and opportunities of this swiftly changing environment.
• Creating a unique, innovative culture that builds on local strengths and creates a distinctive advantage for the region, including generating jobs and improving the quality of life.

• Fostering collaboration among higher education, business and industry, and local agencies to address issues and solve problems that no one entity can address by itself.
• Generating a creative economy and engine for vitality and growth that attracts business and industry and encourages talented individuals to stay and invest in the region.
Agricultural Facilities Assessment Committee Report

Supplemental Materials
Conceptual of complex design for illustrative purposes only.

Ag Mechanics Multi-Use Classroom Building

Event Center

Central Lobby

600'

400'
Conceptual of complex design for illustrative purposes only.

Opened September 2018
Total Cost - $48,000,000
TRB funded $38,000,000
Fundraised $10,000,000 to complete project.

West Texas A&M University, Canyon Texas
Conceptual of complex design for illustrative purposes only.

Opened February 2019
Total Cost - $34,000,000
Funded through a $99,000,000 bond referendum

Katy ISD Agricultural Sciences Complex
Conceptual of complex design for illustrative purposes only.

Opened January 2017
Construction Cost $3,800,000
Primarily a Metal/Pre-Engineered Building similar to our new Cattle Pavilion
Ag Mechanics was in 3 separate facilities, this consolidated them under one roof
Does not include FF&E which they already owned and moved into new facility

Tarleton State University
Ag Mechanics Building
James Madison High School
San Antonio, Texas
Agri-Sciences Complex

Opened September 2010
Total Cost $20,800,000
Funded through a $498,000,000 bond referendum
Uses of the Event Center
Uses of the Event Center
Uses of the Event Center
Poultry Science - Research Facility
FEATURES:
- STORAGE FOR FEED
- WATER DELIVERY SYSTEM FOR PENS
- OVERHEAD DOORS FOR DELIVERS
- 50SF INDIVIDUAL PENS (96 PENS TOTAL)
- 9' EAVES HEIGHT
- CLAY FLOORS WITH CONCRETE (ALTERNATE PRICING FOR ALL CONCRETE)
- ENGINEERED TRUSS FRAME
- SIDE AIR INLET CURTAINS
- FAN FORCED HEATING

Poultry Science - Research Facility

JANUARY 14, 2020

Stephen F. Austin
New Ag Complex Pricing Projection
As of March 2, 2020

Option 1

New Poultry Research Center $5,000,000
New Ag Mechanics Space - 24,000 sf @$500 per sf $12,000,000
New Multi-Use classroom/office/instructional space –

24,000 sf @$500 per sf $12,000,000
New Event Center – 30,000 sf @$450 per sf $13,500,000

Projected Construction Costs $42,500,000

Additional Costs to Consider:
Equipment Costs for Ag Mechanics (see attached) $2,000,000

4% Contingency $1,700,000

Price Escalation/Inflation:
Start of Construction in 3 years at 2% $850,000

Total Project Cost - $47,050,000
New Ag Complex Pricing Projection
As of March 2, 2020

Option 2

Reduce Event Center Square Footage

New Poultry Research Center $5,000,000
New Ag Mechanics Space - 24,000 sf @$500 per sf $12,000,000
New Multi-Use classroom/office/instructional space –
  24,000 sf @$500 per sf $12,000,000
New Event Center – 25,444 sf @$450 per sf $11,450,000

Projected Construction Costs $40,450,000

Additional Costs to Consider:
Equipment Costs for Ag Mechanics (see attached) $2,000,000

4% Contingency $1,700,000

Price Escalation/Inflation:
Start of Construction in 3 years at 2% $850,000

Total Project Cost - $45,000,000
# Life Sciences Interdisciplinary Legislative Consideration

**March 3, 2020**

<table>
<thead>
<tr>
<th>Demo</th>
<th>Existing ASF</th>
<th>Existing GSF</th>
<th>Proposed ASF</th>
<th>Proposed GSF</th>
<th>Cost</th>
<th>cost/unit</th>
<th>% of cost</th>
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## Building Addition to Forestry & Renovation

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<td><strong>TOTAL PROJECT</strong></td>
<td><strong>$54,682,228.00</strong></td>
<td></td>
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Report to the Board of Regents - Legislative Appropriations Request Review
SFA Center for Applied Research and Rural Innovation

Vision: Inspiring Knowledge, Igniting Change in Rural Communities

Stephen F. Austin State University (SFA) proposes to expand its presence in the region and Texas through creation of the SFA Center for Applied Research and Rural Innovation (SFA CARRI). The Center will bring faculty and students together with business, industry, educational, and community partners together in dynamic, interactive environments. Based on the principles of creativity, access, equity, sustainability and quality, SFA CARRI partners and participants will infuse innovation into everything they do, create collisions of ideas, foster robust public-private partnerships, and help solve real-world problems for rural areas and smaller communities. The Center will be committed to deep learning that enriches the creative and economic vitality of the region and State.

Mission: Innovation and Entrepreneurship for Economic Development in Rural Areas

Over the past two decades, the regional economy has witnessed slow decline and some noticeable change in economic structure; however, there are evident signs that innovative and entrepreneurial activity has increased. Recent studies find that both entrepreneurship (new firms and growing firms) and innovation (patents, R&D, and hi-tech industries) are drivers in the growth of regional and statewide economies. Studies have concluded that innovation is necessary but not sufficient for regional economic growth. To sustain economic growth, particularly in rural areas and smaller communities, innovation needs to be supported by the commercializing activities of entrepreneurs. Entrepreneurs are often vital for assembling the resources necessary to create economic activity (e.g. new products, new markets, and new ventures), thereby capturing the value of innovations. The proposed initiative will attempt to make entrepreneurship a vibrant, mainstream part of the State and region’s culture in smaller communities and rural areas.

Operation: Collaboration and Partnerships

SFA CARRI will connect the talents and energy of the university and our communities to create dynamic, forward-thinking environments that stimulate ideas, collaboration, and immersive, applied learning. The Center will work to explore innovative solutions and help solve complex real-world problems that are vital for igniting growth and economic development in rural areas and in smaller communities in the region and State. With this mission, SFA CARRI will serve as a “front door” for businesses and organizations that want to work with SFA. The Center will bring together faculty, students, and staff to assist businesses, industry, and organizations with high-
impact research, consulting services, and student engagement, specifically focused on solutions and innovations that address real-world problems.

Projects may be initiated by local or statewide government agencies, manufacturers, banks, nonprofits, schools, entrepreneurs, recreation and entertainment venues, communities and economic development organizations. By actively engaging the expertise and talents of faculty, staff, and students, the Center assists regional businesses and organizations while providing students with skills and experiences that will be useful throughout their academic lives and careers.

Funding Request

The University seeks $2,000,000 in FY 2022 to develop and operate the SFACAR. Funding will be used to provide: released time for faculty to engage in project activities; additional opportunities for student coop and internships; research and development projects; support for education and training services; and start-up R&D grants for entrepreneurial projects.

Benefits to the State and Region

The SFA CARRI, in concert with the work being done by colleges, universities, and public and private entities throughout our region, will help realize the vision for growth that has been developing for over a decade. Over the next five years, SFACAR will become a major factor in:

- Fostering collaboration among higher education, business and industry, and local agencies to address issues and solve problems that no one entity can address by itself.
- Generating a creative economy and engine for vitality and growth that attracts business and industry and encourages talented individuals to stay and invest in the region.
- Increasing the capacity of the regional workforce in key areas such as data analytics, digital media, and tech commercialization and transfer.
- Developing regional leaders in business and education who understand the challenges and opportunities of this swiftly changing environment.
- Creating a unique innovative culture that builds on local strengths and creates a distinctive advantage for the region, including generating jobs and improving the quality of life.
Stephen F. Austin State University
Board of Regents – Building and Grounds Committee
Construction Update
April 17, 2020 – April 18, 2020
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<td>Project 3 - Basketball Strength &amp; Conditioning Room</td>
<td>6</td>
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<td>Project 4 - Campus Space Realignment and Renovations</td>
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<td>Project 8 - Fine Arts Expansion</td>
<td>11</td>
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<td>Project 11 - Welcome Center and Student Support Service/One Stop Shop</td>
<td>14</td>
</tr>
<tr>
<td>Project 12 - Parking Lot Construction</td>
<td>15</td>
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<td>Project 13 - Health Services HVAC and Duct Replacement</td>
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<td>Project 14 - Power Plant 1 Upgrade</td>
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<tr>
<td>Project 15 - Culinary Café Relocation and Renovation</td>
<td>18</td>
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<tr>
<td>Project 16 - Steen Library Renovations Phase 1</td>
<td>19</td>
</tr>
<tr>
<td>Project 17 - Student Center Dining Hall Renovation</td>
<td>20</td>
</tr>
<tr>
<td>Project 18 - Beef Farm Facility Construction</td>
<td>21</td>
</tr>
<tr>
<td>Project 19 - Relocation of Einstein Bros. in the Steen Library</td>
<td>22</td>
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</table>
Construction Projects In Progress - as of March 16, 2020

<table>
<thead>
<tr>
<th>No.</th>
<th>Project Title</th>
<th>Start Date</th>
<th>Fund Source</th>
<th>Project Budget</th>
<th>Expenditures YTD</th>
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<th>Budget Variance</th>
<th>Estimated % Complete</th>
<th>Completion Date</th>
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<tbody>
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<td>1</td>
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<td>Tuition Rev. Bond</td>
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<td>$46,459,149</td>
<td>$280,469</td>
<td>$46,739,618</td>
<td>$510,382</td>
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<td>Building is operational and completed</td>
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<tr>
<td>2</td>
<td>Classroom &amp; Building Safety &amp; Security Upgrades</td>
<td>May-17</td>
<td>HEF</td>
<td>$870,000</td>
<td>$829,244</td>
<td>$20,014</td>
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<td>3</td>
<td>Basketball Strength &amp; Conditioning Room</td>
<td>May-18</td>
<td>Designated Fund Balance</td>
<td>$750,000</td>
<td>$27,369</td>
<td>-</td>
<td>$27,369</td>
<td>$722,631</td>
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<td>4</td>
<td>Campus Space Realignment and Renovation</td>
<td>Sep-18</td>
<td>HEF</td>
<td>$3,000,000</td>
<td>$4,260</td>
<td>-</td>
<td>$4,260</td>
<td>$2,955,740</td>
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<td>5</td>
<td>Beach Volleyball Courts</td>
<td>Jul-18</td>
<td>Designated Fund Balance</td>
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<td>$743,178</td>
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<tr>
<td>6</td>
<td>McKinnon Education Building 1st Floor Lobby Renovations</td>
<td>Sep-18</td>
<td>HEF</td>
<td>$150,000</td>
<td>$14,092</td>
<td>-</td>
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<td>7</td>
<td>Boyston Building Restroom Remodel</td>
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<td>$275,000</td>
<td>$257,076</td>
<td>-</td>
<td>$257,076</td>
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<tr>
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<td>Fine Arts Expansion</td>
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<td>Revenue Financing Bonds</td>
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<td>$677,471</td>
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<td>Basketball Practice Facility</td>
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<td>Revenue Financing Bonds</td>
<td>$28,500,000</td>
<td>$4,178,440</td>
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<td>Student Resident Hall</td>
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<td>Revenue Financing Bonds</td>
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<td>$866,384</td>
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<tr>
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<td>Dining Facilities</td>
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<td>Revenue Financing Bonds</td>
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<td>Parking Lot Construction</td>
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<td>$312,073</td>
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<td>14</td>
<td>Health Services HVAC and Duct Replacement</td>
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<td>Auxiliary Fund Balance</td>
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<td>16</td>
<td>Culinary Café Relocation and Renovation</td>
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<td>HEF</td>
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<td>$37</td>
<td>-</td>
<td>$37</td>
<td>$1,499,963</td>
<td>45%</td>
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<tr>
<td>17</td>
<td>Stone Library Renovation Phase 1</td>
<td>Sep-19</td>
<td>HEF</td>
<td>$250,000</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$250,000</td>
<td>40%</td>
<td>Fall 2020</td>
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<tr>
<td>18</td>
<td>Student Center Dining Hall Renovation</td>
<td>Nov-19</td>
<td>Aramark</td>
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<td>Information Unavailable</td>
<td>Information Unavailable</td>
<td>Information Unavailable</td>
<td>Information Unavailable</td>
<td>Information Unavailable</td>
<td>Information Unavailable</td>
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<tr>
<td>19</td>
<td>Beef Farm Facility Construction</td>
<td>Jan-20</td>
<td>HEF and other Institutional Funds</td>
<td>$900,000</td>
<td>$17,833</td>
<td>$29,411</td>
<td>$47,244</td>
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<tr>
<td>20</td>
<td>Relocation of Einstein Bros. In the Stone Library</td>
<td>Jan-20</td>
<td>Aramark</td>
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<td>Information Unavailable</td>
<td>Information Unavailable</td>
<td>Information Unavailable</td>
<td>Information Unavailable</td>
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</tbody>
</table>

Totals | $191,088,610 | $54,548,310 | $27,810,259 | $82,358,509 | $180,730,041 |
Project # 1

STEM Facility

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

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

Funding Source: Tuition Revenue Bonds

Key Milestones:
Start Date: August 2015
Expected Completion: Building is operational and occupied
Project Budget of $46,400,000 approved by the Regents on July 28, 2015
    Increased by $850,000 to $47,250,000 in October 2018

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

Project Status:
• Repair and restoration of pedestrian way at Raguet and Sesquicentennial Plaza is substantially complete
• Ancillary projects being evaluated for viability

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>47,250,000</td>
<td>46,459,149</td>
<td>280,469</td>
<td>46,739,618</td>
<td>510,382</td>
</tr>
</tbody>
</table>
Project # 2

Classroom and Building Safety and Security Upgrades

Project Manager – Public Safety/ITS
Contractor – Various

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

Funding Source: HEF

Key Milestones:
Start Date: May 2017
Project Budget of $600,000 approved by the Regents on July 26, 2016
Additional funds of $270,000 were approved by the Regents on July 25, 2017 for Fiscal Year 2018.

Project Status:
• Hardware installation on exterior doors in process
• Classroom rekeying has been completed

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>870,000</td>
<td>829,244</td>
<td>20,018</td>
<td>849,262</td>
<td>20,738</td>
</tr>
</tbody>
</table>
Project # 3

Basketball Strength & Conditioning Room

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

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

Funding Source: Designated Fund Balance

Key Milestones:
Start Date: May 2018
Expected Completion: Project Paused
Project Budget of $750,000 approved by the Regents on April 23, 2018

Project Status:
- Paused

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>750,000</td>
<td>27,369</td>
<td>0</td>
<td>27,369</td>
<td>722,631</td>
</tr>
</tbody>
</table>
Project # 4

Campus Space Realignment and Renovation

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

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

Funding Source: HEF

Key Milestones:
Start Date: September 2018
Expected Completion: TBD
Project Budget of $4,500,000 approved by the Regents on July 23, 2018
Allocation for Culinary Café Relocation $1,500,000 approved by the Regents on July 22, 2019 reducing the project budget to $3,000,000

Project Status:
- Prioritized needs with stakeholders
- Pending institutional decision making

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
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<tr>
<td>3,000,000</td>
<td>4,260</td>
<td>0</td>
<td>4,260</td>
<td>2,995,740</td>
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</table>
Project # 5

Beach Volleyball Courts

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

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

Funding Source: Designated Fund Balance

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

Project Status:
- Project was substantially complete on September 10th, 2019
- Contractor completed punch list
- Installation of SFA furnished item completed January 2020

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>$750,000</td>
<td>$743,178</td>
<td>$4,134</td>
<td>$747,312</td>
<td>$2,688</td>
</tr>
</tbody>
</table>
**Project # 6**

**McKibben Education Building 1st Floor Lobby Renovations**

Project Manager – Physical Plant  
Architect – Goodwin-Lasiter-Strong  
Contractor – Vaughn Construction

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

**Funding Source:** HEF

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

**Project Status:**

- Contractor obtaining bids  
- Expected construction start of May 2020

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
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</thead>
<tbody>
<tr>
<td>150,000</td>
<td>14,092</td>
<td>0</td>
<td>14,092</td>
<td>135,908</td>
</tr>
</tbody>
</table>
Project # 7

Boynton Building Restroom Remodel

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

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

Funding Source: HEF

Key Milestones:
Start Date: June 2019
Expected Completion: Complete
Project Budget of $275,000 approved by the Regents on July 23, 2018

Project Status:
- Punch list complete
- Completing closeout process

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
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<tr>
<td>275,000</td>
<td>257,076</td>
<td>0</td>
<td>257,076</td>
<td>17,924</td>
</tr>
</tbody>
</table>
Project # 8

Fine Arts Expansion

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

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

Funding Source: Revenue Financing Bond Proceeds

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

Project Status:

- Design Development Phase plans (100% status) were distributed to SFA and KDW on March 13, 2020.
- COFA and PPD are reviewing the 100% DD set.
- KDW is currently pricing the 100% DD set.
- Design Development technical and pricing meeting to occur in April 2020.

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
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</thead>
<tbody>
<tr>
<td>50,000,000</td>
<td>677,471</td>
<td>2,229,180</td>
<td>2,906,651</td>
<td>47,093,349</td>
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</tbody>
</table>
Project # 9

Basketball Practice Facility

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

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

Funding Source: Revenue Financing Bond Proceeds

Key Milestones:
Start Date: December 2018
Expected Completion: May 2021
Project Budget of $28,500,000
  Increased by $2,500,000 to $28,500,000 in January 2020
  Phase I – Tunnel $1,369,388 GMP presented on May 18, 2019
  Phase II – Main Building $23,818,986 GMP
  Total Project GMP - $25,188,374

Project Status:
  • Tunnel walls and ceiling being formed
  • East and North side walls being formed
  • Current rain delays have moved substantial completion from March to May

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
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<th>Variance</th>
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<td>28,500,000</td>
<td>4,178,440</td>
<td>22,872,554</td>
<td>27,050,994</td>
<td>1,449,006</td>
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</table>
Project # 10

Student Residential and Dining Facilities

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

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

Funding Source: Revenue Financing Bond Proceeds

Key Milestones:
Start Date: December 2018 (Combined)
Expected Completion: January 2023 (Combined)
Project Budget of $39,500,000 (Combined)

Project Status:
• Residence Hall redesign in progress, expecting CD’s mid-April
• Dining Hall design in “pause phase” while residence hall progressed to GMP

Residence Hall

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>24,500,000</td>
<td>513,012</td>
<td>866,384</td>
<td>1,379,396</td>
<td>23,120,604</td>
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</table>

Dining Hall

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>15,000,000</td>
<td>189,375</td>
<td>1,037,920</td>
<td>1,227,295</td>
<td>13,772,705</td>
</tr>
</tbody>
</table>
Project # 11

Welcome Center and Student Support Service/One Stop Shop

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

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

Funding Source: Revenue Financing Bond Proceeds

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

Project Status:
- Funding will be transferred to Griffith Fine Arts Expansion per October 2019 Board Meeting
- Currently reviewing other options

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
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<tbody>
<tr>
<td>13,000,000</td>
<td>123,539</td>
<td>0</td>
<td>123,539</td>
<td>12,876,461</td>
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</table>
Project # 12

Parking Lot Construction

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

Scope of Work:
Works includes demolition of houses located at 1521 Baker Street and 310 Starr Avenue, constructing concrete parking lots on those sites, resurfacing the current parking lot on Starr Avenue, and constructing a concrete parking lot on an existing asphalt lot on Feazell Street.

Funding Source: Auxiliary Fund Balance

Key Milestones:
Start Date: June 2019
Expected Completion: Starr Avenue Lot January 2020
Feazell Street Lot June 2020
Project Budget of $425,000 approved by the Regents on April 29, 2019
Increased by $361,010 to $786,010 in July 2019

Project Status:
- E. Starr Parking lot is complete and fully operational.
- Feazell Parking Lot is on track to be completed by June 2020.

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
</tr>
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<tr>
<td>786,010</td>
<td>407,072</td>
<td>312,073</td>
<td>719,145</td>
<td>66,865</td>
</tr>
</tbody>
</table>
Project # 13

Health Services HVAC and Duct Replacement

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

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

Funding Source: Auxiliary Fund Balance

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

Project Status:
- Roof top unit was install during Spring Break
- Currently waiting for final invoicing

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
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<td>107,600</td>
<td>26,712</td>
<td>76,117</td>
<td>102,829</td>
<td>4,771</td>
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</table>
Project # 14

Power Plant 1 Upgrade

Project Manager – Physical Plant
Engineer – Estes McClure and Associates
Contractor – TBD

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

Funding Source: HEF

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

Project Status:
• Waiting for bid documents from Engineer to begin the construction contractor bidding process.

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
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<td>82,000</td>
<td>162,451</td>
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Project # 15

Culinary Café Relocation and Renovation

Project Manager – Physical Plant  
Architect– Goodwin-Lasiter-Strong  
Contractor – Vaughn Construction

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

Funding Source: HEF

Key Milestones: 
Start Date: December 2019
Expected Completion: Summer 2021
Project Budget of $1,500,000 approved by the regents on July 22, 2019

Project Status: 
• Contractor is obtaining bids  
• Expected construction start of May 2020

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
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<td>1,500,000</td>
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</table>
Project # 16

Steen Library Renovation Phase 1

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

Scope of Work:
This is Phase one of the Library Renovation.

Funding Source: HEF

Key Milestones:
Start Date: September 2019
Expected Completion: Fall 2020
Project Budget of $250,000 approved by the regents on July 22, 2019

Project Status:
- Flooring replacement expected to start June 2020
- “The Axe Handle” (One Stop Shop) preparatory discussion & modifications underway

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
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<td>250,000</td>
<td>0</td>
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<td>250,000</td>
</tr>
</tbody>
</table>


Project # 17

Student Center Dining Hall Renovation

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

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

Funding Source: Aramark

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

Project Status:
- Project out for bid
- Expected construction start of May 2020

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
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<tr>
<td>Information Unavailable (privately funded by Aramark)</td>
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</tr>
</tbody>
</table>
April 17, 2020 – April 18, 2020 Construction Update

Project # 18

Beef Farm Facility Construction

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

Scope of Work:
Construction of an approximate 20,000 square foot structure and support facilities to help support the needs of the SFA Agriculture program.

Funding Source: HEF and other Institutional Funds

Key Milestones:
Start Date: January 2020
Expected Completion: Fall 2020
Project Budget of $900,000 approved by the regents on January 28, 2020

Project Status:
- Waiting for bid documents from Architect to begin the construction contractor bidding process.

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
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<tbody>
<tr>
<td>900,000</td>
<td>17,833</td>
<td>29,411</td>
<td>47,244</td>
<td>852,756</td>
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</tbody>
</table>
Project # 19

Relocation of Einstein’s Bros. in the Steen Library

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

Scope of Work:
Relocation of the Einstein’s Bros. in the Steen Library. To maintain the high quality food service program our students seek we are relocating the retail operation while updating the amenities. This project will provide a key anchor to the renovation of the first floor of the library.

Funding Source: Aramark

Key Milestones:
Start Date: January 2020
Expected Completion: Fall 2020
Project Budget of $1,000,000 approved by the regents on January 28, 2020

Project Status:
• Expecting bid documents June 2020

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
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</thead>
<tbody>
<tr>
<td>Information Unavailable (privately funded by Aramark)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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:

- Firearms, Explosives and Ammunition 13.9
- Training and Certification of University Vehicle Operators 13.23
- Vehicle Repair and Maintenance 16.34
POLICY SUMMARY FORM

Policy Name: Firearms-explosives-and-ammunition

Policy Number: 13.9

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: Chief of University Police; Director of Environmental Health, Safety, and Risk Management

Purpose of Policy (what does it do): Provides information and protocol for firearms, explosives and ammunition on 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: N/A

Specific rationale for each substantive revision: n/a

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

John Fields Jr., Chief of Police
Jeremy Higgins, Director Environmental Health, Safety, and Risk Management
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Firearms, Explosives and Ammunition

**Original Implementation:** Unpublished  
**Last Revision:** April 25, 2017/April 18February 17, 2020

Firearms, ammunition, explosive devices, or illegal knives may not be brought on to the campus of Stephen F. Austin State University or any property which is owned, leased, or operated by the university, or a passenger vehicle which is owned, leased, or operated by the university, without the written permission of the president unless otherwise specified by this policy. Requests for permission must be submitted in writing to the chief of university police, or designee, at least fifteen (15) business days prior to the date the requestor seeks to bring such an item on campus. The chief will forward the request to the vice president for university affairs with a recommendation for approval or rejection, with a copy provided to the director of environmental health, safety & risk management. The vice president for university affairs will review the request with the president, who will make the final decision. The president will notify the requestor, the chief of university police and the director of environmental health, safety & risk management of his/her final decision.

Notwithstanding the foregoing, effective August 1, 2016, a person licensed in Texas to carry a concealed handgun license holder may carry a concealed handgun on campus in accordance with Texas Government Code Section 411.2031 and other applicable law, subject to the reasonable rules and regulations in Appendix 1. A license concealed handgun license holder is responsible for knowing areas where carrying a concealed handgun is prohibited where notice is not required to be posted. A concealed handgun license holder is not required to disclose whether that person has a license or is currently carrying a concealed handgun to anyone except a magistrate or peace officer.

**Cross Reference:** Tex. Gov’t Code § 411.2031; Tex. Penal Code §§ 46.03-.035

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

**Contact for Revision:** Chief of University Police; Director of Environmental Health, Safety, and Risk Management

**Forms:** Request for Use of Prohibited Materials

**Board Committee Assignment:** Building and Grounds
Appendix 1

<table>
<thead>
<tr>
<th>LOCATION/ ACTIVITY</th>
<th>POLICY</th>
<th>CROSS REFERENCE</th>
<th>UNIQUE ENVIRONMENT/SAFETY CONSIDERATIONS/OTHER COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. General Policies</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Campus Storage – General</td>
<td>No on-campus storage for handguns will be provided; License holders may store handguns at the University Police Department (UPD) in accordance with UPD policies and procedures.</td>
<td>Tex. Gov’t Code § 411.2031(d)</td>
<td>An institution of higher education may establish rules, regulations or other provisions concerning storage of handguns in dormitories or other residential facilities owned or leased and located on the campus of the institution.</td>
</tr>
<tr>
<td>1.2 Campus Storage – Residential Facilities</td>
<td>License holders residing in campus housing may carry a concealed handgun into campus housing and may store his/her handgun in campus housing except during extended periods of absence, such as spring break and the periods between the fall and spring semesters. When storing a handgun in campus housing, he/she must store the handgun in his/her residential room, in a secured area or occupant-provided locked and secure container. Handguns may not be stored in designated campus housing during summer camps. Handguns may never be stored in campus housing by non-resident persons or any person other than the residential room occupant. Residents may not store a handgun for any other resident or person.</td>
<td>Tex. Gov’t Code § 411.2031(d)</td>
<td>An institution of higher education may establish rules, regulations or other provisions concerning storage of handguns in dormitories or other residential facilities owned or leased and located on the campus of the institution.</td>
</tr>
<tr>
<td>1.3 Campus Storage – Full-time Residential Staff</td>
<td>License holders who are employed as full-time residential staff in campus housing may store his/her handgun in his/her residence at all times in a secured area or resident-provided locked, secure container.</td>
<td>Tex. Gov’t Code § 411.2031(d)</td>
<td>An institution of higher education may establish rules, regulations or other provisions concerning storage of handguns in dormitories or other residential facilities owned or leased and located on the campus of the institution.</td>
</tr>
</tbody>
</table>
## 2. Particular Locations/Activities as Gun-Free Zones

<table>
<thead>
<tr>
<th>2.1 Early Childhood Research Center, including fenced grounds, and surrounding premises such as walkways, driveways, and parking lots when used for school-sponsored or day care-sponsored activities</th>
<th>Concealed carry prohibited.</th>
<th>Tex. Penal Code § 46.03(a)(1); Tex. Educ. Code § 37.125; 40 Tex. Admin. Code § 746.3707</th>
<th>The Charter School serves Kindergarten through 5th grade children and is unique to most universities. It is located within the Early Childhood Research Center (ECRC) Building with adjacent grounds. The Early Childhood Lab is a licensed day care center, serving infants, toddlers, and pre-K children, and is also located within the ECRC Building with adjacent grounds. The significant excludable use of the building together with the inability to segregate the excludable space renders it impracticable to parcel the building into carry and non-carry zones.</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.2 The Human Services building (other than the Telecommunications area), Student Health Clinic, and 3rd floor of the Rusk Building.</td>
<td>Concealed carry prohibited.</td>
<td>Tex. Gov’t Code §§ 411.172, 2031(d-1); Tex. Penal Code § 46.035(b)(4)</td>
<td>The Human Services building contains numerous physical and mental health clinics, labs, and offices for testing and treatment of children and adults from the campus and community, located in various rooms on each floor of the building. These include the Little Jacks, pre-school classroom for children with communication difficulties (1st Floor), Human Neuroscience Laboratory (1st Floor), Rehabilitative Services Career Planning Laboratory (1st Floor), Stanley Speech and Hearing Clinic (2nd Floor), Voice and Speech Science Laboratory (2nd Floor), Cole Audiology Laboratory (2nd Floor), Counseling Clinic (2nd Floor), School Psychology Assessment Center (2nd Floor), Basic Skills Clinic, includes client populations with Autism (2nd Floor), Office of Rehabilitative Services (2nd Floor), Office of Disability Services, includes testing accommodations (3rd Floor), and Office of Assistance and...</td>
</tr>
</tbody>
</table>
Rehabilitative Services (DARS) 3rd Floor. The building and uses are unique in the campus. Many of the physical-pyschological-emotional considerations are also paramount for the clientele and providers. The 3rd floor of the DARS Building includes Counseling Services, the Student Health Center and Counseling Services, and Mental Health Counseling Services, respectively, to campus students. The Human Services Building provides outpatient medical care and mental health counseling services, and the 3rd floor of the DARS Building provides the Mental Health Clinic and Counseling Services. The Telecommunications area of the Human Services building renders it impractical to parcel the building into carry and non-carry zones.
2.3 The 3rd Floor of the Rusk Building and Conference Room 301 in the Human Services building.  Concealed carry prohibited.  Tex. Gov’t Code § 411.2031 (d-1); Tex. Penal Code § 46.03(a)(3)  The Texas Penal Code prohibits firearms “on the premises of any government court or office utilized by the court.” Formal disciplinary hearings and grievance actions are adjudicatory activities and may be highly emotional and contentious events as unique environments Justifying special safety considerations for participants. Counseling Services (see also 2.2) and the Office of Student Rights and Responsibilities engages in such activities and comprise substantial usage and space on the 3rd floor of the Rusk Building. The significant excludable use of the 3rd floor together with the inability to effectively segregate the excludable space renders it impracticable to parcel the floor into carry and non-carry zones. Conference Room 301 in the Human Services Building is a location used for both student and employee disciplinary and grievance hearings.

2.4 A location where a high school, collegiate, or professional sporting event is taking place as prohibited under section 46.035(b)(2) of the Texas Penal Code, or where a sports club or intramural athletic competition is taking place.  Concealed carry prohibited.  Tex. Penal Code § 46.035(b)(2)  Under the Texas Penal Code, a person commits an offense by carrying a handgun on the premises when a high school, collegiate, professional sporting or interscholastic event is taking place. Intramural and club sporting events are events of a similar nature and possess the same safety considerations as those provided for in the Penal Code.
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Citation</th>
<th>Excerpt</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.5</td>
<td>Nonpublic, secure portions of the University Police Department</td>
<td>Tex. Gov’t Code § 411.207(b)</td>
<td>A peace officer who is acting in the lawful discharge of the officer's official duties may temporarily disarm a license holder when a license holder enters a nonpublic, secure portion of a law enforcement facility.</td>
</tr>
<tr>
<td>2.6</td>
<td>Occasional, reasonable, temporary restrictions by the president for up to five (5) days, renewable in the president’s discretion.</td>
<td>Tex. Gov’t Code § 411.2031(d-1); Tex. Att’y Gen. Op. No. KP-0051(2015)</td>
<td>Specific, occasional occurrences or events will arise from time to time in the campus environment requiring safety considerations. The temporary prohibition of concealed carry by the president in such circumstances is both prudent and necessary and will not violate the letter or spirit of the law. Other temporary restrictions include locations where concealed carry is otherwise prohibited by law (e.g. court hearings, polling locations).</td>
</tr>
</tbody>
</table>
POLICY SUMMARY FORM

Policy Name: Training and Certification of University Vehicle Operators

Policy Number: 13.23

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: President, Chief of University Police and Director of Environmental Health, Safety, and Risk Management

Purpose of Policy (what does it do): Provides information the drivers certification processes.

Reason for the addition, revision, or deletion (check all that apply):
- [x] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: n/a

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor changes/updates were done

Reviewers:

John Fields Jr., Chief of Police
Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Training and Certification of University Vehicle Operators

Original Implementation: May 4, 1983  
Last Revision: April 25, 2017, February 18, 2020, April 18, 2020

Driver certification is required for any all university employees who must be required to drive a university vehicle within the scope of his/her employment. For the purposes of this policy the term, “university vehicle,” means any vehicle owned or leased by the university.

To operate a university vehicle, an employee must be designated by their employing department, college, or division as a driver and be certified as an approved driver by the SFA University Police Department (UPD), Department of Public Safety (UPD)

In order to obtain certification a driver must submit an application (application can be located at http://www.sfasu.edu/upd/defensive-driving.asp), available from the SFA UPD website, and provide evidence of the following:

An appropriate, valid Texas driver’s license, or a valid out of state license if the employee is an active duty member of the military or reserves;
Satisfactory completion of a course of defensive driving; and,

When determining an employee’s eligibility for certification, the applicant’s driving record will be reviewed obtained and reviewed by UPD.

If an applicant has had been convicted of a DWI or DUID in the past seven years, they applicant will not be allowed to operate a -cannot drive for the university vehicle unless it was expunged or erased from their driving record.

When evaluating an applicant’s record, the Executive Director/Chief of University Police, or designee, may regard a probated sentence, deferred adjudication, enhancement, or reduction for a traffic related violation the same as a conviction. Upon approval of the certification application the Executive Director/Chief of University Police, or designee, will issue an Approved Driver Certificate to the employee. This certificate will authorize the employee to operate any university vehicle of one-ton carrying capacity or less.

An Approved Driver Certificate will be valid for three years from the date of issuance and can be renewed upon receiving a satisfactory driving record issued from the Texas Department of Public Safety records division. This document will be obtained by UPD during the month the renewal is requested. A renewal request may be denied due to a DWI or DUID.

Van certification requires the below listed steps: To be certified to operate a passenger van the employee must receive additional training specific to driving vans (see policy 16.23).

To be certified to operate a university motor vehicle in excess of one-ton capacity, the
Employees must demonstrate proficiency in the operation of the type of vehicle in question and hold a Texas Driver’s License with the appropriate endorsement. Approval of this level of certification will be indicated by an endorsement to the Approved Driver Certificate.

An employee holding an Approved Driver Certificate who is involved in a hazardous traffic violation, as defined by the SFA UPDDS, may be required to repeat any phase of the certification process. Habitual or repeated violation of university policy or the Texas Motor Vehicle Law may result in the suspension or cancellation of an Approved Driver Certificate. The Executive Director of Public Safety/Chief of University Police, or designee, may refuse to issue or renew an Approved Driver Certificate based on driving record of to an employee without notice or hearing.

The manager of transportation shall not permit an employee who does not hold an Approved Driver Certificate to operate any university vehicle under his control. The chief administrator of a department, college, or division of the university shall not permit an employee who does not hold an Approved Driver Certificate to operate a university motor vehicle under his control.

Temporary Certifications

The Executive Director/Chief of University Police, or designee, may issue a Temporary Approved Driver Certificate for a period of 180 days for faculty, staff, and students upon receiving a satisfactory driving record and proficiency. Temporary certifications may not be renewed. The temporary condition of the certificate may be removed by the Executive Director/Chief of University Police, or designee, upon the employee’s successful completion of the steps necessary for regular certification.

Any new employee of the University that holds a valid out-of-state driver’s license may be issued a Temporary Approved Driver Certificate for a period of no longer than 30 days.

Cross Reference: Rental of University Vehicles (16.23)

Responsible for Implementation: President

Contact for Revision: President, Chief of University Police and Director of Environmental Health, Safety, and Risk Management

Forms: Approved Driver Certificate Form (UPDDS)

Board Committee Assignment: Building and Grounds
POLICY SUMMARY FORM

Policy Name: Vehicle Repair and Maintenance

Policy Number: 16.34

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: Director of Physical Plant

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: Most of the changes were for clarification. Rewording of the last paragraph was for alignment with SFA policy 16.11 Fleet Management.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
**Vehicle Repair and Maintenance**

**Original Implementation:** Unpublished  
**Last Revision:** April 18, 2020

**Purpose**

This policy establishes guidelines and responsibilities for the maintenance and repair of university-owned vehicles and also for reporting daily use of the vehicles.

**General**

The physical plant auto shop located at the Grounds and Transportation Building on the corner of University Drive and Starr Avenue provides repair and maintenance services for university-owned vehicles, and equipment. The physical plant auto shop maintains an inventory listing of all university-owned vehicles and schedules annual maintenance inspections. Department vehicle custodians heads are notified by the auto shop foreperson or lead mechanic/manager of transportation that those vehicles in their charge are to be delivered to the auto shop for an annual inspection and/or preventative maintenance. The auto shop will conduct a complete and thorough preventive maintenance inspection and make any repairs necessary. Expenses incurred for service on departmentally-owned vehicles will be charged to the department.

All maintenance and repairs performed by outside vendors on university-owned vehicles must be authorized by the physical plant auto shop prior to services being performed. Request for services to be performed by outside vendors should be made by email or with other appropriate written requests. Emergency repair requests may be made by telephone. After-hour repair emergencies must be routed through the university police department. *It is the responsibility of the owning department to notify the PPD auto shop when emergency repairs are conducted and to provide a copy of the maintenance report and invoice/receipt. This information should be delivered to the PPD auto shop immediately to be documented in the Texas Fleet Management System.*

Repair and maintenance of vehicles leased by the university is performed in accordance with the terms of the lease agreement.

*Operators of university-owned vehicles are required by the Texas Government Code and university policy to report daily use of the vehicles. Failure to produce timely reports, as defined by fleet management procedures, may result in financial penalties or loss of university vehicle privileges.*

**Cross Reference:** Tex. Gov’t Code § 2171.101 et seq.; Rental of University Vehicles (16.23)
**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:

- Secondary Education and Education Leadership Departmental Audit
- University Police Department Departmental Audit
- Human Resources Departmental Audit
- Benefits Proportional by Fund Audit
- Follow-up Audit
- Risk Assessment
- Update on Audit Plan

Recommendation:

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

<table>
<thead>
<tr>
<th>Revenue Loss</th>
<th>Actual</th>
<th>Projected</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spring Semester Refunds</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Residence Hall</td>
<td>3,433</td>
<td>$4,777,614.66</td>
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<tr>
<td>Meal Plan</td>
<td>3,639</td>
<td>$2,687,740.76</td>
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<tr>
<td>Dining Dollars</td>
<td>4,128</td>
<td>$426,101.57</td>
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<tr>
<td>Recreation Center Fee</td>
<td>7,918</td>
<td>$442,952.65</td>
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<tr>
<td>Student Center Fee</td>
<td>7,918</td>
<td>$315,720.00</td>
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</tr>
<tr>
<td>Parking Fee</td>
<td>6,445</td>
<td>$140,324.04</td>
<td></td>
</tr>
<tr>
<td>Geology Course Fee - Field Trips</td>
<td>88</td>
<td>$20,035.00</td>
<td></td>
</tr>
<tr>
<td><strong>Total Refunds</strong></td>
<td></td>
<td>$8,810,488.68</td>
<td></td>
</tr>
<tr>
<td>Summer Semester</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recreation Center Fee Suspension</td>
<td></td>
<td>$136,737.50</td>
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<tr>
<td>Student Center Fee Suspension</td>
<td></td>
<td>$153,971.00</td>
<td></td>
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<tr>
<td>11% Projected Enrollment Decline</td>
<td></td>
<td>$1,091,836.00</td>
<td></td>
</tr>
<tr>
<td>Geology Course Fee - Field Trips</td>
<td></td>
<td>$5,954.00</td>
<td></td>
</tr>
<tr>
<td><strong>Total Summer Semester</strong></td>
<td></td>
<td>$1,388,498.50</td>
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</tr>
<tr>
<td>Athletics Revenue</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NCAA Projected Loss</td>
<td></td>
<td>$503,000.00</td>
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<tr>
<td>Spring Ticket Revenue Loss</td>
<td></td>
<td>$5,903.28</td>
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<tr>
<td><strong>Total Athletics Revenue</strong></td>
<td></td>
<td>$508,903.28</td>
<td></td>
</tr>
<tr>
<td>Sales &amp; Service Revenue</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Study Abroad Application Fee</td>
<td></td>
<td>$5,750.00</td>
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</tr>
<tr>
<td>Spring Events</td>
<td></td>
<td>$12,780.00</td>
<td></td>
</tr>
<tr>
<td>Camps and Other Summer Events</td>
<td></td>
<td>$34,275.00</td>
<td></td>
</tr>
<tr>
<td>On-Campus Human Services Clinics, Centers &amp; Labs</td>
<td></td>
<td>$11,300.00</td>
<td></td>
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<tr>
<td><strong>Total Sales &amp; Service Revenue</strong></td>
<td></td>
<td>$64,105.00</td>
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<tr>
<td><strong>Total Revenue Loss</strong></td>
<td>$8,810,488.68</td>
<td>$1,961,506.78</td>
<td>$10,771,995.46</td>
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</table>

## COVID-19 Expenditures

<table>
<thead>
<tr>
<th>COVID-19 Expenditures</th>
<th>Actual</th>
<th>Projected</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and Wages</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Revenue</td>
<td>$270,689.78</td>
<td></td>
<td></td>
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<tr>
<td>General Revenue - Dedicated</td>
<td>$163,575.96</td>
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<td></td>
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<tr>
<td>Designated</td>
<td>$266,629.03</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Auxiliary</td>
<td>$82,752.06</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restricted</td>
<td>$3,306.09</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Salaries and Wages</strong></td>
<td></td>
<td>$766,952.92</td>
<td></td>
</tr>
<tr>
<td>Benefits</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Revenue</td>
<td>$81,206.93</td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Revenue - Dedicated</td>
<td>$49,072.79</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Designated</td>
<td>$79,943.42</td>
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</tr>
<tr>
<td>Auxiliary</td>
<td>$24,825.62</td>
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</tr>
<tr>
<td>Restricted</td>
<td>$991.83</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Benefits</strong></td>
<td></td>
<td>$236,040.59</td>
<td></td>
</tr>
<tr>
<td>Other Operating Expenditures</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Consumable Supplies</td>
<td></td>
<td>$4,175.00</td>
<td>$203.00</td>
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<tr>
<td>Utilities</td>
<td></td>
<td>$40.00</td>
<td></td>
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<tr>
<td>Travel</td>
<td></td>
<td>$5,494.00</td>
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</tr>
<tr>
<td>Other Operating Expenses</td>
<td></td>
<td>$121,675.00</td>
<td></td>
</tr>
<tr>
<td><strong>Total Other Operating Expenditures</strong></td>
<td></td>
<td>$131,384.00</td>
<td>$203.00</td>
</tr>
<tr>
<td><strong>Total COVID-19 Expenditures</strong></td>
<td>$1,154,377.51</td>
<td>$203.00</td>
<td>$1,154,580.51</td>
</tr>
<tr>
<td><strong>Total Financial Impact</strong></td>
<td>$9,964,866.19</td>
<td>$1,961,709.78</td>
<td>$11,926,575.97</td>
</tr>
</tbody>
</table>
### Projected Fund Balance for August 31, 2020

**As of March 31, 2020**

<table>
<thead>
<tr>
<th></th>
<th>E &amp; G</th>
<th>Designated</th>
<th>Auxiliary</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fund Balance @ 08/31/19 per Banner</td>
<td>1,228,744</td>
<td>(56,110,251)</td>
<td>12,191,186</td>
<td>(42,690,321)</td>
</tr>
<tr>
<td>Add back GASB 75 adjustment-only designated is charged</td>
<td>91,107,734</td>
<td>91,107,734</td>
<td>40,196,999</td>
<td>40,196,999</td>
</tr>
<tr>
<td>Add back GASB 68 adjustment-only designated is charged</td>
<td>40,196,999</td>
<td>40,196,999</td>
<td>40,196,999</td>
<td>40,196,999</td>
</tr>
<tr>
<td>Adjusted Fund Balance w/out GASB balances @8/31/2019</td>
<td>1,228,744</td>
<td>75,194,462</td>
<td>12,191,186</td>
<td>88,614,412</td>
</tr>
<tr>
<td>Actual Revenue 09/01/19 to 3/31/2020</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>15,763,050</td>
<td>82,642,067</td>
<td>5,397,828</td>
<td>103,802,945</td>
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<tr>
<td>State funding</td>
<td>56,279,929</td>
<td>0</td>
<td>0</td>
<td>56,279,929</td>
</tr>
<tr>
<td>Sales and service revenue</td>
<td>575,181</td>
<td>2,115,771</td>
<td>40,283,722</td>
<td>42,974,674</td>
</tr>
<tr>
<td>Grants and Contracts</td>
<td>9,888,807</td>
<td>120,760</td>
<td>0</td>
<td>10,009,566</td>
</tr>
<tr>
<td>Investment Income</td>
<td>40,479</td>
<td>1,729,138</td>
<td>239,970</td>
<td>2,009,588</td>
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<tr>
<td>Other Income</td>
<td>5,215</td>
<td>217,934</td>
<td>41,956</td>
<td>265,105</td>
</tr>
<tr>
<td>Auxiliary revenue</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Actual Expenditures 09/01/19 to 03/31/20</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salaries, wages and benefits - GR and GRD</td>
<td>(25,826,333)</td>
<td>0</td>
<td>0</td>
<td>(25,826,333)</td>
</tr>
<tr>
<td>Salaries, wages and benefits - Other E &amp; G</td>
<td>(8,675,383)</td>
<td>0</td>
<td>0</td>
<td>(8,675,383)</td>
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<tr>
<td>Salaries, wages and benefits - Other</td>
<td>0</td>
<td>(26,875,322)</td>
<td>(10,370,861)</td>
<td>(37,246,183)</td>
</tr>
<tr>
<td>O &amp; M and capital</td>
<td>(11,575,736)</td>
<td>(23,450,956)</td>
<td>(22,406,529)</td>
<td>(57,443,221)</td>
</tr>
<tr>
<td>Debt Service</td>
<td>(7,697,127)</td>
<td>(886,810)</td>
<td>(9,591,012)</td>
<td>(18,174,949)</td>
</tr>
<tr>
<td>Anticipated Revenue 04/01/20 to 8/31/2020</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>1,385,000</td>
<td>6,075,580</td>
<td>317,250</td>
<td>7,777,830</td>
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<tr>
<td>State funding</td>
<td>5,315,790</td>
<td>0</td>
<td>0</td>
<td>5,315,790</td>
</tr>
<tr>
<td>Auxiliary revenue</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Anticipated Expenditures 04/01/20 to 08/31/20</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salaries, wages and benefits - GR and GRD</td>
<td>(15,786,695)</td>
<td>0</td>
<td>0</td>
<td>(15,786,695)</td>
</tr>
<tr>
<td>Salaries, wages and benefits - Other E &amp; G</td>
<td>(7,517,142)</td>
<td>0</td>
<td>0</td>
<td>(7,517,142)</td>
</tr>
<tr>
<td>Salaries, wages and benefits - Other</td>
<td>0</td>
<td>(22,702,222)</td>
<td>(10,177,478)</td>
<td>(32,879,700)</td>
</tr>
<tr>
<td>O &amp; M and capital</td>
<td>(914,944)</td>
<td>(8,522,581)</td>
<td>(6,920,674)</td>
<td>(16,358,199)</td>
</tr>
<tr>
<td>Debt Service</td>
<td>(3,027,546)</td>
<td>(1,140,676)</td>
<td>0</td>
<td>(4,168,224)</td>
</tr>
<tr>
<td>Less Summer School Salaries, wages and benefits</td>
<td>0</td>
<td>(3,483,111)</td>
<td>0</td>
<td>(3,483,111)</td>
</tr>
<tr>
<td>Less projected refunds to the students - Rec Center</td>
<td>0</td>
<td>(597,331)</td>
<td>0</td>
<td>(597,331)</td>
</tr>
<tr>
<td>Less projected refunds to the students - Student Center</td>
<td>0</td>
<td>0</td>
<td>(428,772)</td>
<td>(428,772)</td>
</tr>
<tr>
<td>Less projected refunds to the students - Room and Board</td>
<td>0</td>
<td>0</td>
<td>(8,500,959)</td>
<td>(8,500,959)</td>
</tr>
<tr>
<td>Projected Fund Balance @ 8/31/20 before transfers</td>
<td>9,461,286</td>
<td>80,426,722</td>
<td>(9,924,371)</td>
<td>79,963,639</td>
</tr>
<tr>
<td>Total actual and projected transfers</td>
<td>(9,257,627)</td>
<td>(7,386,473)</td>
<td>9,788,353</td>
<td>(6,855,747)</td>
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<tr>
<td>Net Projected Change in Fund Balance</td>
<td>(1,025,083)</td>
<td>(2,154,233)</td>
<td>(12,327,205)</td>
<td>(15,506,521)</td>
</tr>
<tr>
<td>Net projected Fund Balance</td>
<td>203,661</td>
<td>73,040,249</td>
<td>(136,019)</td>
<td>73,107,891</td>
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</tbody>
</table>

4/7/2020

12:25 PM
<table>
<thead>
<tr>
<th>Tuition and Fee Source</th>
<th>Fall &amp; Spring 2019</th>
<th>Fall &amp; Spring 2020</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Budget</td>
<td>Actual</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Tuition and Fees</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>$ 102,612,293.53</td>
<td>$ 105,386,148.84</td>
</tr>
<tr>
<td>Exemptions &amp; Waivers</td>
<td>$ (8,429,819.80)</td>
<td>$ (11,959,235.31)</td>
</tr>
<tr>
<td><strong>Tuition and Fees Net Total</strong></td>
<td>$ 94,182,473.73</td>
<td>$ 93,426,913.53</td>
</tr>
<tr>
<td><strong>Auxiliary Fees</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fees</td>
<td>$ 5,832,661.00</td>
<td>$ 5,937,952.47</td>
</tr>
<tr>
<td>Exemptions &amp; Waivers</td>
<td>$ (350,618.00)</td>
<td>$ (538,224.16)</td>
</tr>
<tr>
<td><strong>Auxiliary Fees Net Total</strong></td>
<td>$ 5,482,043.00</td>
<td>$ 5,399,728.31</td>
</tr>
<tr>
<td><strong>Total Tuition and Fees</strong></td>
<td>$ 108,444,954.53</td>
<td>$ 111,324,101.31</td>
</tr>
<tr>
<td><strong>Total Exemptions &amp; Waivers</strong></td>
<td>$ (8,780,437.80)</td>
<td>$ (12,497,459.47)</td>
</tr>
<tr>
<td><strong>Net Total</strong></td>
<td>$ 99,664,516.73</td>
<td>$ 98,826,641.84</td>
</tr>
</tbody>
</table>
Stephen F. Austin State University
Board of Regents – Finance Committee
Texas Government Code Contract Reporting
April 18, 2020
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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.
Vendor contract: Richards Carlberg, Inc.


Vendor Awarded Contract: Richards Carlberg, Inc.

Procurement Method: Request for Proposal

Department Responsible for Contract: University Marketing Communications

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $930,792.00

Total Estimated Aggregate Amount: $8,028,245.84

Contract Period: 9/1/2013 until modified


Director Certification: Completed

President Attestation: Not Applicable

Vendor contract: *Kirksey Architects, Inc.*

**Description of Contract:** Architectural services related to the design for the fine arts expansion, welcome center and student services one stop shop, and residence hall and dining hall in accordance with RFQ#AE-BLDG PROJECTS-2018 opened 9/06/2018 and Architect Agreement and Addenda. Addendum 1-Fine Arts in the amount of $2,518,500 for basic services, $65,800 for additional services and reimbursable expenses not to exceed $77,000. Addendum 1-Welcome Center and Student Support Services One Stop Shop in the amount of $780,000 for basic services, $164,900 for additional services, and reimbursable expenses not to exceed $24,600. Addendum 1-Construct and Renovate Student Residential and Dining Facilities in the amount of $2,275,200 for basic services, $99,250 for additional services, and reimbursable expenses not to exceed $68,000. Subsequent Amendment No. 1 to Addendum 1-Residence Hall in the amount of $128,000 for redesign services. Subsequent Amendment No. 1-Welcome Center and Student Support Services One Stop Shop termination of project ($884,459). Subsequent Amendment No. 1 to Addendum 1-Fine Arts in the amount of $624,000 for redesign services.

**Vendor Awarded Contract:** Kirksey Architects, Inc.

**Procurement Method:** Request for Qualifications

**Department Responsible for Contract:** Physical Plant

**Serious issue or risk with contract:** None

**Total Current Fiscal Year Amount:** ($132,459.00)

**Total Estimated Aggregate Amount:** $5,940,791.00

**Contract Period:** 3/5/2019- 3/04/2023

**Board Approved:** October 2018, October 2019

**Director Certification:** Completed

**President Attestation:** Not Applicable

**Statutory Reporting Requirement:** Government Code 2261.253, 2261.254, 2261.255
April 18, 2020  Contract Monitoring

Vendor contract: Touchnet Information Systems, Inc.

Description of Contract: Second Application subscription program agreement for hosted software offsite in accordance with agreement effective 03/01/2020.

Vendor Awarded Contract: Touchnet Information Systems, Inc.

Procurement Method: Exempt Policy 17.1-Direct Publications

Department Responsible for Contract: Information Technology Services

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $204,566.00

Total Estimated Aggregate Amount: $1,107,995.44

Contract Period: 03/01/2020-2/28/2025

Board Approved: Exempt per policy 1.4-Hosted Software services and applicable license and maintenance for general business operations such as student bill payment, cashiering and student email.

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254
Vendor contract: Kingham Dalton Wilson, Ltd.

Description of Contract: Construction of a fine arts expansion, welcome center and student support services one stop shop, basketball practice facility, and the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities in accordance with RFP#CMR-BLDG PROJECTS-2019 opened 9/20/18 and construction manager agreement dated 2/07/19 with estimated substantial completion date for all projects of 2/23/21 which may change upon final schedules and final project GMP's. Subsequent amendment for preconstruction services in the amount of $209,744. Subsequent Amendments for Basketball Practice Facility: Amendment No.1 effective 7/22/19 for phase 1 of the GMP in the amount of $1,369,388, Amendment No.2 effective 10/29/2019 for phase 2 of the GMP in the amount of $23,818,986. Subsequent amendment for Welcome Center and Student Support Services One Stop Shop-Amendment No. 1 to remove project in its entirety effective 2/27/2020. Subsequent Amendment No. 2 for preconstruction services in the amount of $113,928.

Vendor Awarded Contract: Kingham Dalton Wilson, Ltd.

Procurement Method: Request for Proposal

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $23,932,914.00

Total Estimated Aggregate Amount: $25,512,046.00

Contract Period: 2/07/2019-4/16/2021

Board Approved: October 2018, May 2019

Director Certification: Completed

President Attestation: Completed

**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. Subsequent Amendment No. 2 effective 9/03/19 for additional services for Branded Interior Environment in the amount of $108,620 plus reimbursable expenses not to exceed $3,800 and updated final project completion date to 11/01/2021. Subsequent Amendment No. 3 in the amount of $422,501 which includes $374,561 for redesign services plus $16,000 for reimbursables and additional services of $31,940 for adding loge boxes in Coliseum.

**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:** $534,921.00

**Total Estimated Aggregate Amount:** $2,111,771.00

**Contract Period:** 12/05/2018 – 11/01/2021

**Board Approved:** October 2018

**Director Certification:** Not Applicable

**President Attestation:** Not Applicable

**Statutory Reporting Requirement:** Government Code 2261.253, 2261.254
Summary of Contracts
<table>
<thead>
<tr>
<th>Description of contract</th>
<th>Vendor Awarded Contract</th>
<th>Procurement method</th>
<th>Department responsible for Contract</th>
<th>Serious Issue or Risk with Contract</th>
<th>Total Current Fiscal Year Amount</th>
<th>Total Estimated Aggregate Amount</th>
<th>Contract period</th>
<th>Board Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Architectural services related to the design for the fine arts expansion, welcome center and student services one stop shop, and residence hall and dining hall in accordance with RFP/2018/EDUC/PROJECTS/2018 opened 9/6/2018 and Architecht Agreement and Addenda: Addendum 1 Fine Arts in the amount of $2,538,500 for basic services, $65,800 for additional services and reimbursable expenses not to exceed $77,000. Addendum 1 Welcome Center and Student Support Services One Stop Shop in the amount of $780,000 for basic services, $164,000 for additional services, and reimbursable expenses not to exceed $24,600. Addendum 1 Construct and Renovate Student Residential and Dining Facilities in the amount of $2,375,000 for basic services, $99,250 for additional services, and reimbursable expenses not to exceed $58,000. Subsequent Amendment No. 1 to Addendum 1 Residence Hall in the amount of $128,000 for redesign services. Subsequent Amendment No. 1 Welcome Center and Student Support Services One Stop Shop termination of project ($884,459). Subsequent Amendment No. 1 to Addendum 1 Fine Arts in the amount of $624,000 for redesign services.</td>
<td>Richards Carlberg inc.</td>
<td>Request for Proposal</td>
<td>University Marketing Communications</td>
<td>None</td>
<td>$930,792.00</td>
<td>$8,028,245.84</td>
<td>9/1/13 until modified</td>
<td>July 2013, July 2014, April 2015, July 2016, October 2017, April 2018, October 2018, April 2019</td>
</tr>
<tr>
<td>Second Application subscription program agreement for hosted software office in accordance with agreement effective 09/01/2020.</td>
<td>Kirksey Architects, Inc.</td>
<td>Request for Qualifications</td>
<td>Physical Plant</td>
<td>None</td>
<td>$132,454.00</td>
<td>$5,942,795.00</td>
<td>3/06/2019 - 3/06/2023</td>
<td>October 2018, October 2019</td>
</tr>
<tr>
<td>Construction of a site arts expansion, welcome center and student support services one stop shop, basketball practice facility, and the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities in accordance with RFP/2018/EDUC/PROJECTS/2018 opened 9/6/2018 and construction manager agreement dated 2/17/23 with estimated substantial completion date for all projects of 2/17/23 which may change upon final schedules and final project GMP. Subsequent amendment for preconstruction services in the amount of $209,344. Subsequent amendments for Basketball Practice Facility: Amendment No. 1 effective 7/22/19 for phase 1 of the GMP in the amount of $1,369,388. Amendment No. 2 effective 10/29/2018 for phase 2 of the GMP in the amount of $233,818.86. Subsequent amendment for Welcome Center and Student Support Services One Stop Shop: Amendment No. 1 to remove project in its entirety effective 2/27/2020. Subsequent Amendment No. 2 for preconstruction services in the amount of $113,978.</td>
<td>Teachnet Information Systems, Inc.</td>
<td>Exempt Policy 171-1 Direct Publications</td>
<td>Information Technology Services</td>
<td>None</td>
<td>$204,566.00</td>
<td>$1,107,955.44</td>
<td>03/01/2020-02/28/2023</td>
<td>Exempt per policy 1.4-Hosted Software services and applicable license and maintenance for general business operations such as student bill payment, cashiering and student email.</td>
</tr>
</tbody>
</table>

Kingham Dalton Wilson, Ltd. | Request for Proposal | Physical Plant | None | $23,932,944.00 | $25,512,046.00 | 2/07/19 - 4/16/2021 | October 2018, May 2019 |
### Stephen F. Austin State University
**Summary of Contracts**

**Summary of Goods and Services Contracts Greater than $5 Million (Including Construction)**

**Finance Committee - April 18, 2020**

<table>
<thead>
<tr>
<th>Description of Contract</th>
<th>Vendor Awarded Contract</th>
<th>Procurement method</th>
<th>Department responsible for Contract</th>
<th>Serious issue or risk with contract</th>
<th>Total Current Fiscal Year Amount</th>
<th>Total Estimated Aggregate Amount</th>
<th>Contract period</th>
<th>Board Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Architectural services related to the construction of a new basketball practice facility in accordance with IFOMAS ATHLETIC FACILITIES-2018 opened 9/06/2018 and Architect Agreement and Addendum 1 in the amount of $1,443,090 plus reimbursable expenses not to exceed $133,800. Subsequent Amendment No. 1 to revise phase of work fee breakdown effective 12/21/2018. Subsequent Amendment No. 2 effective 9/03/19 for additional services for branded interior environment in the amount of $108,630 plus reimbursable expenses not to exceed $5,800 and updated final project completion date to 11/01/2021. Subsequent Amendment No. 3 in the amount of $422,301 which includes $374,961 for redesign services plus $55,000 for reimbursables and additional services of $33,940 for adding logo boxes in Coliseum.</td>
<td>Populus, Inc.</td>
<td>Request for Qualifications</td>
<td>Physical Plant</td>
<td>None</td>
<td>$534,921.00</td>
<td>$2,131,771.00</td>
<td>12/05/2016-11/01/2021</td>
<td>October 2018</td>
</tr>
</tbody>
</table>
LUMBERJACK EDUCATION ASSISTANCE PROGRAM

Explanation:

The university currently has an employee tuition assistance program that is governed by SFA Policy 12.5, Employee Scholarship Program. The program is currently budgeted at $450,000 and provides up to $3,000 annual financial assistance for employees and/or dependents to enroll in SFA courses. During fiscal year 2019, $436,379 was used to support the employee scholarship program. 105 employees and 107 dependents participated in the program.

As part of SFA’s strategic commitment to attract and retain high quality faculty and staff, a committee examined expanded educational support for SFA employees and dependents. The committee’s recommendation to the administration is to exempt all tuition and fees for employees and dependents, excluding the statutory educational and general tuition of $50 per semester credit hour for undergraduate classes and $80 per hours for graduate classes. Texas Education Code 54.051 governs both the undergraduate and graduate semester credit hour costs.

In addition, the committee’s recommendation is to utilize currently budgeted funds to scholarship the education and general statutory tuition of $50 per semester credit hour for employees who are undergraduate students and $80 per semester credit hour for employees who are graduate students. Using fiscal year 2019 employee enrollment, the scholarship cost is projected to be $45,200. Further, the committee recommendation is to change the name of the Employee Scholarship Program to the Lumberjack Education Assistance Program.

Recommendation:

The administration recommends approval to exempt eligible SFA employees and dependents from all tuition and fees, excluding tuition charges enacted by the Texas Education Code 54.051, Tuition Rates. Further, the administration recommends an employee scholarship waiver for Texas Education Code 54.051 tuition charges.
Finance & Administration
Lumberjack Education Assistance Program
April 18, 2020
Agenda

• Existing Employee Scholarship Program
  – Provides up to $3,000 per year for employees and/or dependents

• Proposed Lumberjack Education Assistance Program
  – Proposes to exempt all tuition and fees, excluding statutory education and general tuition
  – Proposes to provide scholarship support for the statutory tuition component, $50 per semester credit hour for undergraduate students and $80 per semester credit hour for graduate students
### Employee Scholarship Program

<table>
<thead>
<tr>
<th></th>
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<tr>
<td></td>
<td>$ 450,000</td>
<td>$ 436,379</td>
<td>$ 371,689</td>
<td>$ 395,648</td>
<td>$ 397,176</td>
<td>$ 410,853</td>
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# Employee Scholarship Program
## FY 2019

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<tr>
<th>Scholarship Type</th>
<th>Amount Awarded</th>
<th>Estimated Formula Funding</th>
<th>Difference</th>
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<tr>
<td>Employee Scholarship Program</td>
<td>$228,786</td>
<td>$144,784</td>
<td>($84,002)</td>
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<tr>
<td>Spouse/Dependent Scholarship Program</td>
<td>$207,593</td>
<td>$180,194</td>
<td>($27,399)</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>$436,379</strong></td>
<td><strong>$324,978</strong></td>
<td><strong>($111,400)</strong></td>
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<thead>
<tr>
<th>SCH Total</th>
<th>Number of Participants</th>
<th>SCH per Participant</th>
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<tr>
<td>905</td>
<td>105</td>
<td>5</td>
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<tr>
<td>1,890</td>
<td>107</td>
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<tr>
<td>2,795</td>
<td>212</td>
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Lumberjack Education Assistance Program (LEAP)

<table>
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<tr>
<th>Projected Impact for Fiscal Year 2021</th>
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<tr>
<td>Based on Fiscal Year 2019 Participation</td>
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<tr>
<td>Projected Exemptions</td>
<td>$ 997,451.00</td>
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<tr>
<td>Projected Employee Scholarship</td>
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<tr>
<td><strong>Projected Institutional Contribution</strong></td>
<td>$ 1,042,651.00</td>
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<tr>
<td>FY 2019 Actual Scholarship</td>
<td>$ 436,378.65</td>
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<td></td>
<td></td>
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<tr>
<td><strong>Projected Contribution Increase</strong></td>
<td>$ 606,272.35</td>
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ADOPTION OF FISCAL YEAR 2019-20 SUMMER BUDGET

Explanation:

The fiscal year 2019-20 summer budget contains two regular summer semesters and a mini-semester. The 2019-20 annual budget includes summer reserve funds of $2,284,581 that are used to support summer school salaries and benefits. In addition, salary savings and designated funds that total $1,198,530 are needed to support summer budget salaries and initiatives.

Recommendation:

The administration recommends approval of the fiscal year 2019-20 summer budget that totals $3,483,111. Funding sources include budgeted summer reserve funds, salary savings and designated support funds.
Stephen F. Austin State University

SUMMER BUDGET

2020
Stephen F. Austin State University
Summer Budget
2020

Table of Contents

Statement of Source of Funds................................................................. 1
Budget Summary ................................................................................. 2
Budget by Account ............................................................................. 3
STEPHEN F. AUSTIN STATE UNIVERSITY
SUMMER BUDGET 2020
SOURCE OF FUNDS

EDUCATIONAL AND GENERAL

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
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</thead>
<tbody>
<tr>
<td>Reserve for Summer Salaries and Benefits</td>
<td>83,391</td>
</tr>
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TOTAL EDUCATIONAL AND GENERAL 83,391

DESIGNATED FUNDS

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
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<tr>
<td>Reserve for Summer Salaries and Benefits</td>
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<tr>
<td>Salary Savings and Designated Support Funds</td>
<td>1,198,530</td>
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</table>

TOTAL DESIGNATED FUNDS 3,399,720

TOTAL SUMMER BUDGET 3,483,111
# STEPHEN F. AUSTIN STATE UNIVERSITY
## SUMMER BUDGET SUMMARY
### SUMMER BUDGET FOR FISCAL YEAR 2020

<table>
<thead>
<tr>
<th>FACULTY SALARIES</th>
<th>STAFF SALARIES</th>
<th>O&amp;M</th>
<th>BENEFITS</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EDUCATIONAL AND GENERAL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>COLLEGE OF FORESTRY</td>
<td>72,514</td>
<td></td>
<td>10,877</td>
<td>83,391</td>
</tr>
<tr>
<td>TOTAL EDUCATIONAL AND GENERAL</td>
<td>72,514</td>
<td></td>
<td>10,877</td>
<td>83,391</td>
</tr>
</tbody>
</table>

| **DESIGNATED FUNDS** | | | | |
| COLLEGE OF BUSINESS | 415,500 | | 62,325 | 477,825 |
| COLLEGE OF EDUCATION | 953,979 | | 143,097 | 1,097,076 |
| COLLEGE OF FINE ARTS | 167,790 | 3,500 | 5,500 | 202,484 |
| COLLEGE OF FORESTRY | 191,500 | | 28,725 | 220,225 |
| COLLEGE OF LIBERAL AND APPLIED ARTS | 616,158 | | 92,424 | 708,582 |
| COLLEGE OF SCIENCES AND MATHEMATICS | 585,669 | 4,200 | 88,479 | 678,348 |
| FRESHMAN SEMINAR | | 13,200 | 1,980 | 15,180 |
| TOTAL DESIGNATED | 2,930,596 | 20,900 | 5,500 | 3,399,720 |

| TOTAL SUMMER BUDGET | | | | |
| 3,003,110 | 20,900 | 5,500 | 453,601 | 3,483,111 |
# College of Business Accounting

## 159996 - 21100

<table>
<thead>
<tr>
<th>EMPLOYEE</th>
<th>RANK</th>
<th>APPOINTMENT</th>
<th>NUMBER OF MONTHS</th>
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<tbody>
<tr>
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<td></td>
<td></td>
<td>Summer II</td>
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<td>10,000</td>
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<tr>
<td>Jones, Janet</td>
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<td>Ross, Stephanie</td>
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<td></td>
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<tr>
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<td>Sienko, Whitney</td>
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**FACULTY SALARIES**: 69,500

**STAFF SALARIES**: 0

**BENEFITS**: 10,425

**O AND M**: 0

**TOTAL**: 79,925
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<th>EMPLOYEE</th>
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<th>NUMBER OF MONTHS</th>
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<th>SALARY</th>
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<tbody>
<tr>
<td>Blount, Justin</td>
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<tr>
<td>Sigmar, Lucia</td>
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<td>Wright, Carol</td>
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<tr>
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<td>Humphries, Jamie</td>
<td>Assistant Professor</td>
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<tr>
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FACULTY SALARIES 96,000
STAFF SALARIES 0
BENEFITS 14,400
O AND M 0
TOTAL 110,400
**College of Business**  
**Economics & Finance**  
**159996 - 21400**

<table>
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<th>RANK</th>
<th>APPOINTMENT</th>
<th>NUMBER OF MONTHS</th>
<th>FTE</th>
<th>SALARY</th>
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<td>Summer I</td>
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<tr>
<td>Jones, Samuel</td>
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**STAFF SALARIES**  
**BENEFITS**  
**O AND M**  
**TOTAL**  
105,000  
15,750  
0  
120,750
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<tr>
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**College of Education**
*Human Services*
*159996 - 22100*

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# College of Education
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### 159996 - 22300

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College of Education  
Secondary Education and Ed Leadership  
159996 - 22500

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College of Fine Arts
Music
15996 - 23200

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159996 - 23300

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# College of Forestry & Agriculture
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159996 - 24100

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**Faculty Salaries**: 117,500

**Benefits**: 17,625

**O AND M**: 0

**Total**: 135,125
# College of Forestry & Agriculture
## Center For Applied Studies
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**FACULTY SALARIES**

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**STAFF SALARIES**

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**BENEFITS**

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**O AND M**

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**TOTAL**

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# College of Liberal and Applied Arts
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## College of Liberal and Applied Arts
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# College of Liberal and Applied Arts
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**BENEFITS**  10,644  
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**TOTAL**  81,602
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Languages, Cultures & Communication
159996 - 25300

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**TOTAL**
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159996 - 25400

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159996 - 25500

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**FACULTY SALARIES**
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**STAFF SALARIES**
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**BENEFITS**
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**O AND M**
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**TOTAL**
- 52,900
College of Liberal and Applied Arts  
Anthropology, Geography & Sociology  
159996 - 25600

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### 159996 - 25750

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**STAFF SALARIES**

**BENEFITS**

**O AND M**

**TOTAL**

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FACULTY SALARIES: 83,682
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BENEFITS: 12,552
O AND M: 0
TOTAL: 96,234
College of Sciences & Mathematics  
Chemistry  
159996 - 26200

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STAFF SALARIES         | 2,100
BENEFITS               | 9,290
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# College of Sciences & Mathematics
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### 159996 - 26300

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# College of Sciences & Mathematics
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159996 - 26400

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| BENEFITS              | 26,875          |
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| **TOTAL**             | 206,042         |
## College of Sciences & Mathematics
### School of Nursing
#### 159996 - 26500

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FACULTY SALARIES: 82,334
STAFF SALARIES: 0
BENEFITS: 12,350
O AND M: 0
TOTAL: 94,684
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## College of Sciences & Mathematics
### Computer Science

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### FACULTY SALARIES

- 63,102

### STAFF SALARIES

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### BENEFITS

- 9,465

### O AND M

- 0

### TOTAL

- 72,567
## Student Success Center
### Freshman Seminar (SFA 101)
#### 159996 - 29303

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**FACULTY SALARIES**: 0
**STAFF SALARIES**: 13,200
**BENEFITS**: 1,980
**O AND M**: 0
**TOTAL**: 15,180
GRANT AWARDS

Explanation:

For fiscal year 2020, the multi-year grant award total is currently $13,680,431. Of this total, grant awards allocable to fiscal year 2020 are currently $6,271,303, an increase of $596,703 since the last report.

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

Recommendation:

The administration recommends approval and ratification of the additional fiscal year 2020 grant awards that total $596,703. The grant awards are detailed as presented.
Grant Report to the Board of Regents – April 2020
Grants awarded between January 1, 2020 and March 31, 2020
Prepared by the Office of Research & Graduate Studies

Fiscal Year 2020 – as of March 31, 2020

Amounts allocable to FY20 (detailed in this report)

Federal Funds (direct and pass-through) $247,388
State Funds (direct and pass-through) $208,608
Private, Local Government, Other $140,707

TOTAL $596,703

New awards, FY20 (detailed in this report, all project years) $752,312
Cumulative amount allocable to FY20 $6,271,303
Cumulative award total FY20, all project years $13,680,431

Federal SEOG (not included in ORGS totals) $393,022

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

New, Additional, or Previously Unreported Awards for FY20

Federal Funds (direct and pass-throughs)

Title *Distribution, Occupancy, and Mercury Bioaccumulation of Alligator Snapping Turtles In Texas
Sponsor: Texas Parks and Wildlife (Fish & Wildlife Service, CFDA 15.634)
Award Term: February 28, 2020 to May 31, 2022
PI/PD: Dr. Christopher Schalk, Forestry
Total Award: $150,878 Amount allocable to FY20: $66,452

This research project will examine the current distribution, occupancy, and mercury bioaccumulation in Alligator Snapping Turtles which will assist the sponsor as it begins a species assessment to determine if this turtle should be listed as an endangered species.

Title *Ground Truthing the Species Distribution Model of Bachman's Sparrow
Sponsor: Texas Parks and Wildlife (Fish & Wildlife Service, CFDA 15.634)
Award Term: February 28, 2020 to May 31, 2022
PI/PD: Dr. Christopher Schalk, Forestry
Total Award: $148,741 Amount allocable to FY20: $84,623

This research project will provide an assessment of a species distribution model for the Bachman's Sparrow; in addition, the habitat evaluation will aid in identifying important areas for future population expansion and management.

*New awards or additional funds added to a current award.
1For purposes of this report, grant includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller’s Office or the VP of Finance & Administration.
Grant Report to the Board of Regents – April 2020
Grants awarded between January 1, 2020 and March 31, 2020
Prepared by the Office of Research & Graduate Studies

Title: *Establishment of Silvopasture Demonstration Area Using Native Grasses
Sponsor: Natural Resources Conservation Service (USDA, CFDA 10.912)
Award Term: January 22, 2020 – September 30, 2022
PI/PD: Jason Grogan, Forestry
Total Award: $75,000

Amount allocable to FY20: $45,885
Several demonstration areas of silvopasture practices will be studied to and used to transfer agroforestry science and technology to producers and others including outreach to historically underserved producers.

Previously Described Awards:
*Investigating the Potential for Golden Kiwifruit as a New Specialty Crop in Texas, Phase 4
Dr. David Creech, Agriculture
Award Total: $50,428
Amount allocable to FY20: $50,428

Subtotal amounts allocable to FY20 (this report) = $247,388
Subtotal new federal funds = $425,047

Federal Supplemental Education Opportunity Grants (SEOG) (not included in ORGS totals)
FY2020 Additional Funds: $393,022
Agency: Department of Education
Manager: Rachele Garrett, Financial Aid

State Funds (direct and pass-through)
Title: *Assessing Pathways of Introduction of Non-Native Fishes In Texas Streams
Sponsor: Texas Parks and Wildlife Department
Award Term: February 28, 2020 to August 31, 2021
PI/PD: Dr. Carmen Montana-Schalk, Biology
Total Award: $74,580
Amount allocable to FY20: $63,623
This research project will reviewee various method if introducing non-native fishes into Texas streams to help conservation planning efforts in relation to introduction prevention, early invasion intervention, and control of established populations.

*New awards or additional funds added to a current award.
1For purposes of this report, ‘grant’ includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller’s Office or the VP of Finance & Administration.
Grant Report to the Board of Regents – April 2020
Grants awarded between January 1, 2020 and March 31, 2020
Prepared by the Office of Research & Graduate Studies

Title: *Assessing The Population Status of Brazos River Watersnakes
Sponsor: Texas Parks and Wildlife Department
Award Term: March 16, 2020 to December 31, 2020
PI/PI: Dr. Stephen Mullin, Biology
Total Award: $27,900  Amount allocable to FY20: $26,700
This research project will assist the sponsor in detecting declines in already-small populations and in making management decisions to assure species continuation.

Previously Described Awards
*Texas AHEC East, Piney Woods Region, State FY20
Debra Kiesel, AHEC East Piney Woods Region
Award Total: $100,285  Amount allocable to FY20: $100,285

*JAMP Special Projects: JAMP Camp 2020
Dr. Kevin Langford, Biology
Award Total: $18,000  Amount allocable to FY20: $18,000

Subtotal amounts allocable to FY20 (this report) = $208,608
Subtotal new state funds = $220,765

Private Entity, Local Government, and Other Awards
Title: *Health Resource Centers Evaluation: Robertson, Trinity and Bastrop Counties
Sponsor: Episcopal Health Foundation
Award Term: January 1, 2020 to December 31, 2020
PIs/PDs: Dr. Emmerentie Oliphant, School of Social Work
Total Award $92,000  Amount allocable to FY20: $92,000
This is a qualitative evaluation of health resource centers in three counties.

Title: *Student Percepts and Learning Effectiveness Across Educational Platforms
Sponsor: Tophatmonocle Corp.
Award Term: February 19, 2020 to January 31, 2021
PIs/PDs: Dr. Lora Jacobi, Psychology
Total Award $8,000  Amount allocable to FY20: $8,000
This research project will utilize the sponsor’s active learning technology to determine how to improve processes and outcomes in college classrooms

*New awards or additional funds added to a current award.
1For purposes of this report, ‘grant’ includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller’s Office or the VP of Finance & Administration.
# Grant Report to the Board of Regents – April 2020

Grants\(^1\) awarded between January 1, 2020 and March 31, 2020

Prepared by the Office of Research & Graduate Studies

<table>
<thead>
<tr>
<th>Title:</th>
<th>*Professional Development Grant: CCIS Conference 2020</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsor:</td>
<td>College Consortium for International Studies</td>
</tr>
<tr>
<td>Award Term:</td>
<td>October 31, 2019 to April 1, 2020</td>
</tr>
<tr>
<td>PIs/PDs:</td>
<td>Heather Catton, International Studies and Programs</td>
</tr>
<tr>
<td>Total Award</td>
<td>$500</td>
</tr>
</tbody>
</table>

Amount allocable to FY20: $500

Travel grant funds to assist attendance at the College Consortium for International Studies.

**Previously Described Awards:**

**Luminant Environmental Research Program**

Dr. Jason Paul, Environmental Science

| Award Total: | $84,439 |

Amount allocable to FY20: $34,207

**Guest Speakers, Undergraduate Research, and Reading Group**

Dr. Donald Gooch, Government

| Award Total: | $81,000 |

Amount allocable to FY20: *$6,000

Subtotal amounts allocable to FY20 (this report) = $140,707

Subtotal new private and local fund = $106,500

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\(^1\)New awards or additional funds added to a current award.

\(^*\)For purposes of this report, ‘grant’ includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller’s Office or the VP of Finance & Administration.
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:

- Best Value Procurement 17.1
- Departmental Budgeting and Accounting Responsibility 3.9
- Interagency and Interlocal Contracts 17.8
- Lumberjack Education Assistance Program 12.5
- Payment Card Acceptance and Security 14.8
- Procurement Card 17.11
- Professional and Consulting Services 17.12
- Property Inventory and Management 17.14
- Proprietary Purchases 17.15
- Purchase of Demonstrator or Used Equipment 17.18
- Returned Payments 3.27
POLICY SUMMARY FORM

Policy Name: Best Value Procurement

Policy Number: 17.1

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

Date of last revision, if applicable: 7/25/2017

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

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

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: The change provides a revision to bid limits, blends in content/allows deletion of policies 17.8, 17.12, and 17.15, and addresses changes in TCG 2254.002(2)(C). Revision adds references to the Cross Reference and Forms section of the policy.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

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

Original Implementation: January, 1988
Last Revision: April 18, 2020 July 25, 2017

Purpose

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

PROCUREMENT PROCESSES

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

A. programs associated with the purchase of goods or services from persons with disabilities as required under applicable state law;
B. direct negotiation if the aggregate total is $150,000 or less (except that the limit for federal funds is $3,000);
C. group/cooperative purchasing programs;
D. contracts awarded by the state comptroller’s office, Department of Information Resources, Council on Competitive Government, State Office of Risk Management, or other state of Texas agencies or institutions of higher education;
E. contracting with other state agencies or political subdivisions in accordance with Interagency and Interlocal Contracts (see additional information below in Additional Procurement Considerations)
F. purchasing on a proprietary basis in accordance with Proprietary Purchases (see additional information below in Additional Procurement Considerations)
G. purchase of professional and consulting services in accordance with Texas Government Code Section 2254 (see additional information below in Additional Procurement Considerations)
H. purchasing from state or federal surplus warehouses in accordance with Purchase of Surplus Property
I. soliciting bids or proposals as follows:
   a. informal solicitation if the aggregate total is $5025,000 or less; this limit may be increased to $150,000 if using federal grant funds;
   b. formal solicitation if the aggregate total is over $5025,000; this limit may be increased to $150,000 if using federal grant funds;
J. purchasing on an emergency basis as long as the procurement is necessary to prevent a hazard to life, health, safety, welfare, or property, or to avoid undue additional cost to the university;
K. purchasing on a best value basis without using one of the above processes as long as the supporting justification is approved by the director of procurement and is in compliance with best value considerations outlined in Texas Education Code Section 51.9335.
ADDITIONAL PROCUREMENT CONSIDERATIONS

General

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

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

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

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

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

Some procurements have additional restrictions based on the source of funding. Reference the Funds Guidelines and HEF Guidelines published on the procurement and property services and controller’s office websites.

Contracting Restrictions

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

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

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

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

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

**Contract Management**

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

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

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

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

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

**Interagency and Interlocal Purchases**

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

*Interlocal purchases are for goods or services from or by a local government such as a city or county government, school district, junior or community college district, or other political subdivision. Such purchases are handled as an Interlocal Agreement, and are allowed so long as neither the agency nor the political subdivision exceeds its duties and responsibilities or the limitations of its appropriated funds or its governing board or commission.*
A state agency may not provide services or resources to another agency that are required by Article XVI, Section 21, of the Texas Constitution to be provided under a contract awarded to the lowest responsible bidder. Printing services may not be purchased through an Interagency or Inter-local Agreement.

Interagency contracts shall follow financial approval thresholds allowed in university policy 1.4. All interagency contracts must conform to appropriate procurement procedures and be approved by an authorized administrator from each agency. An interagency agreement, if required under applicable law, must specify the following:

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

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

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

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

Proprietary Purchases

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

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

Purchase of Professional and Consulting Services

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

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

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

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

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

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

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

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

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

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

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

**EXEMPT PURCHASES**

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

17.1 Best Value Procurement
1. advertising;
2. hotels and meeting rooms for conferences;
3. conference expenses – expenses related to conference room services such as audio/visual/network and food services. (does not include goods purchased for attendees or transportation services);
4. moving expenses (employee) – see Moving Expenses (3.23);
5. student travel – see Student Travel (10.12) – expenses related to student travel – see Student Travel (10.12);
6. library materials and services for Stephen F. Austin State University libraries when such exemption represents the best value to the university;
7. membership dues and associated fees;
8. direct publications only available from a single source as defined in the procurement procedure manual;
9. freight, including shipping, handling, fuel surcharge, hazardous material fee, postage, and other surcharges;
10. intra-agency payments (IDT);
11. rental of exhibit space;
12. items for resale;
13. internal repairs – repairs for which the extent and cost of such cannot be determined until the commodity is disassembled and evaluated; an internal repair must contain labor and may also include parts;
14. purchases from federal agencies;
15. utilities, other than deregulated electricity;
16. organized activity purchases – goods and services for the Early Childhood Lab, Cole Audiology Lab, Beef Farm, Poultry Farm, Equestrian Program, Broiler Houses, and Swine Farm when the purchase directly affects operations and such exemption represents the best value to the university;
17. group travel – expenses related to group travel when such group travel includes non-university persons and/or is funded by payment from individual travelers; i.e., Art Tour;
18. gifts, prizes and awards for students, employees and non-university individuals – See Gifts, Prizes and Awards (3.18)/See Gifts, Prizes and Awards (3.18);
19. accreditation fees;
20. tournament fees or game guarantees;
21. licensing fees or permits;
22. employee registration or tuition;
23. sponsorships;
24. non-travel-related meals;
25. fees, not otherwise identified herein;
26. notary bonds;
27. guest lecturers, speakers, artists, entertainers, performers, musicians, etc.;
28. educational/training services for university employees;
29. veterinary services;
30. other professional services as defined by the state comptroller’s expenditure codes.
Cross References: Items Requiring Board of Regents Approval (1.4); Ethics (2.6); Gifts, Prizes and Awards (3.18); Student Travel (10.12); Nepotism (11.16); Historically Underutilized Businesses (17.7); Delegated Purchasing Authority (17.5); Interagency and Interlocal Contracts (17.8); Proprietary Purchases (17.15); Professional and Consultant Services (17.12); Purchase of Surplus Property (17.17); Purchase Voucher (17.20); Purchases From Officers or Employees (17.21); Moving Expenses (3.23); Purchase Requisition (17.19); Tex. Educ. Code §§ 51.9335, .9337; Tex. Gov’t Code § 572.069; Tex. Gov’t Code § 669.003; Tex. Gov’t Code § 2261.253; Tex. Gov’t Code §§ 2252.001-.004, .901; Tex. Gov’t Code Ch. 2254; Tex. Gov’t Code Ch. 573; Tex. Gov’t Code Ch. 771, 791; Tex. Const. Art. XVI, §21; Tex. Gov’t Code §§ 2155.063, .067; 2 CFR §§ 200.317-.326;

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Purchase Requisition, Purchase Voucher

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Departmental Budgeting and Accounting Responsibilities

Policy Number: 3.9

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): Establishes the responsibility of the designated account manager to exercise budgetary control and to account for funds and property

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

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

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Departmental Budgeting and Accounting Responsibilities

**Original Implementation:** September 1, 1987  
**Last Revision:** April 18, 2020

**Purpose**

This policy establishes the responsibility of a designated account manager to exercise budgetary control and to account for the funds and property assigned.

**Definitions**

**An account** is defined as a specific Banner fund/organization combination as assigned by the controller’s office.

**General**

It is the responsibility of each department head to account for the funds and property of his/her department and to exercise budgetary control over them. For that reason, all accounts have a designated account manager. It is the responsibility of each account manager to maintain records of sales and other revenues, expenditures and encumbrances including salaries and wages, and other charges, which support and supplement the records in the Banner finance system.

It is the account manager's responsibility to ensure that each account under his/her control does not exceed budget limitations. In accounts where both revenues and expenditures are projected (i.e. Designated Fund, Restricted Fund, and Plant Fund accounts), if actual revenues do not meet budgeted revenues, it is the account manager's responsibility to reduce expenditures accordingly. All deficits are to be thoroughly investigated and resolved in a timely manner. Likewise, if actual revenue exceeds the account revenue estimate, a budget change may be requested. Procedures that govern this process may be found on the budget office website. **Except for restricted grants and contracts,** all budget increases in excess of $4,50,000 require approval of the vice president for finance and administration and the president or his designee, **budget increases over $100,000 require approval of the president or designee,** and budget increases of $4,500,000 or more require approval of the Board of Regents.

Complete and accurate records of financial transactions are to be maintained by the controller's office. These records may be accessed by the appropriate account manager through the Banner system. Account managers are responsible for comparing their records with those of the controller's office and reporting any differences promptly to the controller's office. The original budgets and all authorized budget revisions for non-restricted accounts and restricted gift accounts are approved by the budget office. The original budgets and all authorized budget revisions for restricted grants and contracts are approved by the Office of Research and Sponsored Programs Graduate Studies (ORGS). Budget revisions for non-restricted accounts and restricted gift accounts under the account manager's control can be initiated with the **appropriate form or process presented on the Budget Office Website.** Budget Office Transaction Request or through Self Service Banner (SSB). Budget revisions between like funds and among a department’s various organizations should be completed
online, by the department, through Self Service Banner. No form is necessary for these types of transactions. Budget revisions for restricted grants and contract accounts can be initiated with the External Grant Budget ORGS Revision Request Clearance Form process established by the ORGS.

Banner confirms available funding during the requisition process. If funds are not available in the account, the budget director, or designee, may authorize an override pending a budget or funds transfer.

An account manager may authorize an employee(s) to view and/or transact account and organizational functions, using the appropriate submission authorization. That delegation should be communicated to all campus support departments which include, but are not limited to Account access designations can be made on the Banner Access Request form. Each account manager may designate one or more additional individuals in the department to approve time and leave in the appropriate timekeeping systems, vouchers, requisitions, and similar documents in his/her absence. The procurement and property services department, the -controller’s office, printing services, post office, physical plant, information technology services (telecommunications and networking), and other offices initiating billing charges through interdepartmental transfers (IDTs), must be informed of these designations. These designations shall be periodically reviewed and updated.

Cross Reference: Interdepartmental Transfer (IDT) (17.9); Items Requiring Board of Regents Approval (1.4)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller, Budget Director

Forms: Budget Office Transaction Request, External Grant Office of Research and Graduate Studies Budget Revision Clearance Request Form, Banner Access Request form

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Interagency and Interlocal Contracts

Policy Number: 17.8

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

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

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

Purpose of Policy (what does it do): This policy defines and describes the appropriate usage of Interagency and Interlocal contracts.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: This policy is proposed to be blended into Policy 17.1.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

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

Original Implementation: Unpublished
Last Revision: July 23, 2019

Purpose

This policy defines and describes the appropriate usage of Interagency and Interlocal contracts.

Definitions

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

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

General

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

Interagency contracts shall follow financial approval thresholds allowed in university policy 1.4. All interagency contracts must conform to appropriate procurement procedures and be approved by an authorized administrator from each agency. An interagency agreement, if required under applicable law, must specify the following:

a. the kind and amount of goods or services to be provided;
b. the basis for computing reimbursable costs; and
c. the maximum cost during the period of the agreement.

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

a. state the purpose, terms, rights, and duties of the contracting parties; and
b. specify that each party paying for the performance of governmental functions or services must make those payments from current revenues available to the paying party.
Forms for interagency and interlocal agreements are available on the general counsel’s website.

**Cross Reference:** Tex. Gov’t Code §§ 771, 791; Tex. Const. art. XVI, § 21; Items Requiring Board of Regents Approval (1.4)

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

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

**Forms:** Purchase Requisition (Banner System), Interagency Cooperation Agreement, Interlocal Agreement

**Board Committee Assignment:** Finance and Audit
POLICY SUMMARY FORM

Policy Name: Lumberjack Education Assistance Program

Policy Number: 125

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

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

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

Purpose of Policy (what does it do): This policy permits active benefits-eligible employees of the university, their spouses, and dependents to participate in the Lumberjack Education Assistance Program (LEAP) provided eligibility requirements are met.

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 policy change supports the university's strategic goal to attract and support high-quality faculty & staff.

Specific rationale for deletion of policy:

Additional Comments:

Policy name changed from Employee Scholarship Program to Lumberjack Education Assistance Program.

Reviewers:

Dr. Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
-Employee-Scholarship-Program-Lumberjack Education Assistance Program

Original Implementation: January 28, 2003
Last Revision: April 1824, 202048

Purpose

This policy permits active, benefits eligible 100 percent regular (100% equivalent (FTE/FTE) employees of the university, their spouses, and dependents, as well as certain graduate assistants to participate in the Lumberjack Education Assistance Program (LEAP) provided eligibility requirements are met.

General

Active benefits eligible - Employees of the university, their spouses and dependents are eligible to participate in the Lumberjack Education Assistance Employee Scholarship Program (LEAP) provided eligibility requirements are met. This policy permits full-time employees and certain graduate assistants to take a course during working hours. Detailed program and eligibility requirements can be found on the human resources website. The program is designed as an employee benefit initiative and is Benefits under the program are subject to available resources. the availability of specific funds in the university budget. The university is not required to make funds available in any given fiscal year. The widow or widower and dependent children of an individual who died while employed at the university shall also be eligible for the Employee Scholarship Program.

Full-time employees and certain graduate assistants who meet specific eligibility requirements are permitted to take a course during working hours. However, participation in the program does not supersede regular work responsibilities. If departmental workloads permit, full-time employees may take one course per semester of either three or four semester credit hours during working hours. An employee’s supervisor must approve the time off for the class, and also approve make-up work arrangements for time missed. If work cannot be made up, an employee must turn in vacation or comp time for work time missed. See Employee Enrolling for Courses. (12.4).
Exceptions to the policy will be considered, but approval must be obtained from the employee’s supervisor and appropriate vice president.

Benefits under the program are subject to the availability of specific funds in the university budget. The university is not required to make funds available in any given fiscal year.

The university complies with federal and state tax regulations governing any applicable taxability, tax reporting, and/or withholding of taxes on the Employee Scholarship Lumberjack Education Assistance Program. The value of any taxable tuition and fee benefits paid by the LEAP Employee
Scholarship Program will be included as taxable income on the employee’s annual Wage and Tax Statement (W-2) and will be subject to tax withholdings.

Cross Reference: None
Employee Enrolling for Courses (12.4)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: Employee Educational Assistance packet: http://www.sfasu.edu/hr/115.asp.

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Payment Card Acceptance and Security

Policy Number: 14.8

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

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

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

Purpose of Policy (what does it do): This policy defines the requirements and responsibilities for maintaining compliance with the Payment Card Industry's Data Security Standard (PCI-DSS) at Stephen F. Austin State University (the university/SFA)

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes

Reviewers:
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Payment Card Acceptance and Security

Original Implementation: July 21, 2009
Last Revision: April 18, 2020

Purpose

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

General

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

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

Applicability

This policy applies to all personnel who store, process, transmit, have access to, or can affect the security of payment card data, including faculty, staff, contractors, and students who are employed or utilized by SFA. This policy also applies to any employee who contracts with a third party vendor to handle and/or process payment card data on behalf of SFA. All vendors, contractors, and business partners who store, process, transmit, have access to, or can affect the security of payment card data on behalf of SFA will state in their contract that they are and will remain compliant with the PCI-DSS at all times.

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

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

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

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

Requirements

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

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

University departments and affiliated organizations must obtain advance approval from the program representative(s) designated by the vice president for finance and administration before accepting payment cards for payment of goods or services, or before entering into any contracts or purchases of software and/or equipment related to payment card processing. Once approved, copies of contracts must be forwarded to the designated program representative(s).

University departments and affiliated organizations are required to use the university’s preferred service provider. Exceptions may be granted only after a request from the payment card processor has been reviewed and approved by the PCI Steering Committee. When an exception has been granted, the merchant remains responsible for ensuring the service provider is PCI compliant and providing ongoing certification of compliance to the designated program representative(s).

Cardholder data must not be transmitted or accepted in an insecure manner. Insecure methods of transmitting or accepting cardholder data include but are not limited to unencrypted wireless, email,
fax, and campus mail. Printed receipts or other physical materials containing cardholder information must be stored in a secure environment until they are processed. Payment card information must be destroyed in a secure manner as soon as it is no longer needed.

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

Training

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

Incident Response

All security incidents, including suspected exposure or theft of payment card information, must be reported in accordance with university policy 14.14, Information Security Incident Response and Planning. All PCI users should be familiar with this policy and are responsible for reporting any incident of theft, fraud, or misuse of payment card data.

Enforcement

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

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


Responsible for Implementation: Vice President for Finance and Administration

Contact for Revisions: Vice President for Finance and Administration

Forms: Application for Exception from Use of University Preferred Electronic Payment Service, Statement of Intent to Comply with the University Policy for Payment Card Acceptance and Security, Payment Card Processor Registration Form, Confidentiality Statement
Board Committee Assignment: Finance and Audit
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: 1/29/2019

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

Purpose of Policy (what does it do): This policy establishes guidelines for university purchases using a procurement card (p-card) and related requirements and activities.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: The change provides a revision to training requirements and minor changes to form names and references.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

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

**Original Implementation:** July 26, 1999

**Last Revision:** April 18, 2020

**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 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 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 procurement 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 p-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 identifying departmental cardholders and their spending limits; determining yearly encumbrance amounts for each fund/org against which credit card charges will be made; and 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 P-Card Application 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.

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 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 and P-Card Records Portal instructional guide for procedures and detailed instructions. Paper records retained by departments should be kept for three (3) years plus the current fiscal year to comply with the state of Texas Records Retention Schedule. 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—P-Card Exception Approval 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 Records Portal instructional guide

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

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

**Forms:** P-Card 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 Approval Form, HIE Approval Form

**Board Committee Assignment:** Finance and Audit
POLICY SUMMARY FORM

Policy Name: Professional and Consulting Services

Policy Number: 17.12

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

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

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

Purpose of Policy (what does it do): This policy defines and explains requirements related to purchases of professional and consulting 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: N/A

Specific rationale for each substantive revision: This policy is proposed to be blended into Policy 17.1.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

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

Original Implementation: October 26, 1999
Last Revision: January 30, 2018

DEFINITIONS

Professional services means those services within the scope of the practice, as defined by state law, of:

1. accounting
2. architecture
3. landscape architecture
4. land surveying
5. medicine
6. optometry
7. professional engineering
8. real estate appraising
9. professional nursing

or those services provided in connection with the professional employment or practice of a person who is licensed or registered as

1. a certified public accountant
2. an architect
3. a landscape architect
4. a land surveyor
5. a physician, including a surgeon
6. an optometrist
7. a professional engineer
8. a state certified or state licensed real estate appraiser
9. a registered nurse

Consulting service means the service of studying or advising a state agency under a contract that does not involve the traditional relationship of employer and employee.

A consultant may be used only if there is a substantial need for the consulting services and only if the agency cannot adequately perform the services with its own personnel or obtain the consulting services through a contract with a state governmental entity.

Major consulting services contract means a consulting services contract for which it is reasonably foreseeable that the value of the contract will exceed $25,000. The $25,000 threshold is not a one-time cost, but rather a cumulative amount for on-going consulting services.
**Consultant** means a person that provides or proposes to provide a consulting service. The term includes a political subdivision but does not include the federal government, a state agency, or a state governmental entity.

**SELECTION OF A PROVIDER**

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

Subject to the provisions below, professional or consulting service solicitations greater than $25,000 will be posted on the electronic state business daily unless procurement determines that no value is added by the posting.

**Professional Services**

A professional service provider is not to be selected on the basis of competitive bid but rather 1) on the basis of demonstrated competence and qualifications to perform the services; and 2) a fair and reasonable price, as long as professional fees do not exceed any maximum provided by law. Architectural, engineering, or land surveying services must be procured in the following manner:

1. Select the most highly qualified provider based on demonstrated competence and qualifications;
2. Attempt to negotiate a contract with the selected provider at a fair and reasonable price;
3. If a satisfactory contract cannot be negotiated with the most highly qualified provider, formally end negotiations with that provider; select the next most highly qualified provider; and attempt to negotiate a contract at a fair and reasonable price. The selection process for architectural, engineering, or land surveying services shall continue in this manner until a contract is accepted by all parties.

If a solicitation will enhance the selection process for professional services, contact the procurement director to discuss options for making informal price comparisons or preparing a formal request for proposal or request for qualifications.

**Consulting Services**

If consulting services are not purchased using processes allowed under Best Value Procurement (17.1), the following steps must be completed and documented.

An invitation for consultants to provide offers on major consulting services contracts must be submitted to the secretary of state for publication in the Texas Register for a minimum of 30 days prior to entering into the contract. The published invitation must include a finding and...
explanation by the president that the consulting services are necessary. Contact the procurement
director or general counsel’s office for assistance in completing the Major Consulting Contract
Request form.

Not later than the 20th day after the date in which a major consulting contract in entered into by
the university, the university shall file with the secretary of state for publication in the Texas
Register: a description of the activities that the consultant will conduct; the name and business-
address of the consultant; the total value and the beginning and ending dates of the contract; and
the dates on which any document, films, recording or reports required of the consultant are due.

All renewals, amendments, and extensions of a major consultant contract shall follow any-
procedures for posting in the Texas Register as required by applicable law.

Upon submittal of an offer by a private consultant to provide consulting services to SFA, any-
officer or employee shall report to the president within 10 days of receipt of the offer: 1) any
financial interest that the officer or employee has in the private consultant, or 2) any financial-
interest in the private consultant of anyone related to the officer or employee within the second-
degree by consanguinity or affinity as determined under Texas Government Code Chapter 573-
Reference Texas Government Code Section 2254.032 and Ethics (2.6).

RESTRICTIONS ON HIRING FORMER OR RETIRED EMPLOYEES

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

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

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

Cross Reference: Tex. Educ. Code § 51.9335; Tex. Gov’t Code § 2252.901; Tex. Gov’t Code-
Ch. 2254; Tex. Gov’t Code Ch. 573; Nepotism (11.16); Ethics (2.6); Items Requiring Board of
Regents Approval (1.4); Purchase Requisition (17.19)
**Responsible for Implementation:** Vice President for Finance and Administration

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

**Forms:** Major Consulting Contract Request Form

**Board Committee Assignment:** Finance and Audit
POLICY SUMMARY FORM

Policy Name: Property Inventory and Management

Policy Number: 17.14

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

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

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

Purpose of Policy (what does it do): This policy affirms that SFA will comply with TGC 403.2715, university policies, and procedures outlined in the property management manual.

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

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

☒ Internal Review  ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: The change provides a revision to training requirements.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

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

Original Implementation: September 28, 1996
Last Revision: April 18, 2020

Purpose

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

Definitions

Property is defined and will be accounted for in accordance with Texas Government Code §403.272. The property manager, in conjunction with the director of procurement, and with appropriate administrative approval may define additional equipment to be tracked in property records. Property can be purchased or donated.

Salvage property is any personal property which through use, time, or accident is so depleted, worn out, damaged, consumed, or outdated that it is obsolete and/or can no longer serve the purpose for which it was originally intended.

Surplus property is any personal property that is in excess of the needs of the department and which is not required for the foreseeable future. Surplus property may be new or used but must have additional useful life.

Stolen property is any personal property that has disappeared by known theft, whether by forced removal, burglary, theft by employee, or other criminal act.

Missing property is any personal property that has disappeared with no explanation.

The equipment manager for a department is the chair or administrative head of the department.

A designee may be named by the equipment manager to receive and submit property communications on his/her behalf. The designee does not assume property responsibility or liability in lieu of the equipment manager but may sign property documents on behalf of the equipment manager with the exception of the Annual Property Inventory Audit Certification form.

The property custodian is any individual employee who is listed on property records as entrusted with the care and safekeeping of specific pieces of property, and is liable for any university property assigned to him/her.
General

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

An equipment manager may not delegate their responsibilities and is ultimately liable for any property listed on his/her department property records. The equipment manager is responsible to assign property to the property custodian who uses and/or is entrusted with property on a daily/regular basis. If the equipment manager fails to assign property to a property custodian, the property manager will contact the department and assign custodial responsibility to the employee who uses and/or is entrusted with property on a daily/regular basis. The equipment manager is responsible to notify the property manager of any donations to determine if the property must be added to property records.

The property custodian is responsible for locating all equipment for which he/she is responsible during the annual property audit, spot-check audit, or audits by audit services or state auditors. All employees and/or property custodians are required to sign the property liability acknowledgement form advising that he/she may be entrusted with university property. The property liability acknowledgement described in Property Liability (16.22) advises the employee that he/she will be held financially responsible for any property determined to be damaged, destroyed, missing, or stolen due to employee negligence, regardless of whether the employee is identified as a property custodian on property records.

Property Validation

Each equipment manager and property custodian is to exercise care and control over the property for which he/she is responsible. Property is to be monitored on a perpetual basis both by the property office and by university property custodians.

Once per year a property inventory audit will be conducted in one of two ways: 1) physical count by the department, or 2) bar code scan by the property office. The signed Annual Property Inventory Audit Certification form must be returned to the property manager by the deadline stated in the property inventory instructions. Forms in campus mail will not be considered received.

Departments failing to return the signed Annual Property Inventory Audit Certification form to the property manager by 5:00 p.m. on the deadline date will be given a second deadline and will have all ordering, including p-cards, shut down until the signed form is received in the property manager's office. Forms in campus mail will not be considered received.

Failure to return the signed Annual Property Inventory Audit Certification form to the property manager by 5:00 p.m. on the second deadline will result in all ordering continuing to be shut down until the signed form is received in the property manager’s office. In addition, department
information, including, but not limited to, department name, department head, and property values will be reported to the Board of Regents at the next regularly scheduled meeting. Forms in campus mail will not be considered received.

Spot-check audits will be conducted by property personnel throughout the year except during the annual property inventory. Transaction information for all additions to each department's property records will be emailed monthly to the equipment manager, along with a request to update location and custodian information.

*Equipment managers, property custodians and/or designees* Employees are to advise the property office throughout the year of the following changes:

- Equipment Manager - procedures apply to both outgoing and incoming department heads (interim or permanent); information regarding the change must be completed within 30 days of assuming or relinquishing duties.
- Property Custodian - procedures apply any time there is a change in the employee who uses and/or is entrusted with property on a daily/regular basis. The Change in Property Custodian form must be completed within 30 days of the change.
- Property locations should be updated in a timely manner. Property custodians must be able to identify property locations at any point in time.

Departments may be required to write a detailed plan for monitoring and accounting for department property. A template for the plan will be provided by the property manager and can be found on the Procurement and Property Services website.

**Use of State Property**

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

University property may be taken off campus only for official business of the university or another state agency. The individual taking equipment off campus assumes financial responsibility and must complete a Removal of Property from Campus form annually.

Items containing potentially sensitive, private, or confidential information are not to be stored in any leased premises unless specifically authorized in writing by the president. These items include but are not limited to computers, electronic or digital storage devices, and paper documents. Certain off-campus facilities may lack the security necessary to protect such sensitive information.
University property may be loaned to another state agency or institution of higher education. The president must approve the loan of the property in writing and receipt of the property must be acknowledged in writing by the head of the borrowing agency.

**Training**

Mandatory training is required for *all employees within 60 days of employment*. Additionally, if a property custodian is not an employee, then training will also be required—*all ESF4 property equipment managers, designees, and property custodians*. After initial training, refresher training is required every two (2) years. All training is documented in the university’s myTraining system. *Reference Major Rule Violations in Discipline and Discharge (11.4).*

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

The property manager may extend the training timeframes for employees *and/or property custodians* on FMLA leave, out of the country, or as otherwise deemed appropriate and approved by the director of procurement and property services/HUB coordinator.

**Salvage and Surplus Property**

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

Surplus property may be traded in, transferred to another department or transferred to surplus with appropriate documentation.

**Property Disposal**

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

All property sales, including scrap metal, are to be overseen by the property office. All sale proceeds will be deposited to the surplus sales account, unless otherwise approved by the vice president for finance and administration.

Where possible hard drives (“loose”, internal or external), memory cards from printers or scanners, or copiers must have all data removed before final disposal of the property. Memory cards from printers or scanners will be destroyed by the property office. Hard drives will be degaussed, destroyed, or overwritten and the disposal will be documented. Procurement will work with departments to document that data stored on copiers is removed before a copier leaves the campus.
Stolen or Missing Property

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

Fines and other requirements will be imposed for missing property.

The department will be fined as follows:

- $1,000 – for two items with an original purchase cost of $500 or more each, reported missing in the same fiscal year;
- $2,500 – for three to five items with any original purchase cost reported missing in the same fiscal year;
- $5,000 – for more than five items with any original purchase cost reported missing in the same fiscal year;
- in the following fiscal year if additional property is reported missing the above fines will double
- if missing property is found within 30 days of the fine being assessed, the original purchase cost of the equipment will be refunded up to a maximum of $500 per item, but never exceeding the amount of the original fine.

Within 60 days of notification of a fine, responsible all individuals employees identified by the property office will be required to complete a property training refresher course. The individuals employees identified for the refresher course may include equipment manager, designee, property custodian, or any other employee. Failure to complete the training within 60 days of notification will result in all ordering (requisition and p-card) being shut down for the entire department until the training is completed by all identified employees. Extensions of the 30-60 day limit may be made by the property manager as deemed appropriate and approved by the director of procurement and property services.

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

Any appropriations withheld from the university because it has exceeded the allowed value threshold of missing property, as defined in the General Appropriations Act, will be deducted from the budget of the department responsible for the property.

Individual Employee Negligence

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

**Cross Reference:** Tex. Gov’t Code §§ 403.2715, 403.272, 403.273(h), 403.275; Tex. Gov’t Code § 2054.003(3)(A); Tex. Gov’t Code §§ 2175.304,.905,.908; Tex. Gov’t Code § 2203.004; Department of Information Resources Security Control Standards Catalog; Property Liability (16.22); *Discipline and Discharge (11.4)*; State Comptroller eXpendit

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

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

**Forms:** Annual Property Inventory Audit Certification (provided by the Property Office), Certification of Physical Inventory with Change In Equipment Manager (Department Head), Department Property Control Plan Template, Missing, Damaged or Stolen Property Report, Police Report (provided from University Police Department), Change in Property Custodian, Property Liability Acknowledgement (HR), Property Transfer Form – Department to Department, Property Transfer Form – Department to Surplus, Removal of Property from Campus Request, Salvage Property Request

**Board Committee Assignment:** Finance and Audit

17.14 Property Inventory and Management
POLICY SUMMARY FORM

Policy Name: Proprietary Purchases

Policy Number: 17.15

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

Date of last revision, if applicable: 1/28/2020

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

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

Reason for the addition, revision, or deletion (check all that apply):
- [ ] Scheduled Review
- [x] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: This policy is proposed to be blended into Policy 17.1.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

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

Original Implementation: September 1979
Last Revision: January 28, 2020

Purpose

This policy defines and explains requirements related to proprietary purchases.

General

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

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

Cross Reference: Tex. Gov’t Code §§ 2155.063, .067; Purchase Requisition (17.19)

Responsible for Implementation: Vice President for Finance and Administration

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

Coordinator Forms: Purchase Requisition, Exclusive Acquisition Justification

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Purchase of Demonstrator or Used Equipment

Policy Number: 17.18

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

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): This policy establishes the process for purchase of demonstrator or used equipment.

Reason for the addition, revision, or deletion (check all that apply):
- [X] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: The policy is deemed a procedure with no unique aspects that contradict Best Value Procurement (17.1) or Delegated Purchasing Authority (17.5). The procedure is documented in the Procurement Manual.

Additional Comments:

None

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
**Purchase of Demonstrator or Used Equipment**

**Original Implementation:** June 1, 1983  
**Last Revision:** April 25, 2017

Demonstrator Equipment: A department may request that a vendor place demonstrator equipment on campus for testing to determine if the equipment will meet the university's needs. The decision to purchase such demonstrator equipment does not override best value procurement or delegated purchasing policies and procedures. The purchase of demonstrator equipment will not be considered official until a purchase order is issued by the procurement office.

Used Equipment: A requisition or a p-card may be used to initiate the purchase of used equipment. In either case, the department must submit evidence to Procurement and Property Services that justifies the purchase of used equipment.

Purchase of demonstrator or used equipment shall be in accordance with Best Value Procurement (17.1) and Delegated Purchasing Authority (17.5) and other procurement procedures relating to required documentation.

**Cross Reference:** Tex. Educ. Code § 51.9335; Best Value Procurement (17.1); Delegated Purchasing Authority (17.5); Purchase Requisition (17.19)

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

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

**Forms:** Exclusive Acquisition Justification

**Board Committee Assignment:** Finance and Audit
POLICY SUMMARY FORM

Policy Name: Returned Payments

Policy Number: 3.27

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): Establishes processes for the handling and resolution of any returned payments received by the university

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes

Reviewers:

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

Original Implementation: September 1, 1987
Last Revision: April 25, 2017, 2020

Purpose

This policy establishes processes for the handling and resolution of any returned payments received by the university.

Definitions

A returned payment is any payment by check, credit card, debit card, draft or other format which is returned to the university unpaid due to no fault of the bank or the university.

General

The business office may assess a returned payment fee plus applicable sales tax for each returned payment item. Returned payments on employee, student or departmental accounts may be turned over for collection to a collection service, collection agency and/or attorney. If a returned payment is turned over for collection, applicable fees assessed by the collection service, collection agency and/or attorney will be charged to the debtor. Additional legal action may be taken.

Returned payments on student accounts will be treated as outstanding charges until paid. Delinquent accounts will be subject to the university’s policies and procedures for handling student accounts receivables.

Returned payments received from departmental deposits will be charged back to the originating account and the applicable department will be notified. If a returned payment is received from a donor, the university will coordinate the charge back of the gift through the development office. The development office may make contact with the donor for resolution.

Additional Consequences

After receipt of three returned payments from any individual, organization or business, the university reserves the right to refuse certain types of payments from those payers and may demand payment by cash, cashier’s check, debit card, credit card or money order.

Employees with returned payments should make restitution to the university within ten business days of notification. If the employee has not reimbursed the university for returned payments and any applicable service charges, the university may reduce or withhold any payments due to an employee by amounts due the university, in accordance with Texas law.
Cross Reference: Check Cashing (3.7); Student Accounts Receivable (3.28)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: None

Board Committee Assignment: Finance and Audit
Senate Bill 212 Key Points

- Senate Bill 212 (SB 212) was signed into law after the 2019 Texas legislative session and took **full effect as of January 1, 2020**.
- The law addresses reporting requirements for incidents of sexual harassment, sexual assault, dating violence, or stalking at public and private institutions of higher education.
- As of January 1, all employees who either witness or receive information about sexual harassment, sexual assault, dating violence and/or stalking that involve a current student or employee must promptly report the incident to the University's Title IX Coordinator or a Deputy Title IX Coordinator.
- An employee who does not report an incident or who makes a false report can be charged with a criminal offense (Class B or Class A Misdemeanor). If an employee fails to make a required report or makes a false report, the law requires that the employee be terminated.
- Employees who have been designated by the university as confidential or private employees are only required to report the **type** of incident. Students can talk to confidential employees about a Title IX related matter with assurance that confidential employees may not reveal the student's identity or other identifying information.
- The Title IX Coordinator must submit a written report of the reports received by the institution, to the President at least quarterly, and the President must submit a written report of the reports received to the Board of Regents annually.
TO:      Board of Regents  
FROM:   Dr. Scott Gordon, Chief Executive Officer  
DATE:   April 1, 2020  
RE:     Chief Executive Officer Reporting Requirements under  
        Tex. Educ. Code § 51.253(c)

Under Texas Education Code (TEC), Section 51.253(c), the Chief Executive Officer of each  
institution of higher education is required to submit a data report at least once during each fall or  
spring semester to the institution’s governing body and post on the institution’s internet website  
a report concerning the reports received by employees under the TEC, Section 51.252 of the  
type of incident described in the employee’s report that constitutes “sexual harassment,” “sexual  
assault,” “dating violence,” or “stalking” as defined in the TEC, Section 51.251, and any  
disciplinary actions taken under TEC, Section 51.255.

For the purposes of complying with the Chief Executive Officer’s reporting requirements under  
TEC, Section 51.253(c), the attached summary data report¹ (Appendix A) includes all of the  
required reporting information to the Board of Regents for the 2019-2020 annual report, as of  
April 1, 2020. The summary data in Appendix A is categorized based on the reporting  
requirements under TEC, Section 51.253(c).

The reports received may be applicable in multiple reporting categories, and therefore, the  
summary data in the categories may not add up to the totals of other categories.

The summary data report is also posted on the Stephen F. Austin State University website  
www.sfasu.edu as per the public reporting requirements under TEC, Section 51.253(c).

Note: Any additional reports received by the Title IX Coordinator that do not meet the required  
reporting criteria in the Texas Education Code have been omitted for the compliance purposes  
of this specific report.²

¹ When identifiable, duplicate reports were consolidated into one case number and counted as one report in the  
summary data, and confidential employee reporting is noted by case number and as a sub-set to the total number  
of reports received.

² For example, reports made by students and all other non-employees (including incidents under 3.5(d)(3)) are  
excluded from Appendices A and B. Additionally, if a Title IX Coordinator or Deputy Coordinator determines that  
the type of incident described in a report, as alleged, does not constitute “sexual harassment,” “sexual assault,”  
“dating violence,” or “stalking” as defined in the TEC, Section 51.251, the report is excluded from Appendices A  
and B. It is the responsibility of the Title IX Coordinator to assess each report received and determine whether it is  
properly included in this report, and if so, to correctly identify the type of incident reported.
Appendix A
Summary Data Annual Report
April 1, 2019 – March 31, 2020

<table>
<thead>
<tr>
<th>Texas Education Code, Section 51.252</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of reports received under Section 51.252³</td>
</tr>
<tr>
<td>Number of confidential reports⁴ under Section 51.252</td>
</tr>
<tr>
<td>Number of reports under Section 51.252 for which the institution determined not to initiate a disciplinary process⁵:</td>
</tr>
<tr>
<td>a. Complainant did not respond to contact attempts</td>
</tr>
<tr>
<td>b. Complainant declined to participate in formal investigation</td>
</tr>
<tr>
<td>c. No jurisdiction</td>
</tr>
<tr>
<td>d. Determined not to rise</td>
</tr>
<tr>
<td>e. Informal resolution</td>
</tr>
<tr>
<td>f. Complainant/Respondent not identified</td>
</tr>
<tr>
<td>g. False report</td>
</tr>
<tr>
<td>h. Informational purposes only</td>
</tr>
<tr>
<td>Subtotal</td>
</tr>
<tr>
<td>Number of investigations in progress under Section 51.252</td>
</tr>
<tr>
<td>Disposition⁷ of any disciplinary processes for reports under Section 51.252:</td>
</tr>
<tr>
<td>a. Concluded, no finding of policy violation⁸</td>
</tr>
<tr>
<td>b. Concluded, with Employee Disciplinary Sanction</td>
</tr>
<tr>
<td>c. Concluded, with Student Disciplinary Sanction</td>
</tr>
<tr>
<td>Subtotal</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Texas Education Code, Section 51.255</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of reports received that include allegations of an employee’s failure to report or who submits a false report to the institution under Section 51.255 (a)</td>
</tr>
<tr>
<td>Any disciplinary action taken, regarding failure to report or false reports to the institution under Section 51.255(c):</td>
</tr>
<tr>
<td>a. Employee termination</td>
</tr>
<tr>
<td>b. Institutional intent to termination, in lieu of employee resignation</td>
</tr>
</tbody>
</table>

³For example, reports made by employees, students, and all other non-employees (including incidents under 3.5(d)(3)) are in Appendices A and B. Additionally, if a Title IX Coordinator or Deputy Coordinator determines that the type of incident described in a report, as alleged, does not constitute “sexual harassment,” “sexual assault,” “dating violence,” or “stalking” as defined in the TEC, Section 51.251, the report is included in Appendices A and B. It is the responsibility of the Title IX Coordinator or Deputy Title IX Coordinator to assess each report received and determine whether it is properly included in this report, and if so, to correctly identify the type of incident.

⁴“Number of confidential reports” is a sub-set of the total number of reports that were received under Section 51.252, by a confidential employee or office (e.g., Counseling Center, Student Health Center, Victim Advocate for Students).
5 The institution may have determined “not to initiate a disciplinary process.” The reasons for not initiating a
discipline process can include, but are not limited to: determined not to rise to a violation; the
respondent’s/complainant’s identity was unknown or not reported; no jurisdiction; the complainant declined to
participate in formal investigation; complainant did not respond to contact attempts; informal resolution was
completed.

6 “No Finding of a Policy Violation” in this section refers to instances where there is no finding of responsibility
after a hearing or an appeal process; investigations completed with a preponderance of evidence not met are
excluded, because it would not have moved forward into a disciplinary process.

7 “Disposition” means “final result under the institution’s disciplinary process” as defined in the Texas Higher
Education Coordinating Board’s (THECB) rules for TEC, Section 51.259 (See 19 Tex. Admin. Code Section 3.6(e)
(2019)); therefore, pending disciplinary processes will not be listed until the final result is rendered.

8 “No Finding of a Policy Violation” in this section refers to instances where there is no finding of responsibility
after a hearing or an appeal process; investigations completed with a preponderance of evidence not met are
excluded, because it would not have moved forward into a disciplinary process.
CURRICULUM CHANGES FOR 2020-21

Explanation:

Changes in curriculum originate in the departments and are reviewed by the colleges and university curriculum committees, the graduate council, the appropriate dean and the provost and vice president for academic affairs. After approval by the Board of Regents curriculum changes are submitted to the Texas Higher Education Coordinating Board.

Recommendation:

It is recommended by the administration that the Board of Regents approve the undergraduate and graduate curriculum changes as presented to be effective fall 2020.
<table>
<thead>
<tr>
<th>Department</th>
<th>Program</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>COLLEGE OF BUSINESS</strong></td>
<td></td>
</tr>
<tr>
<td>Business Communication</td>
<td>Legal Studies Minor</td>
</tr>
<tr>
<td>Management &amp; Marketing</td>
<td>Entrepreneurship Minor</td>
</tr>
<tr>
<td>Management &amp; Marketing</td>
<td>Sport Business, BBA</td>
</tr>
<tr>
<td><strong>COLLEGE OF EDUCATION</strong></td>
<td></td>
</tr>
<tr>
<td>Elementary Education</td>
<td>Core Subjects 4-8, BSIS</td>
</tr>
<tr>
<td>Elementary Education</td>
<td>Core Subjects EC-6, BSIS</td>
</tr>
<tr>
<td>Elementary Education</td>
<td>Education Studies, BSIS</td>
</tr>
<tr>
<td>Elementary Education</td>
<td>English/Language/Arts/Reading 4-8, BSIS</td>
</tr>
<tr>
<td>Elementary Education</td>
<td>Math 4-8, BSIS</td>
</tr>
<tr>
<td>Elementary Education</td>
<td>Science 4-8, BSIS</td>
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<tr>
<td>Elementary Education</td>
<td>Social Studies 4-8, BSIS</td>
</tr>
<tr>
<td>Human Sciences</td>
<td>Construction Management, BS</td>
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<tr>
<td>Human Sciences</td>
<td>Family &amp; Consumer Sciences, BS</td>
</tr>
<tr>
<td>Human Sciences</td>
<td>Hospitality Administration, BS</td>
</tr>
<tr>
<td>Human Sciences</td>
<td>Interior Development &amp; Family Studies, BS</td>
</tr>
<tr>
<td>Human Sciences</td>
<td>Interior Design Minor</td>
</tr>
<tr>
<td>Human Sciences</td>
<td>Interior Merchandising, BS</td>
</tr>
<tr>
<td>Human Services</td>
<td>Communication Sciences &amp; Disorders, BS</td>
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<tr>
<td>Human Services</td>
<td>Early Intervention Minor</td>
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<tr>
<td>Human Services</td>
<td>Rehabilitation Services O&amp;M Concentration, BS</td>
</tr>
<tr>
<td>Kinesiology</td>
<td>Physical Education Teaching Certificate, BS</td>
</tr>
<tr>
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## UNDERGRADUATE CURRICULUM PROGRAM MODIFICATIONS 2020-2021

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### UNDERGRADUATE CURRICULUM COURSE MODIFICATIONS 2020-2021

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| Languages, Cultures & Communication | SPAN 1311 |
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| Languages, Cultures & Communication | SPAN 2315 |
| Languages, Cultures & Communication | SPAN 2335 |
| Multidisciplinary Studies            | LATI 1311 |
| Multidisciplinary Studies            | LATI 1312 |

| Mass Communication                   | MCOM 1307 |

**UNDERGRADUATE CURRICULUM COURSE MODIFICATIONS 2020-2021**

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Effective Fall 2020

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GRADUATE CURRICULUM PROGRAM MODIFICATIONS 2020-2021

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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:

- At-Will Employment 11.2
- Course Grades 5.5
- Curriculum Reviews Modifications and Approvals 5.7
- Drug and Alcohol Testing 11.6
- Early Registration Priority 4.3
- Electronic Signatures 2.17
- Employee Enrolling for Courses 12.4
- Employee Terminations and Transfers 11.10
- Faculty Compensation 12.6
- Graduate Admission 6.17
- Graduate Assistantships 6.12
- In-Residence Requirement 6.15
- Longevity Pay and Hazardous Duty Pay 12.13
- Out of State Course Delivery 5.15
- Recombinant DNA and/or Infectious Biohazards in Teaching and Research 8.9
- Research Enhancement Program 8.11
- Selection of Vice Presidents, Athletic Director and Head Coaches 1.8
- Selective Services Registration 11.26
- University Website 15.10
POLICY SUMMARY FORM

Policy Name: At-Will Employment

Policy Number: 11.2

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

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

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): The policy defines who are considered at-will employees

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 for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Scott Gordon, President
Damon Derrick, General Counsel
At-Will Employment

Original Implementation: July 15, 2003
Last Revision: April 24, 2018

The following exempt, academic, and non-academic employees serve at the discretion of the university and are considered at-will employees whose employment may be terminated with or without cause at any time by the university or the employee:

- All positions reporting to the Board of Regents including but not limited to the president, general counsel, director of audit services, and coordinator of board affairs;
- All vice presidents/provost and chief information officer;
- All associate vice presidents/associate provost;
- All deans including associate deans;
- All executive directors, directors, associate directors, and assistant directors;
- All department heads and chairs;
- All coaches;
- All charter school teachers;
- All attorneys and auditors;
- All grant funded positions;
- All temporary staff employees.

Any appointment included in this list which is filled by a tenured employee will not affect the employee's tenure status. Tenured employees removed from administrative assignments under this policy may be reassigned to a faculty position.

The university may choose to reassign an at-will employee under this policy, but such reassignment is not guaranteed. Additionally, the university will endeavor to give a terminated employee under this policy a 30-day notice, although notice is not required.

Any decision to terminate an at-will employee must be reviewed by the general counsel and/or the director of human resources for legal considerations. Termination of at-will employees below the vice president level must be approved by the appropriate vice president and reported to the president and Board of Regents (unless the termination is by the president or Board of Regents). The Board of Regents must approve termination of at-will employees at the vice president level or above. All such employees will be given an opportunity to resign in lieu of at-will termination, unless the termination is clearly for cause. The terms of resignation must be approved by the same process outlined for termination above, including legal review by the general counsel and/or the director of human resources.

In regards to this policy and the employee's completion of the 180-day probationary period,
there is no contradiction. The 180-day probationary period is the designated time frame for the new employee to demonstrate their capability to perform their job tasks in a satisfactory manner. The completion of this evaluation period does not convey a permanent status to employees listed in this policy, and it does not negate the at-will status for either employee or employer.

Any agreements that in any way modify this policy must be made in writing and must contain the signature of the president, appropriate vice president, and the university Board of Regents.

**Cross Reference:** None  

**Responsible for Implementation:** President  

**Contact for Revision:** General Counsel  

**Forms:** None  

**Board Committee Assignment:** Academic and Student Affairs
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: January 29, 2019

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

Purpose of Policy (what does it do): Guidelines for course grades

Reason for the addition, revision, or deletion (check all that apply):
- [ ] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [X] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: an emergency change requested to allow instructor of record to set a deadline for coursework to be completed for withheld grades, not to exceed one year (changed from within one year)

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 29, 2019 April 18, 2020

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).

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

Withheld Grades

At the discretion of the instructor of record and with the approval of the academic unit head, a grade of WH will be assigned only if the student cannot complete the course work because of unavoidable circumstances. Students must complete the work by the deadline set by the instructor of record, not to exceed 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 Activation (6.14)]. If students register for the same course in future semesters, the WH will automatically become an F and will be counted as a repeated course for the purpose of computing the grade point average.
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 (6.7); Military Service Activation (6.14); Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g;

Responsible for Implementation: Provost and Vice President for Academic Affairs

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

Forms: WH and Grade Change Form

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Curriculum Reviews, Modifications and Approvals

Policy Number: 5.7

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

Date of last revision, if applicable: January 28, 2020

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

Purpose of Policy (what does it do): Guidelines for curriculum reviews, modifications and approvals

Reason for the addition, revision, or deletion (check all that apply):
- [ ] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [x] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: add "or president's designee" to approval process, minor wording change for clarification, added semi-colon to correct formatting

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: October 17, 1978
Last Revision: January 28, 2020
April 18, 2020

Introduction

It is the responsibility of each academic unit of the university to maintain current curricula and engage in continuous review of its curricula. The provost and vice president for academic affairs and appropriate dean will set timelines for the modification and approval process.

Curricular Modification Procedures

Curricular modifications include:

- new courses;
- core curriculum courses;
- modified courses (e.g., course title, credit hours);
- new programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- modified programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- deletion of courses and/or programs (e.g., degrees, endorsements, certificates, minors, concentrations); and
- changes in mode of delivery such as off-campus face to face, online instruction, and other distance delivery methods.

Curricular modifications will be developed and submitted at the program level, and recommended for approval by:

- the academic unit;
- the academic unit head;
- the appropriate councils or committees in the college;
- the college dean;
- the university Undergraduate Council or Graduate Council;
- as appropriate, the Core Curriculum Advisory Committee;
- the Deans Council; and
- the provost and vice president for academic affairs.

New In addition to the above steps, 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 or president’s designee; and
- the Board of Regents.
Where appropriate, approval will then be sought from (and/or notification will be made to) the Texas Higher Education Coordinating Board (THECB), the Texas Education Agency, the Southern Association of Colleges and Schools, or other outside agencies and organizations.

Changes will be reflected in the General Bulletin and/or Graduate Bulletin after approval.

**Substantive Change**

Any curricular changes that involve substantive change as defined by the Southern Association of Colleges and Schools Commission on Colleges must be communicated by the Office of the Provost and Vice President for Academic Affairs to the appropriate entity and, if necessary under the rules on the entity, be approved before implementation. For further information, see the university policy on Substantive Change (4.10).

**Cross Reference:** THECB Instructions and Classification of Instructional Programs Codes; Certificate Programs (5.2); Course Fees (3.8); Laboratory Fees (3.22); Substantive Change (4.10); Academic Program Review (5.1); and Professional Educators’ Council (5.16)

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

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

**Forms:** Forms for program revision, course proposals, substantive change, distance education and laboratory/course fee requests are available at the university website.

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Drug and Alcohol Testing

Policy Number: 11.6

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: Director of Environmental Health Safety and Risk Management, Director of Human Resources, General Counsel

Purpose of Policy (what does it do): outlines drug testing policy in the case of reasonable suspicion or an accident. Serves as part of the investigative process in the case of an accident or worker's comp claim.

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: Just minor word and formatting changes no procedural changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: July 14, 1998
Last Revision: April 25, 2017 April 18, 2020

Purpose

This policy affirms the university’s commitment to providing a safe, healthy, and productive learning and working environment by taking appropriate steps to maintain a drug-free and alcohol-free workplace.

Definitions

Medical review officer (MRO) refers to a licensed physician who is responsible for receiving laboratory results generated by the employer's drug testing program, evaluating, interpreting and verifying those drug testing results in conjunction with an employee's medical history, and determining whether a positive result was caused by the use of prohibited drugs or by an employee's medical condition.

General

It is the policy of Stephen F. Austin State University to promote a safe, healthy and productive learning and working environment free from the influences of drugs and alcohol. The university must set an example to ensure the safety, health and welfare of its employees, students and the citizens which it serves, by taking the appropriate steps for maintaining a drug-free workplace as mandated by the state and federal governments. This policy supplements all other SFA policies regarding drug and alcohol use and related topics by establishing the guidelines for drug and alcohol testing. The drug and alcohol testing program is for the purpose of ensuring a healthy and safe workplace, and may not be used for the purpose of criminal prosecution.

General Policy

Stephen F. Austin State University may require employees in safety sensitive positions to submit to drug and/or alcohol testing based upon reasonable suspicion, post-accident, or post-university referred drug and/or alcohol rehabilitation. University safety sensitive employees who are subject to Department of Transportation regulations in 49 C.F.R. parts 382 and 40 (primarily drivers with commercial driver’s licenses) will additionally be subject to random drug and/or alcohol testing proscribed by federal law.

Reasonable suspicion can be established by any of the following: Reasonable Suspicion:

1. Direct observation of drug or alcohol use or possession and/or demonstration of physical symptoms of the influence of a drug or alcohol as related to work activities,
2. A pattern of abnormal or erratic behavior, consistent with alcohol or drug abuse,
3. Arrest or conviction of a drug or alcohol related offense as the focus of a criminal investigation into illicit drug use, possession, or trafficking,
4. Information provided by reliable or credible sources,
5. Information, which is independently corroborated,
6. Evidence that an employee or student worker has tampered with a previous drug or alcohol test, or
7. Possession of drug paraphernalia.

Individuals having reasonable suspicion of an employee in a safety sensitive position, based on the above criteria, must contact the director of human resources and/or the director of environmental health, safety, and risk management. When feasible, the Office of the General Counsel will be contacted to confirm whether a given circumstance is sufficient to conduct a test.

Reporting personnel shall document the exact reasons why they suspect that a certain employee in a safety sensitive position has violated the drug and/or alcohol policy to include: the symptoms exhibited by the employee; the actions of the administrator, faculty, employee or student worker; if at all possible, corroborating statements from other administrators, faculty, employees or student workers; and other evidence which tends to establish a reasonable suspicion of illicit drug or unauthorized alcohol use.

Statements by the reporting personnel should document specific facts, not speculation, about an employee’s behavior or appearance which would lead a reasonable person to the conclusion that the employee was using or in possession of illicit drugs or unauthorized alcohol. The emphasis should be placed on how the behavior of the employee is affecting his/her performance.

**Post-accident**

Each employee in a safety sensitive position who is involved in an accident that occurs during the course and scope of employment shall be required to submit to a drug/alcohol test. (A drug or alcohol test will also be requested if damage has occurred to university property as a direct result of the employee's behavior.)

As a condition of continued employment, any employee in a safety sensitive position who is participating in a substance abuse treatment program or who has a rehabilitation agreement with the university following an incident involving substance abuse may be required to submit to additional drug testing. This section shall not apply to employees in safety sensitive positions who have successfully completed a drug and or alcohol rehabilitation program prior to employment with the university.

Until the results of a test are received, an individual will automatically be removed from all safety sensitive functions, but may perform duties as assigned. Individuals may be suspended with pay pending investigation, if the continued participation of that individual presents a real and present danger to personal safety or property or threatens the health and safety of the individual or peers.

**Prohibited Employee Conduct**

1. Engaging in the manufacture, distribution, possession, or use of prohibited substances on university property, in university vehicles, or while in the conduct of university business. (Alcohol possession or use may be permitted on university
property as articulated by university policy.
2. Reporting to work under the influence of alcohol or illegal drugs.
3. Testing positive for alcohol and controlled substances as a safety sensitive employee.
4. Refusing to submit to required testing as a safety sensitive employee.
5. Permitting a subordinate employee, in a safety sensitive position, to perform or continue to perform safety sensitive functions when the supervising employee has actual knowledge that a safety sensitive employee has engaged in conduct prohibited in paragraphs above.

Refusal to Submit Test

An employee in a safety sensitive position who refuses to consent and submit to a test when requested under any of the circumstances provided for above will be subject to disciplinary action including termination.

Refusal to submit includes:

1. Failure to provide adequate breath for testing without a valid medical explanation after he or she has received notice of the requirement for breath testing in accordance with the provisions of this policy,
2. Failure to provide adequate urine for controlled substances testing without a valid medical explanation after he or she has received notice of the requirement for urine testing in accordance with the provisions of this policy, and/or
3. Engaging in conduct that clearly obstructs the testing process.

Positive Test

An employee in a safety sensitive position with a positive test will be removed from performing his or her safety sensitive functions. Their supervisor and the director of human resources will meet with each employee who tests positive and inform the employee of the test result.

Based upon the information available after the meeting with the employee, the supervisor and the director of human resources shall determine whether:

1. To proceed to impose appropriate disciplinary action (keeping in mind any minimum penalties as may be required by federal or state law, if criminal penalties may have been pursued, and the nature of the infraction as related to the job functions of the individual) pursuant to university procedures for discipline and dismissal of employee; or
2. To offer the employee the opportunity to participate in and satisfactorily complete an appropriate employee assistance program or rehabilitation program for alcohol and/or drug abusers as a condition of continued employment solely at the employee's expense. An employee who is permitted and chooses to participate in such a program must be informed that the university will pursue appropriate disciplinary action if the employee does not satisfactorily complete the prescribed program.

Recurrence of Substance Abuse
Upon the second occurrence of the necessity to potentially refer an employee to counseling or rehabilitation treatment, there will not be an option to refer the employee in a safety sensitive position for treatment and termination will be automatic.

**Subsequent disciplinary actions**

When an employee has experienced work related problems as a result of alcohol or drug use and has been reinstated, subsequent disciplinary action will not be taken for the previous work related problems provided the problems cease after reinstatement.

**Employees Subject to Drug and Alcohol Testing**

All employees in safety sensitive positions of Stephen F. Austin State University are to be included in the alcohol and/or drug testing program and will be subject to testing. Employees identified for testing purposes are expected to cooperate fully with designated clinic and/or laboratory personnel by making themselves available for testing, giving a valid sample and completing accurately all of the steps and necessary documents associated with the test.

Employees in safety sensitive positions at the university who are subject to this drug testing policy are defined as follows:

- All employees whose job duties have a direct effect on the health, safety and welfare of employees, students and citizens, which the university serves including the following described duties:
  - Drivers with commercial driver’s licenses (CDL),
  - Employees who are required to have a university certified driver’s license in their job description,
  - Persons who carry a firearm for security purposes,
  - Employees who control dispatch of emergency services,
  - Employees who repair or maintain university owned or leased vehicles,
  - All maintenance personnel including but not limited to electricians, plumbers, carpenters, etc.,
  - All employees who maintain the critical infrastructure of the university including but not limited to database administrators, systems administrators, programmer and systems analysts, network support specialists, etc.,
  - Persons required to use dangerous equipment in the course and scope of their jobs including saws, drills, torches, tractors, mowers, and other motorized equipment,
  - Employees using chemicals or other dangerous substances in the course and scope of their jobs,
  - Medical professionals including licensed doctors, licensed nurses, certified athletic -trainers.

**Facilities for Testing**

Employees selected for testing procedures shall report to the designated independent facility, or may be escorted by an authorized supervisor. A specimen will be collected and tested by an independently approved laboratory using valid, reliable testing procedures as outlined under the U.S. DOT regulations at 49 C.F.R. part 40. The services of a medical review officer (MRO)
will be retained for proper laboratory results interpretation.

**Test Results**

Drug and alcohol screen test results will be reviewed by an independent MRO after receipt of the specimen by the laboratory. Employees who test positive for substances prohibited by this program shall be afforded an opportunity to consult with the MRO and to provide medical records or other biomedical information to assist the MRO in determining whether there is a legitimate medical explanation for the test results, including use of a legally prescribed medication. Upon review of all confirmatory tests and other medical records, the MRO shall issue a confirmation report verifying test results. The MRO’s confirmation report and the results therein shall be deemed conclusive.

The MRO refers to a licensed physician who is responsible for receiving laboratory results generated by the employer’s drug testing program, evaluation, interpreting and verifying those drug testing results in conjunction with an employee's medical history, and determining whether a positive result was caused by the use of prohibited drugs or by an employee's medical condition.

If a post-accident drug screen produces a positive result due to a safety sensitive employee’s lawful use of prescription medication which may impair judgement such as driving, handling equipment or making sound decisions, the employee will be removed from all safety sensitive work and, as soon as reasonably practical, discuss any limitations with the employee’s supervisor. An employee may be required to provide a doctor’s release to resume regular safety sensitive work duties.

The MRO shall have knowledge of substance abuse disorders and appropriate medical training to interpret and evaluate an individual's positive test result (as reported by the laboratory) together with his or her medical history and any other relevant biomedical information.

Any results below the minimum stipulated test levels for drug testing or under .02 for alcohol testing shall be considered a negative test result. Any employee with properly confirmed positive drug test results, or greater than .02 alcohol test as certified by the MRO, shall continue to be removed from any safety sensitive work and shall report to the supervisor upon request.

**Records**

All information from an employee's drug and alcohol tests is confidential, unless otherwise required by law. Records will be maintained in a secure manner so that disclosure of information to unauthorized persons does not occur.

**Appeal and Retesting**

Employees may appeal positive test results by submitting a written request to the director of human resources within 24 hours after being informed of the positive test result. The appellant has the right to have a second test performed at a certified laboratory of his/her choice. The specimen transfer between the laboratories will follow standard protocol. An MRO shall interpret the alternate laboratory's test results, considering the nature of the result and time.
elapsed since the original test. All expenses for such retests will be the responsibility of the appellant.

Notice

All new employees shall receive notice of this policy and be required to sign an acknowledgement of receipt. Failure to sign an acknowledgement of receipt shall not nullify the notice provided by the university. Existing employees will be notified of the policy and its revisions.

Cross-reference: Discipline and Discharge (11.4); Illicit Drugs and Alcohol Abuse (13.11); 49 C.F.R. §§ 40, 382

Responsible for Implementation: President

Contact for Revision: Director of Environmental Health, Safety, and Risk Management, Director of Human Resources, and General Counsel

Forms: Notice and Acknowledgement of Policy Receipt

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Early Registration Priority

Policy Number: 4.3

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

Date of last revision, if applicable: none - original July 25, 2017

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

Purpose of Policy (what does it do): allows priority registration for students with special scheduling circumstances

Reason for the addition, revision, or deletion (check all that apply):
- [x] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: no changes recommended

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: July 25, 2017
Last Revision: None April 18, 2020

The primary purpose of priority registration at Stephen F. Austin State University is to ensure that students with special scheduling circumstances have an opportunity to make adequate progress through their curricula toward graduation.

Generally, the criteria for approval to register early may include scheduling constraints related to academic programs or university related activities that cause students to travel away from campus.

Written requests for priority registration may be submitted by appropriate faculty or staff affiliated with student groups. A one-page rationale requesting special status should be sent to the office of the provost and vice president for academic affairs. Requests will be considered on a case-by-case basis by the Deans' Council.

The registrar will maintain a current list of those groups of students who have priority registration.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Electronic Signatures

Policy Number: 2.17

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

Date of last revision, if applicable:

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

Purpose of Policy (what does it do): The policy establishes guidelines for the use of electronic signatures, approvals, and records.

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: New policy

Please complete the appropriate section:

Specific rationale for new policy: Federal and state statutes provide that a record or signature may not be denied legal effect or enforceability solely because it is in electronic form. The policy provides guidance for all members of the university community as it applies to uses of electronic signatures to conduct university business with internal and external constituents.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Anthony Espinoza, Chief Information Officer
Gina Oglesbee, Chief Audit Executive
Damon Derrick, General Counsel
Electronic Signatures

Original Implementation: April 18, 2020

Last Revision: None

Federal and state statutes provide that a record or signature may not be denied legal effect or enforceability solely because it is in electronic form. The purpose of this policy is to establish guidelines for the use of electronic signatures, approvals, and records, to the fullest extent permitted by law, using secure and practical methods.

This policy applies to all members of the university community, including, but not limited to faculty, staff, students, affiliates and volunteers. It applies to all uses or potential uses of electronic signatures to conduct the official business of the university, including transactions with third-party vendors and contractors.

This policy does not mandate the use of electronic signatures or otherwise limit the rights of parties to conduct transactions on paper. This policy does not apply where a handwritten signature is required by applicable law. The policy does not apply to facsimile signatures used on checks issued by the university.

I. Definitions
For the purposes of this policy, the university adopts the following definitions:

A. Electronic means relating to technology having electrical, digital, magnetic, wireless, optical, electromagnetic, or similar capabilities.
B. Electronic record means a record created, generated, sent, communicated, received or stored by electronic means.
C. Electronic signature means an electronic sound, symbol, or process attached to or logically associated with a record and executed or adopted by a person with the intent to sign the record.
D. Signature authority means the permission given or delegated to enter and make contracts, purchases, and agreements of any character on behalf of the university.
E. Approved electronic signature method is one that has been approved by Information Technology Services in accordance with this policy and all applicable state and federal laws.

II. Approval of Electronic Signature Methods
The final approval of any electronic signature method will be by Information Technology Services (ITS). ITS must approve all electronic signature methods to ensure that (i) the services have appropriate security procedures that can accurately attribute electronic records or electronic signatures to the individuals that created them; (ii) the services do not result in the remote storage of confidential or sensitive university records without appropriate safeguards; and (iii) the services comply with the requirements of all applicable legislation, including, but not limited to 1 TAC § 203.44.
ITS must also approve, in consultation with the General Counsel, all requests to use the secure, authenticated electronic signature application to create and send documents for signature.

III. Use of Electronic Signatures
Except as stated in Section IV, when applicable law or university policy requires a written signature on a document binding the university, an electronic signature will meet the requirement and will be accepted as legally binding and equivalent to a handwritten signature when an approved electronic signature service is used and signed by an employee with signature authority under university policy 1.3 (Contracting Authority).

IV. Exceptions to Use of Electronic Signatures
Electronic signatures cannot be used when university policy or federal or state laws or regulations do not allow their use. The following are important examples of documents that cannot be signed electronically. This list is not exhaustive:

A. Wills, codicils and testamentary trusts;
B. Promissory notes;
C. Any document required to accompany any transportation or handling of hazardous materials, pesticides or other toxic or dangerous materials;
D. Notices involving mortgages or leases that could lead to the loss of a primary residence;
E. Notices of the cancelation or termination of health insurance, health benefits, or life insurance benefits.

V. Accountability
Employees with signature authority are equally accountable for properly and appropriately executing documents on behalf of the university whether they sign the document manually or electronically.


Responsible for Implementation: Chief Information Officer

Contact for Revision: Chief Information Officer

Forms: None

Board of Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Employee Enrolling for Courses

Policy Number: 12.4

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

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

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

Purpose of Policy (what does it do): This policy permits full-time employees to take a course during working hours and describes the related 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:

Specific rationale for deletion of policy: Contents of this policy have been incorporated with changes to 12.5 Lumberjack Education Assistance Program

Additional Comments:

Reviewers:

Dr. Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Employee Enrolling for Courses

Original Implementation: Unpublished
Last Revision: April 30, 2019

Purpose

This policy permits full-time employees to take a course during working hours and describes the related requirements.

General

If departmental workloads permit, full-time employees may take one course per semester of either three or four semester credit hours during working hours.

Approval of the employee's supervisor must be obtained in advance, and arrangements must be made with the supervisor to schedule make-up time for work missed. If work cannot be made-up, then the employee must turn in vacation or comp time for work time missed.

Exceptions to this policy will be considered, but approval must be obtained in writing from the employee's supervisor and the appropriate vice president.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Employee Terminations and Transfers

Policy Number: 11.10

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): This policy establishes the responsibilities and timing of required notifications when an employee is terminating employment of transferring to another department.

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

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

☐ Internal Review  ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes

Reviewers:

Dr. Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Employee Terminations and Transfers

**Original Implementation:** Unpublished

**Last Revision:** April 18, 2020

**Purpose**

This policy establishes the responsibilities and timing of required notifications when an employee is terminating employment or transferring to another department.

**General**

It is preferred that faculty, staff, and graduate assistant employees give at least two (2) weeks’ notice to their supervisors prior to termination or retirement from the university or transfer to another department. Supervisors are responsible for immediately notifying human resources of all faculty, staff, graduate assistant terminations, retirements, and transfers. Notification will be accomplished through completion of an Electronic Personnel Action Form (EPAF). University policy, Electronic Personnel Action Form (11.8) directs the preparation and processing of an EPAF.

Timely notification must be given to human resources prior to the termination, retirement, or transfer date preferably in the last week of employment, but must be given no later than the day the employee leaves his/her department. The purpose of this notification action is to alleviate security risks and prompt the termination of accounts such as email, long distance access, internet connectivity, purchasing privileges, computer system access and building access. This notice also alerts certain departments to verify whether or not the employee has outstanding financial matters to be resolved. If the employee has any outstanding debts to the university, the employee's department should notify payroll immediately so that the matter can be reviewed.

Early notification will not terminate an employee's accounts until the effective date. The EPAF process should be started as soon as possible to allow for routing through the appropriate channels for approval.

Failure of the department head to notify human resources in a timely manner may cause the employee's department to be charged for the employee's benefits unnecessarily since employees continue to have benefit coverage unless proper and timely notification has occurred.

As part of the exit process, the department in which the employee works must administer a departmental exit process to finalize business matters involving the terminating or retiring employee. This process is available on-line to assist the department in accomplishing this task. The departmental checkout form is to be signed by the department head and the employee and forwarded to human resources for the employee's personnel file. The department head is responsible for verifying whether or not all departmental business is cleared such as keys collected, credit cards returned, uniforms returned, files and equipment returned, time sheet signed and that the EPAF has been submitted.

All faculty, staff, and graduate assistant employees leaving the employment of the university are
highly encouraged to complete an exit interview or checkout procedure with human resources. The employee should contact human resources to schedule an exit interview, but it is the department head’s responsibility to ensure that the exiting employee meets with human resources before their last day of employment. Faculty, staff, and graduate assistant employees should clear all outstanding financial matters prior to their exit interview.

It is to the employee’s benefit to have an exit interview where they will obtain information about their retirement funds, discuss benefits, and make arrangements for their last paycheck, and receive information regarding remaining leave time. It is important that a forwarding address be given to human resources so that the employee's W-2 and COBRA (health care continuation) information can be sent to them. The employee will be given an opportunity to complete a separation questionnaire during the exit interview. Employees who will be transferring to a state agency must meet with Human Resources for details to ensure efficient and timely transition.

**Cross Reference:** Electronic Personnel Action Form (11.8)

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

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

**Forms:** Electronic Personnel Action Form; *Departmental Employee* Checkout Form

**Board Committee Assignment:** Academic and Student Affairs
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: January 29, 2019

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

Purpose of Policy (what does it do): Guidelines for faculty compensation

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 Deans Council

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording change in Compensation for Adjunct Faculty for clarification: "years of relevant experience in discipline"

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: February 3, 2005
Last Revision: January 29, 2019, April 18, 2020

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. 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. Salary recommendations by the academic unit head and dean are submitted to the provost for approval.

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, 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 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). 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 years of relevant experience in the discipline according to the following ranges:

<table>
<thead>
<tr>
<th>Years of Experience</th>
<th>Salary Range (per course)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Zero to Six</td>
<td>$2,500 - $3,000</td>
</tr>
<tr>
<td>Seven to Ten</td>
<td>$2,650 - $3,200</td>
</tr>
<tr>
<td>Over Ten</td>
<td>$2,800 - $3,800</td>
</tr>
</tbody>
</table>

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.

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).

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 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.

g. Associate Dean, Assistant Dean or Academic Unit Head Compensation: When appointed as an associate dean, assistant dean, or academic unit head, a faculty member may receive a combination of a stipend and reassignment time for performing administrative duties. See Academic Unit Head – Responsibilities, Selection, and Evaluation Appointments (4.24).

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 academic unit head and dean, subject to the approval of the provost and vice president of academic affairs.

b. Recommendations: Academic unit 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 academic unit head for use in consideration of a merit increase. See Faculty Merit Pay (7.6).

c. Salary Increases for Promotion: Faculty members, through the promotion process [see Academic Promotion of Full-Time Faculty (7.4)], are awarded increases in the subsequent budget year based on budgeted resources and the promotion rank.

Cross Reference: Academic Appointments and Titles (7.2); Academic Promotion of Full-Time Faculty (7.4); Academic Unit Head Appointments – Responsibilities, Selection, and Evaluation
(4.24); Faculty Workload (7.13); Salary Supplements, Stipends and Additional Compensation (12.16); Compensation from Grants, Contracts and Other Sponsored Agreements (12.1); 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
POLICY SUMMARY FORM

Policy Name: Graduate Admission

Policy Number: 6.17

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

Date of last revision, if applicable:

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

Purpose of Policy (what does it do): Details requirements and criteria for students applying for graduate studies.

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: new policy

Please complete the appropriate section:

Specific rationale for new policy: Policy specifically addressing admissions for graduate studies

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
Graduate Admission

Original Implementation: April 18, 2020

Admission Requirements

Stephen F. Austin State University (SFA) encourages qualified students to apply for admission to Graduate Studies by using the electronic version of the Texas Common Application, which is available at www.applytexas.org.

Evaluation of transcripts is done by the Office of Research and Graduate Studies and the departments. All new and returning graduate applicants for admission are required to submit a nonrefundable application fee. Applicants for clear admission to SFA will be required to meet or exceed an overall GPA of 2.5. Applicants must have proof of bachelor's degree from a recognized accredited college/university as indicated on an official transcript.

Admission to Graduate Studies is under the discretion of the Dean of Research and Graduate Studies and the programs. Admission to the university does not automatically guarantee admission to a particular college, school, or program. An applicant admitted to a graduate program must enroll within one year of admission. When a graduate student, new or returning, does not register for courses in one year, that student must re-apply to the program to continue studies.

Admission Criteria

All students seeking admission to a graduate program should consult criteria directly with the graduate program advisor of the department in which they wish to study for specific additional requirements. Each department has the authority to set admission standards higher than the general criteria set by the university. Some graduate programs have higher GPA standards and require additional documentation such as the Graduate Record Examination, the Graduate Management Admission Test, essays, and letters of recommendations or resumes.

Transfer Credits

The university accepts transfer credits from accredited institutions as determined appropriate by the major departments’ program. Any course accepted by transfer will carry credit but no grade-point value. Moreover, to transfer credit, the student must have earned a grade of B or better on the course.

Degree Plan

Following admission to a graduate degree program, a student must confer with the graduate advisor in the major department. As soon as possible and preferably during the first semester or summer session of enrollment, a student should have a degree plan made by the graduate advisor in the major department. Hours earned in an SFA certificate program can be
considered for a graduate degree program.

Resident Status

The student who has not resided in Texas for 12 months immediately preceding the student's registration into the university will be classified as non-resident. A non-resident teaching assistant employed at least half-time in a position which relates to her or his degree program shall be entitled to pay the tuition and fees of a resident student. A non-resident student holding a competitive scholarship of at least $1,000 for the academic year awarded by a scholarship committee of SFA qualifies for resident tuition and fees.

Meningitis Vaccination

State law requires all entering or re-entering students to provide evidence of vaccination against bacterial meningitis or the appropriate documentation for exemption. A student is exempt if she/he is 22 years old or older by the first day of the semester in which she/he intends to enroll or if she/he is enrolled in online or distance-education courses only.

Cross Reference: General Bulletin; Graduate Bulletin; Course Grades (5.5)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Dean of Research and Graduate Studies

Forms: None

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Graduate Assistantships

Policy Number: 6.12

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

Date of last revision, if applicable: July 25, 2017

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

Purpose of Policy (what does it do): Definitions, guidelines and requirements for graduate assistantships

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: update titles and processes

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
Graduate Assistantships

Original Implementation: Unpublished
Last Revision: July 25, 2017 April 18, 2020

Stephen F. Austin State University offers three types of graduate assistantships (GAs):

Teaching Assistantship - A Graduate Teaching Assistant (GTA) works with students in a specific course or laboratory to provide support for the faculty member in charge, and, in some cases, to teach the course as the primary instructor, under the guidance of a faculty member.

Research Assistantship - A Graduate Research Assistant (GRA) is normally employed by the principal investigator of a funded research project or may be employed by an academic department in the pursuit of its broader research mission. The GRA will be assigned a range of duties, such as library searches, fieldwork, laboratory experiments, and preparation of reports. Work on a research project often leads to a thesis or dissertation or a professional presentation or publication, and provides long-range direction for the student's development as a scholar.

Administrative Assistantship - A Graduate Administrative Assistant (GAA) works with the administrative staff of a department, college, or campus office primarily in gathering, organizing, and analyzing information. The duties should be more advanced than those performed by undergraduate student assistants.

To be eligible for a GA, a student must have clear or provisional admission to the graduate school and the academic unit, and be in good academic standing. GAs assigned at the 50% rate (50% = full GA) are obligated to the academic unit to which they are assigned for approximately 320 hours per semester or twenty (20) clock hours per week. Those assigned to other percentages are obligated for a proportionate number of clock hours. GA work times and schedules are determined by the needs of the academic unit or department. The academic unit or department head is responsible for the selection, training, assignment of duties, and supervision of the GAs.

A GA must be enrolled for at least six semester credit hours (SCH) of graduate courses in a fall or spring semester, or three SCH in the summer. Should a GA fall below the required SCH minimum, the GA will not be eligible for an assistantship the following semester.

A GA who receives veteran's benefits or other resources may be required to take nine hours in a fall or spring semester in order to receive the additional benefits. A student eligible for additional benefits should consult the source of the additional funding to determine the number of hours he/she must be enrolled to receive the benefits.

A student must be approved for an assistantship by the academic unit head, dean, director of human resources, and dean of research and graduate studies. Appointment as a GA requires a clear background check and is completed only after the candidate has attended a mandatory new employee orientation session in the Department of Human Resources. All GAs must also complete an online GA Orientation module within their first month of employment. Except for students in the
Ed.D., Ph.D. and M.F.A. programs, or externally funded grant programs, a student normally may receive an assistantship for no more than four long semesters and two full summers.

**Cross Reference:** Graduate Bulletin

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

**Contact for Revision:** Dean of Research and Graduate Studies, Graduate School

**Forms:** Application Form for Graduate Assistantships (available on the ORGS website and from the office of the academic unit head)

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: In-Residence Requirement

Policy Number: 6.15

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

Date of last revision, if applicable: July 25, 2017

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

Purpose of Policy (what does it do): Requirements for in-residence hours for undergraduate and graduate degree programs

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

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

☐ Internal Review   ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revised wording from specific number of hours to percentage of degree programs. Added cross-references.

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
In-Residence Requirement

**Original Implementation:** January 25, 2000  
**Last Revision:** April 18, 2020

The term "in-residence" includes on-campus, off-campus, distance education, field-based, practicum, internship, and thesis/dissertation work for master's/doctoral degrees. Only courses offered by Stephen F. Austin State University will be counted toward the in-residence requirement.

**Undergraduate Degree Programs**

*Undergraduate degrees require at least 25 percent semester credit hours completed in-residence.*

*Undergraduate degrees with 120 hours total degree program hours require a*

Undergraduate degrees require a minimum of 30 semester hours in-residence, all of which must be advanced work (300-400 level) semester credit hours. The in-residence hour requirement will be fulfilled as part of the individual discipline major which includes as least 12 advanced in-residence semester credit hours. Minor requirements may also contribute to the total in-residence hours as at least six advanced in-residence semester credit hours are required. The balance of in-resident hours will be fulfilled through additional advanced semester credit hours and may include further major and minor coursework.

Undergraduate degrees with more than 120 total degree program hour requirements will ensure semester credit hours for the specific discipline include at least 25 percent of total semester credit hours in-residence.

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

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

**Graduate Degree Programs**

*Graduate degrees require at least one third of total semester credit hours completed in-residence.*

Master's degrees require a minimum of 24 semester hours completed in-residence, regardless of the total degree program hours required for the specific degree. Specific minimum Doctoral degree in-residence requirements are determined by each college.

**Cross Reference:** 6.20 None SAC 9.4 Institutional credits for an undergraduate degree; SAC
9.5 Institutional credits for a graduate/professional degree

**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
POLICY SUMMARY FORM

Policy Name: Longevity Pay and Hazardous Duty Pay

Policy Number: 1213

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): This policy establishes eligibility for longevity pay and hazardous duty pay and prescribes amounts to be paid.

Reason for the addition, revision, or deletion (check all that apply):
- [X] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Longevity Pay and Hazardous Duty Pay

Original Implementation: Unpublished
Last Revision: April 18, 2020

Purpose

This policy establishes eligibility for longevity pay and hazardous duty pay and prescribes the amounts to be paid.

General

Non-academic, full-time employees working at least 40 hours a week in one position, are entitled to longevity pay in the amount of $20 per month for each 2 years of state service. When appointments are added together, an eligible employee may be paid longevity pay if the sum of the scheduled work hours in all non-academic appointments is 40 or more hours. Longevity pay is capped at $420 per month. At the time of initial employment, employees are required to report prior employment with other state of Texas agencies or institutions of higher education. The new employee will be asked to provide prior state employment information to human resources during the new employee orientation. Prior state employment is verified by human resources. SFA Charter School teachers are excluded from this policy.

Commissioned law officers are entitled to hazardous duty pay in lieu of longevity pay. In most cases, the amount of a full-time employee’s hazardous duty pay is $10 per month for each 12-month period of lifetime service credit accrued by the employee.

Cross Reference: Tex. Gov’t Code §§ 659.041-.047,.305; Texas Comptroller guidelines on longevity pay and hazardous duty pay

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
POLICY SUMMARY FORM

Policy Name: Out-of-State Course Delivery

Policy Number: 5.15

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

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

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

Purpose of Policy (what does it do): rules/guidelines for courses offered out of the State of Texas

Reason for the addition, revision, or deletion (check all that apply):
- [x] 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, update one deadline

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
Out-of-State Course Delivery

**Original Implementation:** September, 1981  
**Last Revision:** January 31, 2017 April 18, 2020

Out-of-state courses occur when the majority of instruction takes place beyond the state’s borders. This does not include courses in which incidental travel outside Texas occurs for enrichment activities, nor does it include online courses taught by instructors residing outside Texas. Prior approval is required for any out-of-state course offering, with different forms and routing processes for domestic and international travel.

The Texas Higher Education Coordinating Board (THECB) establishes the following rules for any out-of-state course:

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

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

- Prior to February 1 for delivery in the following fall semester;
- Prior to June 1 for delivery in the following spring semester;
- Prior to November 1 for delivery in the following summer semester; and
- **Prior to May 1 for delivery of any international course for the upcoming academic year.**

- Prior to May 1 for delivery of any international course as early as summer of the following year.
Any agreement with a travel agency, carrier, or vendor will be reviewed by the general counsel prior to implementation.

Students must be informed in writing when any contract for transportation, lodging, or food has been made with a travel agency or carrier. This information must also be clearly stated that SFA is responsible only for instruction and academic credit.

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

State bid procedures must be followed. Trip directors may be required to submit requests for bids or justifications for contracts with specific vendors or agents.

Faculty members leading study abroad groups typically have all of their trip-related expenses paid through the study abroad program – mileage to airport, parking (or cost of rental car), airfare, local transportation, entrance fees, meals, lodging, insurance, telephone charges related to the trip. However, no separate travel allowance for the instructor will be provided unless a specific exception is made by the provost and vice president for academic affairs.


Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

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

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Recombinant DNA and/or Infectious Biohazards in Teaching and Research

Policy Number: 8.9

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

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

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

Purpose of Policy (what does it do): Guidelines for use of recombinant DNA and/or infectious biohazards in teaching and research

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 for clarification and format corrections

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
Recombinant DNA and/or Infectious Biohazards in Teaching and Research

Original Implementation: January 29, 2013
Last Revision: January 31, 2017, April 18, 2020

I. Purpose

The Institutional Biosafety Committee (IBC) at Stephen F. Austin State University (SFA) is responsible for the review of proposed research activities that involve biological agents, toxins, or recombinant DNA (rDNA). This review process ensures that all university activities comply with government regulations set forth by the National Institutes of Health (NIH), the Centers for Disease Control and Prevention (CDC), the U.S. Department of Agriculture (USDA), the U.S. Department of Health and Human Services (HHS), and the latest Select Agent Regulations (7 CFR Part 331, 9 CFR Part 121, and 42 CFR Part 73), as applicable.

The IBC shall consist of university faculty and community representatives as set forth by the NIH Guidelines, and will meet monthly, or on an as-needed basis. In addition to ensuring compliance with federal agency requirements, the main goal of the IBC is to minimize risks to faculty, staff, students, facilities, the community, and the environment. All IBC procedures should be followed in conjunction with other relevant SFA policies and procedures.

II. Scope

This policy applies to all activities, teaching or research, that involve rDNA and/or biohazardous materials as defined in Section III, below, that are:

- conducted by university faculty or staff;
- conducted using property and/or facilities owned by the university; and/or
- stored at any university-owned facility

Environmental Health, Safety, and Risk Management Department (EHSRM) and IBC procedures apply to all faculty, staff, students, visitors, and agents (and their employees) that are engaged in teaching or research activities involving rDNA and/or biohazardous materials.

III. Definitions of rDNA and/or Biohazardous Materials

A. rDNA

The NIH Guidelines for Research Involving Recombinant DNA Molecules (NIH Guidelines) define rDNA molecules as either: (1) molecules that are constructed outside of living cells by joining of natural or synthetic DNA segments to DNA molecules that can replicate in a living cell; or (2) molecules that result from the replication of those described in (1) above. Synthetic
DNA segments that have the potential to produce harmful or potentially harmful polynucleotides or polypeptides (e.g. toxins, and pharmacologically active agents) are considered equivalents to their natural DNA counterparts.

**B. Infectious Biological Agents**

Infectious biological agents include biological agents and/or biologically-derived materials that present or that may present a risk to the health and welfare of humans or animals, whether directly through infection or indirectly through damage to the environment. Categories of potentially infectious biological materials include:

- human, animal and plant pathogens (bacteria, parasites, fungi, viruses, prions);
- all human blood, blood products, tissues, and bodily fluids;
- cultured cells and potentially infectious agents these cells may contain or can support the proliferation of;
- clinical specimens; and
- infected or potentially infected animals and animal tissues

**C. Select Agents and Toxins**

The Department of Health and Human Services (HHS), Centers for Disease Control and Prevention (CDC), and the United States Department of Agriculture (USDA) have identified select agents and toxins that have a high potential to pose a major threat to public, animal or plant health. These agents are subject to protocol and regulatory oversight by these agencies. The HHS/CDC list of select agents and toxins (including those that overlap with USDA) are identified at 42 CFR 73.3 (HHS list) and 42 CFR 73.4 (Overlap list). The USDA list of select agents and toxins are identified at 9 CFR 121.3.

Because SFA does not have a permit of registration with the CDC or USDA, the receipt, use, or storage of select agents and toxins that are not deemed to be excluded by HHS criteria are prohibited.

**IV. Risk Assessment and Selection of Appropriate Safeguards**

Teaching or research activities that involve rDNA and/or biohazardous materials are classified on the basis of potential risk to humans. Risk classification determines the type of biological and physical containment level(s). There are no facilities at the university certified to conduct research or teaching above Biosafety Level 2 (BSL-2) and above Risk Group 2 (RG-2).

**A. Risk Group Classification**

Agents are classified into two risk groups according to their relative pathogenicity for healthy adult humans. These two risk groups are:

- Risk Group 1 (RG-1) – Agents that are not associated with disease in healthy adult humans.
- Risk Group 2 (RG-2) – Agents that are associated with human disease that is rarely serious and for which preventative or therapeutic interventions are often available.

B. Biological and Physical Containment (Biosafety Level)
The final assessment of risk, based on the agent’s risk group and other risk factors, should be used to determine the appropriate biosafety level (BSL-1 or BSL-2) for the rDNA and/or biohazardous materials. The level of biosafety describes the degree of physical and biological containment required to contain rDNA and/or biohazardous materials in order to reduce or eliminate the potential for exposure of all personnel, whether inside or outside of the facility, as well as the environment.

Following is a general description of the acceptable biosafety levels at the university:

- Biosafety Level 1 (BSL-1) – Suitable for work involving biohazardous materials of a minimal potential hazard to personnel and the environment.
- Biosafety Level 2 (BSL-2) – Suitable for work involving biohazardous materials of a moderate potential hazard to personnel and the environment. The biohazardous materials are associated with human disease that is rarely serious and for which preventative or therapeutic interventions are often reliable.

Additionally, there are specific biosafety levels for work with rDNA and/or biohazardous agents involving plants or animals. Additional information on these can be found in the BMBL and the NIH Guidelines Section III and Appendix P (plants) and Q (animals).

V. Responsibilities

The provost and vice president for academic affairs is responsible for compliance with this policy and accompanying procedures. It is the role of the IBC to review, approve/reject, and provide oversight and guidance to individuals at the university, or that use property owned by the university, who seek to use or possess rDNA and/or biohazardous materials for teaching or research. The possession and/or use of rDNA and/or biohazardous materials at the university must be conducted with safeguards in place to protect against environmental release.

A. Laboratory Supervisors, Faculty and Staff Responsibilities

- Obtain IBC approval and meet all other requirements prior to initiating or modifying any teaching or research involving rDNA and/or biohazardous materials;
- Immediately report any significant problems or accidents and illnesses to the EHSRM, the IBC chair, and any other university committee or official that has reviewed and approved the research activity (e.g. the Institutional Animal Care and Use Committee or the Radiation Safety Officer);
- Comply with all local, state, and federal requirements when teaching or research involves rDNA and/or biohazardous materials;
- Comply with all local, state and federal requirements when teaching or research involves rDNA and/or biohazardous materials;
• Develop Standard Operating Procedures (SOPs) incorporating biosafety procedures or a biosafety manual prepared specifically for the teaching or research classroom or laboratory;
• Ensure that all personnel and students are properly trained on the potential hazards associated with the teaching or research activities and the necessary precautions to prevent exposures;
• Provide personal protective equipment required for work with the respective rDNA and/or biohazardous material;
• Supervise the safety performance of the teaching or research staff and personnel to ensure that the required safety practices and techniques are employed;
• Correct work errors and conditions that may result in the release of rDNA and/or biohazardous materials;
• Ensure the integrity of the biological and physical containment (biosafety level);
• Ensure the security of rDNA and/or biohazardous materials at all times; and
• Initiate or modify no rDNA research that requires prior IBC approval before initiation, until that research or the proposed modification(s) has been approved by the IBC and has met all other requirements.

B. Environmental Health, Safety, & Risk Management Responsibilities:
• Inspect periodically (minimum of one per fiscal year) all laboratories and classrooms conducting rDNA and/or biohazardous research to ensure that proper standards are strictly followed;
• Ensure that each laboratory has up-to-date standard operating procedure manuals that meet EHSRM standards;
• Report to the IBC Chair any significant problems, violations of NIH Guidelines, and any significant accidents or illnesses;
• Assist the laboratory personnel with the development of emergency plans for handling accidental spills and personnel contamination;
• Investigate accidents involving rDNA and/or biohazardous materials.
• Adopt and implement emergency plans set forth with the assistance of the safety officer for accidental spills and personnel contamination;
• Provide information on spills and incidents to public health officials as required;
• Provide advice on laboratory security;
• Provide advice to the IBC, faculty and staff on safety procedures.

C. IBC Responsibilities
• Review and consider for approval, including initial annual review of approval, and modifications, proposals for teaching or research activities involving rDNA and other potentially hazardous agents that are sponsored by, or conducted at, the university for compliance with the NIH Guidelines. This relates to initial and annual review of approval and modifications to all proposals and activities;
• Assess facilities, procedures, practices, training, and expertise of personnel taking part in
such teaching or research;
- Notify the EHSRM of the IBC’s review results, including approval or rejection, and the Office of Research and Sponsored Programs for externally funded research activities.
- Assess, modify and finalize containment levels for teaching or research;
- Review and report any significant problems with or violations of the NIH Guidelines, accidents, or illnesses to the provost and vice president for academic affairs and to the NIH OBA as required by section IV-B-1-j of the NIH Guidelines.

Cross Reference: NIH Guidelines for Research Involving Recombinant DNA Molecules; Biosafety in Microbiological and Biomedical Laboratories (BMBL); 7 CFR Part 331; 9 CFR 121.3; 42 CFR 73.3-.4.

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Institutional Biosafety Committee Chair

Forms: Permit Registration, Annual Renewal, Adverse Event, BSL2 SOP Template, BSL2 Manual Template

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Research Enhancement Program

Policy Number: 8.11

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

Date of last revision, if applicable: April 25, 2017

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

Purpose of Policy (what does it do): Description and guidelines for the research enhancement 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: Update description, eligibility, and compliance requirements. Delete reference to Graduate Research Program. Update titles.

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
Research Enhancement Program

Original Implementation: September 1965
Last Revision: April 25–2017 18,2020

The Research Enhancement Program at Stephen F. Austin State University (SFA) encourages and enhances research and creative opportunities for faculty members, serves as support for innovative research, and provides seed monies to attract external funding.

Description: The Research Enhancement Program consists of three-two components: (1) the Faculty Research Grant Program, which provides substantive support for research and scholarly creative activities; and (2) the Minigrant Program, which provides opportunities for faculty to carry out small projects or preliminary research activities that will increase their competitiveness in acquiring additional funding; and (3) the Graduate Research Assistant (GRA) Program, which provides support for graduate students working toward research-based theses and dissertations.

Eligibility: Individuals with a full-time, tenured or tenure-track academic appointment as professor, associate professor, assistant professor, instructor, or librarian I-IV are eligible to apply for Faculty Research Grants and Minigrants. Members of the graduate faculty serving as faculty advisors may apply for GRA support on behalf of their students.

Compliance: Recipients of research enhancement funds are subject to university policies as well as state and federal rules and regulations. For research projects involving human subjects, laboratory animals, or hazardous materials, or exports, the applicant must provide a memorandum of approval from the chair of the appropriate university committee to the Office of Research and Sponsored Program (ORSP) Graduate Studies (ORGS) prior to project implementation.

Faculty Research Grant (FRG) and Minigrant (MG) Programs: The University Research Council (URC) establishes guidelines for the content and format of proposals and creates criteria for the evaluation of applications. These guidelines include, at a minimum, the following provisions:

1. Funds cannot be used by faculty or students to obtain advanced academic degrees; however, these funds may be used by faculty to hire students to work on specific aspects of a project.
2. An applicant with an FRG or MG award must follow URC guidelines.
3. Funds cannot be used to supplant funding for research activities or equipment provided by another source.
4. Recipients must submit progress and/or final reports as required by ORSP ORGS.
5. Any publication, presentation, or exhibition resulting from an FRG or MG must acknowledge the support provided by the Research Enhancement Program at SFA.
6. The project director must submit copies of publications, exhibitions, or other media to ORSP ORGS and may also send this to the Center for Digital Scholarship.

The URC makes recommendations for funding of FRGs to the chair of the council. If an award exceeds $5,000, the provost and vice president for academic affairs must approve the funding.
Graduate Research Program: Faculty advisors may identify and submit applications on behalf of graduate students.

The content, format, and criteria for evaluation are determined by the URC. These guidelines include, at a minimum, the following provisions:

1. Awardees must be working toward a research-based thesis/dissertation or equivalent project. Non-thesis graduate students are ineligible.
2. Students receiving awards must be released from teaching responsibilities.
3. Graduate Research Assistantships can be up to twelve (12) months in duration. Faculty sponsors can apply for a second 12-month assistantship for a student, but assistantships may not exceed a total of 24 months per student. For continued funding, the faculty sponsor must demonstrate student progress to the URC each semester.

The FRG proposals are submitted and filed in the ORGS. The URC makes recommendations for funding to the chair of the council who, in turn, must obtain approval from the dean of the graduate school ORGS for funding. If approved, the dean of ORGS notifies the provost and vice president of academic affairs (PVPAA) of the recommended FRG awards. The PVPAA approves and notifies the recommended recipients of the FRG.

Cross Reference: Human Research Subjects Protection (8.4); Institutional Animal Care and Use Committee (8.6); Recombinant DNA and/or Infectious Biohazards in Teaching and Research (8.9) Export Control (2.15)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Director, Office of Research and Sponsored Programs/Dean Office of Research and Graduate Studies

Forms: Faculty Research Grant and Minigrant applications

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Selection of Vice Presidents, Athletic Director, and Head Coaches

Policy Number: 18

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

Date of last revision, if applicable: 4/21/2018

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy provides the authority for the Board of Regents to be notified of a vacancy and engage in the selection of a vice president, athletic director, head coach, chief information officer or the executive director of enrollment.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Policy name change and minor wording changes for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Scott Gordon, President
Damon Derrick, General Counsel
Selection of Vice Presidents, Athletic Director, Positions Reporting to the President and Head Coaches

Original Implementation: April 21, 1998
Last Revision: October 29, 2018, April 18, 2020

The chair of the Board of Regents shall be notified in the event of a vacancy in the positions of vice president, athletic director, any position reporting directly to the president and head coaches. The Board of Regents may participate at its discretion in the selection of the vice presidents, athletic director, any position reporting directly to the president and head coaches prior to the obligation of those positions.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee
POLICY SUMMARY FORM

Policy Name: Selective Service Registration

Policy Number: 11.26

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): This policy establishes the requirement that prescribed individuals must provide proof of selective service registration prior to beginning employment with the university.

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

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

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes

Reviewers:

Dr. Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Selective Service Registration

Original Implementation: October 26, 1999
Last Revision: April 18, 2020

Purpose

This policy establishes the requirement that prescribed individuals must provide proof of selective service registration prior to beginning employment with the university.

General

All male citizens/nationals from eighteen up to twenty-six years of age must provide proof of registration or proof of exemption from registration with the selective service system prior to beginning employment with Stephen F. Austin State University. Upon reaching the 26th year of age, the registration verification process is no longer applicable.

This verification requirement is applicable to all categories of employees including faculty and staff employees, staff, casual, temporary, and student. The registration requirement does not apply to a person employed by SFA before September 1, 1999 as long as the person's employment by SFA is continuous.

The following persons are exempt from the requirement to register:

- Females
- Lawfully admitted non-immigrant aliens on visas (such as those men on visitor or student visas and members of diplomatic or trade missions and their families) because they are residing in this country temporarily
- Members of the Armed Forces on full-time active duty, including cadets and midshipmen at the United States service academies
- All males who have reached age 26
- Females

Exemptions to the selective service requirement will be reviewed on a case-by-case basis.

The following guidelines should be followed for the employment process:

- Any offer of employment is considered conditional until proof of registration is documented.
- This information verification will be gathered by human resources during the new employee orientation process. At that time, the data is verified in a government database and if the individual is not registered, he must do so immediately in order to be eligible for state employment.

Cross Reference: Tex. Gov't Code § 651.005

Responsible for Implementation: Vice President for Finance and Administration
Contact for Revision: Director of Human Resources

Forms: SFA Selective Service Registration Verification Form

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: University Website

Policy Number: 15.10

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 University Advancement

Purpose of Policy (what does it do): Designates responsibility for university websites, including technical responsibility, accuracy, style and format. The policy also provides information regarding outsourcing, e-commerce and ADA compliance.

Reason for the addition, revision, or deletion (check all that apply):
- [ ] Scheduled Review
- [ ] Change in law
- [x] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: August 1, 2000
Last Revision: April 25, 2018

The Stephen F. Austin State University website is an important communication tool for the university and the source of vital information for prospective and current students, as well as faculty and staff, among other audiences. The quality of the university is evaluated in part by its online content.

University Marketing Communications provides best-practice guidelines, which are updated from time to time. Current guidelines may be found on the university website.

I. Responsibility
   a. Management of the website, led by University Marketing Communications, strives to ensure that information is accurate and easily accessible, while recognizing the contributions of university colleges, schools, departments and programs.
   b. The administrative head of each campus organizational unit maintaining a website is responsible for seeing that the site adheres to this and other university policies.
   c. Every organizational unit head shall designate an individual(s) to serve the following functions: website editor, and, if applicable, server administrator. (The same person may serve in both of these capacities.) To ensure continuity of service, these individuals must be regular (non-student) university employees. However, the organizational unit head is responsible for the unit's website and its adherence to university Web policy and practices provided by University Marketing Communications. Careful thought must be given to the collection of site content and the ongoing responsibility of site maintenance.
   d. Each organizational unit head will keep University Marketing Communications apprised of the current designees and will assist University Marketing Communications in ensuring that all of the designees' responsibilities have been fulfilled.

II. Technical Requirements
   a. Duplication. To facilitate revisions and prevent contradictory information from appearing on the university website, unit website editors should not duplicate information already on the university website, but rather should link to information on the site of the office primarily responsible for the function or activity. Information should be entered into the university's content management system and used from the system when available.
   b. Identification. Each website associated with SFA must be clearly identified. The name of the organizational unit should be on every page it creates.
   c. Required page links. Documents should be designed to minimize users’ reliance on navigational aids in browsers. Links must be provided on each page back to the
homepage for that document or collection, and for the homepage, back to the sponsoring department or unit. Each department or unit homepage must include a link back to the university homepage. Other links may be required for different websites as directed by University Marketing Communications.

III. Style and Format
   a. University websites should maintain a uniform and consistent appearance; therefore all university websites shall use the university’s Identity Standards that are posted on University Marketing Communications’ website. Individual faculty members designing personal websites, as well as websites designed, hosted, and published pursuant to a properly executed written agreement with a third-party vendor that has been signed by the president, are excluded from this provision.
   b. The university seal is reserved for use by the Office of the President and may only be used by other departments with the permission of the Office of the President. The university logo is to be used on university websites as per the university’s Identity Standards manual.
   c. The Identity Standards manual shall be developed by University Marketing Communications and approved by the president. It may be modified upon approval of the president.

IV. Outsourcing
   An organizational unit that is considering contracting outside the university for web development, paid or volunteer, should contact University Marketing Communications first. University Marketing Communications will work with units and their consultants to help ensure that the final product of outsourcing efforts complies with university policy and that the final site supports the mission and goals of the unit and the university effectively.

V. Content
   Responsibility for accuracy of website content is the responsibility of everyone in the university, especially the deans, directors, managers and their designees:
   a. Faculty Web pages must be approved by the relevant dean or designee.
   b. Unit Web pages must be approved by the relevant director/manager or designee.
   c. The university home page and top-level pages must be approved by University Marketing Communications.
   d. Administrative material, e.g. policies and minutes of meetings, are to be approved through appropriate administrative channels prior to posting.
   e. Obsolete or out-of-date material must be removed as soon as practical.
   g. Links on the university homepage and index pages to material that is considered obsolete will be removed by University Marketing Communications.

VI. E-commerce Activity
   The university offers a secure method to support e-commerce activities. Contact marketplace@sfasu.edu for more information about establishing e-commerce service on a university website.
VII. **Copyright and Privacy**
Copyright laws and university copyright policy must be followed. Information created by a government agency is largely considered to be in the public domain. "Found" graphics or outside information must not be used on websites without proper attribution or permission.

VIII. **Commercial Activity**
Commercial activity for personal gain is not permitted on any site operated with university resources, nor may readers be automatically re-directed from a university website to an external website that may result in personal financial income for any university employee.

IX. **ADA Compliance**
Websites must be in compliance with accessibility requirements. See the state of Texas website Rules and Regulations for additional information on meeting requirements of the Americans with Disabilities Act (ADA).

X. **Exceptions**
All requests for exemptions from these standards must be submitted in writing to University Marketing Communications prior to a website launch.

**Cross Reference:** 1 Tex. Admin. Code §§ 206.1-2, .70-.75; Web Accessibility Page; Accessibility of Electronic Information Resources (16.9)

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

**Contact for Revision:** Executive Director of University Marketing Communications

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs
APPROVAL OF MINUTES OF JANUARY 26-28, 2020 (333) AND MARCH 20, 2020 (334), BOARD OF REGENTS MEETING

Explanation:

The minutes of the January 26, 27, and 28, 2020 regular meeting of the Board of Regents (Meeting 333) and March 20, 2020 special called teleconference meeting (Meeting 334) are included in this report.

Recommendation:

It is recommended by the administration that the minutes of the January 26, 27, and 28, 2020 (333) and March 20, 2020 (334) meetings be approved.
Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS

Nacogdoches, Texas
January 26-28, 2020
Volume 333
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Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
January 26, 27, and 28, 2020
Austin Building 307
Meeting 333

Sunday, January 26, 2020

The regular meeting of the Board of Regents was called to order in open session at 2:10 p.m. on Sunday, January 26, 2020, by Chair Brigettee Henderson.

PRESENT:

Board Members: Mrs. Brigettee Henderson, Chair
Dr. Scott Coleman
Mr. Alton Frailey
Mrs. Karen Gantt
Mr. Tom Mason
Mrs. Judy Olson
Mrs. Jennifer Winston
Ms. Zoe Smiley, student member
Mr. David Alders – arrived at 4:00 p.m.

General Counsel: Mr. Damon Derrick

President: Dr. Scott Gordon

Vice President: Dr. Steve Bullard
Dr. Danny Gallant
Mrs. Jill Still
Dr. Steve Westbrook

Other SFA administrators, staff, and visitors were in attendance.

The Board of Regents meeting recessed for a tour of the Walter Todd Agricultural Research Center at 2:12 p.m. located on Nacogdoches County Road 123. The meeting reconvened on campus, Austin Building, room 307 at 3:52 p.m. in open session.

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

Deliberations Regarding the Deployment, or Specific Occasions for Implementation, of Security Personnel or Devices (Texas Government Code, Section 551.076)
- Report from chief information officer
- Follow-up Audit of External Information Technology Audits
- FERPA Audit - Security
Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations (Texas Government Code, Section 551.073)

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, Open Meetings Act, Health Insurance Billing, NCAA Compliance, Pamela Clasquin v. SFASU, and Jane SFA-CM Doe v. SFASU (Texas Government Code, Section 551.071)

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

The executive session ended at 6:40 p.m. The Board of Regents meeting returned to open session and recessed to Monday, January 27, at 8:00 a.m.

Monday, January 27, 2020

The regular meeting of the Board of Regents was called to order in open session at 8:00 a.m. on Monday, January 27, 2020, by Chair Brigettee Henderson.

PRESENT:

Board Members: Mrs. Brigettee Henderson, Chair  
Mr. David Alders  
Dr. Scott Coleman  
Mr. Alton Frailey  
Mrs. Karen Gantt  
Mr. Tom Mason  
Mrs. Judy Olson  
Mrs. Jennifer Winston  
Ms. Zoe Smiley, student member

General Counsel: Mr. Damon Derrick

President: Dr. Scott Gordon

Vice President: Dr. Steve Bullard  
Dr. Danny Gallant  
Mrs. Jill Still  
Dr. Steve Westbrook

Other SFA administrators, staff, and visitors were in attendance.

Dr. Scott Gordon provided an overview of the president’s cabinet reports.

CABINET REPORTS
Mr. Anthony Espinoza and Mrs. Erma Brecht gave a Tiger Team Report that covered an update on the team, enrollment and ITS projects.

Dr. Steve Bullard gave a Leadership Actions Now – Course Availability Team Report that covered the efforts being made to meet the needs of SFA students enrolling in courses and laboratories.

Dr. Danny Gallant provided a report on tuition and fees including the proposals for the Annual Fixed Tuition and Fee Plan and the Four year Guaranteed Tuition and Fee Plan.

Dr. Steve Westbrook presented a report on student housing programs.

Mrs. Jill Still and Mr. Ryan Ivey gave a report on the recognition and marketing impact the SFA Lumberjack Basketball win over Duke University made on the institution.

Dr. Steve Westbrook reported the results of the SFA Envisioned Strategic Plan survey.

_The board recessed at 11:17 a.m. to committee meetings. The Building and Grounds Committee convened at 11:17 a.m._

The Board of Regents recessed for lunch at 11:32 a.m. and reconvened in open session at 1:04 p.m.

_The board reconvened in the Building and Grounds Committee meeting at 1:04 p.m. and recessed at 1:25 p.m. The Finance and Audit Committee convened at 1:25 p.m. and adjourned at 3:07 p.m._

The Board of Regents convened as Committee of the Whole at 3:08 p.m.

**BOARD ORDER 20-16**

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

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

The Board of Regents approved the August 31, 2019, SFA Charter School audit financial statements, as presented.

_The board reconvened for committee meeting of the Academic and Student Affairs Committee at 3:27 p.m. and recessed at 3:32 p.m. to the Committee of the Whole._

The chair called for an executive session to consider the following items at 3:35 p.m.:

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

- Report from chief information officer
- Follow-up Audit of External Information Technology Audits
- FERPA Audit - Security

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

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, Open Meetings Act, Health Insurance Billing, NCAA Compliance, Pamela Clasquin v. SFASU, and Jane SFA-CM Doe v. SFASU (Texas Government Code, Section 551.071)

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

The executive session ended at 5:51 p.m. The Board of Regents meeting returned to open session and recessed for the evening with no further action taken.

**Tuesday, January 28, 2020**

The regular meeting of the Board of Regents was called to order in open session at 9:00 a.m. on Tuesday, January 28, 2020, in the Austin Building Board Room by Chair Brigettiee Henderson.

**PRESENT:**

Board Members: Mrs. Brigettiee Henderson, Chair  
Mr. David Alders  
Dr. Scott Coleman  
Mr. Alton Frailey  
Mrs. Karen Gantt  
Mr. Tom Mason  
Mrs. Judy Olson  
Mrs. Jennifer Winston  
Ms. Zoe Smiley, student member

General Counsel: Mr. Damon Derrick

President: Dr. Scott Gordon

Vice President: Dr. Steve Bullard  
Dr. Danny Gallant  
Mrs. Jill Still  
Dr. Steve Westbrook

Other SFA administrators, staff, and visitors were in attendance.

Chair Henderson recognized special guest Nelda Blair of The Woodlands and the board expressed its appreciation for her service as a regent for the Stephen F. Austin State University Board of Regents from 2015 to January 1, 2020. President Gordon presented Blair with her regent portrait
and a commemorative SFA axe. Blair made comments of appreciation.

SFA ROTC Cadet Sarah Sparkman led the pledges to the flags and Regent Mason provided the invocation.

**RECOGNITIONS**

Dr. Bullard recognized the ROTC Ranger Challenge student team for their accomplishments. Dr. Kevin Stafford, Dr. Nick Long, Dr. Pat Stephens, Dr. Steve Cooper and Dr. Zach Seldon were recognized for their research efforts. Dr. Dan Unger, Dr. Brian Oswald, and Dr. David Kulhavy from the Arthur Temple College of Forestry and Agriculture were recognized for their recent awards. Dr. Mark Sanders, from the Department of English was recognized for his poem that was published in the New York Times.

Ryan Ivey recognized Coach Debbie Humphreys and the winning 2019 Ladyjack Volleyball team.

Dr. Steve Westbrook recognized the University Police Department for their efforts in the Texas Law Enforcement Recognition Program and for preparing the campus to be recognized as a StormReady Campus.

The board introduced April Smith, as Coordinator of Board Affairs/Compliance.

Dr. Scott Gordon introduced Joann Black as the Assistant to the President.

**APPROVAL OF MINUTES**

**BOARD ORDER 20-17**

Upon motion by Regent Winston, seconded by Regent Mason, will all members voting aye, it was ordered that the minutes of the October 27-28, 2020, regular meeting of the Board of Regents and minutes of the November 22, 2019, special called meeting of the Board of Regents be approved as presented.

**PERSONNEL**

**BOARD ORDER 20-18**

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

**STAFF APPOINTMENTS**

The following staff appointments were approved.

**ACADEMIC AFFAIRS**
Shannon Morrison, Coordinator of Student Success, at an annual salary of $41,000 for 100 percent time, effective December 11, 2019.

**ATHLETICS**
Evan Luecke, Program Director – Digital Media, at an annual salary of $36,000 for 100 percent time, effective January 15, 2020.
Tony Minatta, Head Women’s Soccer Coach. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

Mitch Vanya, Assistant Men’s Basketball Coach, at an annual salary of $85,000 for 100 percent time, effective September 27, 2019.

Kevin Young, Assistant Director Athletic External Affairs, at an annual salary of $55,000 for 100 percent time, effective November 7, 2019.

HUMAN SERVICES
Nashae Turner, Director of Counseling Clinic, at an annual salary of $70,000 for 100 percent time, effective January 6, 2020.

INFORMATION TECHNOLOGY SERVICES
Randy Laird, Programmer/Analyst I, at an annual salary of $41,000 for 100 percent time, effective December 2, 2019.

Robert Williams, Programmer/Analyst I, at an annual salary of $41,000 for 100 percent time, effective January 6, 2020.

LIBRARY
Morgan Briles, Librarian II, at an annual salary of $50,000 for 100 percent time, effective January 6, 2020.

Candice Cloud, Librarian II, at an annual salary of $45,000 for 100 percent time, effective October 7, 2019.

PHYSICAL PLANT
Ryan Dietrich, Manager of Staff Services, at an annual salary of $55,400 for 100 percent time, effective December 2, 2019.

Allyson Gallier, Accountant II, at an annual salary of $50,985 for 100 percent time, effective October 28, 2019.

STUDENT AFFAIRS SUPPORT SERVICES
Michara Delaney-Fields, Assistant Dean Student Affairs for Equity, Diversity, and Inclusion, at an annual salary of $82,743 for 100 percent time, effective October 31, 2019.

FACULTY APPOINTMENTS
The following faculty appointments were approved.

COLLEGE OF BUSINESS
Robert Allen, MPA, (Stephen F. Austin State University), Lecturer I, Accounting, at an academic year salary of $50,000 for 100 percent time, effective January 1, 2020.

COLLEGE OF EDUCATION
Vicki Mokuria, Ph.D., (Texas A&M University), Visiting Assistant Professor of Secondary
Education, at a four and half month academic salary of $28,000 for 100 percent time, effective January 1, 2020.

**COLLEGE OF FINE ARTS**
William Jones, MFA, (Ohio State), Lecturer I, Filmmaking, at an academic salary of $40,000 for 100 percent time, effective January 1, 2020.

**CHANGES OF STATUS**
The following changes of status were approved.

**ACADEMIC AFFAIRS**
Raquel Skidmore, from Coordinator Student Success at an annual salary of $50,159 for 100 percent time, to Interim Chair/Department Head at an annual salary of $50,159 for 100 percent time with an additional stipend of $750 per month for ten months, effective November 11, 2019.

Megan Weatherly, from Coordinator Instructional Design at an annual salary of $64,077 for 100 percent time, to Interim Director Instructional Technology at an annual salary of $64,077 for 100 percent time with an additional stipend of $750 per month for twelve months, effective September 1, 2019.

**ALUMNI RELATIONS**
Derek Snyder, from Coordinator Alumni Communications and Sponsorships at an annual salary of $48,911 for 100 percent time, to Director at an annual salary of $63,860 for 100 percent time, effective December 1, 2019.

**ATHLETICS**
William Crittenden, from Women’s Soccer Operations Head Coach at an annual salary of $65,721 for 100 percent time, to Athletic Program Director-Ticket Operations and Business Development at an annual salary of $57,000 for 100 percent time, effective January 1, 2020.

Korbin Pate, from Program Director-Marketing and Revenue Generation at an annual salary of $43,174 for 100 percent time, to the Development, Development Officer II at an annual salary of $62,000 for 100 percent time, effective October 19, 2019.

Kirk Turner, from Program Director – Digital Media at an annual salary of $43,704 for 100 percent time, to Alumni Relations, Coordinator Alumni Communications and Sponsorships at an annual salary of $54,450 for 100 percent time, effective January 1, 2020.

**COLLEGE OF EDUCATION**
Kristina White, from Kinesiology and Health Sciences, Instructor, at an academic salary of $59,000 for 100 percent time, to Kinesiology and Health Sciences, Assistant Professor with an academic salary of $60,000 for 100 percent time, effective January 1, 2020.

**COLLEGE OF FORESTRY AND AGRICULTURE**
John Kidd, from Forestry, Academic Advisor, at an annual salary of $42,007 for 100 percent time, to Forestry, Instructor with an academic salary of $50,000 for 100 percent time, effective January 1, 2020.
COLLEGE OF LIBERAL AND APPLIED ARTS
Michael Walker, from Student Affairs Support Services, Assistant Dean of Student Affairs Support Services, at an annual salary of $82,743 for 100 percent time, to Psychology, Associate Professor with an academic salary of $65,000 for 100 percent time, effective September 1, 2019.

COLLEGE OF SCIENCES AND MATHEMATICS
Joann Black, from Dean’s Office, Assistant to the Dean, at an annual salary of $48,913 for 100 percent time, to Office of the President, Assistant to the President with an annual salary of $68,200 for 100 percent time, effective January 13, 2020.

Edward Michaels, from Physics, Engineering, and Astronomy, Lecturer, at a nine month academic salary of $32,508 for 50 percent time, to Physics, Engineering, and Astronomy, Lecturer/Director with an annual salary of $79,981 for 100 percent time, effective January 1, 2020.

FINANCE AND ADMINISTRATION
Judith Kruwell, from Financial Services, Director, at an annual salary of $97,110 for 100 percent time, to Human Resources, Interim Director, with an annual salary of $110,000 for 100 percent time, effective January 1, 2020.

INFORMATION TECHNOLOGY SERVICES
Daniel Davis, from Information Technology Services, Programmer/Analyst III at an annual salary of $56,243 for 100 percent time, to Information Technology Services, Programmer/Analyst IV at an annual salary of $63,000 for 100 percent time, effective January 1, 2020.

Brandon Stringfield, from ITS Information Security, Security Specialist II, at an annual salary of $71,760 for 100 percent time, to ITS Information Security, Interim Chief Information Security Officer, at an annual salary of $71,760 for 100 percent time with a $1,000 stipend for 2.83 months, effective September 1, 2019.

Brandon Stringfield, from ITS Information Security, Security Specialist II, at an annual salary of $71,760 for 100 percent time, to ITS Information Security, Chief Information Security Officer, at an annual salary of $105,000 for 100 percent time, effective November 25, 2019.

LIBRARY
Jonathan Helmke, from Associate Director, at an annual salary of $87,736 for 100 percent time, to Director University Library, Interim Director, at an annual salary of $87,736 for 100 percent time with a $1,000 stipend for 2 months, effective September 1, 2019.

Jonathan Helmke, from Associate Director, at an annual salary of $87,736 for 100 percent time, to Director University Library, Director, at an annual salary of $105,000 for 100 percent time, effective November 1, 2019.

PHYSICAL PLANT
Amanda Willoughby, from Physical Plant, Accounting Clerk III, at an annual salary of $38,110 for 100 percent time, to Physical Plant, Business Manager, at an annual salary of $60,000 for 100 percent time, effective October 1, 2019.

RESIDENCE LIFE OPERATIONS
Elizabeth Roselle, from Residence Life Operations, Program Coordinator, at an annual salary of
$35,000 for 100 percent time, to Residence Life Operations, Area Coordinator, at an annual salary of $37,236 for 100 percent time, effective November 1, 2019.

UNIVERSITY AFFAIRS

Clare Fite, from Counseling Services, Counselor Intern, at an annual salary of $42,230 for 100 percent time, to Counseling Services, Counselor, at an annual salary of $43,230 for 100 percent time, effective January 1, 2020.

Heather Howell, from Office of Vice President University Affairs, Executive Assistant at an annual salary of $58,136 for 100 percent time, to Office of the President, Executive Assistant and Interim Special Assistant to the President at an annual salary of $58,136 for 100 percent time with an additional stipend of $2,500 per month for half of a month, effective January 1, 2020 and ending January 15, 2020.

UNIVERSITY MARKETING COMMUNICATIONS

Kevin Meyer, from University Marketing Communications, Marketing Communication Specialist Senior, at an annual salary of $42,000 for 100 percent time, to Intercollegiate Athletics, Athletic Program Director – Strategic Communications, at an annual salary of $48,000 for 100 percent time, effective January 1, 2020.

RETIREMENTS

The following retirements were approved.

Judith Buckingham, Board of Regents, Coordinator of Board Affairs, 14 years of service to SFA, effective December 31, 2019.

Cynthia Devlin, History, Adjunct Faculty, 13 years of service to SFA, effective December 31, 2019.

Loretta Doty, Human Resources, Director, 3 years of service to SFA, effective December 31, 2019.

Shiyou Li, Forestry, Director of Pharmaceutical Crops/Research Professor, 25 years of service to SFA, effective October 10, 2019.

Leann Solmonson, Human Services, Professor, 13 years of service to SFA, effective December 31, 2019.

Janet Tareilo, Academic Affairs, Associate Provost, 14 years of service to SFA, effective December 31, 2019.

Jacquelyn Vose, Information Technology Services, Programmer/Analyst III, 11 years of service to SFA, effective December 31, 2019.

ACADEMIC AND STUDENT AFFAIRS

BOARD ORDER 20-19

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

APPROVAL OF JAMES I. PERKINS COLLEGE OF EDUCATION UNIT NAMING

WHEREAS, the board member considered the following: The James I. Perkins College of Education recommends a change in name for the Department of Elementary Education to the Department of Education Studies and a change in name for the Department of Human Services to the Department of Human Services and Educational Leadership.

WHEREAS, The Perkins College of Education recommends a eliminating the Department of Secondary Education and Educational Leadership. The college leadership reorganized the degrees across the academic units, moving all degrees from the Department of Secondary Education and Educational Leadership to other academic units.

THEREFORE, it was ordered that to eliminate the unit within the James I. Perkins College of Education, the Department of Secondary Education and Educational Leadership, and change the unit names for the Department of Elementary Education to Department of Education Studies and the Department of Human Services to the Department of Human Services and Educational Leadership.

BOARD ORDER 20-20
Upon motion by Regent Gantt, seconded by Regent Mason, with all members voting aye, it was ordered that the following academic and student affairs items be approved.

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 1:

Administrative Evaluation of Adjunct Faculty Performance 7.5
Aids and HIV 13.1
Animals on University Property 13.2
Annual Disclosure of Crime Statistics 13.3
Curriculum Reviews, Modifications and Approval 5.7
Disposition of Abandoned Personal Property 13.6
Distinguished Guests 2.16
Doctoral Students: Allowable Credit Hours and Completion Times 6.11
Faculty Development Leaves 12.7
Faculty Disagreements 7.25
Faculty Merit Pay 7.6
Library Faculty 7.17
Part-time Faculty 7.21
Performance Review of Officers Reporting to the Provost and Vice President of Academic Affairs 4.8
Professional Educators Council 5.16
Purchased Instructor-Generated Materials 7.16
Student Academic Dishonesty 4.1
Student Evaluation of Instruction 7.27
Student Media 10.8
Student Organization Risk Management Training 10.10
Student Service Fee Allocations 10.11
Student Travel 10.12
Substantive Change 4.10

BUILDING AND GROUNDS

BOARD ORDER 20-21
Upon motion by Regent Alders, seconded by Regent Frailey, with all members voting aye, it was ordered that the following buildings and grounds item be approved.

APPROVAL OF THE BEEF FARM FACILITY PROJECT

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

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

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

THEREFORE, it was ordered that construction of a new beef farm barn, support facilities, and equipment at a total project cost not to exceed $900,000. The sources of funds may include insurance reimbursement proceeds, donations, the Higher Education Fund, and other institutional funds. The university president is authorized to sign associated contracts and purchase orders.

BOARD ORDER 20-22
Upon motion by Regent Alders, seconded by Regent Mason, with all members voting aye, it was ordered that the following buildings and grounds item be approved.

APPROVAL OF BASKETBALL PERFORMANCE CENTER PROJECT BUDGET

WHEREAS, the board members considered the following: On February 6, 2019, the university sold a bond issue that included a project to construct a basketball performance center. The basketball performance center’s portion of the issue was $26,000,000. During facility design, enhancements were added that included more functional space for athletic training, nutrition and performance.

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

THEREFORE, it was ordered that a $2,500,000 increase in the new basketball performance center
project budget be approved, to a total not to exceed $28,500,000, to recognize bond proceeds, investment earnings and donations.

**BOARD ORDER 20-23**

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

**BUILDINGS AND GROUNDS POLICY REVISIONS**

The Board of Regents adopted the following policy revisions as presented in Appendix 1:

- Austin Building Conference Rooms 16.5
- Homer Bryce Stadium and William R. Johnson Coliseum 16.13

**BOARD ORDER 20-24**

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

**NAMING OF BASKETBALL PERFORMANCE CENTER (EXECUTIVE SESSION ITEM)**

WHEREAS, Walter E. “Loddie” Naymola, Jr. of Houston, Texas, attended Stephen F. Austin State University where he was a Lumberjack basketball player; and

WHEREAS, during his college career, he was a member of the Phi Delta Theta fraternity; and

WHEREAS, in December 1978, Naymola received a Bachelor of Business Administration in finance from Stephen F. Austin State University; and

WHEREAS, in 1984 he launched his career as an entrepreneur by founding Service Pump and Compressor and has founded, acquired or scaled more than 100 businesses during his career; and

WHEREAS, in 2014, he established the Naymola Foundation, which primarily supports higher education, medical research and child-advocacy programs; and

WHEREAS, Walter E. “Loddie” Naymola, Jr. has faithfully served and continues to serve Stephen F. Austin State University with distinction and honor as a dedicated alumnus; and

WHEREAS, in his loyal dedication to SFA through his generous gifts of support, entrepreneurial spirit and standards of excellence, he is setting a distinguished example for others;

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Walter E. “Loddie” Naymola, Jr. by naming the basketball performance center the Loddie Naymola Basketball Performance Center.

The basketball performance center to be constructed will be located on the corner of University Drive and East College Street.
**BOARD ORDER 20-25**  
Upon motion by Regents Alders, seconded by Regent Olson, with all members voting aye, it was ordered that the following buildings and grounds item be approved.

**NAMING OF BASKETBALL PERFORMANCE CENTER WEIGHT ROOM (EXECUTIVE SESSION ITEM)**

WHEREAS, Hank and Suzy Crouse have lived in Nacogdoches for 43 years; and

WHEREAS, during the past several years they have become avid Lumberjack basketball fans; and

WHEREAS, their desire is to help students become successful both on and off the basketball court; and

WHEREAS, they have faithfully served Stephen F. Austin State University with distinction and honor as dedicated friends; and

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

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Hank and Suzy Crouse by naming the weight room located in the basketball performance center the Hank and Suzy Crouse Weight Room.

**BOARD ORDER 20-26**  
Upon motion by Regents Alders, seconded by Regent Frailey, with all members voting aye, it was ordered that the following buildings and grounds item be approved.

**NAMING OF OFFICE OF MEN’S HEAD BASKETBALL COACH (EXECUTIVE SESSION ITEM)**

WHEREAS, Bob Sitton is a proud native of Cushing, Texas, and received a bachelor of science degree in health and physical education from Stephen F. Austin State University in 1960; and

WHEREAS, he served as the SFA Alumni Association director from 1972 through 1998 and continued serving another five years on a part-time basis for alumni public relations, working closely with many fellow Lumberjack alums; and

WHEREAS, in his retirement, he continues to serve as an avid athletics fan and SFA ambassador; and

WHEREAS, Ron Kesterson served on the Alumni Association board and Alumni Foundation board from 1991-2001, worked closely with Bob Sitton, was touched by his contagious school spirit, and wanted to make a gift to honor his friend;

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Bob Sitton by naming the office of the men’s head basketball coach to be located in the basketball performance center the Bob Sitton Head Men’s Basketball Coach Office.
BOARD ORDER 20-27
Upon motion by Regents Alders, seconded by Regent Mason, with all members voting aye, it was ordered that the following buildings and grounds item be approved.

NAMING OF RESOURCE ROOM (EXECUTIVE SESSION ITEM)

WHEREAS, Harry Downing is a long-standing department chair of 31 years in the Department of Physics, Engineering and Astronomy at Stephen F. Austin State University; and

WHEREAS, during his years as an undergraduate student, he appreciated having a dedicated space (a “cubby space”) close to faculty offices where he could study; and

WHEREAS, it is his desire to provide such a dedicated “cubby space” for physics students at the university; and

WHEREAS, Harry Downing has faithfully served and continues to serve Stephen F. Austin State University with distinction and honor as a dedicated faculty member and department chair; and

WHEREAS, in his loyal dedication to SFA through generous gifts of support and standards of excellence, he is setting a distinguished example for others;

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Harry Downing by naming Room 203A situated on the second floor of the Ed and Gwen Cole STEM Building the Harry D. Downing Physics Resource Room.

FINANCIAL AFFAIRS

BOARD ORDER 20-28
Upon motion by Regent Mason, seconded by Regent Coleman, will all members voting aye, it was ordered that the following financial affairs items be approved.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

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

- Military Science Departmental Audit
- Business Communication and Legal Studies Departmental Audit
- FERPA Audit
- Medical Billing Audit
- NCAA 08/31/19 Financial Statement Agreed Upon Procedures Report
- Bursar Cash Count
- Follow-Up Audit of External Information Technology Audits
- Internal Projects
- Audit Plan
BOARD ORDER 20-29
Upon motion by Regent Mason, seconded by Regent Winston, with all members voting aye, it was ordered that the following financial affairs item be approved.

APPROVAL OF THE 2018-19 ANNUAL FINANCIAL REPORT

WHEREAS, the board members considered the following: As required by state law, Stephen F. Austin State University submitted the August 31, 2019, Annual Financial Report on to the Office of the Governor, Comptroller of Public Accounts, Legislative Budget Board, Texas Higher Education Coordinating Board, Legislative Reference Library, Texas State Library and Texas State Auditor’s Office. The report reflected the university’s financial activities for the period September 1, 2017, through August 31, 2019.

THEREFORE, the Board of Regents approved the Stephen F. Austin State University 2018-19 annual financial report, as presented.

BOARD ORDER 20-30
Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the following financial affairs item be approved.

APPROVAL OF THE ENVIRONMENTAL SERVICE FEE

WHEREAS, the board members considered the following: On October 9, 2019, Student Government Association unanimously voted to call a referendum to allow students to approve or disapprove of the creation of this new fee. The referendum was held on October 29th and 30th. The final results of the referendum were 1,260 for and 372 against. By law, students would need to reauthorize the fee every five years.

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

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

BOARD ORDER 20-31
Upon motion by Regent Mason, seconded by Regent Coleman, with all members voting aye, it was ordered that the following financial affairs item be approved.

APPROVAL TO INCREASE THE RECREATIONAL SPORTS FEE

WHEREAS, the board members considered the following: Pursuant to Texas Education Code (TEC) 54.5201, the university is authorized to collect a recreational sports fee. TEC 54.5201 specifically states that, “the board of regents of Stephen F. Austin State University may charge
each student enrolled at the university a recreational sports fee not to exceed $120 per semester or summer session of longer than six weeks or $60 per summer session of six weeks or less.”

Unless the fee is exempted or waived by statute or board of regents’ order, the current charge is a flat $50 for students who take from one to six semester credit hours, and a flat $120 for students who take seven or more semester credit hours.

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

THEREFORE, it was ordered to increase in the recreational sports fee to $60 for students who take from one to six semester credit hours, effective the fall 2020 semester.

BOARD ORDER 20-32

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

APPROVAL OF AN UNDERGRADUATE AND GRADUATE DESIGNATED TUITION DIFFERENTIAL CHARGE

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

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

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

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

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

BOARD ORDER 20-33
Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the following financial affairs item be approved.

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

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

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

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

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

Appendix 2 presents the tuition and fee schedule for Texas resident undergraduate students who take face-to-face classes and the fee schedule for Texas resident students who take online only classes.

THEREFORE, it was ordered that the designated tuition per semester credit hour rate with a range from $91 to a maximum of $269 for the annual fixed-price plan, depending on the number of semester hours taken. The administration also recommends approval of Appendix 2 at the respective semester credit hour charges and the $5,300 fixed-rate tuition and fee cost for twelve semester credit hours and above, beginning with the fall 2020 semester.

BOARD ORDER 20-34
Upon motion by Regent Mason, seconded by Regent Coleman, with all members voting aye, it was ordered that the following financial affairs item be approved.

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

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

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

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

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

THEREFORE, it was ordered that the guaranteed price plan, as presented in Appendix 3, is approved as presented. This includes she designated tuition per semester credit hour rate with a range from $164 to a maximum of $300, depending on the number of semester hours taken; fixed at a twelve-semester credit hour load, beginning with the fall 2020 semester, for a maximum period of four years; and that students who are eligible for tuition and fee exemptions and waivers be excluded from the tuition and fee guaranteed price plan.

BOARD ORDER 20-35
Upon motion by Regent Mason, seconded by Regent Alders, with all members voting aye, it was ordered that the following financial affairs item be approved.

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

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

**Therefore,** it was ordered that the RN-BSN program fee exemptions allow a total program cost of $8,300, effective as of the summer 2020 semester(s).

**Board Order 20-36**

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

**Changes in Course Fees**

**Whereas,** the board members considered the following: Course and lab fees provide instructional departments with funds to support the actual cost of consumable supplies, service and travel related to specific courses. Course and lab fees are allocated to instructional departments for expenditures that are necessary for course delivery.

The changes in course fees was approved as presented in Appendix 4.

**Board Order 20-37**

Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the following financial affairs items be approved. Chair Henderson, Regents Alders and Winston abstained from the vote.

**Resolution to Acknowledge Review of the Investment Strategy and Policy**

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

Therefore, it was ordered that the Resolution to Acknowledge Review of Investment Policy and Strategy be adopted.

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

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

**NOW THEREFORE BE IT RESOLVED** that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on January 28, 2020, and
BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 28, 2020 meeting of the board.

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

WHEREAS, the board members considered the following: 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.

THEREFORE, it was ordered that the following resolution of the financial institutions, investment managers and brokers be adopted.

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

WHEREAS, the following firms are approved investment brokers:
- Texas A&M University State System
- Bank of America
- Hilltop Securities

WHEREAS, the following firms are approved financial institutions:
- Citizens 1st Bank
- Austin Bank
- BancorpSouth Bank
- Bank of America
- Commercial Bank of Texas NA
- Southside Bank
- Regions Bank
- UBank (Huntington State Bank)
- Wells Fargo Bank
- US Bank
- Texas Bank
- TexPool

TexSTAR
Texas CLASS
TexasTERM
JPMorgan Chase & Co
Wilmington Trust, N.A.
UBS Financial Services Inc.
FTN Financial Capital Markets
Stephens Inc.
Citigroup Global Markets, Inc.
LOGIC
Water Walker Investment
Prosperity Bank

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

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

RESOLUTION AMENDING AUTHORIZED TEXPOOL REPRESENTATIVES

WHEREAS, 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.

THEREFORE, the Texpool Resolution Amending Authorized Representatives in Appendix 5 is adopted.

**BOARD ORDER 20-38**
Upon motion by Regent Mason, seconded by Regent Alders, with all members voting aye, it was ordered that the following financial affairs item be approved.

**APPROVAL OF ARAMARK CONTRACT AMENDMENT**

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

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

THEREFORE, it was ordered that the president be authorized to sign an amendment to the existing food service agreement with Aramark, increasing Aramark’s financial commitment for food service program renovations by $1,000,000. The amendment is presented in Appendix 6.

**BOARD ORDER 20-39**
Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the following financial affairs item be approved.

**APPROVAL OF FY2020-21 BOARD RATES**

WHEREAS, the board members considered the following: Projected food service operating costs support the need for revised board rates for the 2021 fiscal year.

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

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

THEREFORE, it was ordered that there be 3.3% increase for ARAMARK services for FY2021 as presented in Appendix 7. These revised rates will become effective for the fall semester of 2020.
BOARD ORDER 20-40
Upon motion by Regent Mason, seconded by Regent Alders, with all members voting aye, it was ordered that the following financial affairs items be approved.

FINANCE AND AUDIT POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 1:

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

BOARD ORDER 20-41
Upon motion by Regent Mason, seconded by Regent Winston, with all members voting aye, it was ordered that the following financial affairs item be approved.

APPROVAL OF GRANT AWARDS

WHEREAS, the board members considered the following: For fiscal year 2020, the multi-year grant award total is currently $12,768,680. Of this total, grant awards allocable to fiscal year 2020 are currently $5,674,600, an increase of $280,508 since the last report.

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

THEREFORE, it was ordered that the grant awards for fiscal year 2020 grant awards that total $280,508 be approved and ratified. The grant awards are detailed in Appendix 8.

REPORTS

Dr. Scott Gordon, president, reported to the regents on the following topics:
- Change in reporting lines
- Financial Aid Leveraging
- Community College tour
- Recent Presentations
- Faculty Salary Study

Dr. Jeremy Stovall, faculty senate chair, gave a report on the following topics:
- Faculty Senate updated on SFA Budget
• Faculty accomplishments since October 2019 board meeting
• Upcoming non-tenure track amendment to Faculty Senate Constitution
• Investigating no-test option

Ms. Scarleth Lopez, Student Government Association president, gave a report on the following topics:
• Fall 2019 Accomplishments
• Spring Goals
• Environmental Services Fee

Regent Coleman, chair of the Intercollegiate Athletic Advisory Committee provided a summary report on the meeting that took place on January 18, 2020.

**BOARD ORDER 20-42**
Upon motion by Regent Coleman, seconded by Regent Alders, with all board members voting aye, it was ordered that the slate of the nominating committee be approved as presented.

**ELECTION OF OFFICERS FOR 2020-21**

Chair Henderson called for a report from the nominating committee appointed at the October 2019 meeting. Scott Coleman, chair, reported on behalf of the committee, which included members David Alders and Jennifer Winston. The following officers were nominated to serve during 2020-2021, assuming a new term of office on April 21, 2020.
- Alton Frailey, Chair
- Karen Gantt, Vice Chair
- Tom Mason, Secretary

The meeting was adjourned by Chair Henderson at 11:06 a.m.
## Appendix 1

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POLICY SUMMARY FORM

Policy Name: Administrative Evaluation of Adjunct Faculty Performance

Policy Number: 7.5

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

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

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

Purpose of Policy (what does it do): Guidelines for evaluating adjunct faculty performance

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Policy title changed. The sentence, "Adjunct faculty members are not eligible for merit pay increases" should be moved to Faculty Merit Pay policy, 7.6. Add cross-reference to policy 7.6.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Policy Committee
Steve Bullard, Provost and Vice President for Academic Affairs
Damon Derrick, General Counsel
Administrative Evaluation of Adjunct Faculty Performance Evaluation

Original Implementation: December 17, 2010
Last Revision: January 31, 2017, January 28, 2020

Stephen F. Austin State University recognizes that faculty performance should be regularly and systematically evaluated. Adjunct faculty administrative evaluations should be used when considering reappointment.

Adjunct faculty members will be evaluated annually for their performance of assigned duties, which will include teaching and may include other activities. For the evaluation, the academic unit head will review student evaluations of teaching and all material relevant to the performance of the adjunct faculty member.

The academic unit head will review the evaluation with each adjunct faculty member and provide a copy to the dean and faculty member.

Adjunct faculty members are not eligible for merit pay increases.

Cross Reference: Faculty Handbook, Student Evaluation of Instruction (7.27), Faculty Merit Pay (7.6)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Adjunct Faculty Administrative Evaluation Form (available online from the Office of the Provost)

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: AIDS and HIV

Policy Number: 13.1

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

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

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy prescribes the university's obligations and policy position regarding members of the university community as it pertains to AIDS and HIV.

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

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

☐ Internal Review     ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Damon Derrick, General Counsel
AIDS and HIV

Original Implementation: September, 1990
Last Revision: January 31, 2017 January 28, 2020

Stephen F. Austin State University recognizes the increasing public awareness and concern over AIDS and HIV. For the purposes of this policy, AIDS means acquired immune deficiency syndrome, and HIV means human immunodeficiency virus. AIDS is a fatal disease that has become a nationwide public health problem. In health related matters such as this one, the university shall follow the guidelines of recognized authorities including: the Centers for Disease Control and Prevention, the United States Public Health Service, the Texas Department of State Health Services, and the American College Health Association. Further, the university shall conform its actions to the Texas Communicable Disease Prevention and Control Act, the Texas Human Immunodeficiency Virus Services Act, and other law as applicable.

The health status of a person infected with HIV may vary from an apparently healthy, normally functioning individual to a critically ill person. However, there is no current medical evidence that persons infected with HIV present a health risk to others in the normal academic or workplace setting. Routine daily encounters with others pose no risk of transmitting the fragile, blood-borne virus. Accordingly, there is no reason to exclude individuals with AIDS or HIV from campus academic, social, or cultural activities. Therefore, on the basis of current knowledge of the disease, persons sharing common living space, work or study areas, libraries, classrooms, recreational facilities, and theaters do not represent a problem or public threat to the campus community.

Students and employees (faculty and staff) of the university who may become infected with HIV will not be excluded from enrollment or employment, or restricted in their access to university services or facilities, unless medically-based judgments in individual cases establish that exclusion or restriction is necessary to the welfare of the infected person or of the other members of the university community.

Persons with HIV infection are entitled to the same rights and opportunities as persons with other communicable diseases. The university prohibits any discrimination in its programs and activities against a person with HIV infection unless based on accurate scientific information. Any student, faculty member, or employee who violates this rule may be subject to appropriate disciplinary action, up to and including termination of employment if an employee and expulsion if a student.

When circumstances arise that require review of any matter regarding HIV/AIDS, the president will seek the advice of the director of the Health Clinic, the attending physician, and other relevant parties. An opportunity will be provided for persons involved in the matter to discuss their circumstances. Members of the Public Health Committee will be available to review the issues and to provide recommendations to the president for appropriate action.
In the event of public inquiry concerning university policy, programs, problems, or statistics related to AIDS on campus, the director of University Marketing Communications will serve as the official spokesperson for the university and will enlist the cooperation of the director of the Health Clinic and the Public Health Committee as necessary to prepare an appropriate response. All inquiries from the press, elected public officials, or the public in general will be referred to the spokesperson.

The medical records and test results of any HIV-infected person on the campus shall remain confidential and private in accordance with law. The breach of that confidentiality may result in litigation and in severe penalties, both civil and criminal. (Some exceptions to confidentiality are permitted by law.)

The university shall keep the number of people who are aware of the existence and identity of students, faculty, or staff members who have AIDS or HIV to an absolute minimum to protect the confidentiality and privacy of the infected persons and to avoid the generation of unnecessary fear and anxiety on the campus. However, public information shall be disclosed upon request in accordance with the Texas Public Information Act, the Family Educational Rights and Privacy Act, the Texas Communicable Disease Prevention and Control Act, the Texas Human Immunodeficiency Virus Services Act, and other applicable law.

Persons who know, or have a reasonable basis for believing, that they are infected with the AIDS virus are expected to seek expert advice about their health circumstances and are obligated, ethically and legally, to conduct themselves responsibly in accordance with such knowledge for the protection of other members of the university community. The university encourages regular medical follow-up for such persons.

The university shall carefully observe the safety guidelines established by the U.S. Public Health Service for the handling of blood and other body fluids and secretions in the Health Clinic and in other institutional contexts in which such fluids or secretions may be encountered (e.g., teaching and experimental laboratories).

The university shall strictly observe the public health reporting requirements for AIDS and HIV infection as well as other communicable diseases.

The university shall make this policy available upon request to students, faculty, and staff members and such a statement will be included in the Policy and Procedure Manual on the university's Web page.

Policy for the Work Environment

In the work setting, the university's major concern will be whether an HIV-infected employee will be able to satisfactorily perform job duties. The university will make reasonable accommodations to keep an employee with HIV infection employed and productive for as long as the employee is...
capable of this performance.

Most HIV-infected employees will be able to perform their job duties for an extended period before their illnesses interfere with job-related performance. During the asymptomatic period, the employee is not obligated to provide information about his/her HIV status to the university. However, an employee may want to share information about his/her HIV-infected status with university officials so that responsible management decisions may be made about:

1. assignments or reassignments of job duties;
2. evaluating leave policies to assure leave time comparable to other medical conditions;
3. determinations of possible qualification for disability entitlements; and
4. monitoring the insurance status of the HIV-infected employee to assure continuation of coverage.

Once HIV-related symptoms occur, the employee has the responsibility as in the case of other illnesses to provide medically verified information relating to the ability to perform job duties.

Based on federal and state law, any medical documentation of information provided by an HIV-infected employee to university officials must be considered confidential and private information. As such, university officials are forbidden by law from disclosing this information to others without the employee's knowledge and consent. (Some exceptions to confidentiality are permitted by law.) The university requires that any consent to disclosure by the employee be in writing. Any university employee who breaches the confidentiality of this information commits a serious offense that may be cause for litigation, resulting in both civil and criminal penalties.

University employees who refuse to work with HIV-infected co-workers may be subject to disciplinary action up to and including termination. University departmental unit heads should carefully monitor and document any instances of such refusal in violation of this policy and take appropriate disciplinary action.

At least once each year, Human Resources shall conduct an HIV/AIDS training program or distribute an educational pamphlet for university employees and include in the program and/or pamphlet:

1. current medical information about HIV transmission and prevention;
2. confidentiality and related laws;
3. personnel management, including relevant policies;
4. development of staff problem-solving skills; and
5. a plan for scheduled periodic training.

Also, each year Human Resources shall conduct HIV/AIDS employee education programs to:
1. provide basic and accurate information regarding the modes of transmission and prevention of HIV infection;
2. reduce fear and misinformation of HIV/AIDS;
3. help faculty and staff recognize and avoid personal behaviors that might cause them to become infected with HIV;
4. encourage nondiscrimination, which enables the HIV-infected person to remain employed as long as feasible;
5. help maintain productivity and lawful behavior in the workplace;
6. provide continuing information about HIV/AIDS; and
7. distribute to all employees a copy of the Texas Department of State Health Services' educational pamphlet entitled "HIV/AIDS and the Workplace."

At a minimum, the HIV curriculum will include:

1. modes of transmission;
2. methods of prevention;
3. behaviors related to substance abuse;
4. current laws and regulations concerning the rights of an AIDS/HIV-infected individual; and,
5. behaviors associated with HIV transmissions which are in violation of Texas law.

On an employee's request, the university shall pay the costs of testing and counseling an employee concerning HIV infection if the employee:

1. provides appropriate documentation that the employee may have been exposed to the HIV virus while performing duties of employment with that agency, and
2. was exposed to HIV in the manner that the U.S. Public Health Service has determined is capable of transmitting HIV.

However, an employee who may have been exposed to HIV while performing job duties at the university may not be required to be tested for HIV.

For the purpose of qualifying for worker's compensation or any other similar benefits or compensation, an employee must provide the employer with a written statement of the date and the circumstances of the exposure and document that within 10 days after the exposure the employee had a test result that indicated an absence of HIV infection.

The cost of an employee's testing and counseling shall be paid from funds appropriated for payment of worker's compensation benefits to state employees. Counseling or a test conducted in accordance with these provisions shall conform to the model protocol on HIV counseling and testing prescribed by the Texas Department of State Health Services.
In compliance with the Texas Communicable Disease Prevention and Control Act, the University Police Department shall adopt a policy for handling persons with AIDS or HIV infection who are in its custody or under its supervision. The department's policy shall ensure that education programs for employees include information and training relating to infection control procedures and that employees have infection control supplies and equipment readily available.

The university shall adopt and implement workplace guidelines similar to the workplace guidelines for state agencies listed in the Texas Human Immunodeficiency Virus Services Act for any program involving direct client contact that is funded by one of the listed state agencies.

**Policy for the Academic Environment**

The university shall allow, to the extent possible, HIV-infected students, whether they are symptomatic or not, to continue regular classroom attendance in an unrestricted manner as long as they are physically able to attend class.

The university recognizes that there is no medical justification for restricting the access of HIV-infected students to the Student Center or to university cafeterias, snack bars, gymnasiums, swimming pools, recreational facilities, or other common areas.

The university recognizes that the best currently available medical information does not support the existence of a risk to those sharing residence halls with HIV-infected individuals; in some circumstances however there may be reasonable concern for the health of those with AIDS or HIV who might be exposed to certain contagious diseases (e.g., measles or chicken pox) in a close living environment. Thus, decisions about residential housing of students with AIDS or HIV shall be made on a case-by-case basis. The university may decide to assign students with AIDS or HIV to private rooms in the interest of protecting the health of those students. The university shall provide education programs about AIDS and HIV to its residence hall staff (both students and employees).

Since there is no medical necessity, the university shall not advise others living in a residence hall of the presence of students in the residence hall who have AIDS or HIV. The university believes that the responsibility to provide a safe living environment is best dealt with by educational programming. Similarly, the university shall not make any attempt in any other setting to identify those students or employees who have AIDS or HIV.

The university shall not routinely ask students about their status regarding AIDS or HIV. However, the university shall encourage new students to inform the medical staff at the Health Clinic if they have AIDS or HIV in order for the Health Clinic to provide proper medical care and education. The Health Clinic staff will handle this information, like all other medical information, in a strictly confidential manner in accordance with university policy and federal and state law.
The university shall not provide any person, group, agency, insurer, employer, or institution with confidential medical information about students with AIDS or HIV virus without the specific written consent of the student. Given the possibility of unintended or accidental compromise of the confidentiality of information, the Health Clinic staff will carefully weigh the importance of including any specific information regarding the existence of AIDS or HIV in the medical record of a student except in circumstances of medical necessity created by the evaluation of an illness. At a minimum, the inclusion of any such information in the medical record should be discussed with the patient prior to its entry.

The university shall make available to students, on request, the educational pamphlet on HIV infection developed by the Texas Department of State Health Services and shall include in the university's Web page a statement that the pamphlet is available from the Health Clinic.

The Health Clinic shall provide accurate, understandable information on how to prevent the transmission of HIV infection in compliance with Section 51.919 of the Texas Education Code.

In further compliance with Section 51.919 of the Texas Education Code, the curricula of the nursing, counseling, and social work degree programs of the university shall:

1. include information about:
   a. methods of transmission and methods of prevention of HIV infection; and
   b. federal and state laws, rules, and regulations concerning HIV infection and AIDS; and,
2. give special attention to the physical, emotional, and psychological stress associated with the care of patients with terminal diseases.


_Responsible for Implementation:_ President

_Contact for Revision:_ General Counsel

_Forms:_ None

_Board Committee Assignment:_ Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Animals on University Property

Policy Number: 13.2

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: Residence Life

Purpose of Policy (what does it do): Governs animals on university property

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

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

☒ Internal Review  ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Certain full-time employees (i.e. Residence Hall Directors and Farm Managers) are required to live in university owned housing. The areas of these facilities these employees occupy are considered to be their private residences. This policy revision allows these employees to have an indoor, domestic pet. A staff Pet Policy and Agreement will be required including a deposit and proof of pet registration and vaccination.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
**Animals on University Property**

Original Implementation: Unpublished  
Last Revision: January 30, 2018; January 28, 2020

The university seeks to uphold federal, state, and local laws and regulation; ensure the health and safety of its community; preserve the integrity of its grounds, buildings, and other property; and support a healthful educational environment that respects the rights of all individuals.

Service animals are welcome in all buildings on campus and may attend any class, meeting, or other event. Individuals with documented disabilities residing in university housing may request as an accommodation that an emotional support animal (ESA) be allowed to reside in the campus residence; however, ESA’s are not permitted anywhere outside of the individual’s assigned living space except as otherwise provided by this policy. Community members may take advantage of the several recreational areas on campus by walking personal animals and are allowed to do so within the guidelines set forth. Reasonable behavior is expected from the animals while on campus. If the animal exhibits unacceptable behavior, the handler is expected to employ the proper training techniques to correct the situation.

Consideration of others may be taken into account when providing for the maintenance and hygiene of service animals. Additionally, specific guidelines have been established concerning service and emotional support animals living in a campus residency environment.

Section I. Definitions  
Section II. Service Animals  
Section III. Emotional Support Animals  
Section IV. Handler or Owner Responsibility  
Section V. Residence Life and Food Service Guidelines  
Section VI. Information and Appeals

**Section I. Definitions**

A. Handler:  
A person with a disability using a service animal; a person who has received approval for an emotional support animal; or a person in possession of an animal for recreation on the university campus.

B. Service Animal:  
Any dog, or miniature horse, that is individually trained to do work or perform tasks for the benefit of an individual with a disability, including a physical, sensory, psychiatric, intellectual, or other mental disability. Other species of animals, whether wild or domestic, trained or untrained, are not service animals for the purposes of this definition. The work or tasks performed by a service animal must be directly related to the handler’s disability. The
crime deterrent effects of an animal’s presence and the provision of emotional support, well-being, comfort or companionship do not constitute work or tasks for the purposes of this definition.

C. Emotional Support Animal:
An animal that provides emotional support or therapeutic benefits that alleviate one or more of the identified symptoms or effect of a person’s disability; however, the animal is not required to be individually trained or certified to perform such task. Emotional support animals may also be referred to as “comfort animals,” “companion animals,” and “assistance animals” used to support individuals with mental or emotional disabilities. These animals may provide crime deterrent effects or emotional support, well-being or comfort.

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

E. Unauthorized Animal:
Any animal not controlled by leash or harness, unless the animal is a service animal and the handler is unable because of disability to use a leash or harness or if the leash or harness restricts the service animal to function appropriately as such. Also, any animal that exhibits violent, uncontrollable, aggressive, or unhealthy behavior, including service and emotional support animals.

Section II. Service Animals

A. University Responsibility

1. Allow service animals to accompany the handler to all areas of the facility where the handler is normally allowed to go. A handler may not be segregated from other similar members of the campus community except where there is real danger to the animal or where the natural organisms carried by the service animal would adversely affect research. Exceptions to the exclusions will be reviewed on a case-by-case basis.
2. Not to pet, feed, or deliberately startle/disturb a service animal.
3. Not to separate, or attempt to separate, service animals from their handlers.
4. Provide handlers living in campus housing with an area for relieving and grooming their animals.

B. Inquiries

1. When it is not obvious what service an animal provides, the handler may be asked:
   a. If the animal is a service animal required for a disability; and
   b. What work or task the animal has been trained to perform.
2. Staff may not ask about the person’s disability, require medical documentation, require certification of the dog’s training, or ask that the dog demonstrate its ability to perform the work or task.
3. Use of miniature horses as a service animal will be reviewed based on the inquiries and exceptions listed below and allowed by law.

C. Service Animal in Training

1. Individuals who desire an accommodation for a service animal in training must also abide by all relevant provisions of this policy.
2. An animal being trained to be a service animal will be treated as a fully trained animal when accompanied by a handler and identified as such.

D. Exceptions

1. Service animals may be denied or removed if:
   a. The animal is out of control and its handler does not take effective action to control it. The service animal is considered an extension of the handler and thus, is subject to the same code of conduct as the handler.
   b. The animal is not housebroken (i.e., trained so that, absent illness or accident, the animal controls its waste elimination).
   c. The animal poses a direct threat to the health or safety of others that cannot be eliminated or reduced to an acceptable level by reasonable accommodation.

Section III. Emotional Support Animals

A. Inquiries

1. Requests for an emotional support animal (ESA) may be made by individuals with documented disabilities residing in university housing.
2. If the animal does not meet the definition of service animal, the individual must engage in a reasonable accommodation request with Residence Life or Disability Services staff.
3. Residence Life or Disability Services may ask individuals who have disabilities that are not readily apparent or known to the university official to submit reliable documentation of a disability and their disability-related need for an ESA within the residence hall. The individual is not required to disclose medical information that is overly intrusive and invasive in order to receive an accommodation.
4. A person qualifies for reasonable accommodation if:
   a. The person has a documented disability;
   b. The animal is necessary to afford the person with a disability an equal opportunity to use and enjoy the residence halls; and
   c. There is an identifiable relationship between the disability and the assistance the animal provides.
B. Exceptions

1. Emotional support animals may be denied or removed if:
   a. The specific animal would impose an undue financial and administrative burden or would fundamentally alter the nature of a service or program.
   b. The specific animal in question poses a direct threat to the health or safety of others that cannot be reduced or eliminated by another reasonable accommodation; or
   c. The specific animal in question would cause substantial physical damage to the property of others that cannot be reduced or eliminated by another reasonable accommodation.
   d. The specific animal in question is not being cared for by the handler.

Section IV. Handler or Owner Responsibility

A. Authorized Animals

1. Handlers must abide by all state laws, Nacogdoches city ordinances related to animals in the city of Nacogdoches, and SFA guidelines, including by not limited to:
   a. All animals in the city must have a valid license and tag issued by the city of Nacogdoches at the Department of Animal Control. The license and tag must be reviewed annually.
   b. The handler is required to provide a collar or harness for the license and vaccination tags to be affixed. The handler shall see that the animal wears the collar and tags at all times.
2. The handler is liable for damages caused by the service animal, emotional support animal, or recreational animal.
3. The handler is responsible for the care and supervision of a service animal, emotional support animal, or recreational animal.
4. The handler must have full control of the animal at all times. Animals may not run at large; a leash or harness is required unless the handler is unable because of disability to use a leash or harness or it restricts the animal’s ability to function properly.
5. Disturbing animal vocalization must be kept to an absolute minimum.
6. Handlers are responsible for relieving animals in designated locations and must ensure immediate clean-up and proper disposal of animal waste.
7. The handler must observe housing and food service establishment guidelines.
8. All service/emotional support animals must have an annual clean bill of health from a licensed veterinarian. The animal’s cleanliness is mandatory in the campus environment.
9. Vaccinations must be current and based on a veterinarian’s recommendations, with records made available at time of request.
10. Daily grooming and occasional baths (at a vet or a family home) should be undertaken to keep the service animal’s odor to a minimum.
11. Flea control is essential and adequate preventative measures must be taken. If a flea problem develops, it must be dealt with immediately and in an effective manner. In the event a flea problem is not eliminated by the handler, the university will exterminate the property and assess the handler the standard extermination fee.

B. Unauthorized Animals

1. In the event an unauthorized animal is discovered on or in university property, except residence halls, the University Police Department should be notified immediately. The responding officer may take appropriate action, up to and including ordering the handler or owner to remove the unauthorized animal from university property, or by contacting the Nacogdoches Animal Control Officer who will take possession of the animal and remove it from campus.

2. In the event an unauthorized animal is discovered in a university residence hall, the appropriate residence hall staff shall be notified immediately. The residence hall staff will attempt to contact the owner/handler of the unauthorized animal for removal. If the owner/handler cannot be contacted, the residence hall staff will contact the University Police Department for removal as indicated in this policy.

Section V. Residence Life and Food Service Guidelines

1. Occupants of university housing are not permitted to keep pets, except small birds in cages and small fish in aquariums.

2. Full-time professional live-in staff may have fish living in an aquarium (10 gallon maximum) and birds in a cage. In addition, upon executing an approved live-in staff pet agreement, the staff members may have either one (1) cat or one (1) dog.

3. Service animals are permitted to accompany the individual with a disability to all areas of the facility where persons are normally allowed to go.

4. Emotional support animals are not permitted anywhere outside of the individual’s assigned living space; exceptions may be made on a case-by-case basis from Residence Life or Disability Services.

5. Service/emotional support animals should be kept under control. Animals should always be on a leash except when in the student’s room with the door closed unless the leash restricts the service animal’s ability to function appropriately.

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

7. An animal’s paws must be kept off tables, trays, and food service counters at all times.

Section VI. Information and Appeals

Questions and concerns regarding the use of service/emotional support animals on university property should be directed to the ADA coordinator who serves as an advisor for procedures and access to programs and services.
For specific information regarding accessibility, refer to university policy 2.2, Accessibility for Persons with Disabilities. For specific information regarding resolution of disagreements, refer to university policy 6.6, Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities. For issues related to Discrimination, refer to university policy 2.11, Discrimination Complaints.

**Cross Reference:** 28 C.F.R. § 35.136 (2010); Nacogdoches, Tex., Rev. Ordinances ch. 6, art. III, §§ 32-33 (2008); Accessibility for Persons with Disabilities (2.2); Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities (6.6); Discrimination Complaints (2.11)

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

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

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Annual Disclosure of Crime Statistics

Policy Number: 13.3

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

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

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

Purpose of Policy (what does it do): Provides information on mandates for reporting Clery Act specified crimes

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Procedure has been removed from policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

John Fields, Chief of Police
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Annual Disclosure of Crime Statistics

Original Implementation: October 30, 2007
Last Revision: January 31, 2017 January 28, 2020

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, commonly referred to as the “Clery Act,” and/or the Higher Education Opportunity Act of 2008 (HEOA), requires institutions of higher education receiving federal financial aid to report specified crime and fire statistics on college campuses and to provide other safety and crime information to members of the campus community. Campuses must publish an Annual Security and Fire Safety Report detailing statistics regarding reported crimes committed on campus and at affiliated locations for the previous three calendar years, fires that occur in on-campus residence halls, and describing specified policies, procedures and programs regarding safety and security. This requirement of the Clery Act is intended to provide students and their families, as higher education consumers, with accurate, complete and timely information about the safety of the campus so that they can make informed decisions.

The federal law requires the collection and reporting of annual crime statistics reflecting reports of specified crimes that occur on and adjacent to a university campus and certain properties associated with the campus as well as fires that occur in on-campus residence halls. The statistical compilation must be broken down by specified types of crimes and campus disciplinary referrals, and must indicate if a specified crime is a hate crime. Campuses must also provide a geographic breakdown of the crime statistics according to the following defined geographic areas: “on campus” (including further breakdown of the number of crimes that occurred in campus student residential facilities), “in or on a non-campus building or property” and “on public property.”

Annual Security and Fire Safety Report

The Stephen F. Austin State University Department of Public Safety Police Department (UPD/DPS) prepares an Annual Security and Fire Safety Report (ASFSR) to comply with the Clery Act and the HEOA. The summary of crime statistics is included as part of this report. This report is prepared in cooperation with the Residence Life and the Student Rights and Responsibilities departments. Each entity provides updated information on their educational efforts and programs to comply with the Clery Act.

DPS officers enter all reports and all crime incidents reported directly into an automated case management software program. Once an officer enters the report in the program, a departmental administrator reviews the report to ensure it is classified within the appropriate crime category. The department examines the data to ensure that all crimes that have been reported are recorded in accordance with the crime definitions outlined in the FBI Uniform Crime Reporting (UCR) Handbook as required by the Clery Act regulations.
SFA is required under the Clery Act to provide a Crime Statistics Summary Report related to its campus and other locations by calendar year. This SFA Crime Statistic and Fire Summary Report is sent annually to the U.S. Department of Education and can be viewed on the Office of Postsecondary Education Department of Education’s website.

The university’s Annual ASFSR Security and Fire Safety Report (ASR) is updated each year and is available on the SFA website at: http://www.sfasu.edu/updates/. Copies of the ASR may also be obtained at the SFA University Police Department of Public Safety, located on East College Street, or by calling 936.468.2252.

The Annual Security and Fire Safety Report must describe specified campus policies concerning:

- Reporting criminal activity or other emergencies on campus;
- Security of, maintenance of and access to campus facilities;
- Authority of campus law enforcement units;
- Monitoring and recording through local police agencies of off-campus criminal activities by students;
- Alcohol and drugs;
- Fire Safety;
- Fire Suppression in Residence Halls; and
- Timely Warning Procedures

In addition, the report must describe:

- The type and frequency of campus programs to inform students and employees about campus security procedures and precautions and the prevention of crimes;
- Available drug and alcohol abuse prevention education programs and existing counseling, health, mental health, victim advocacy, legal assistance, and other services available for victims both on campus and in the community;
- Campus programs to prevent sexual assaults, including procedures to be followed when such an assault occurs;
- Education Programs to promote prevention and awareness of domestic violence, dating violence, and stalking;
- Procedures that the institution will follow once an incident of domestic violence, dating violence, sexual assault, or stalking has been reported; including the procedures for university disciplinary action, the applicable burden of proof for such proceedings, and possible sanctions or protective measures the university may impose;
- Procedures victims should follow if a sex offense, domestic violence, dating violence, sexual assault, or stalking has occurred, including information on the importance of preserving evidence, to whom the offense should be reported, options regarding law enforcement and university authorities, and the rights of victims and the university’s responsibilities regarding orders of protection, no contact orders, restraining orders, or similar court orders;
• Information about how the university will protect the confidentiality of victims;
• Information about options for changing academic, living, transportation, and working situations; and
• Where law enforcement agency information concerning registered sex offenders may be obtained.

Definitions of Reportable Crimes

The definitions of reportable crimes are outlined in the Annual Security Report.

Other Policy-Related Definitions

Campus is defined as any building or property owned or controlled by an institution within the same reasonably contiguous geographic area and used by the institution in direct support of, or in a manner related to, the institution’s educational purposes, including residence halls; and any building or property within the same reasonably contiguous geographic area of the institution that is owned by the institution but controlled by another person, is frequently used by students and supporters for institutional purposes (such as food or other retail vendor).

Non-campus building or property is defined as any building or property owned or controlled by a student organization officially recognized by the institution; or any building or property (other than a branch campus) owned or controlled by an institution that is used in direct support of or relation to the institution’s educational purposes, is frequently used by students and is not within the same reasonably contiguous geographic area of the institution.

Public property is defined as all public property that is within the same reasonably contiguous geographic area of the institution, such as a sidewalk, a street, other thoroughfare or parking facility, and is adjacent to a facility owned or controlled by the institution if the facility is used by the institution in direct support of, or in a manner related to the institution’s educational purposes.

Campus Security Authorities

The Clery Act definition of a campus security authority includes SFA personnel beyond police officers. An official of SFA who has significant responsibility for student and campus activities, including but not limited to, student housing, student discipline and campus judicial proceedings, is a campus security authority. Campus security authorities, as defined by the Clery Act, have an obligation to report allegations of Clery Act-defined crimes that they conclude are made in good faith. These crime allegations must be reported to the SFA University Police Department.

The intent of including non-law enforcement personnel as campus security authorities is to acknowledge that many individuals and students in particular may be more inclined to report incidents to other campus-affiliated individuals other than the police.
Counselors Confidential Reporting

The Clery Act defines a professional counselor as an employee of an institution whose official responsibilities include providing psychological counseling to members of the institution’s community and who is functioning within the scope of his or her license or certification.

Campus professional counselors, when acting as such, are not considered to be campus security authorities and are not required to report crimes for inclusion into the annual disclosure of crime statistics. As a matter of policy they are encouraged, if and when they deem it appropriate, to inform persons being counseled of the procedures to report crimes on a voluntary basis for inclusion into the annual crime statistics.

Cross Reference: 20 U.S.C. § 1092(f); Higher Education Opportunity Act, Public Law 110-315 (8/14/08); 42 U.S.C. § 13925(a); Timely Warning (13.22)

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Executive Director of Public Safety/Chief of Police

Forms: None

Board Committee Assignment: Academic & Student Affairs
POLICY SUMMARY FORM

Policy Name: Austin Building Conference Rooms

Policy Number: 16.5

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

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

Unit(s) Responsible for Policy Implementation: President

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

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

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

☐ Internal Review  ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Scott Gordon, President
Damon Derrick, General Counsel
Austin Building Conference Rooms

**Original Implementation:** June 10, 1986  
**Last Revision:** January 31, 2017/January 28, 2020

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

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

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

**Cross Reference:** Use of University Facilities (16.33)

**Responsible for Implementation:** President

**Contact for Revision:** President

**Forms:** None

**Board Committee Assignment:** Building and Grounds
POLICY SUMMARY FORM

Policy Name: Central Receiving

Policy Number: 17.2

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

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

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

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

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

☑ Scheduled Review □ Change in law □ Response to audit finding

□ Internal Review □ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: Unpublished
Last Revision: January 31, 2017

Purpose

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

General

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

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

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

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

Delivery of Vehicles

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

Delivery of Other Goods

Other goods delivered to central receiving will be examined for damages and the contents of the shipment compared against the purchase order. Damages or discrepancies will be noted on the bill of lading. Central receiving will handle the filing of claims with the freight company for any freight...
damages or quantity discrepancies. Central receiving will create a receiver document and delivery log in the university’s financial system and schedule delivery to the requisitioning department, with the exception of computers which will be delivered to the appropriate tech shop for deployment.

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

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

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

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

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

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

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

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

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

**Outgoing Freight**

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

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Receiving Form for Purchase Orders

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Curriculum Reviews, Modifications and Approvals

Policy Number: 5.7

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

Date of last revision, if applicable: January 29, 2019

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

Purpose of Policy (what does it do): Guidelines for curriculum reviews, modifications and approvals

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

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

☐ Internal Review  ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Add core curriculum courses to the procedures, clarify approval steps; update name of committee reviewing core curriculum modifications

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: October 17, 1978
Last Revision: January 29, 2019 January 28, 2020

Introduction

It is the responsibility of each academic unit of the university to maintain current curricula and engage in continuous review of its curricula. The provost and vice president for academic affairs and appropriate dean will set timelines for the modification and approval process.

Curricular Modification Procedures

Curricular modifications include:

- new courses;
- *core curriculum courses*;
- modified courses (e.g., course title, credit hours);
- new programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- modified programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- deletion of courses and/or programs (e.g., degrees, endorsements, certificates, minors, concentrations); and
- changes in mode of delivery such as off-campus face to face, online instruction, and other distance delivery methods.

Curricular modifications will be developed and submitted at the program level, and recommended for approval by:

- the academic unit;
- the academic unit head;
- *the* appropriate councils or committees in the college;
- the college dean;
- the university Undergraduate Council or Graduate Council; *as appropriate, the Core Curriculum Advisory Assessment Committee*;
- the Deans Council; and
- the provost and vice president for academic affairs.

New courses and new, modified or deleted undergraduate and graduate programs and changes in mode of delivery will then be considered for approval by:

- the university president; and
- the Board of Regents.
Where appropriate, approval will then be sought from (and/or notification will be made to) the Texas Higher Education Coordinating Board (THECB), the Texas Education Agency, the Southern Association of Colleges and Schools, or other outside agencies and organizations.

Changes will be reflected in the General Bulletin and/or Graduate Bulletin after approval.

**Substantive Change**

Any curricular changes that involve substantive change as defined by the Southern Association of Colleges and Schools Commission on Colleges must be communicated by the Office of the Provost and Vice President for Academic Affairs to the appropriate entity and, if necessary under the rules on the entity, be approved before implementation. For further information, see the university policy on Substantive Change (4.10).

**Cross Reference:** THECB Instructions and Classification of Instructional Programs Codes; Certificate Programs (5.2); Course Fees (3.8); Laboratory Fees (3.22); Substantive Change (4.10); Academic Program Review (5.1); and Professional Educators’ Council (5.16)

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

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

**Forms:** Forms for program revision, course proposals, substantive change, distance education and laboratory/course fee requests are available at the university website.

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Disposition of Abandoned Personal Property

Policy Number: 13.6

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

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

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

Purpose of Policy (what does it do): Governs the disposition of abandoned personal property

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The first change relates to changing the word "auction" to "sale" to reflect current practice. The second change relates to creating a process for dealing with abandoned cash.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dr. Adam Peck, Asst. Vice President/Dean of Student Affairs
Carrie Charley, Director of Auxiliary Services
John Fields, Chief of Police
Dr. Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Disposition of Abandoned Personal Property

Original Implementation: October 18, 1988
Last Revision: January 30, 2018
January 28, 2020

Lost property means any unclaimed personal property, including money, coming into the possession of the university, other than motor vehicles as defined in the Texas Transportation Code. Lost property shall be deemed abandoned if the rightful owner does not come forth and make a valid claim within ninety (90) days of the university's original possession.

Unless the abandoned property is being held as evidence to be used in a pending criminal case, the university may dispose of the abandoned property by public auction sale. The profits from the auction sale shall be used for student service activities as directed by the Office of the Dean of Student Affairs. Abandoned property, before auction, will be deposited into a university account to be used for student service activities as directed by the Dean of Student Affairs.

Should a person make a valid claim to property after it has been deemed abandoned, but prior to its disposition under this policy, the property will be returned to the owner.

REPORTING OR CLAIMING ABANDONED PERSONAL PROPERTY

Any individual finding lost property on the university campus, or seeking to claim lost property, should follow the guidelines listed below.

1. A person finding lost or unclaimed property should turn in said property at the University Police Department or the information desk in the student center. Lost or unclaimed property found in Steen Library should be turned in to the circulation desk on the first floor. Lost or unclaimed property found in academic buildings should be turned in to the appropriate departmental office. Lost or unclaimed bicycles or other bulky items are stored in the University Police Department.

2. A written Record of Unclaimed Personal Property form indicating the date the lost or unclaimed property came into the university's possession shall be completed and retained by the receiving department.

3. After fifteen (15) days, all unclaimed property held in the University Police Department, in Steen Library, or in other campus areas such as departmental offices, shall be transferred to the student center information desk with the record indicating the date of receipt of the unclaimed property. Unclaimed bicycles and other bulky items will be stored by University Police Department.

4. Lost items may be claimed at the student center information desk upon presentation of
reasonable identification of the lost property.

5. A public auction sale is held annually under the direction of the dean of student affairs at a time and place announced during each academic year.

**Cross Reference:** Tex. Educ. Code § 51.213

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

**Contact for Revision:** Dean of Student Affairs

**Forms:** Record of Unclaimed Personal Property (available in University Printing Services)

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Distinguished Guests
Policy Number: 2.16

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

Date of last revision, if applicable:

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Guidelines for notifying president's office of invitations to current or former regents, elected officials, or distinguished guests to visit campus.

Reason for the addition, revision, or deletion (check all that apply):
- [ ] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [X] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: To clarify internal procedures related to campus community members communicating with president's office regarding distinguished guests visiting campus.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: January 28, 2020
Last Revision: None

All university departments and employees (excluding those reporting directly to the Board of Regents), while acting in the scope of their employment, will notify the president’s office prior to extending an invitation to a current or former member of the Board of Regents, elected official, or other distinguished guest such as a donor or prospective donor to visit campus. Such notification should include the proposed itinerary and reason for the visit. If the invitation is accepted, the president’s office must be notified and kept informed of the details of the visit.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee
POLICY SUMMARY FORM

Policy Name: 6.11

Policy Number: Doctoral Students: Allowable Credit Hours and Completion Times

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

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

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

Purpose of Policy (what does it do): Allowable credit hours and completion times for doctoral students

Reason for the addition, revision, or deletion (check all that apply):
- [ ] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: delete "full-time" enrollment for progress review; minor wording change for clarification

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Policy Committee
Steve Bullard, Provost and Vice President for Academic Affairs
Damon Derrick, General Counsel
**Doctoral Students: Allowable Credit Hours and Completion Times**

**Original Implementation:** April 21, 1998  
**Revision Date:** January 31, 2017 / January 28, 2020

The doctoral degree typically requires a minimum number of credit hours beyond a master’s degree *as specified by the program*. After three years of full-time enrollment, a formal review of each student’s doctoral progress will be conducted within the respective graduate program and shared with the student.

Students who have reached ninety-nine (99) or more credit hours above a master’s degree:  
- will be ineligible for student employment at Stephen F. Austin State University (SFA);  
- will pay the current rate for out-of-state tuition and fees, or the equivalent of full-cost-of-education as determined by SFA; and  
- may be terminated from the program by the dean of the graduate school *research and graduate studies* in consultation with the appropriate academic dean and academic unit head of the program.

If terminated from a program, a student may file a written appeal to the University Graduate Council whose recommendation will be forwarded to the provost and vice president for academic affairs for final resolution.

**Cross Reference:** Graduate Bulletin; Tex. Educ. Code § 61.059(l)  
**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
POLICY SUMMARY FORM

Policy Name: Faculty Development Leaves

Policy Number: 12.7

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

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

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

Purpose of Policy (what does it do): Guidelines for Faculty Development Leaves

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording change for clarification

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: April 26, 1983
Last Revision: January 31, 2017 January 28, 2020

Faculty development leaves may be granted by the Board of Regents for field observations, research, study, writing, or other scholarly/creative activities. They should not be used to complete work for a terminal degree. No more than six percent of university faculty members may be on development leave at any one time.

This policy applies to full-time faculty and librarians whose duties include teaching, research, administration, or the performance of professional services. Except for special circumstances, individuals are eligible for a development leave after serving full time for at least three consecutive years. After completion of a development leave, recipients may not apply for four years.

Applications for faculty development leaves will be reviewed annually by the Faculty Development Leave Committee. The committee will consist of full-time faculty members, one from each academic college and one from the library. The committee will make recommendations to the provost and vice president for academic affairs and the president, who will make the final leave recommendation to the Board of Regents.

A faculty development leave may be awarded for one long semester at full base salary or for two long semesters at half the base salary. Payment of salary may be made from the funds appropriated by the legislature specifically for that purpose or from such other funds as might be available to the institution.

Recipients of faculty development leaves must guarantee the university that they will return to their regular duties, or others that might be assigned, for a period of at least one year following the expiration of the leave, provided they are offered a contract by the university. Recipients will submit a brief written report on the activities and accomplishments resulting from the leave to the academic unit head, dean, and provost and vice president for academic affairs within ninety days following completion of the leave.

Faculty members on faculty development leave, under law, may accept a grant or stipend for study, teaching, research, or travel from any institution of higher education or from a charitable, religious, or educational corporation or foundation, from any business enterprise, or from any federal, state, or local governmental agency. However, they The faculty member may not accept employment from any other person, corporation, or governmental agency, unless the Board of Regents determines that it would be in the public interest to do so and expressly approves the employment. An accounting of all leave funds will be made by faculty members through the provost and vice president for academic affairs and the president to the Board of Regents.

The university will deduct from the salary of faculty members on development leave the deposit and membership dues required to be paid by them to the Teacher Retirement System of Texas or to the Optional Retirement Program or both, the contribution for Old Age and Survivors Insurance, and any other amounts required or authorized to be deducted. Faculty awarded development leave will

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continue to participate in the programs and receive the benefits (retirement, insurance, etc.) made available by or through the university or the state to all other faculty members, and will be eligible for salary increases, merit pay, and all other fringe benefits awarded for the year following the expiration of the leave.

This policy will be filed with the Texas Higher Education Coordinating Board no later than thirty (30) days after the approval of any amendment by the Board of Regents.

**Cross Reference:** Faculty Handbook; Tex. Educ. Code § 51.101-.108

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

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

**Forms:** Faculty Development Leave Request Form; Faculty Development Leave Proposal Format; and Faculty Professional Development Form

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Faculty Disagreements

Policy Number: 7.25

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

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

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Guidelines for resolution of faculty disagreements or disputes

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Reviewed; no changes recommended

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: April 3, 1979
Last Revision: January 31, 2017 January 28, 2020

The resolution of disagreements regarding administrative decisions or other disputes involving faculty or other personnel, other than dismissal or non-renewal, will be pursued initially with the academic unit head. If the matter cannot be satisfactorily resolved at that level, the faculty member may put the disagreement in writing and submit it to the college dean, along with a copy to the academic unit head.

The college dean will consult with the faculty member(s) and the academic unit head in an effort to resolve the disagreement. The dean may consult with any others deemed to have insight into the matter. If the matter cannot be satisfactorily resolved by the dean, the faculty member may appeal in writing to the provost and vice president for academic affairs, along with a copy to the dean and academic unit head.

The provost and vice president for academic affairs will consult with the faculty member(s), the academic unit head, the college dean, and any others with insight into the matter. If the matter cannot be satisfactorily resolved by the provost and vice president for academic affairs, either party may appeal the issue.

In situations that do not involve conditions of employment, an appeal from the provost and vice president for academic affairs will be forwarded directly to the president who will consult with the faculty member(s), the academic unit head, the college dean, the provost and vice president for academic affairs, and any others with insight into the matter.

Employment Disputes

If the disagreement involves an allegation that conditions of employment under university policy have been violated, the appeal will be forwarded to the University Grievance Panel at the faculty member’s request. This process will operate under the guidelines below.

1. An advisory subcommittee of the University Grievance Panel will review the evidence. The subcommittee will be composed of five members, with two members selected by the faculty member, two by the president or the president's designee, and one selected at random. Each party will have one challenge without stated cause.
2. Once constituted, the subcommittee will establish defined procedures for resolving the dispute.
3. When the subcommittee has made its determination, it will advise the president and the faculty member(s) of its findings in writing.
4. The president will review the subcommittee’s report, consult with the faculty member(s) and any others with insight into the matter, and render a decision that will be final.
In all cases, the decision of the president is final and will be communicated to the faculty member in writing within a reasonable time.

**Cross Reference:** Faculty Handbook

**Responsible for Implementation:** President

**Contact for Revision:** President

**Forms:** None

**Board of Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Faculty Merit Pay

Policy Number: 7.6

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

Date of last revision, if applicable: July 23, 2019

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

Purpose of Policy (what does it do):

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

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

☒ Internal Review      ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: move sentence "Adjunct faculty members are not eligible for merit pay increases" from adjunct performance review policy 7.5

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Appendix 1
Faculty Merit Pay

**Original Implementation:** September, 1982  
**Last Revision:** July 23, 2019, January 28, 2020

For merit pay consideration, full-time faculty members (excluding adjuncts) will present to their academic unit head all relevant or requested documentation, including at least the completed annual report of professional activities and performance, as well as any other information required under individual academic unit, college or university policy. *Adjunct faculty members are not eligible for merit pay increases.*

Academic units and/or colleges will establish their own appropriate and specific merit criteria and awarding procedures.

Merit recommendations by the academic unit head will be subject to approval by the dean, provost and vice president for academic affairs, and president.

Merit pay is contingent upon available funds.

**Cross Reference:** Faculty Handbook

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

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

**Forms:** Annual report of professional activities and performance and administrative evaluation form available in the Office of the Provost and Vice President for Academic Affairs

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Fair Labor Standards

Policy Number: 11.14

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

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

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

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

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor word change.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

**Original Implementation:** February 3, 2005  
**Last Revision:** January 31, 2017, January 28, 2020

### Purpose

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

### Definitions

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

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

### General

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

### Determination of Exemption Status of Employees

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

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

### Overtime

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

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

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

Improper Deductions from Pay

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

Equal Pay for Equal Work under the FLSA

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

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

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

Administration

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

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

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

Appeal Process

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

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Gifts, Loans, Endowments, and Bequests

Policy Number: 3.17

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

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

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

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

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

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

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel
Gifts, Loans, Endowments, and Bequests

Original Implementation: July 18, 1981
Last Revision: April 30, 2019 / January 28, 2020

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

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

1. A gift, loan, endowment or bequest which may require commitment of funds, personnel, space or other resources shall be approved by the president prior to any commitment or action on behalf of the university.

2. The university is authorized, with prior approval of the president and ratification by the Board of Regents, to accept gifts or devises of real property for the establishment of scholarships, professorships and other trusts for educational purposes provided such property will not require appropriations by the legislature for operation, maintenance, repair or construction of buildings.

3. Privacy of donor identity may be granted by the university with the exceptions noted by the Public Information Act or the Internal Revenue Service when public recognition is not desired by the donor.

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

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

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

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

1. All university departments, including faculty, staff, students, student organizations (as per policy 10.9, Student Organization Formation and Recognition) and affiliated 501(c)(3) entities are responsible for coordinating and clearing all fundraising projects funded by individuals, foundations and corporations in advance of the fundraising projects in writing. All fundraising projects shall comply with SFA policies and procedures, as well as federal and state laws.

2. If any faculty member, staff member, student or student organization receives any unsolicited question from a prospective donor regarding a possible gift to the university or the Stephen F. Austin State University Foundation, Inc., the Office of Development should be notified of the inquiry as soon as possible following the initial contact.

Acknowledgment of Gifts

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

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

2. Any written statement concerning tax deductibility of contributions must be reviewed and approved by the Office of Development.

Use of Gifts, Loans, Endowments and Bequests

Gifts, loans, endowments and bequests made to Stephen F. Austin State University shall be used for the purpose designated by the donor. If a purpose is not specified by the donor, and the amount of the gift is $100,000 or more, utilization shall be as directed by the Board of Regents
after consideration of recommendations by the president and the vice president for development. If a purpose is not designated, and the amount of the gift is less than $100,000-$500,000, utilization shall be as directed and approved by the president of the university.

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

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

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

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

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

1. awards that recognize or promote faculty development, excellence in teaching, academic achievement, athletic achievement, scholarship, or service;
2. costs related to the promotion of the communication of intellectual ideas among students, faculty, staff and administrators of the university;
3. support of student events and activities sponsored by the university;
4. the recruitment of highly qualified students, faculty and staff;
5. costs related to the promotion of the exchange of ideas with community leaders regarding the role of the university and its programs in the community;
6. costs related to the conduct of accrediting agency visits, visits by other officials from other institutions or representatives outside higher education;
7. costs related to the support of continuing education activities.
Examples of expenditures which may not meet the criteria established are as follows:

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

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

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

**Conflict of Interest**

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

**Publicity**

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

**Matching Gifts**

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

**Foundation Support**

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

Library

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

Definitions

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

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

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

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

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

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

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

**Board Committee Assignment:** Finance and Audit
POLICY SUMMARY FORM

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

Policy Number: 16.13

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

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

Unit(s) Responsible for Policy Implementation: President

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

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ryan Ivey, Director of Athletics
Scott Gordon, President
Damon Derrick, General Counsel
Homer Bryce Stadium and William R. Johnson Coliseum

Original Implementation: 1972
Last Revision: November 7, 2016 January 28, 2020

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

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

1. Intercollegiate athletic teams have first priority of access to all intercollegiate competition surfaces.
2. The coordinator of athletic operations will complete a facility use application.
3. The coordinator of athletic operations will assist university departments and student organizations with coordination of university police department and university physical plant services for upcoming events.
4. A contract will be completed before the date of the event.
5. The William R. Johnson Coliseum marquee will be used to advertise only official university events. Requests for messages on the marquee should be made to the coordinator of athletic operations.
6. Homer Bryce Stadium and William R. Johnson Coliseum competition surfaces (i.e. football field, track surface and basketball court) shall be permitted only through approval through the facility use process. General public use of competition surfaces is strictly prohibited.
7. Grandstands located in Homer Bryce Stadium and William R. Johnson Coliseum shall be opened for general public use at their own risk, between 6am-10pm. Both facilities shall be closed for general public use between 10pm-6am. Those individuals caught using the facilities during unpermitted timeframes may be subject to disciplinary action, including prosecution by the extent allowed by law.
Cross Reference: Use of University Facilities (16.33); Camps and Conferences (16.7)

Responsible for Implementation: President

Contact for Revision: President, Director of Intercollegiate Athletics

Forms: None

Board Committee Assignment: Building and Grounds
POLICY SUMMARY FORM

Policy Name: Investments

Policy Number: 3.21

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

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

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

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

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: April 30, 1996
Last Revision: January 29, 2019 January 28, 2020

Purpose

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

Definitions

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

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

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

General

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

Objectives

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

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

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

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

**Investment Authority**

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

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

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

**Investment Responsibilities**

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

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

The vice president for finance and administration shall develop and maintain written administrative procedures and guidelines for the operation of the investment program which are consistent with and part of this Investment policy (Appendix B).
The vice president for finance and administration may establish an investment committee. The committee may review investment reports, monitor investment activity or review and revise qualified investment brokers that are eligible to serve in an investment capacity for the university. The chair of the Board of Regents may designate a board member to serve as a liaison on the investment committee.

**Prudence**

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

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

**Investment Guidelines**

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

- obligations, including letters of credit, of the United States of America, or its agencies and instrumentalities;
- direct obligations of the state of Texas or its agencies and instrumentalities;
- 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;
- 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 less than A or its equivalent;
- *interest-bearing banking deposits that conform to Sections 2256.009(7) and 2256.009(8) of the Texas Government code;*
- *certificates of deposit and share certificates issued by a depository institution that conforms to Section 2256.010 of the Texas Government Code.*
- *fully collateralized repurchase agreements that conform to Section 2256.011 of the Texas Government Code;*
- *bankers’ acceptances that conform to Section 2256.012 of the Texas Government Code;*
- *commercial paper that conforms to Section 2256.013 of the Texas Government Code; no-load money market mutual funds and no-load mutual funds registered and regulated by the Securities*
and Exchange Commission and conform to Section 2256.014 of the Government Code;
j. k. guaranteed investment contracts that conform to Section 2256.015 of the Government Code;
k. l. investment pools that conform to Sections 2256.016 and 2256.019 of the Government Code;
l. m. cash management and fixed income funds sponsored by organizations exempt from federal income taxation under Section 501(f), Internal Revenue Code of 1986 (26 U.S.C. Section 501(f));
m. n. negotiable certificates of deposit issued by a bank that has a certificate of deposit rating of at least 1 or the equivalent by a nationally recognized credit rating agency or that is associated with a holding company having a commercial paper rating of at least A-1, P-1, or the equivalent by a nationally recognized credit rating agency;
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. obligations whose payment represents the coupon payments on the outstanding principal balance of the underlying mortgaged-backed security collateral and pay no principal;
b. obligations whose payment represents the principal stream of cash flow from the underlying mortgage-backed security collateral and bear no interest;
c. collateralized mortgage obligations that have a stated final maturity date of greater than 10 years; and
d. collateralized mortgage obligations with an interest rate determined by an index that adjusts in an opposite direction to the change in a market index.

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

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<th>Category</th>
<th>Maximum</th>
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<td>U. S. Treasury securities and securities having principal and interest guaranteed by the U. S. Government</td>
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<tr>
<td>U. S. Government agencies, instrumentalities and government sponsored enterprises (excluding mortgage backed securities)</td>
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<td>Collateral mortgage backed securities</td>
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<td>Fully insured or collateralized certificates of deposit</td>
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<td>Bankers’ acceptances</td>
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</table>

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

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

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

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

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

a. FDIC insurance coverage;
b. United States Treasury, Agency, or Instrumentality securities;
c. Direct obligations of the state of Texas or its agencies and instrumentalities;
d. Other obligations, the principal of and interest on which are unconditionally guaranteed or insured by the state of Texas or the United States of America;
e. Obligations of states, agencies thereof, counties, cities, and other political subdivisions of any state having been rated as to investment quality by a nationally recognized investment rating firm and having received a rating of no less than A or its equivalent;
f. Collateralized mortgage obligations (CMO) directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America. CMO must have a stated final maturity date of less than 10 years.

**Authorized Financial Dealers and Institutions**

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

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

Securities may not be bought from any organization whose representative has not provided the university with the acknowledgment required in the above paragraph. Funds invested with institutions authorized by Texas Education Code Sec. 51.0031, will be invested pursuant to the qualifying institution’s investment policy.

**External Financial Advisor Contract Renewal or Extension**

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

**Disclosure Requirements for Outside Financial Advisor**

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

**Performance Evaluation**

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

a. describe in detail the investment position of the university on the date of the report;

b. be prepared by the investment officer(s) of the university;

c. be signed by the investment officer(s) of the university;

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

Internal Controls

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

Disclosure Requirements for Investment Officers

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

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

Training

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

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

Investment Policy Adoption and Certification

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


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.
POLICY SUMMARY FORM

Policy Name: Investments - Endowment Funds

Policy Number: 3.20

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

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

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

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

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

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

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: Unpublished
Last Revision: January 29, 2019, January 28, 2020

Purpose

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

Definitions

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

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

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

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

General

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

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

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

Investment Risk Tolerance

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

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

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

Prudence

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

Responsibility and Delegation of Authority

As provided in the Texas Education Code, each member of the Board of Regents (board) has the legal responsibilities of a fiduciary in the management of funds under the control of the university. The board recognizes its responsibility to ensure that the assets of the endowment funds are managed for the exclusive benefit of the university in accordance with its donors’ intentions, effectively and prudently, in full compliance with all applicable laws.
The university acknowledges that the ultimate responsibility for the investment of endowment funds rests with the board. The board will determine the institutional approach used to invest endowment funds. The board may choose to hire external investment consultants and/or managers, contract with another institution, or manage funds internally. To carry out this responsibility, the board delegates certain authority to the financial officer(s) to oversee and work with external investment consultants and/or managers the board has selected.

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

University Administration
The vice president for finance and administration (vice president), the director of financial services, and the director of administrative services are designated as the investment officers for the university. The specific responsibilities of the vice president in the investment process include:
- Communicate with outside investment management team (consultants, managers and qualifying institutions);
- If appropriate, prudently select and recommend investment options to the board;
- Review and evaluate performance results to ensure policy guidelines are being adhered to and objectives are being met;
- Submit quarterly and annual investment reports to the board;
- Annually, determine the proper distribution of investment returns to the various spending accounts in accordance with the distribution section of this policy; and
- Comply with all applicable laws, including conflict of interest provisions.

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

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

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

Specifically, the consultant will:

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

**Investment Managers**

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

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

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

The investment manager(s) will:

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

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

**Investment Policy Guidelines**

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

**Authorized Investments:**
The endowment’s assets may be invested in the following:

a. Direct obligations of the United States government or its direct agencies.
b. Direct obligations of federally-sponsored agencies in accordance with the above paragraph.
c. Obligations of states, agencies, counties, cities, and other political subdivisions of any state in accordance with the above paragraph.
d. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.
e. Debentures or obligations, and preferred or common stock of international governments and corporations. International preferred and common stock issues must be listed on an organized stock exchange.
f. Common stock and preferred stock issued by United States domiciled corporations and common stocks of international companies listed on the major U.S. or international security exchanges.
g. Certificates of Deposit issued by federally insured state banks, federally insured savings and loan associations and saving banks or federally insured credit unions. Amounts over the insurance limit of the institutions must be secured by pledged securities.
h. Bankers’ acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.
i. Money Market Mutual Funds. Funds must be registered with the Securities and Exchange Commission, have a maximum dollar weighted average maturity of no longer than 13 months, and be no-load funds. Funds must have assets consisting of securities described in the paragraphs above and seek to maintain a stable net asset value of $1.00 per share (or unit).
j. Mutual Funds. Funds must be registered with the Securities and Exchange Commission and invest in assets authorized under this policy.
k. Direct Security Repurchase Agreements. Direct Repos must be fully secured (collateralized) by securities authorized under the sections (a) through (g) above. Such collateral must be held by a third party. All agreements will comply with Federal Reserve Bank guidelines.
1. Shares of investment companies as defined by the Investment Company Act of 1940. These companies include both closed-end investment companies and open-end investment companies (mutual funds). Shares in these companies may be purchased if they own securities described in sections (a) through (j) above.

m. Shares of Exchange Traded Funds, known as ETFs.

n. No more than ten percent (10%) of the equity portfolio can be invested at any time in one company based on the market value of the stock and portfolio.

o. No more than thirty percent (30%) of the equity portfolio can be invested in any one industry sector based on the market value of the portfolio.

p. Alternative investments. Permitted alternative investments may include hedge funds, managed futures funds, private equity funds, or real estate. Hedge funds are not subject to limitations of the “Prohibited Investment” section below. Investments in other strategies shall be reviewed and recommended by the investment officer prior to purchase.

q. Permitted alternative investments in the portfolio are limited to diversified commingled trust fund vehicles or limited partnerships offered through a third party distribution channel, such as what is offered through many broker-dealer firms.

r. Permitted alternative investments in the portfolio are limited to investment vehicles that offer the ability for the portfolio to make contributions or receive distributions at least quarterly (but preferably monthly) without restriction or incurring additional fees.

s. The portfolio shall emphasize investments in fund-of-fund vehicles that are diversified by investment style and typically utilize multiple investment managers within a fund.

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

a. Commodity trading including all futures contracts;

b. Short selling, option trading and margin trading unless by managers approved for that strategy;

c. Guaranteed investment contracts.

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

<table>
<thead>
<tr>
<th>Asset Category</th>
<th>Minimum</th>
<th>Maximum</th>
<th>Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Fixed Income</td>
<td>0.0%</td>
<td>60.0%</td>
<td>35.0%</td>
</tr>
<tr>
<td>Total Equity</td>
<td>0.0%</td>
<td>70.0%</td>
<td>55.0%</td>
</tr>
<tr>
<td>Total Alternatives</td>
<td>0.0%</td>
<td>25.0%</td>
<td>10.0%</td>
</tr>
<tr>
<td>Total Cash or Cash Equivalents</td>
<td>0.0%</td>
<td>100.0%</td>
<td>0.0%</td>
</tr>
</tbody>
</table>
The allowable asset mix for fixed income and equities is:

<table>
<thead>
<tr>
<th></th>
<th>Minimum</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>US Government Bonds</td>
<td>0.0%</td>
<td>100.0%</td>
</tr>
<tr>
<td>Corporate Bonds</td>
<td>0.0%</td>
<td>50.0%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Minimum</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Domestic Equity</td>
<td>0.0%</td>
<td>100.0%</td>
</tr>
<tr>
<td>International Equity</td>
<td>0.0%</td>
<td>30.0%</td>
</tr>
</tbody>
</table>

*Interest Rate, Credit and Foreign Currency Risks*

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

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

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

*Gifts of Individual Securities*

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

*Quasi-Endowments*

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

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

Performance Evaluation

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

Conflicts Of Interest

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

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

Audits

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

Investment Policy Adoption and Certification

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


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
POLICY SUMMARY FORM

Policy Name: Library Faculty

Policy Number: 7.17

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

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

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

Purpose of Policy (what does it do): Guidelines for library faculty rank, criteria for appointment, promotion eligibility, annual evaluation and compensation, work load, rights and responsibilities; and Library Academic Advisory Council

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: delete parenthetical reference to cross-referenced policy

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: 1970
Last Revision: January 31, 2017 January 28, 2020

Stephen F. Austin State University (SFA) provides for advancement based on a librarian's or an archivist’s academic credentials and experience, job performance, professional engagement, and service to the university, profession, and the general community, as appropriate.

Rank

The ranks consist of Librarian I, II, III, and IV, and Archivist I, II, III, and IV, with IV being the highest. These ranks do not apply to administrative positions.

Criteria for Appointment

A master's degree in library science from a school accredited by the American Library Association is required for appointment as a librarian. The Master of Library Science and Master of Library Information Science are the terminal degrees for librarians.

A master’s degree in library science from a school accredited by the American Library Association with specialization in archival studies or a master’s degree in public history with specialization in archival studies is required for appointment as an archivist.

Promotion Eligibility

Librarians and archivists are both eligible for promotion; however, only librarians are eligible for tenure (see policy 7.29).

To be promoted to the rank of Librarian II or Archivist II, an individual must have a proven record of effective and productive performance. Individuals can apply for the rank of Librarian II or Archivist II without being at the rank of Librarian I or Archivist I for a specified period of time.

To be promoted to the rank of Librarian III or Archivist III, an individual must have a proven record of effective and productive performance. The individual must also have significant professional contributions to the academic and general communities through presentations at professional meetings, professional publications, or service to organizations. A Librarian II or Archivist II must hold that rank for at least three years before applying for promotion. Exceptions must be approved by the library director and the provost and vice president for academic affairs. The circumstances warranting early application must be exceptional.

To be promoted to the rank of Librarian IV or Archivist IV, an individual must have a proven record of substantial contributions to the profession recognized at the state and national levels. A Librarian III or Archivist III must hold that rank for at least five years before applying for promotion. Additionally, to be promoted to Archivist IV the individual must have successfully passed the Academy of Certified Archivist Examination. Exceptions must be approved by the
library director and the provost and vice president for academic affairs. The circumstances warranting early application must be exceptional.

**Annual Evaluation and Compensation**

Librarians and archivists will be evaluated annually according to university policies and procedures. These evaluations will constitute the basis for merit pay consideration, when available. Librarians and archivists accrue vacation and compensatory time.

**Work Load**

Librarians and archivists receive twelve-month contracts.

**Library Academic Advisory Council**

The Library Academic Advisory Council (LAAC) advises the director of libraries on matters regarding librarians and archivists. The LAAC is composed of five librarians/archivists, each with at least two years of service at SFA. Members are elected in September by all librarians and archivists and serve two-year staggered terms. The individual serving as the Faculty Senate representative is an ex-officio member of the LAAC if not an elected member. The LAAC elects a chair who is responsible for calling at least one meeting each regular semester.

**Rights and Responsibilities**

Librarians and archivists have the same rights and responsibilities as academic faculty. They are eligible for service on the Faculty Senate and university committees and are eligible for faculty development leave. Librarians and archivists may also apply for grants, fellowships, and research funds.

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**Cross Reference:** Faculty Handbook; Academic Promotion of Full-Time Faculty (7.4); Tenure and Continued Employment (7.29); Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs (4.8); Academic Appointments and Titles (7.2)

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

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

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Part-time Faculty

Policy Number: 7.21

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

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

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

Purpose of Policy (what does it do): Description/guidelines for part-time faculty

Reason for the addition, revision, or deletion (check all that apply):
- [X] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Reviewed; no changes recommended

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: September 19, 1984
Last Revision: January 31, 2017 January 28, 2020

A part-time faculty member is one who holds less than a full-time academic workload and is not in a tenure-track position.

Part-time faculty must meet applicable accreditation criteria.

Former tenured, full-time Stephen F. Austin State University faculty members appointed to part-time positions will hold their previous academic rank (instructor, assistant professor, associate professor, or professor) with the designation part-time. Part-time faculty members may be appointed for no more than one academic year at a time.

The salary of part-time faculty members will be negotiated with each appointment, subject to the approval of the college dean and the provost and vice president for academic affairs.

Part-time faculty members will perform assigned duties and maintain office hours commensurate with the assignment. Part-time faculty may not serve on search, tenure, promotion, or merit pay committees.

Cross Reference: Faculty Compensation (12.6)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Faculty Credential Form

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

**Policy Name:** Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs

**Policy Number:** 4.8

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

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

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

**Purpose of Policy (what does it do):** Guidelines for performance review of officers reporting to the provost/VPAA

**Reason for the addition, revision, or deletion (check all that apply):**
- [x] Scheduled Review
- [] Change in law
- [] Response to audit finding
- [] Internal Review
- [] Other, please explain:

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No changes

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee
Steve Bullard, Provost and Vice President for Academic Affairs
Damon Derrick, General Counsel
Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs

Original Implementation: December 6, 1979  
Last Revision: January 31, 2017  January 28, 2020

The provost and vice president for academic affairs will conduct an annual performance review of each administrator who reports directly to the provost’s office. The review will focus on the performance of assigned responsibilities.

During the second year of service and once every three years thereafter, the review will be augmented by written input from peers, including appropriate deans, academic unit heads, faculty, and administrative staff. The provost and vice president for academic affairs is responsible for developing the survey questions.

The provost and vice president will submit a summary report to the individual reviewed and to the president.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Professional Educators Council

Policy Number: 5.16

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

Date of last revision, if applicable: November 7, 2016

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

Purpose of Policy (what does it do): Guidelines for council to govern preparation of teachers, school administrators, and other professional educators

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Reviewed; no changes recommended

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

**Original Implementation:** September 1, 1987  
**Last Revision:** November 7, 2016 January 28, 2020

Preparation of teachers, school administrators, and other professional educators is a university-wide function governed by policies developed by the university’s Professional Educators Council. In developing and executing policies, the council considers:

- Relevant state and federal law;
- University policies and procedures;
- Recommendations from appropriate advisory committees;
- Guidelines of the Texas Higher Education Coordinating Board (THECB);
- Rules of the Texas Education Agency (TEA)/State Board for Educator Certification (SBEC);
- Program standards of the Council for the Accreditation of Educator Preparation (CAEP);
- Professional standards of organizations affiliated with CAEP and with other national accreditation organizations.

The council’s responsibilities include:

- Maintaining accreditation by SBEC, CAEP, and other national organizations;
- Maintaining good standing with the TEA;
- Reviewing proposals for changes in teaching field programs and in professional education programs;
- Establishing criteria for program admission and retention;
- Recommending criteria for educator certification or licensing.

The council is co-chaired by the dean of the James I. Perkins College of Education (PCOE) and the PCOE associate dean for assessment and accountability. It is composed of faculty members appointed by the provost and vice president for academic affairs from nominees submitted by the PCOE dean after consultation with the deans of other colleges offering content area instruction. Other members of the council include the PCOE associate dean for curriculum, faculty and staff development, and student affairs and two student representatives appointed by the PCOE dean.


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

**Contact for Revision:** Dean of the James I. Perkins College of Education

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Prompt Payment to Vendors

Policy Number: 17.13

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

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

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

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

Reason for the addition, revision, or deletion (check all that apply):
- [x] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: April 21, 1998
Last Revision: January 31, 2017 January 28, 2020

Purpose

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

Definitions

Payment – Money owed to a vendor.

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

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

General

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

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

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

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

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

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

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

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

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

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

Cross Reference: Tex. Gov’t Code § 2155.382; Ch. 2251; Tex. Educ. Code § 61.003; Texas Comptroller of Public Accounts Payment Services and eXpendit State Purchase Policies
**Responsible for Implementation:** Vice President for Finance and Administration

**Contact for Revision:** Controller

**Forms:** None

**Board Committee Assignment:** Finance and Audit
POLICY SUMMARY FORM

Policy Name:  Property Liability

Policy Number:  16.22

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

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

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

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

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

- [x] Scheduled Review  
- [ ] Change in law  
- [ ] Response to audit finding

- [ ] Internal Review  
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: April 22, 2003
Last Revision: January 31, 2017, January 28, 2020

Purpose

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

Definition

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

General

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

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

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

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

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

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

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

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

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

Responsible for Implementation: Vice President for Finance and Administration

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

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

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Proprietary Purchases

Policy Number: 17.15

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

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

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

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

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

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

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: September 1979
Last Revision: January 31, 2017

Purpose

This policy defines and explains requirements related to proprietary purchases.

Definition

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

General

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

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

Along with the purchase requisition, the department may be asked to submit an Exclusive Acquisition Justification form. On the form, only the applicable items must be answered and must provide sufficient explanation to address the following:

1. an explanation of the need for the proprietary specifications; i.e., which part or parts of the stated specification restricts the requisition to one manufacturer or provider, and
2. the reason competing products are not satisfactory.

Justification for proprietary purchases must be signed by the director of procurement and property services/HUB coordinator. Procurement will research the market to determine if the proprietary request is appropriate.

Cross Reference: Tex. Gov’t Code §§ 2155.063, .067; Purchase Requisition (17.19)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Procurement and Property Services/HUB
Coordinator Forms: Purchase Requisition, Exclusive Acquisition Justification

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Purchase of Surplus Property

Policy Number: 17.17

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

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

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

Purpose of Policy (what does it do): This policy establishes guidelines for purchasing surplus property from the Texas Facilities Commission and details restrictions on the use of any federal surplus property.

Reason for the addition, revision, or deletion (check all that apply):
- [x] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Cross reference revision and minor changes and clarifications.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: September, 1987
Last Revision: January 31, 2017, January 28, 2020

Purpose

This policy establishes guidelines for purchasing surplus property from the Texas Facilities Commission and details restrictions on the use of any federal surplus property.

Definitions

**Surplus property** is any personal property that is in excess of the needs of the department and which is not required for the foreseeable future. Surplus property may be new or used but must have additional useful life.

**Salvage property** is any personal property which through use, time, or accident is so depleted, worn out, damaged, consumed, or outdated that it is obsolete and/or can no longer serve the purpose for which it was originally intended.

General

The Texas Facilities Commission (TFC) disposes of surplus and salvage personal property from Texas state agencies and manages the disposition of surplus and salvage donated to the state by federal programs. The Office of the State Comptroller advertises surplus property exclusively to state agencies, political subdivisions and assistance organizations. Surplus property not transferred within 10 business days of posting is available for sale to state agencies, political subdivisions and assistance organizations as well as the general public. Federal surplus property is available only to eligible organizations, not private citizens or the general public. Available property can be viewed at the following URLs:

**State Surplus (State Comptroller’s listing)**

**State Surplus (available at store fronts; TFC listing)**

**Federal Surplus**

A requisition must be submitted to initiate the purchase of surplus property. A purchaser is available to research the availability, condition and cost of surplus property.

**State Surplus**

The agency offering the surplus equipment is to be contacted directly to determine a price and make arrangements for transfer. The requisition submitted to the purchasing office should state on the requisition 'STATE SURPLUS PROPERTY'. The name of the state agency and the agreed price, and arrangements for transfer should also be shown.
Federal Surplus

The Texas Facilities Commission manages the disposition of surplus property donated to the state by federal programs. The purchaser may make a written request for federal surplus to be held for SFA if it becomes available.

Visitation to and shopping at a federal surplus warehouse is allowed only by a certified agent of the university. The item(s) may be picked up at the time of purchase or arrangements can be made for pick up at a later date. The individual(s) picking up the merchandise do not have to be certified, but they must have the receipt in hand when arriving at the distribution center. If the SFA transportation department picks up the item(s), the department will be charged for travel and labor costs. When the merchandise is received, the itemized receipt and/or invoice should be returned to the procurement department.

Restrictions on the Use of Federal Surplus Property

Participating organizations (“donees”) are required to use the property obtained through the program for a specific amount of time before the property can be sold or transferred and must adhere to the following restrictions:

1. Property must be placed into use within the first year of possession.
2. Property must continue to be used for the duration of the compliance period before ownership is transferred to SFA.
   - 18 months for passenger vehicles or any item of property with original acquisition cost of $50,000 or more.
   - 12 months for property with an original acquisition cost less than $5,000.
   - 18 months for passenger vehicles or any item of property with original acquisition cost of $5,000 or more.
   - 5 years for aircraft and vessels 50’ or more in length.
   - In perpetuity for combat-configured aircrafts, and firearms.
3. The property may not be sold, transferred, or otherwise disposed of during the compliance period. If property is sold, transferred or otherwise disposed of during the required period of use, SFA may be subject to penalties and fines, as well as possible state or federal prosecution.
4. Compliance visits may be conducted by state and federal program staff during the compliance period to ensure that property is being put to its intended use. If the property is not paid for in full or is not being used or handled as required, SFA will be required, at its expense, to return the property to TFC or offer for transfer to another donee, as instructed by TFC.
5. In accordance with the Single Audit Amendments of 1996 (U.S. Office of Management and Budget (OMB) Circular A-133), if the university receives $500,000 or more in all forms of federal assistance during a fiscal year, SFA will be liable for a single audit by an independent firm.
As a donee, SFA must include the General Services Administration’s required non-discrimination statement with information about the federal surplus program.

**Cross Reference:** 41 C.F.R. §§ 101, 102; OMB Circular A-133; Purchase Requisition (17.19)

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

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

**Forms:** Purchase Requisition, TFC Eligibility Application Form, TFC Update Form, TFC Authorized Representative Form

**Board Committee Assignment:** Finance and Audit
POLICY SUMMARY FORM

Policy Name: 7.16

Policy Number: Purchased Instructor-Generated Materials

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

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

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

Purpose of Policy (what does it do): Guidelines for students purchasing instructor-generated materials

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

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

☐ Internal Review  ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Policy Committee
Steve Bullard, Provost and Vice President for Academic Affairs
Damon Derrick, General Counsel
Purchased Instructor-Generated Materials

Original Implementation: September, 1990
Last Revision: January 31, 2017January 28, 2020

Instructor-generated materials are course packs or other intellectual property compilations that may be required by faculty members for students in their classes. Handouts, textbooks, or trade books are not included in this definition. Faculty members may not sell any academic materials directly to students. Instructor-generated materials may only be sold through the university bookstore or off-campus vendors.

Faculty members and the university will negotiate a royalty agreement in advance of the sale of instructor-generated materials in the university bookstore. This does not apply to materials that are work for hire. The university is not responsible for royalties or other financial benefits on instructor-generated materials sold by off-campus vendors.

If instructor-generated materials are to be used, faculty members are responsible for assembling and editing these. These materials must comply with the General Fair Use Guidelines as described in policy 9.2, Copyrighted Works Reproduction of Copyrighted Works by Educators and Librarians. Faculty members will exercise professional judgment when incorporating self-generated materials for instructional purposes.

Cross Reference: Faculty Handbook; Intellectual Property (9.4); Copyrighted Works Reproduction of Copyrighted Works by Educators and Librarians (9.2); and Academic Freedom and Responsibility (7.3)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Safe and Vault Combinations

Policy Number: 14.9

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

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

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

Purpose of Policy (what does it do): The policy exists to establish requirements for the documenting, safekeeping, and changing of safe and vault combinations.

Reason for the addition, revision, or deletion (check all that apply):
☒ Scheduled Review ☐ Change in law ☐ Response to audit finding 
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dannette Sales, Controller
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Safe and Vault Combinations

**Original Implementation:** Unpublished

**Date of Last Revision:** January 21, 2017

**January 28, 2020**

**Purpose**

This policy requires current combinations for safes or vaults holding cash, checks, or other valuables to be on file in the office of the vice president for finance and administration.

**General**

The department head must submit a memorandum indicating the location of the safe or vault, the combination, date of last combination change if known, and the names of all employees who have access to the vault combination. The memorandum must be delivered to the vice president for finance and administration in a manner such that no unauthorized person is able to access the confidential information.

The vice president for finance and administration must be notified when changes are made to safe or vault combinations, when a safe or vault is moved or transferred to another department, or when a safe or vault is removed from university property records. Safe and vault combinations must be changed anytime an employee who knows the combination terminates employment or is transferred.

Annually, the vice president for finance and administration will request the safe or vault custodian in each department to verify the information on file.

**Cross Reference:** None

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

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

**Forms:** None

**Board Committee Assignment:** Finance and Audit
POLICY SUMMARY FORM

Policy Name: Student Academic Dishonesty

Policy Number: 4.1

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

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

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

Purpose of Policy (what does it do): Defines student academic dishonesty, penalties, and procedure for addressing student academic dishonesty.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: update title of appeals policy 6.3

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: Unpublished  
Last Revision: January 31, 2017January 28, 2019

Abiding by university policy on academic integrity is a responsibility of all university faculty and students. Faculty members must promote the components of academic integrity in their instruction, and course syllabi are required to provide information about penalties for cheating and plagiarism, as well as the appeal process.

Definition of Academic Dishonesty

Academic dishonesty includes both cheating and plagiarism. Cheating includes, but is not limited to:

- using or attempting to use unauthorized materials on any class assignment or exam;
- falsifying or inventing of any information, including citations, on an assignment;
- helping or attempting to help other student(s) in an act of cheating or plagiarism.

Plagiarism is presenting the words or ideas of another person as if they were one’s own. Examples of plagiarism include, but are not limited to:

- submitting an assignment as one's own work when it is at least partly the work of another person;
- submitting a work that has been purchased or otherwise obtained from the Internet or another source;
- incorporating the words or ideas of an author into one's paper or presentation without giving the author credit.

Penalties for Academic Dishonesty

Penalties may include, but are not limited to, reprimand, no credit for the assignment or exam, resubmission of the work, make-up exam, failure of the course, or expulsion from the university.

Procedure for Addressing Student Academic Dishonesty

A faculty member who has evidence and/or suspects that academic dishonesty has occurred will gather all pertinent information and initiate the following procedure:

1. The faculty member will discuss all evidence of cheating or plagiarism directly with the student(s) involved.
2. After consideration of the explanation provided by the student(s), the faculty member will determine whether academic dishonesty has occurred. The faculty member may consult with the academic unit head and/or dean in making a decision.
3. After a determination of academic dishonesty, the faculty member will inform the academic unit head and submit a Report of Academic Dishonesty with supporting documentation to the office of the dean of the student’s major. This report will become
part of the student's record and will remain on file with the dean's office for at least four years even if the student withdraws prior to receiving a grade.

4. For a serious first offense or subsequent offenses, the dean of the student’s major will determine a course of action, which may include dismissal from the university. The dean may refer the case to the college council for review and recommendations before making this determination.

A student's record of academic dishonesty will not be available to faculty members. The purpose of the record is for the dean to track a pattern of academic dishonesty during a student's academic career at Stephen F. Austin State University.

**Student Appeals**

A student who wishes to appeal decisions related to academic dishonesty should follow procedures outlined in Academic Final Course Grade Appeals by Students (6.3).

**Cross Reference:** Student Handbook; Academic Final Course Grade Appeals by Students (6.3); and Course Add/Drop (6.10)

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

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

**Forms:** Report of Academic Dishonesty Form

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Student Evaluation of Instruction

Policy Number: 7.27

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

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

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

Purpose of Policy (what does it do): Guidelines for student evaluation of instruction

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Reviewed; no changes recommended

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Policy Committee
Steve Bullard, Provost and Vice President for Academic Affairs
Damon Derrick, General Counsel
**Student Evaluation of Instruction**

**Original Implementation:** April 20, 1999  
**Last Revision:** January 31, 2017 January 28, 2020

Students will have the opportunity to evaluate instruction for all courses in all semesters through the university’s online evaluation system. Members of the academic unit may determine additional evaluation instruments and procedures. Evaluation data are used for a variety of purposes including improvement of instruction, mentoring faculty, and personnel decisions.

**Cross Reference:** Faculty Handbook

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

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

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Student Fiscal Appeals

Policy Number: 6.19

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

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

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

Purpose of Policy (what does it do): The policy exists to provide direction for student fiscal appeals.

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

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

☐ Internal Review  ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dannette Sales, Controller
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Student Fiscal Appeals

Original Implementation: January 30, 2007
Last Revision: January 31, 2017, January 28, 2020

Purpose

This policy establishes guidelines for appeals of student charges and describes the process of evaluation and resolution of all student fiscal appeals.

General

The Fiscal Appeals Panel will consider appeals related to Stephen F. Austin State University (SFA) fiscal policy as it applies to student charges. The panel will be appointed by the vice president for finance and administration, is chaired by the bursar, and will include academic and administrative representation. The panel will make its decision based on the written information submitted.

Appeals will be considered when a student believes that extenuating circumstances justify removal or modification of charges. Appeals must be submitted in written form and must be based on extenuating circumstances, such as (but not limited to) catastrophic illness, injury, death in the family, or call-up for military service. Appeals of the penalty for excessive time to graduation and repetition of a course may be based on economic hardship for the student, and will be considered on a case by case basis. Appeals pertaining to the requirements to maintain eligibility for certain exemptions and waivers may also be based on economic hardship for the student or other good cause, and will be considered on a case by case basis.

Unless there are extenuating circumstances, appeals should be filed within 60 days of the date of the charge on the student’s account that the student is requesting to appeal. Appeals will be considered only for the specific charge and specific term for which the appeal is requested.

The following may be appealed to the panel: penalty for excessive time to graduation (the 30 and 45-hour rule), extenuating circumstances culminating in withdrawal, late add fee, reinstatement fee, $1,000 tuition rebate, penalty for repetition of a course more than twice (3-peat), and loss of eligibility for certain exemptions and waivers.

Specific procedures for making an appeal are found in the Student Fiscal Appeals Guidelines, Procedures, and Form located on SFA’s business office website and at the business office.


Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller
Forms: None

Student Fiscal Appeal Form (part of the Student Fiscal Appeals Guidelines, Procedures, and Form)

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Student Media

Policy Number: 10.8

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

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

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

Purpose of Policy (what does it do): This policy identifies the various campus media outlets and explains their purposes and roles at the university, as well as their administrative and advisory structures and and funding sources.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Some titles and terms have been updated

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

John A. Hendricks, Chair Department of Mass Communication
Amy Roquemore, Director Student Publications and Divisional Media
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
**Student Media**

**Original Implementation:** October 26, 1999  
**Last Revision:** January 21, 2017/January 28, 2020

Stephen F. Austin State University has long recognized the importance of providing for the establishment of student media on campus. These media are the chief means of communicating campus news, providing student entertainment, and expressing student opinion. They also provide experience for students who are working toward a career in the mass media.

**Student Publications**

*The Pine Log*, which is the student newspaper, and the *Stone Fort*, which is the yearbook, were the first student media to be established. They have existed virtually from the founding of Stephen F. Austin State University. *The Pine Log* publishes campus news, letters to the editor, local advertising, and editorials.

The Office of Student Publications, housed in the Division of University Affairs, is the unit which governs the operation of both the *Stone Fort* and *The Pine Log*. These publications are intended to be primarily self-supporting. Income is derived from the sale of yearbooks, and, in the case of *The Pine Log*, advertising. The director of student publications and divisional media is the administrative leader of both publications and reports to the vice president for university affairs. The director shall be responsible for all managerial aspects of student publications. This shall include fiscal management, office staff management and student staff management. The director of student publications and divisional media shall also provide editorial counsel to the student staffs of *The Pine Log* and *Stone Fort* regarding customary news and advertising practices as well as applicable legal issues.

The Student Publications Committee, appointed by the vice president for university affairs, shall serve as an advisory body to student publications. The committee shall recommend editorial policy and provide advice in the appointment of *The Pine Log* and *Stone Fort* editors. In addition, the committee shall:

a. foster and preserve the American tradition of free expression  
b. act as an appeals body on editorial, advertising, and business contracts related to student publications  
c. require compliance with applicable laws in such areas as libel, obscenity, privacy, and false and misleading advertising

The Student Publications Committee shall consist of nine members:

1. The chair of the Department of Mass Communication (committee chair)
2. The director of student publications and divisional media
3. One Mass Communication faculty representative
4. One representative from University Marketing Communications
5. Two faculty members at large
6. Three students at large (not already holding paid positions on the *Stone Fort* or *The Pine Log*)

**Broadcast Media**

Stephen F. Austin State University has also provided for the operation of a radio station, KSAAU-FM, and a cable-connected television facility. These facilities shall serve the primary role of laboratories to support the academic program in radio/television and shall be operated by the Department of Mass Communication, housed in the College of Liberal and Applied Arts, Division of Academic Affairs. Two departmental faculty members shall be designated as *faculty advisors*, directors of radio and television respectively. These two faculty members shall have one-course teaching load reductions to accommodate their responsibilities as *advisors*, directors of the radio and television operations.

Both of these facilities are *completely* primarily supported by institutional funds and receive no money from student service fees. Programming and production staffs shall consist primarily of students enrolled in various *mass* communication production courses including the required *capstone practicum* courses. Faculty who teach the production courses shall supervise the student staffs and serve as the first level of appeal for any issues which might arise.

Programming content for the radio station shall be in compliance with all licensing requirements of the Federal Communications Commission. In addition, the Department of Mass Communication shall enforce programming guidelines which:

a. comply with any relevant and established university policies
b. to the extent possible reflect current mainstream professional broadcast practice
c. serve a local audience with programming not already readily available
d. serve local informational and cultural needs

The Department of Mass Communication shall enforce television programming guidelines for the local cable channel which:

a. comply with any relevant and established university policies
b. to the extent possible reflect current mainstream professional broadcast practice
c. serve local informational, educational, and cultural needs

**Cross Reference:** U.S. Const. amend. I

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

**Contact for Revision:** Chair, Department of Mass Communication and Director of Student Publications and Divisional Media

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Student Organization Risk Management Training

Policy Number: 10.10

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

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

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

Purpose of Policy (what does it do): Requires risk management training for registered student organizations to comply with Texas Education Code.

Reason for the addition, revision, or deletion (check all that apply):
- [ ] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Lacey Folsom, Director of Student Engagement Programs
Hollie Smith, Assistant Dean of Student Affairs for Programs
Adam Peck, Assistant VP and Dean of Student Affairs
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Student Organization Risk Management Training

Original Implementation: October 30, 2007
Last Revision: November 7, 2016 January 28, 2020

At least once during each academic year, Stephen F. Austin State University shall provide a risk management training program for student organizations registered with the office of Student Engagement Programs at the institution.

Four members of each organization are required to attend the training program at least once during the time(s) it is presented during the fall semester. The organization’s president and vice president, or their equivalents as listed on the organization’s registration with Student Engagement Programs, must be among the four members attending. If an organization has officer positions equivalent to a risk management officer and/or a new member officer, these officers must also attend the program. If the organization does not have officers with the specific titles named, the four highest ranking leaders of their organization are required to attend the training.

Newly registered student organizations must have four appropriate members receive this training within the first 30 business days following its initial registration.

Each listed student organization advisor(s) who has not previously received risk management training as outlined in this policy must also receive this training. The listed advisor(s) of each registered student organization must also attend this training program at least once every three years. For the purposes of this policy an advisor is defined as a person who:

1. serves in an advisory capacity to a student organization to provide guidance to the organization and its members;
2. is older than 21 years of age; and
3. is not an enrolled undergraduate student at Stephen F. Austin State University.

The content of the risk management program will include topic areas mandated by the Texas Education Code, as well as topical areas deemed relevant by the university, to include:

1. possession and use of alcoholic beverages and illegal drugs, including penalties that may be imposed for possession or use;
2. hazing;
3. sexual abuse misconduct (including abuse) and harassment; and reporting procedures;
4. fire and other safety issues, including the possession and use of a firearm or other weapon or of an explosive device;
5. travel to a destination outside the area in which the institution is located;
6. behavior at parties and other events held by a student organization;
7. adoption by a student organization of a risk management policy; and
8. issues regarding persons with disabilities, including a review of applicable requirements of federal and state law, and any related policies of the institution, for providing reasonable accommodations and modifications to address the needs of students with disabilities, including access to the activities of the student organization.

The university may impose reasonable sanctions on any organization failing to meet the requirements of this policy.

**Cross Reference:** Tex. Educ. Code § 51.9361

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

**Contact for Revision:** Director of Student Engagement

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Student Services Fee

Policy Number: 10.11

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

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

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

Purpose of Policy (what does it do): Governs the allocation of the Student Services Fee

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The first substantial revision explains the composition of the committee. The second change explains the process of amending the allocations in the case of a budgetary shortfall. Other changes were made to enhance the readability of this policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Vice President for Finance and Administration
Damon Derrick, General Counsel
Student Service Fee Allocations

Original Implementation: Unpublished
Last Revision: January 31, 2017 / January 28, 2020

Student service fees are distributed to various student organizations and student service operations for activities which are separate and apart from the regularly scheduled academic functions of the institution and directly involve or benefit students.

The distribution of student service fees is based on the allocation process utilized by the Student Service Fee Committee (SSFC). This committee is composed of nine members. These include five student members who are enrolled for not less than six semester credit hours and who are appointed by the Student Government Association. Three of these students are appointed to serve a two-year term on the committee and two students are appointed to serve a one-year term on the committee. The president appoints four faculty or staff members to serve on the committee. Each serves a one-year term. Any vacancies in an appointive position on the committee shall be filled for the unexpired portion of the term in the same manner as the original appointment.

The SSFC may only conduct meetings at which a quorum (the majority of members of the committee) is present. Meetings must be open to the public. The committee must provide notice of the date, hour, place, and subject of the meeting at least 72 hours before the meeting is convened. This notice must be posted on the internet and in the student newspaper if an issue of the newspaper is published between the time of the internet posting and the time of the meeting.

In the spring semester prior to the fiscal year of the allocations, the committee will receive requests from various student service operations (i.e. Student Health Clinic, Intercollegiate Athletics, Marching Band, Fine Arts Programs, etc.) and university-sponsored student organizations (i.e. Student Government Association, Student Activities Association, etc.). The amount to be distributed by the committee is based on an estimate of student service fee revenue for the following academic year. If there is significant variance between the estimated revenue and the actual revenue, the allocation may be adjusted as necessary. Requests are evaluated and recommendations are made for allocations to requesting groups for the coming year. The final recommendations made by the committee will be recorded and made public. These recommendations are then submitted to the president who may accept or modify the committee's decision. If the president's recommendations are substantially different from that of the advisory committee, the president will notify the advisory committee and provide an opportunity for the chair of the committee to comment on the committee's recommendations. Upon approval of the Board of Regents, the funds are made available for the coming fiscal year.

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Dean of Student Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Student Travel

Policy Number: 10.12

Is this policy new, being reviewed/revised, or deleted? (Select One)

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

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

Purpose of Policy (what does it do): Governs student travel undertaken by one or more SFA students presently enrolled at the university to reach an activity or event that has been organized and sponsored by the university and is located more than 25 miles from the university.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Preamble as been revised to make it clear that this policy is required by state law

Specific rationale for deletion of policy:

Additional Comments:

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Reviewers:

Lacy Folsom, Director of Student Engagement
Hollie Smith, Assistant Dean of Student Affairs
Adam Peck, Dean of Student Affairs
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Student Travel

Original Implementation: October 23, 2001
Last Revision: January 31, 2017/January 28, 2020

State law requires that all institutions of higher education adopt a policy regulating travel that is undertaken by one or more students presently enrolled at the institution to reach an activity or event that is located more than 25 miles from the institution that is organized and sponsored by the institution and meets certain other criteria.

This policy governs student travel undertaken by one or more SFA students presently enrolled at the university to reach an activity or event that has been organized and sponsored by the university and is located more than 25 miles from the university.

This policy shall apply if the travel is funded by the university; the travel is undertaken using a vehicle owned or leased by the university; or if the travel is required by a registered SFA student organization to an event that has been organized and sponsored by the university.

I. Travel funded by the university and/or using university owned or leased vehicles

University policy 16.23, Rental of University Vehicles, governs the use of university owned vehicles and vehicles rented using university funds from a non-university fleet. All of the requirements of that policy, such as driver qualifications and passenger capacity, apply to student travel as addressed in this policy.

Other specific requirements of this policy include:

a. All occupants must use seat belts, as provided in the vehicle, in the manner recommended by the vehicle manufacturer.

b. Passengers are limited to the number that can be safely restrained using the available number of seat belts.

c. Drivers should continually assess their state of alertness and not begin to drive, or not continue driving, if they are fatigued. There are many factors that impact driver fatigue, all affecting drivers differently; but conditions such as hours without sleep, time of the day, road conditions, etc. should be all considered and monitored.

d. Only drivers meeting the qualifications set forth in policy 16.23 may drive the vehicle. All drivers must be appropriately licensed to drive the vehicle.

II. Travel by personal vehicle or privately leased vehicle

While the university may not be made aware of trips undertaken by students using their private vehicles, or vehicles privately leased by them, the university will publish the requirements of this policy in publications used by registered student organizations at SFA
and will encourage their use in all travel undertaken by students for any trip governed by this policy. All drivers are encouraged to be appropriately licensed and the owner of the vehicle(s) is encouraged to maintain appropriate vehicle insurance as required by law.

This policy will be filed with the Texas Higher Education Coordinating Board after the approval of any amendment by the Board of Regents.

**Cross Reference:** Tex. Educ. Code § 51.950; Rental of University Vehicles (16.23)

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

**Contact for Revision:** Dean of Student Affairs

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Substantive Change

Policy Number: 4.10

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

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

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

Purpose of Policy (what does it do): As a member of SACSCOC, SFA is responsible for notifying and, when necessary, seeking approval for substantive changes from the Commission in accordance with the SACSCOC substantive change policy.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revisions include the addition of wording to bring the policy inline with the latest version of SACS substantive change policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: August 26, 2008  
Last Revision: January 31, 2017
January 28, 2020

Stephen F. Austin State University (SFA) is committed to upholding all of the principles and policies of the Texas Higher Education Coordinating Board (THECB) and the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). The university is also committed to establishing and maintaining procedures to facilitate an effective and timely notification process regarding substantive changes.

As a member of SACSCOC, SFA is responsible for notifying and, when necessary, seeking approval for substantive changes from the Commission in accordance with the SACSCOC substantive change policy. The current policy is located on the SACSCOC website.

Substantive change is defined as a significant modification or expansion of the nature and scope of an accredited institution.

Notification is defined as a letter from the university president or designee to the president of the commission summarizing the proposed change. Approval is sought through the submission of a SACSCOC application or prospectus.

Procedures

The university is required to notify THECB and SACSCOC of substantive changes and request approval, when required, prior to the initiation of the changes. The SFA SACSCOC liaison, appointed by the Office of the Provost and Vice President for Academic Affairs, is responsible for coordinating efforts to identify the need for and creation of notification letters related to substantive change. The Office of the Provost and Vice President for Academic Affairs is responsible for all communication with the appropriate governing body.

Under federal regulations, substantive change includes but is not limited to:

- Initiating coursework or programs at a different level than currently approved;
- Initiating off-campus sites (including but not limited to Early College High School, dual enrollment programs offered at a high school, and certificate programs);
- Expanding programs at current degree level;
- Expanding program offerings at previously approved off-campus sites;
- Initiating degree completion programs;
- Initiating a branch campus;
- Initiating distance learning;
- Relocating a main or branch campus;
- Entering into a contract with an entity not certified to participate in U.S. Department of Education (USDOE) Title IV programs;
- Initiating dual or joint degrees;
- Initiating a new site;
Initiating a direct assessment competency-based program;
Initiating a merger/consolidation with another institution;
Changing governance, ownership, control, or legal status of an institution;
Acquiring any program or site from another institution;
Adding a permanent location at a site where the institution is conducting a teach-out for
students from another institution that is closing;
Initiating a certificate program at a new off-campus site at employer’s request and on short
notice (previously approved program);
Initiating a certificate program at employer’s request and on short notice;
Adding a site under a U.S. military contract for a previously approved program;
Altering significantly the length of a program;
Altering significantly the educational mission of the institution;
Changing from clock hours to credit hours;
Moving an off-campus instructional site;
Initiating programs or courses offered through contractual agreement or consortium; or
Closing a program, approved off-campus site, branch campus, or institution.

When planning to make changes that may require substantive change notification and approval, proposal sponsors must consult with the SFA SACSCOC liaison to determine the appropriate procedure for the proposed change.

The SFA curriculum review cycle is the process used to identify substantive changes related to the addition, deletion, or modification of courses and degree programs. In addition, all proposals for distance education, off-campus sites and certificate program requests will follow the curriculum review process. All proposals must follow and document adherence to curriculum review and approval policies and processes described in the university policy on Curriculum Reviews, Modifications and Approvals (5.7). The SFA SACSCOC liaison will provide the information necessary to prepare a prospectus in accordance with the requirements outlined in the SACSCOC Substantive Change Policy and THECB substantive change guidelines. The SACSCOC prospectus and/or THECB proposal must accompany the Curriculum Change Request.

At least once each academic year, the SACSCOC liaison will provide information to the academic deans, division vice presidents, and academic unit heads regarding substantive change policies and procedures. During this session, the deans, and division vice presidents, and academic unit heads will identify potential substantive changes.

All substantive change education and review activities must be coordinated to allow ample time to satisfy the time frame for notification and/or approval as set by THECB and/or SACSCOC. SFA will adhere to the reporting times as specified in THECB guidelines and in the Substantive Change for SACSCOC Accredited Institutions policy statement.
The Office of the Provost and Vice President for Academic Affairs is responsible for conducting an ongoing review of curricular revisions to identify changes that may be substantive in nature and may require reporting or prior approval by THECB, and/or SACSCOC, and/or accrediting body appropriate to the discipline. The provost and vice president for academic affairs will determine whether changes are substantive and will initiate appropriate reporting and approval processes in compliance with THECB and SACSCOC policies and procedures.

**Cross Reference:** Curriculum Reviews, Modifications and Approvals (5.7); SACSCOC Substantive Change Policy; THECB guidelines

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

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

**Forms:** Forms for program revision, course proposals, substantive change, and distance education are available at the Academic Affairs website http://www.sfasu.edu/acadaffairs/.

**Board Committee Assignment:** Academic and Student Affairs
## Tuition and Fees Rate Table

**Fiscal Year 2020-2021**

**Texas Resident Undergraduate Annual Fixed-Price Plan**

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## Tuition and Fees Rate Table

**Fiscal Year 2020-2021**

**Texas Resident Undergraduate Guaranteed Price Plan**

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</table>
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  [78050]
Participant Name*

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

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

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

NOW THEREFORE, be it resolved as follows:

A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.

B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and

C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

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

1. Scott Gordon
   Name: [9364682201]  [9364682202]  scott.gordon@sfasu.edu
   Phone: Fax: Email: 
   Signatures:

2. Danny R. Gallant
   Name: [9364682350]  [9364687027]  dgallant@sfasu.edu
   Phone: Fax: Email: 
   Signatures:

3. Dannette Sales
   Name: [9364682354]  [9364682207]  salesd@sfasu.edu
   Phone: Fax: Email: 
   Signatures:

Form Continues on Next Page
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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C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative if 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
   [9 3 6 4 6 8 4 5 4 1] [9 3 6 4 6 8 7 0 2 7] kruwellj@sfasu.edu
   Name
   Phone
   Fax
   Email
   Signature

2. Jessica Barrett
   Budget Director
   [9 3 6 4 6 8 2 1 1 6] [9 3 6 4 6 8 7 0 2 7] kbarrett@sfasu.edu
   Name
   Phone
   Fax
   Email
   Signature

3. Eric Ashworth
   Assistant Controller
   [9 3 6 4 6 8 2 2 1 8] [9 3 6 4 6 8 2 0 7] ashworth@sfasu.edu
   Name
   Phone
   Fax
   Email
   Signature

Form Continues on Next Page

2 / 3

514
590
1. Resolution (continued)

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

Name


Fax

Phone

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 [2] [8] day of [January] [2] [0] [2] [0] .

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.

[Signature]

Name of Participant*

SIGNED

[Signature]

Signature*

ATTEST

[Signature]

Signature*

Brigitte C. Henderson

Name*

Board of Regents Chair

Title*

Board of Regents Secretary

Title*

2. Mailing Instructions

The completed Resolution Amending Authorized Representatives can be faxed to TexPool Participant Services at 1-866-335-3291, and mailed to:

TexPool Participant Services
1001 Texas Avenue, Suite 1160
Houston, TX 77002

Phone: 1-866-TEXPOOL (839-7665) • Fax: 1-866-839-3291 • www.texpool.com

ORIGINAL SIGNATURE AND DOCUMENT REQUIRED

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

Managed and
Serviced by

federated

CM3497.17 (7/19) 2019 ©Federated Investors

515

591
[DATE], 2020

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

Dear Dr. Westbrook:

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

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

<table>
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<th>Period of Operation</th>
<th>Amount of Financial Commitment Segment</th>
<th>Amortization Period</th>
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<td>April 1, 2020 – August 31, 2020 (construction period)</td>
<td>$1,000,000</td>
<td>10 years</td>
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</table>

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

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

**Period:** April 1, 2020 – August 31, 2020 (anticipated opening date in late August 2020)  
**Financial Commitment:** $1,000,000  
**Amortization Period:** 10 Years  
**Interest Rate Charged During Amortization Period:** 0%  
**Disposition of funds not expended during this time period:** Will be maintained by Aramark and applied to the next mutually agreed upon project.  
**Use:** The Contractor and the University will mutually agree upon how these funds will be used to relocate and expand the Einstein Bros. Bagels.
In all other respects the Agreement shall remain in full force and effect.

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

Very truly yours,

ARAMARK EDUCATIONAL SERVICES OF TEXAS, LLC
(“Aramark”)

By: 

Christian Dirx
Vice President

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

STEPHEN F. AUSTIN STATE UNIVERSITY ("University")

By:

Name:
Title:
### Meal plans (rates include sales tax)

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<th>Summer Resident</th>
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<td><strong>Premium w/$275</strong> w/$50**</td>
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Grant Report to the Board of Regents – January 2020
Grants\(^1\) awarded between and October 5, 2019 and December 31, 2019
Prepared by the Office of Research & Graduate Studies

Fiscal Year 2020 – as of December 31, 2019

**Amounts allocable to FY20** (detailed in this report)
- Federal Funds (direct and pass-through) $199,508
- State Funds (direct and pass-through) $37,000
- Private, Local Government, Other $44,000

**TOTAL** $280,508

**New awards, FY20** (detailed in this report, all project years) $324,892
**Cumulative amount allocable to FY20** $5,674,600
**Cumulative award total FY20, all project years** $12,768,680

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

**New, Additional, or Previously Unreported Awards for FY20**

**Federal Funds (direct and pass-throughs)**

**Title**  
*Ethnographic Overview and Assessment of African Americans at Arkansas Post National Memorial*

**Sponsor:**  
National Park Service, US Dept. of the Interior  
(Great Lakes Northern Forest CESU)  
CFDA 15.945

**Award Term:**  
September 1, 2019 – September 30, 2021

**PI/PD:**  
Dr. Pat Stephens-Williams, Forestry

**Total Award:** $93,912  
**Amount allocable to FY20:** $46,956

*This research project includes an assessment of associated ethnographic resources within the Arkansas Post National Memorial.*

**Title**  
*2019-20 MLK Day of Service*

**Sponsor:**  
Corporation for National and Community Services  
CFDA 94.012

**Award Term:**  
October 10, 2019 – September 30, 2022

**PI/PD:**  
Veronica Beavers, Multicultural Affairs

**Total Award:** $8,000  
**Amount allocable to FY20:** $8,000

*This service project will see 500 volunteers performing community service in various Nacogdoches locations for the Martin Luther King Jr. Day of Service in 2020.*

*New awards or additional funds added to a current award.

1For purposes of this report, ‘grant’ includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller’s Office or the VP of Finance & Administration.*
Grant Report to the Board of Regents – January 2020
Grants¹ awarded between and October 5, 2019 and December 31, 2019
Prepared by the Office of Research & Graduate Studies

Previously Described Awards:
*Texas AHEC East, Piney Woods Region, Federal FY20*
Debra Kiesel, AHEC Center, Sciences and Mathematics
Award Total: $114,480  Amount allocable to FY20: $114,480

*McIntire-Stennis Cooperative Forestry Research Program FY19*
Dr. Hans Williams, Forestry
Award Total: $473,182  *Amount allocable to FY20: $30,072

Subtotal amounts allocable to FY20 (this report) = $199,508
Subtotal new federal funds = $216,392

State Funds (direct and pass-through)

Previously Described Awards
*Disability Services – Reader Services FY20-22*
Tiffany Rivers, Disability Services
Award Total: $64,000  Amount allocable to FY20: $32,000

*Regional 60x30TX Targets FY20*
Dr. Marc Guidry, Academic Affairs
Award Total: $5,000  Amount allocable to FY20: $5,000

Subtotal amounts allocable to FY20 (this report) = $37,000
Subtotal new state funds = $69,000

Private Entity, Local Government, and Other Awards

Title: *Building a Technology Pathway for Distance Learners in Interior Design*
Sponsor: IFDA Educational Foundation, Elizabeth Brown Grant for Interior Design Programs
Award Term: September 1, 2019 to August 31, 2020, 2020
PIs/PD: Dr. Sally Anne Swearingen, School of Human Sciences
Total Award $2,500  Amount allocable to FY20: $2,500

Grant funds will assist with purchasing visual, sound, and interactive technology equipment for
the interior design drafting studio which will enhance student learning in the Houston area and
for other students who are not located in Nacogdoches.

*New awards or additional funds added to a current award.
¹For purposes of this report, “grant” includes grants, contracts, and other types of agreements from external sponsors. It does not
include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller’s Office or the VP
of Finance & Administration.
Previously Described Awards:

* **Tallow Control on the Greens Bayou Wetlands Mitigation Bank, Phase II**
  Dr. Jeremy Stovall, Forestry
  **Award Total:** $30,000  **Amount allocable to FY20:** $30,000

* **Poultry Science Education Student Recruitment FY20**
  Dr. Joey Bray, Agriculture
  **Award Total:** $7,000  **Amount allocable to FY20:** $7,000

**Economics Reading Group**
Dr. Ryan Phelps, Economics and Finance
**Award Total:** $41,920  **Amount allocable to FY20:** $4,500

*Subtotal amounts allocable to FY20 (this report) = $44,000
Subtotal new private and local fund = $39,500*

Previously Unreported from Previous Years

**FY18 Update - (not included in ORGS totals)**

State and State Pass-through Awards

*Previously Described Awards*

**SFA Charter School (ADA, non-grant), FY09-FY18**
Lysa Hagan, Charter School
**Award Total:** $222,257  **Amount allocable to FY18:** $47,511

*New awards or additional funds added to a current award.

1For purposes of this report, ‘grant’ includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller’s Office or the VP of Finance & Administration.
Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS

Nacogdoches, Texas
March 20, 2020
Volume 334
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**BOARD MINUTES FOR MARCH 20, 2020**  
**BOARD OF REGENTS MEETING 334**

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## APPENDIX

Appendix 1 – Policy Revisions
Friday, March 20, 2020

The telephone conference, special called meeting of the Board of Regents was called to order in open session at 10:02 a.m. by Chair Brigette Henderson.

PRESENT in the room:

Board Members: Mrs. Brigette Henderson, Chair  
Mr. David Alders

General Counsel: Mr. Damon Derrick

President: Dr. Scott Gordon

Administrator: Mr. Ryan Ivey

PRESENT on the conference phone line:

Board Members: Dr. Scott Coleman  
Mr. Alton Frailey  
Mrs. Karen Gantt  
Mr. Tom Mason  
Mrs. Judy Olson  
Mrs. Jennifer Winston  
Ms. Zoe Smiley, student member

Administrators: Dr. Steve Bullard  
Dr. Danny Gallant  
Mrs. Jill Still  
Dr. Steve Westbrook  
Mr. Anthony Espinoza

COMMITTEE OF THE WHOLE

BOARD ORDER 20-43

Upon motion by Regent Mason, seconded by Regent Frailey, with all members voting aye, it was ordered that the following item be approved with changes to the position that will serve as chair of the committee.
The Board of Regents adopted the policy, Environmental Service Fee 3.11 as presented in Appendix 1.

BOARD ORDER 20-44
Upon motion by Regent Alders, seconded by Regent Olson, with all members voting aye, it was ordered that the following item be approved.

ITS WIRELESS NETWORKING UPGRADE

WHEREAS, the board members considered the following: To maintain a secure and reliable wireless network, it is necessary to upgrade and replace networking infrastructure equipment, and wireless access points which support the network. The changes in wireless networking standards and the constant introduction of new wireless enabled devices necessitates that wireless networking equipment be replaced every few years.

THEREFORE, it was ordered that the approval of ITS Wireless Networking Upgrade at a cost not to exceed $771,000. The Residence Life Wireless Network Upgrades, approved in the July 23, 2019 Board of Regents meeting, under Board Order 19-50, will fund up to $151,000. The Higher Education Fund (HEF) will be used to fund the remaining balance. The president is authorized to sign purchase orders and contracts greater than or equal to $500,000.

BOARD ORDER 20-45
Upon motion by Regent Frailey, seconded by Regent Alders, with all members voting aye, it was ordered that the following item be approved with modifications to the text. Presented below is the approved text.

TEMPORARY AUTHORITY OF THE PRESIDENT TO RESPOND TO COVID-19

WHEREAS, the board members considered the following: On March 13, 2020 the president of the United States issued a proclamation declaring a national emergency concerning the Novel Coronavirus Disease (COVID-19) outbreak. Likewise, the governor of the State of Texas declared a state of disaster in Texas due to COVID-19. This global pandemic has already caused significant disruption to the university’s operations, and requires swift action on the part of the university to minimize the impact to the university’s students, faculty, staff, and other stakeholders.

THEREFORE, it was ordered that the Board of Regents grant the president the authority to suspend university policies as needed and take any lawful action necessary to cope with this global emergency without the necessity of obtaining prior board approval. The president is required to report to the board actions taken under this authority at the next scheduled meeting of the board. This authority will automatically terminate once the university resumes normal operations, unless terminated earlier by the board.

COMMENTS

Chair Henderson provided comments to recognize the university’s administration, faculty and
staff for their diligent work throughout this difficult and unprecedented times with the COVID-19 pandemic. Gratitude was shown for all of the constituencies involved with SFA. Chair Henderson reiterated that all decisions being made are explored to the fullest, are well educated, and have the focus of respecting and protecting the SFA students, faculty, staff and community.

The chair called for an executive session to consider the following items at 10:25 a.m.:

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 EEOC charges, legal issues concerning contracts, NCAA Compliance, Pamela Clasquin v. SFASU (Texas Government Code, Section 551.071)

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

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

The executive session ended at 12:23 p.m. The Board of Regents meeting returned to open session.

The meeting was adjourned by Chair Henderson at 12:26 p.m.
POLICY SUMMARY FORM

Policy Name: Environmental Services Fee

Policy Number: 3.11

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

Date of last revision, if applicable:

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

Purpose of Policy (what does it do): Guidelines for use of Environmental Service Fee.

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

- [ ] Scheduled Review  - [ ] Change in law  - [ ] Response to audit finding
- [ ] Internal Review  - [X] Other, please explain: Board Order 20-30

Please complete the appropriate section:

Specific rationale for new policy: Board Order 20-30

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Environmental Services Fee

**Original Implementation:** March 20, 2020  
**Last Revision:** N/A

The Environmental Services Fee (ESF) is used to provide environmental improvements at SFA through services related to recycling, energy efficiency and renewable energy, transportation, product purchasing, planning and maintenance, or irrigation; or to provide matching funds for grants to obtain environmental improvements.

The distribution of ESF is conducted by the Environmental Services Fee Committee. This committee is composed of ten members. These include five student members who are enrolled for not less than six semester credit hours and who are appointed by the Student Government Association to staggered one and two year terms. The Vice President of Finance and Administration appoints two faculty and two staff members to serve on the committee in staggered two year terms. Any vacancies in an appointive position on the committee shall be filled for the unexpired portion of the term in the same manner as the original appointment. The director of the physical plant will be a voting member and serve as chair of the committee.

The ESF may only conduct meetings, called by the chair, at which at least a quorum is present. Meetings must be open to the public. The committee must provide notice of the date, hour, place, and subject of the meeting at least 72 hours before the meeting is convened. This notice must be posted on the Internet and in the student newspaper if an issue of the newspaper is published between the time of the Internet posting and the time of the meeting.

The fee will be awarded through an annual grants competition. A specific project or mini grants may be awarded. The committee will hear proposals from employees, students, and recognized student organizations. The cumulative amount of awards in any fiscal year is limited to that year’s actual revenue plus uncommitted prior year balances. No awards or commitments will be made in excess of the existing ESF account balance. The committee will submit final recommendations for awards to the president for approval. The president may submit an award proposal to the Building and Grounds committee of the Board of Regents for consideration.

By statute, funding generated by the fee may not be used to reduce or replace other money allocated by the institution for environmental projects.

**Cross Reference:** Tex. Educ. Code § 54.5041

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

**Contact for Revision:** Director of the Physical Plant

**Forms:** None

**Board Committee Assignment:** Building and Grounds
APPROVAL OF BOARD RULES AMENDMENT

Explanation:

Proposed revisions to the Board Rules & Regulations include an update to the Coordinator of Board Affairs/Compliance position title and duties, adds legislative initiatives in the purview of the Executive Committee, clarifies the responsibilities of the Academic and Student Affairs Committee, places limits on Board's denial of any recommended employee hire, and modifies the rules concerning appearances before the board.

Recommendation:

It is recommended that the amended Board Rules & Regulations be approved as presented.
RULES AND REGULATIONS BOARD OF REGENTS
STEPHEN F. AUSTIN STATE UNIVERSITY
(Amended April 30, 2018, 2019)

1. Composition of Board

The Board of Regents, Stephen F. Austin State University, is composed of nine members who are appointed by the governor of Texas, with the advice and consent of the senate. Three members of the board are appointed biennially to serve for terms of six years.

The board is charged with the responsibility of performing those duties which are delegated to it by the legislature. The board has no authority except as delegated to it by law.

Knowledge of the limitations of its authority is imputed to all persons, firms and corporations dealing with the board.

2. Non-Voting Student Regent

Annually on June 1, a student regent shall be appointed by the governor to serve a one-year term expiring on the following May 31. The student regent must be enrolled as an undergraduate or graduate student at Stephen F. Austin State University at the time of appointment and throughout the student regent’s term. The student regent must remain in good academic standing and maintain at least a 2.5 GPA.

The student regent is not a member of the Board of Regents of Stephen F. Austin State University. The student regent has the same powers and duties as the members of the Board of Regents, including the right to attend and participate in meetings of the Board of Regents, except that the student regent may not vote on any matter before the board or make or second any motion before the board. The student regent is not counted in determining whether a quorum exists for a meeting of the board or in determining the outcome of any vote of the board.

3. Office of the Board of Regents

The Office of the Board of Regents is located in the Austin Building, Room 308. The mailing address is PO Box 13026 – SFA Station, Nacogdoches, TX 75962- 3026. The office is staffed by the coordinator of board affairs/compliance.
4. Setting of Meetings

The Board of Regents shall convene annually in Nacogdoches, Texas, in the month of April, which meeting shall be known as the annual meeting.

All meetings of the board shall conform to the Texas Open Meetings Act, Chapter 551 of the Texas Government Code. Regular meetings of the board shall be held quarterly at such time and place as a majority of the board shall determine. The board shall set regular quarterly meeting dates one year in advance, usually in January, April, July and October, which may be changed by consensus of the board due to unanticipated needs. Special meetings of the board may be called by the chair, or by a majority of the members of the board. Telephone conference meetings may be called when circumstances dictate that immediate action is required and it is difficult or impossible to convene a quorum in a single location. Telephone conference meetings shall be restricted to special meetings of the board.

All meetings of the Board of Regents shall be open to the public and broadcast over the internet as required by state law. Such broadcasts shall be recorded and archived in accordance with state law. Executive sessions of the board may be held with the consent of a majority of those members present and as authorized by law.

A majority of the members of the board or committee membership shall constitute a quorum. Ex-officio members shall be counted for purposes of determining a quorum. Proxies shall not be recognized. No formal action shall be taken by the board or committee of the board in the absence of a quorum.

5. Designation of Officers

The officers of the board shall include a chair, a vice chair, a secretary, and such other officers as may from time to time be elected or appointed.

6. Election of Chair and Authorization of Duties

At the January meeting of the board, and as the last order of business, there shall be elected from the membership of the board a chair, who shall take office at the start of business during the official, formal meeting of the full board in April and shall serve through the beginning of business at the formal meeting of the full board in April of the following year. In the event the chair’s term of office as regent expires prior to the conclusion of his/her service as chair, the chair-elect shall immediately take office upon such expiration and serve for the remainder of the previous chair’s term and his/her elected term; however if the chair is reappointed to a new term as regent, he/she shall complete the elected term of office. If a chair-elect has not been named, the vice-chair shall serve as chair of the board until the beginning of
business at the formal meeting of the full board at the next April meeting.

No member shall serve more than two consecutive elected terms as chair unless the members shall re-elect such member for each term after the two consecutive terms by a vote of at least six (6) members.

In the event of a chair's death or resignation, the vice chair shall serve as chair of the board until the beginning of business at the formal meeting of the full board at the next April meeting.

The chair of the board shall preside at all meetings of the board which he/she attends.

He/she is responsible for the agendas of the meetings of the board. He/she has the authority to call special meetings of the board, as herein provided. He/she is an ex officio member of all committees of the board and shall be in addition to the membership prescribed in Section 9 of these Rules. He/she shall deliver to each new board member immediately upon such person's appointment by the governor a copy of the regents' Rules and Regulations and a copy of the organization of principal administrative offices of the university. He/she shall ensure the members of the Board are apprised of their duties and responsibilities under law, including but not limited to Texas Education Code Section 51.352.

Parliamentary procedure in board meetings will generally conform to Roberts' Rules of Order, Newly Revised, when not in conflict with board rules.

The chair shall, in the name of the board, formally execute all contracts and documents authorized by resolutions of the board unless otherwise authorized to be signed by the president, and perform such other duties as are generally imposed on a chair of the board.

7. Election of Vice Chair and Authorization of Duties

A vice chair shall be elected from the membership of the board immediately following the election of a chair at the January meeting and shall take office at the start of business during the official, formal meeting of the full board in April and shall serve through the beginning of business at the formal meeting of the full board in April of the following year. In the event the vice chair’s term of office as regent expires prior to the conclusion of his/her service as vice chair, the vice chair-elect shall immediately take office upon such expiration and serve for the remainder of the previous vice chair’s term and his/her elected term; however if the vice chair is reappointed to a new term as regent, he/she shall complete the elected term of office. If a vice chair-elect has not been named, the secretary shall serve as vice chair, as well as secretary, until the beginning of business at the formal meeting of the full board at the next April meeting.
No member shall serve more than two consecutive elected terms as vice chair unless the members shall re-elect such member for each term after the two consecutive terms by a vote of at least six (6) members.

The vice chair shall preside over meetings of the board in the absence of the chair, and shall succeed to the rights and powers of the chair in the event he/she is absent from the state or is unable to act because of disqualification, or because of physical disability as determined by the board. The vice chair shall perform such other duties as may be delegated to him/her by the board.

In the event of the death, resignation, or assumption of chair duties by the vice chair, the secretary shall serve as vice chair, as well as secretary, until the beginning of business at the formal meeting of the full board at the next April meeting.

8. Election of Secretary and Authorization of Duties

The board shall select a secretary from the membership of the board, immediately following election of a vice chair at the January meeting, who shall take office at the start of business during the official, formal meeting of the full board in April and who shall serve through the beginning of business at the formal meeting of the full board in April of the following year. In the event the secretary’s term of office as regent expires prior to the conclusion of his/her service as secretary, the secretary-elect shall immediately take office upon such expiration and serve for the remainder of the previous secretary’s term and his/her elected term; however if the secretary is reappointed to a new term as regent, he/she shall complete the elected term of office. If a secretary-elect has not been named, the vice chair shall serve as vice chair, as well as secretary, until the beginning of business at the formal meeting of the full board at the next April meeting. The secretary shall ensure that preparation for all meetings of the board, including such notices as required by law are made. The secretary or other officers shall attend all open meetings of the board and ensure that accurate records of all open meetings are kept. He/she shall ensure that all parties affected by the actions of the board are notified. He/she shall provide oversight to the coordinator of board affairs/compliance who shall be responsible for all records of the board and all documentary files thereof. He/she shall ensure that the coordinator of board affairs/compliance keep the official copy of the regents' Rules and Regulations. Said copy shall contain all current rules and regulations as set by the Board of Regents. Any changes or additions thereto shall be entered in the official copy and such changes and additions shall be furnished to members of the board and officers of the university as designated by the president. The coordinator of board affairs/compliance shall assist the secretary in performing the duties of his/her office.
9. **Committees of the Board**

The chair of the board shall appoint at the annual meeting of the Board of Regents or soon thereafter all committee members and shall designate a chair of each committee except as otherwise provided herein. The chair of the board may further remove, replace, or appoint members in the event of a vacancy.

9.1 The Executive and Legislative Committee shall consist of the chair of the board, the vice chair of the board, and one other member appointed by the chair. The chair of the board shall serve as chair of this committee. This committee shall serve as an advisory committee and review and make recommendations to the full board on any matter related to legislative initiatives and the governance, control and direction of the policies of the university.

9.2 The Academic and Student Affairs Committee shall consist of three members. This committee shall consider:

(1) the curricula of the various colleges and departments of the University with any other matters dealing with academic programs and the progress thereof;

(2) the research programs within the university and their relationship to all graduate education;

(3) student affairs within the university;

(4) personnel matters within the university.

(4)(5) **Administrative matters not delegated to another committee.**

The committee shall summarize facts and present alternatives as necessary.

9.3 The Building and Grounds Committee shall consist of three members. This committee shall consider:

(1) use and occupancy of university property;

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

The committee shall summarize facts and present alternatives as necessary.

9.4 The Finance and Audit Committee shall consist of three members. This committee shall consider:

(1) the budgeting and appropriations request processes;

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

The committee shall summarize facts and present alternatives as necessary.

95 The Nominating Committee shall consist of three members. This committee shall be appointed annually prior to the January meeting by the chair for the purpose of nominating board officers for election at the January meeting.

96 The chair of the board may at any time appoint special committees, name the members thereof and designate the chairs. At a meeting of the Board of Regents, not less than six members thereof may appoint special committees, name the members thereof and designate the chairmen. Any special committee so created by the chair or by the Board of Regents shall be temporary and shall be charged in writing as to its particular duties and functions and the period in which it is to serve. Action by the chair of the board and/or six such members will be required to extend this period.

10. Prohibiting Contracting with Board Members

The Board of Regents shall approve no contract or agreement of any character in which a member of the board, directly or indirectly, has a pecuniary or substantial interest, without prior advice of the general counsel. Regents must self-disclose potential direct or indirect pecuniary or substantial interests in matters pending before the Board of Regents. Potential transactions with relatives of regents should also be disclosed to the general counsel for advice and counsel to avoid any appearances of a conflict of interest.

11. Election of University President

Annually when the budget is passed, the Board of Regents shall conduct a performance review of the president and elect the president of the university by affirmative vote of a majority of its members. The president of the university shall hold office at the pleasure of the board. The president shall not have tenure as president, but may hold tenure as a member of the faculty of the university when such tenure has been approved by the board. The president's salary shall be designated in the appointing order. Any contract for employment shall comply with applicable law, including but not limited to Texas Education Code Section 51.948.

In the event the president is temporarily unable to serve in such capacity, the board
will call an emergency or special meeting to appoint an acting president until such time as the president is able to return to his/her duties.

In case a change in the presidency is made, the board will accept for consideration suggested nominations from a screening committee representing the board, the faculty, the staff, the Alumni Association, the community, and the student body, which committee shall be selected by a majority vote of the Board of Regents. An interim president will be named by the board to serve until such time a president is named.

The board shall announce the name, background, and qualifications of the finalist or finalists for president at least twenty-one (21) days prior to the meeting at which board action is to be taken on the employment of the individual. (Tex. Educ. Code § 51.913).

12. Authority, Duties, and Responsibilities of the University President

The president shall be responsible for developing and maintaining excellence and efficiency within the university.

The president shall be answerable to the Board of Regents and shall have discretionary powers broad enough to effectively administer the university within the policies and guidelines as set forth by the Board of Regents. The president shall have such powers as may be from time to time delegated by the board.

The president shall be prepared to make recommendations to the board on university matters which require board approval.

The president shall be responsible for implementing all board action items affecting the university.

The president shall interpret the board's policies to the faculty and staff and interpret the university's programs and needs to the board. The president shall at all times also represent and interpret the university's programs, needs and interests to the public.

The president shall recommend appropriate operating budgets and supervise expenditures under approved budgets.

The president shall nominate to the board the appointment and reappointment of all members of the faculty, administrative officers and professional staff and recommend such individuals for promotion, retention, or dismissal. The board shall show just cause should they choose to not confirm a nomination.

The president shall develop and maintain efficient personnel programs for all employees, including faculty and administrative officers.
The president shall ensure efficient management of business affairs and physical property and shall recommend additions and alterations to the physical plant.

The president shall assume active leadership in developing private fund support for the university.

Without prior notice or hearing, the president of the university may suspend without pay and immediately remove from the university or assign to other duties with pay any employee, and suspend and immediately remove from the university any student who: (1) poses a continuing danger to persons or property; (2) disrupts the orderly operation of the university; (3) endangers the education of students; or (4) has been convicted by a trial court of any felony or a crime of moral turpitude. The president shall, as soon as possible, notify the general counsel of such action. In such cases the president will set a hearing before the appropriate administrator or committee on the employee's or student's case as soon thereafter as is practicable unless otherwise waived by the employee or student.

The president shall have the ultimate responsibility for the proper administration of all university contracts, agreements, or purchases which are delegated to the president under the board’s policy.

The president is authorized to accept grants and contracts and enter into agreements involving the furnishing of educational services with the various agencies of the federal and state governments, foundations, and private corporations and is authorized to advance funds as necessary to finance federal grants and contracts which are on a reimbursement basis provided the university will be reimbursed by the agencies for any cost resulting from such grants or contracts.

13. Election and Duties of General Counsel

Annually when the budget is passed, the Board of Regents shall conduct a performance review and elect the general counsel by affirmative vote of a majority of its members. The general counsel shall hold office without fixed term and at the pleasure of the board. The general counsel's salary shall be designated in the appointing order.

The general counsel shall be responsible for all legal advice on all matters related to the university. He/she shall be responsible for all legal matters with local, state, and federal agencies and officials.

The general counsel shall work in cooperation with the attorney general of the state of Texas, legal counsel engaged in private practice and other legal counsel for agencies of the state of Texas concerning matters that may affect the university.
He/she shall monitor all lawsuits brought against or for the university and assist the attorney general’s office in the preparation, trial, and appeal of lawsuits involving the university.

The general counsel’s office shall review all contractual obligations entered into by the university. He/she shall make legislative interpretations and be responsible for monitoring all legislative statutes affecting the university. He/she shall be responsible for the determination of student residency classification on appeal. He/she shall perform such other duties which are generally incumbent upon a general counsel of like boards or which shall be delegated to him/her by the board or the president of the university.

14. Election and Duties of the Chief Audit Executive

Annually when the budget is passed, the Board of Regents shall conduct a performance review and elect the chief audit executive by affirmative vote of a majority of its members. The chief audit executive shall hold office without fixed term and at the pleasure of the board. The chief audit executive’s salary shall be designated in the appointing order.

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 shall report on a day-to-day and administrative basis to the president of the university. The chief audit executive shall periodically communicate directly with the Finance and Audit Committee chair. It is important that the university auditor be independent of the chief financial and/or accounting officers to ensure independent review of the internal control structure and the financial reporting process.

The chief audit executive shall work in cooperation with the state auditor’s office, independent auditors engaged in private practice, and other auditors for entities of the state of Texas concerning matters that may affect the university.

The chief audit executive shall annually submit information on the annual audit plan, work schedule, and staffing plan to the president for his review and to the Board of Regents for their approval. The chief audit executive shall submit an annual report as required by Texas Government Code Chapter 2102. The annual report shall be submitted to the president and the board for review prior to public dissemination.
15. Election and Duties of the Coordinator of Board Affairs/Compliance

Annually when the budget is passed, the Board of Regents shall conduct a performance review and elect the coordinator of board affairs/compliance by affirmative vote of a majority of its members. The coordinator of board affairs/compliance shall hold office without fixed term and at the pleasure of the board. The salary for this position shall be designated in the appointing order.

The coordinator of board affairs/compliance shall manage the Office of the Board of Regents to assist in the administration of the responsibilities of the board and facilitate the role of each regent in the discharge of his or her responsibilities.

The coordinator of board affairs/compliance shall use discretion and independent judgment in establishing reporting mechanisms for the board, shall work directly with the regents, president, and general counsel on a routine basis, shall track information needs of the board and shall work as the campus liaison for the board’s honored guests, including legislators, commencements speakers, and other dignitaries.

Other responsibilities for the coordinator of board affairs/compliance shall include taking, preparing and distributing meeting minutes; preparing and distributing meeting agendas; coordinating the review and publication of board policies, filing open meeting notices; notifying board members of all meeting dates; administering all communications and correspondence for the board; planning meetings, workshops, events and retreats for the board; making travel arrangements for board members; maintaining a calendar for the board; keeping board members apprised of upcoming events; ensuring appropriate board representation at functions; maintaining current board address list; and developing and maintaining the Board of Regents’ Web page.

The coordinator of board affairs/compliance will coordinate the university compliance program, including developing, maintaining, initiating, and revising compliance policies, procedures, and practices for the general operation of the university and its related activities to mitigate illegal, unethical or improper conduct; identify potential areas of compliance vulnerability and risk; develop and implement corrective action plans for the resolution of problematic issues; and develop, maintain, and implement compliance-related manuals and tools to assist the university community in fulfilling their compliance-related obligations. Additionally, the coordinator of board affairs/compliance will administer the office function for the general counsel and serve as the university policy coordinator.

16. Employees Reporting to the Board of Regents

From time to time, the Board of Regents may employ other individuals who report
directly to the Board of Regents. Such employees shall hold office without fixed term and at the pleasure of the board. The salary of such employees shall be designated in the appointing order. Performance reviews may be conducted by the board within its discretion.

17. Report or Agenda for Meetings

At all regular or special meetings of the board, the president of the university shall submit a president's report in writing. Such reports shall follow a uniform format approved by the board, with the proposed form of recommended board orders set out in the first section of the report, followed by sections on faculty and staff, budgetary items, contracts, curriculum, miscellaneous items and explanation. The latter section of the report shall set forth in reasonable detail an explanation of each proposed board order or recommendation. All board orders proposed in a president's report shall be drafted with clarity and brevity to reflect, without the need to refer to extraneous sources, the precise action ordered by the board in each instance. The drafting of multifarious orders for board consideration shall be avoided.

A copy of the president's report shall be submitted to all members of the board and the Secretary Coordinator for Board Affairs/Compliance at least ten days in advance of a meeting of the board.

18. Order of Business

All regular and special meetings of the Board of Regents shall be as follows unless the chair otherwise directs:

A. Approval of the minutes of the preceding meeting
B. Reports of standing committees
C. Reports of special committees
D. Other business
E. Adjournment

19. Appearances Before the Board

19.1 Special appearances as requested by the board or president: The chair of the Board of Regents or the president (as approved by the board chair) may invite individuals to appear before the board or one of its committees (as approved by the committee chair) for specific purposes. The chair of the Faculty Senate and the president of the Student Government Association shall have the opportunity to provide a report at each quarterly board meeting.

19.2 Requests to address the board: Requests to appear before the board to make
comments on a specific agenda item must be received by the coordinator of board affairs/compliance in writing no later than twenty-four (24) hours before the board meeting at which the individual wishes to speak. The request should set out clearly the nature of the subject matter to be presented relating to a specific board agenda item. In making a request to appear before the board, individuals must give their names and any relevant title or affiliation. Comments on topics not posted on the agenda are not allowed but may be submitted to the coordinator of board affairs/compliance in writing, at any time, for distribution to the regents.

19.3 Time allocation: The board will allow up to twenty-five (2015) minutes for public comment per agenda item. The total time allocated for a specific agenda item may be extended by action of a majority of the board present at the meeting. In any instance, an individual speaker will be permitted no more than three (3) to five (5) minutes for a presentation. The board will allow a total of up to ninety (90) minutes for public comments per regular quarterly meeting. Copies of speakers' comments, and/or other written materials for distribution to the Board of Regents will be accepted shall be presented to the Coordinator for Board Affairs/Compliance. Public comments will take place during the scheduled public comment period at the beginning of each regular quarterly meeting.

19.4 Other meetings: While a specific period for public testimony will be limited to the regular quarterly meetings, written comments are welcome for any scheduled meeting of the Board of Regents. One copy of comments may be forwarded to the Office of the Board of Regents for distribution to the regents.

19.5 Scheduling of speakers: When the number of requests to address the board at a given session and for a specific agenda item exceeds the time available, requests will be approved based on the order the written request was received by the coordinator of board affairs/compliance. If, by virtue of time or other constraint a speaker is not able to present his/her comments orally, said comments will be accepted in writing and distributed to the Board of Regents at the meeting.

19.6 Special Requests: Special requests to appear before the board for comments at times other than the regular quarterly meetings can be submitted to the coordinator of board affairs/compliance for consideration by the chair of the Board of Regents.

20. Annual Budget for University Operations

The president shall prepare and submit annually to the board at its April or July meeting, as specified each year by the board, a proposed budget for the operation of the institution for the next fiscal period. Copies of all proposed operating budgets
shall be submitted in writing to all members of the board at least one week in advance of such meeting of the board.


The president of the university shall submit a monthly operating statement to the members of the board showing balance sheet by fund groups, statement of income, statement of expenditures, unexpended balances, encumbrances, and unencumbered balances.

All institutional books, records, ledgers and accounts shall be kept and maintained in conformity with recommendations of the state auditor and the state comptroller of public accounts, subject to approval by the board.

Blanket fidelity bonds, approved by the board, shall be required to cover all employees of institutions under the jurisdiction of the board.

22. Student Admission, Degree Requirements, Tuition and Fees

Student admission standards, entrance requirements, and degree qualifications shall be determined and prescribed by the institution, subject to the approval of the board. No otherwise qualified applicant for student enrollment shall be denied admission solely on the basis of religious or racial tests. Enrollment preference shall be given to residents of the state of Texas. Tuition, student fees, and room and board rates shall be established by the institution, subject to legislative direction and approval by the board.

Each member of the board shall receive copies of major publications of the university.

23. Employment of Bond Legal Counsel

The board shall employ bond counsel as appropriate to advise and represent it in any matters.

24. Reimbursement of Expenses

Reimbursement of expenses is allowed for members of the board for: attending regular and special meetings of the board; visiting the university at the request of the board or the chair of the board; attending formal committee meetings, and such other special and limited purposes as the board may expressly authorize in accordance with state regulations. Verified expense accounts shall be submitted to
the Office of the Board of Regents for payment and the same shall be subject to review and control by the board.

25. Authority for Official Statements

The Board of Regents hereby reserves the authority and responsibility for determining matters of policy and official statements concerning any political or other subjects of an obviously controversial nature which represents an official policy, statement, or position of the Board of Regents, or of the university. Statements, policies, and positions by the Board of Regents on such matters shall be made by the board through the chair of the board or the president of the university. No regent, officer, faculty or staff member shall have the authority to speak for or issue any public statements on policy or on behalf of the Board of Regents, or of the university, on such matters without prior approval of the board.

26. Board Evaluation

Annually when the budget is passed, the Board of Regents will conduct a self-evaluation of its responsibilities and expectations. This evaluation will consider the principles of board governance as specified by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), applicable state law, the Board of Regents Rules and Regulations, and the university’s mission statement and strategic plan.

27. Provisions to Amend Rules and Avoid Conflict with Statutes

The rules and regulations herein provided may be amended by a majority vote of members of the board at any regular meeting or at a special meeting of the board called for that purpose. Proposed amendments shall be filed in writing with the secretary-COordinator of Board Affairs/Compliance and copies submitted to each board member at least fifteen (15) days before the same are considered by the board.

Should all or any part of the foregoing rules and regulations conflict with any constitutional, statutory or legislative appropriations provisions, they shall be amended to conform therewith.
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.

ATHLETICS

Michael Bell, Creative Video Producer at an annual salary of $36,000 for 100-percent time, effective 1/31/2020.

Johnny Cardenas, Head Baseball Coach. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

Cody Clark, Head Cross Country Coach. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

Nicole Dickson, Head Softball Coach. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

Debbie Humphreys, Head Volleyball Coach. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

Amber Lemke, Head Bowling Coach. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

Alex Luna, Head Beach Volleyball Coach. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.
Phil Olson, Head Track and Field Coach. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

Trey Schroeder, Head Golf Coach. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

Erin Scott, Head Tennis Coach. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

CAMPUS RECREATION

Jescelyn Villarreal, Assistant Director of Campus Recreation at an annual salary of $47,000 for 100-percent time, effective 3/30/2020.

EARLY CHILDHOOD LAB

Tammie Jackson, Teacher Early Childhood Lab at an annual salary of $36,000 for 100-percent time, effective 4/6/2020.

ITS INFORMATION SECURITY

Omar Narvaez, ITS Security Specialist II at an annual salary of $63,000 for 100-percent time, effective 4/6/2020.

SCHOOL OF NURSING

Dari Amos, Clinical Placement Coordinator at an annual salary of $46,000 for 100-percent time, effective 3/16/2020.

STEM CENTER

Martha Lee, STEM Outreach Coordinator at an annual salary of $64,264 for 100-percent time, effective 4/1/2020.
FACULTY APPOINTMENTS

Explanation:

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

Recommendation:

It is recommended by the administration that the following faculty appointments be approved.

COLLEGE OF BUSINESS

Doug Milbauer, MBA (University of Texas ) Lecturer of Management and Marketing at an academic salary of $65,000 for 100-percent time, effective 9/1/2020.

Brian Nagy, Ph.D. (University of Alabama) Assistant Professor of Management and Marketing at an academic salary of $105,000 for 100-percent time, effective 9/1/2020.

COLLEGE OF EDUCATION

Rohelle Cade, Ph.D. (Texas A&M Corpus Christi) Associate Professor of Human Services and Educational Leadership at an academic salary of $75,000 for 100-percent time, effective 9/1/2020.

Marisol Diaz, Ph.D. (New Mexico State University) Assistant Professor of Elementary Education at an academic salary of $62,000 for 100-percent time, effective 9/1/2020.

Sarah Irvin, M.Ed. (Delta State University) Assistant Professor of Human Services and Educational Leadership at an academic salary of $62,000 for 100-percent time, effective 9/1/2020. Contingent upon completion of doctorate by 8/31/2020.

Summer Pannell, Ph.D. (University of Mississippi), Associate Professor of Educational Leadership at an academic salary of $75,000 for 100-percent time, effective 9/1/2020.
Eric Torres, Ph.D. (University of North Carolina) Associate Professor/Associate Chair of Educational Studies at 12 month salary of $102,000 for 12 months, effective 6/15/2020.

Nathaniel Walker, Ph.D. (Capella University) Assistant Professor of Human Sciences at an academic salary of $58,000 100-percent time, effective 9/1/2020.

Robyn Whitehead, Ph.D. (University of the Rockies) Assistant Professor of Kinesiology and Health Science at an academic salary of $60,000 for 100-percent time, effective 9/1/2020.

**COLLEGE OF FINE ARTS**

Eden Collins, MFA (University of Texas San Antonio) Assistant Professor of Art at an academic salary of $51,000 for 100-percent time, effective 9/1/2020.

**COLLEGE OF LIBERAL AND APPLIED ARTS**

Janice Cho, Ph.D. (Texas Tech University), Assistant Professor of Mass Communications at an academic salary of $55,000 for 100-percent time, effective 9/1/2020.

Stephanie Williams-Turkowski, Ph.D. (Texas Tech University), Assistant Professor of Mass Communications at an academic salary of $55,000 for 100-percent time, effective 9/1/2020.

**COLLEGE OF SCIENCES AND MATHEMATICS**

Jeremy Becnel, Ph.D. (Louisiana State University) Professor of Computer Science at an academic salary of $100,000 for 100-percent time, effective 9/1/2020.

Jason Bruck, Ph.D. (University of Chicago) Assistant Professor of Biology at an academic salary of $55,700 for 100-percent time, effective 9/1/2020.

Zeljko Radulovic, Ph.D. (University Belgrade-Serbia) Assistant Professor of Biology at an academic salary of $55,000 for 100-percent time, effective 9/1/2020.
Jianjun Zheng, MS (Texas Tech University) Assistant Professor of Computer Science at an academic salary of $87,450 for 100-percent time, effective 9/1/2020. Contingent upon completion of doctorate by 8/31/2020.

Carl Ziegler, Ph.D. (University of North Carolina) Assistant Professor and Director of Observatory at an 11 month salary of $81,000 for 100-percent time, effective 9/1/2020.
CHANGES OF STATUS

Explanation:

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

Recommendation:

It is recommended by the administration that the following changes of status be approved.

ATHLETICS

Myles Carelock, from Quality Control Coach-Football Operations at an annual salary of $23,998 for 49-percent time, to Assistant Coach-Football Operations at an annual salary of $30,000 for 100-percent time, effective 3/1/2020.

JaMarkus McFarland, from Assistant Coach-Football Operations at an annual salary of 42000 for 1 percent time, to Assistant Coach-Football Operations at an annual salary of 52000 for 100-percent time, effective 3/1/2020.

Cameron Rogers, from Quality Control Coach-Football Operations at an annual salary of $18,006 for 49-percent time, to Assistant Coach-Football Operations at an annual salary of $30,000 for 100-percent time, effective 3/1/2020.

Nathan Young, from Assistant Coach-Football Operations at an annual salary of $71,000 for 100-percent time, to Assistant Coach-Football Operations at an annual salary of $73,500 for 100-percent time, effective 3/1/2020.

DEVELOPMENT

Sarah Sargent, from Development Assistant at an annual salary of $44,200 for 100-percent time, to Director-Advancement Services at an annual salary of $65,000 for 100-percent time, effective 3/17/2020.

PHYSICAL PLANT

Shelby Childress, from Accounting Clerk III at an annual salary of $36,494 for 100-percent time, to Project Coordinator at an annual salary of $40,000 for 100-percent time, effective 4/1/2020.
STUDENT AFFAIRS PROGRAMS

Rhylie Gachot, from Assistant Director-Orientation Programs at an annual salary of $41,200 for 100-percent time, to Interim Director-Orientation Programs at an annual salary of $41,200 for 100-percent time with 2 months stipend of $500 per month for two months, effective 2/10/2020.
FACULTY PROMOTIONS

Explanation:

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

Recommendation:

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

To Assistant Professor, effective spring semester 2020
Kristina White Kinesiology and Health Science

To Associate Professor, effective fall semester, 2020
Jared Barnes Agriculture
Matibur Zamadar Chemistry and Biochemistry
Jim Ewing Elementary Education
Mark Montgomery Elementary Education
Charles Gregory Government
Aryendra Chakravarty History
Flora Farago Human Sciences
Daniel McCleary Human Services
Rajat Mishra Management and Marketing
Tamey Anglley Music
Tod Fish Music
Bradley Meyer Music
Christopher Ryan Nursing
Lauren Brewer Psychology
Kyle Conlon Psychology
Sylvia Middlebrook Psychology
Nathan Sparkman Psychology
Chrissy Cross Secondary Education
Barbara Qualls Secondary Education
To Professor, effective fall semester, 2020

Joey Bray Agriculture
Neal Cox Art
Dennis Gravatt Biology
Odutayo Odunuga Chemistry and Biochemistry
Emiliano Giudici Economics and Finance
Elizabeth Tasker-Davis English and Creative Writing
Kevin Stafford Geology
Scott Sosebee History
Sheryll Jerez Environmental Science
Yanli Zhang Forestry
Gabriela Miranda-Recinos Languages, Cultures and Communication
Jessica Sams Languages, Cultures and Communication
Nicholas Long Mathematics and Statistics
CC Conn Theatre

To Librarian IV, effective fall semester, 2020
Philip Reynolds Library

To Associate Professor Emeritus, effective fall semester 2020
JB Watson Anthropology, Geography and Sociology

To Professor Emeritus, effective fall semester, 2020
Gloria Gresham Elementary Education
Gary Mayer Mass Communication
Shiyou Li Forestry
FACULTY TENURE

Explanation:

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

Recommendation:

It is recommended by the administration that academic tenure be awarded to the following individuals, effective fall semester, 2020.

Jared Barnes       Agriculture
Matibur Zamadar    Chemistry and Biochemistry
Charles Gregory   Government
Aryendra Chakravarty  History
Daniel McCleary    Human Services
Lydia Richardson  Human Services
Rajat Mishra      Management and Marketing
Tamey Anglley     Music
Tod Fish          Music
Bradley Meyer    Music
Christopher Ryan Nursing
Lauren Brewer     Psychology
Kyle Conlon      Psychology
Gregory Drury  Psychology
Sylvia Middlebrook Psychology
Nathan Sparkman  Psychology
Chrissy Cross     Secondary Education
Barbara Qualls   Secondary Education
<table>
<thead>
<tr>
<th>Kristin Bailey-Wallace</th>
<th>Social Work</th>
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</thead>
<tbody>
<tr>
<td>James Morris</td>
<td>Social Work</td>
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</tbody>
</table>
FACULTY DEVELOPMENT LEAVE FOR 2020-21

Explanation:

Under law passed by the legislature and policies approved by the Board of Regents within funds available, faculty members may apply for one semester leave at full pay or one academic year leave at half pay. Applications are reviewed by an elected faculty committee which makes recommendations to the provostacademic vice president. Following review by the president, recommendations are made to the Board of Regents.

Recommendation:

It is recommended by the administration that the faculty members listed below be awarded Faculty Development Leave for the semester indicated:

Fall 2020
Odutayo Odunuga Chemistry and Biochemistry
Shaun Roberts Art

Spring 2021
Heather Olson Beal Secondary Education and Educational Leadership
Jane Long Mathematics and Statistics
REGENTS SCHOLAR 2020-2021

Explanation:

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

Recommendation:

It is recommended by the administration that, Dr. Leslie Cecil, Professor of Anthropology, Geography, and Sociology be named Regents Scholar for academic year 2020/2021.
RETIREMENTS

Explanation:

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

Recommendation:

It is recommended by the administration that the following retirements be approved as presented.

**M. D’Nese Haddox**, Residence Life, Associate Director, 35 years of service to SFA, effective 5/31/2020.

**Bruce Lanham**, Physical Plant, Construction Manager, 34 years of service to SFA, effective 3/31/2020.

**Norman Markworth**, Physics, Engineering and Astronomy, Professor, 41 years of service to SFA, effective 5/31/2020.

**David McFarland**, Audit Services, Assistant Director, 26 years of service to SFA, effective 8/31/2020.

**Elyce Rodewald**, Agriculture, Arboretum Education Program Coordinator, 20 years of service to SFA, effective 4/30/2020.
CURRICULUM CHANGES FOR 2020-21

Explanation:

Changes in curriculum originate in the departments and are reviewed by the colleges and university curriculum committees, the graduate council, the appropriate dean and the provost and vice president for academic affairs. After approval by the Board of Regents curriculum changes are submitted to the Texas Higher Education Coordinating Board.

Recommendation:

It is recommended by the administration that the Board of Regents approve the undergraduate and graduate curriculum changes as presented to be effective fall 2020.
<table>
<thead>
<tr>
<th>Department</th>
<th>Program</th>
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<tbody>
<tr>
<td><strong>BUSINESS</strong></td>
<td><strong>CONSTRUCTION MANAGEMENT, BS</strong></td>
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<tr>
<td>Business Communication</td>
<td>Legal Studies Minor</td>
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<tr>
<td>Management &amp; Marketing</td>
<td>Entrepreneurship Minor</td>
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<tr>
<td>Management &amp; Marketing</td>
<td>Sport Business, BBA</td>
</tr>
<tr>
<td><strong>EDUCATION</strong></td>
<td><strong>CONSTRUCTION MANAGEMENT, BS</strong></td>
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<tr>
<td>Elementary Education</td>
<td>Core Subjects 4-8, BSIS</td>
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<td>Elementary Education</td>
<td>Core Subjects EC-6, BSIS</td>
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<td>Elementary Education</td>
<td>Education Studies, BSIS</td>
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<td>Elementary Education</td>
<td>English/Language/Arts/Reading 4-8, BSIS</td>
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<td>Elementary Education</td>
<td>Math 4-8, BSIS</td>
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<td>Elementary Education</td>
<td>Science 4-8, BSIS</td>
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<td>Elementary Education</td>
<td>Social Studies 4-8, BSIS</td>
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<tr>
<td>Human Sciences</td>
<td>Construction Management, BS</td>
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<td>Human Sciences</td>
<td>Family &amp; Consumer Sciences, BS</td>
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<td>Human Sciences</td>
<td>Hospitality Administration, BS</td>
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<td>Human Sciences</td>
<td>Human Development &amp; Family Studies, BS</td>
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<td>Human Sciences</td>
<td>Interior Design Minor</td>
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<td>Human Sciences</td>
<td>Interior Merchandising, BS</td>
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<td>Human Services</td>
<td>Communication Sciences &amp; Disorders, BS</td>
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<td>Human Services</td>
<td>Early Intervention Minor</td>
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<td>Human Services</td>
<td>Rehabilitation Services O&amp;M Concentration, BS</td>
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<tr>
<td>Kinesiology</td>
<td>Physical Education Teaching Certificate, BS</td>
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<tr>
<td><strong>FINE ARTS</strong></td>
<td><strong>MUSIC COMPOSITION, BM</strong></td>
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<tr>
<td><strong>FORESTRY &amp; AGRICULTURE</strong></td>
<td><strong>AGROFORESTRY, BSF</strong></td>
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<tr>
<td>Agriculture</td>
<td>Agribusiness, BSAG</td>
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<td>Agriculture</td>
<td>Agricultural Engineering Technology, BSAG</td>
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<td>Agriculture</td>
<td>Animal Science, BSAG</td>
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<td>Agriculture</td>
<td>Equine Science, BSAG</td>
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<td>Agriculture</td>
<td>Horticulture, BSAC</td>
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<td>Agriculture</td>
<td>Poultry Science, BSAG</td>
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<td>Agriculture</td>
<td>Pre-Veterinary, BSAG</td>
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<td>Forestry</td>
<td>Agroforestry, BSF</td>
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<td>Forestry</td>
<td>Environmental Science, BS Foundation of Knowledge</td>
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<td>Forestry</td>
<td>Environmental Science, Shared Foundation of Knowledge</td>
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<tr>
<td>Forestry</td>
<td>Fire Management, BSF</td>
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<td>Forestry</td>
<td>Forest Management, BSF</td>
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<td>Forestry</td>
<td>Forest Wildlife Management, BSF</td>
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<td>Forestry</td>
<td>Forestry Shared Univ Core &amp; Foundation of Knowledge</td>
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<td>Forestry</td>
<td>Geospatial Science, Natural Resources, BS</td>
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<td>Forestry</td>
<td>Geospatial Science, Surveying, BS</td>
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<td>Forestry</td>
<td>Human Dimensions in Natural Resources, BS</td>
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<td>Forestry</td>
<td>Urban Forestry, BSF</td>
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<td>Department</td>
<td>Program</td>
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<tr>
<td><strong>COLLEGE OF LIBERAL AND APPLIED ARTS</strong></td>
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<tr>
<td>Anthropology, Geography &amp; Sociology</td>
<td>Minor in Sociology</td>
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<tr>
<td>Dean's Office</td>
<td>All BA's in the CLAA</td>
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<td>All BS's in the CLAA</td>
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<td>Dean's Office</td>
<td>BSW</td>
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<td>Government</td>
<td>Pre-law Minor</td>
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<td>Languages, Cultures &amp; Communication</td>
<td>Linguistics Minor</td>
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<td>Modern Languages Dual Languages, BA</td>
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<td>Modern Languages French, BA</td>
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<td>Modern Languages Spanish, BA</td>
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<td>Philosophy, BA</td>
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<td>Multidisciplinary Studies</td>
<td>Philosophy Religious Studies, BA</td>
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<td>Psychology</td>
<td>Psychology, BA</td>
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<td>Psychology</td>
<td>Psychology, BS</td>
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<tr>
<td><strong>COLLEGE OF SCIENCES AND MATHEMATICS</strong></td>
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<tr>
<td>Biology</td>
<td>Biology, BS Botany</td>
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<td>Biology</td>
<td>Biology, BS Cell/Molecular</td>
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<tr>
<td>Biology</td>
<td>Biology, BS Ecol/Evolution</td>
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<tr>
<td>Biology</td>
<td>Biology, BS Teacher Cert</td>
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<td>Biology Minor</td>
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<td>Chemistry</td>
<td>Chemistry, BS Fermentation track</td>
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<td>Chemistry</td>
<td>Chemistry, BS Secondary Ed Cert Jack Teach Program</td>
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<td>Computer Science</td>
<td>Computer Info Systems, BS</td>
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<td>Computer Science</td>
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<td>Physics</td>
<td>Applied Physics Track, BS</td>
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<td>Department</td>
<td>Program</td>
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<tr>
<td><strong>COLLEGE OF BUSINESS</strong></td>
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<tr>
<td>Management &amp; Marketing</td>
<td>Entrepreneurship Minor, BBA candidates</td>
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<tr>
<td>Management &amp; Marketing</td>
<td>Sports Business Athletic Administration, BBA</td>
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## GRADUATE CURRICULUM COURSE MODIFICATIONS 2020-2021

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### GRADUATE CURRICULUM COURSE DELETIONS 2020-2021

**Effective Fall 2020**

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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:

- At-Will Employment 11.2
- Course Grades 5.5
- Curriculum Reviews Modifications and Approvals 5.7
- Drug and Alcohol Testing 11.6
- Early Registration Priority 4.3
- Electronic Signatures 2.17
- Employee Enrolling for Courses 12.4
- Employee Terminations and Transfers 11.10
- Faculty Compensation 12.6
- Graduate Admission 6.17
- Graduate Assistantships 6.12
- In-Residence Requirement 6.15
- Longevity Pay and Hazardous Duty Pay 12.13
- Out of State Course Delivery 5.15
- Recombinant DNA and/or Infectious Biohazards in Teaching and Research 8.9
- Research Enhancement Program 8.11
- Selection of Vice Presidents, Athletic Director and Head Coaches 1.8
- Selective Services Registration 11.26
- University Website 15.10
POLICY SUMMARY FORM

Policy Name: At-Will Employment

Policy Number: 11.2

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

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

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): The policy defines who are considered at-will employees

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 for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Scott Gordon, President
Damon Derrick, General Counsel
At-Will Employment

**Original Implementation:** July 15, 2003

**Last Revision:** April 24/8, 2020

The following exempt, academic, and non-academic employees serve at the discretion of the university and are considered at-will employees whose employment may be terminated with or without cause at any time by the university or the employee:

- All positions reporting to the Board of Regents including but not limited to the president, general counsel, director of audit services, and coordinator of board affairs;
- All vice presidents/provost and chief information officer;
- All associate vice presidents/associate provost;
- All deans including associate deans;
- All executive directors, directors, associate directors, and assistant directors;
- All department heads and chairs;
- All coaches;
- All charter school teachers;
- All attorneys and auditors;
- All grant funded positions;
- All temporary staff employees.

Any appointment included in this list which is filled by a tenured employee will not affect the employee's tenure status. Tenured employees removed from administrative assignments under this policy may be reassigned to a faculty position.

The university may choose to reassign an at-will employee under this policy, but such reassignment is not guaranteed. Additionally, the university will endeavor to give a terminated employee under this policy a 30-day notice, although notice is not required.

Any decision to terminate an at-will employee must be reviewed by the general counsel and/or the director of human resources for legal considerations. Termination of at-will employees below the vice president level must be approved by the appropriate vice president and reported to the president and Board of Regents (unless the termination is by the president or Board of Regents). The Board of Regents must approve termination of at-will employees at the vice president level or above. All such employees will be given an opportunity to resign in lieu of at-will termination, unless the termination is clearly for cause. The terms of resignation must be approved by the same process outlined for termination above, including legal review by the general counsel and/or the director of human resources.

In regards to this policy and the employee's completion of the 180-day probationary period,
there is no contradiction. The 180-day probationary period is the designated time frame for the new employee to demonstrate their capability to perform their job tasks in a satisfactory manner. The completion of this evaluation period does not convey a permanent status to employees listed in this policy, and it does not negate the at-will status for either employee or employer.

Any agreements that in any way modify this policy must be made in writing and must contain the signature of the president, appropriate vice president, and the university Board of Regents.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: General Counsel

Forms: None

Board Committee Assignment: Academic and Student Affairs
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: January 29, 2019

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

Purpose of Policy (what does it do): Guidelines for course grades

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

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

☑ Internal Review    ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: an emergency change requested to allow instructor of record to set a deadline for coursework to be completed for withheld grades, not to exceed one year (changed from within one year)

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 29, 2019  
**April 18, 2020**

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).

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<th>Grade (Quality) Points</th>
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<td>B</td>
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<td>C</td>
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<td>D</td>
<td>Below Average</td>
<td>1 point per semester hour</td>
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<td>F</td>
<td>Failed</td>
<td>0 points per semester hour</td>
</tr>
<tr>
<td>QF</td>
<td>Quit Failing</td>
<td>0 points per semester hour</td>
</tr>
<tr>
<td>WF</td>
<td>Withdrew Failing</td>
<td>0 points per semester hour</td>
</tr>
<tr>
<td>DC</td>
<td>Dropped: No Grade</td>
<td>No GPA hours or points</td>
</tr>
<tr>
<td>K</td>
<td>Study Abroad Grade Posted</td>
<td>No GPA hours or points</td>
</tr>
<tr>
<td>KH</td>
<td>Study Abroad Grade Pending</td>
<td>No GPA hours or points</td>
</tr>
<tr>
<td>P</td>
<td>Passing</td>
<td>No GPA hours or points</td>
</tr>
<tr>
<td>R*</td>
<td>Developmental Class Grade</td>
<td>No GPA hours or points</td>
</tr>
<tr>
<td>T*</td>
<td>Transfer Class Grade</td>
<td>No GPA hours or points</td>
</tr>
<tr>
<td>W</td>
<td>Withdrew: No Grade</td>
<td>No GPA hours or points</td>
</tr>
<tr>
<td>W6</td>
<td>Dropped: No Grade, Counts for 6-drop</td>
<td>No GPA hours or points</td>
</tr>
<tr>
<td>WH</td>
<td>Incomplete</td>
<td>No GPA hours or points</td>
</tr>
<tr>
<td>WP</td>
<td>Withdrew Passing</td>
<td>No GPA hours or points</td>
</tr>
</tbody>
</table>

Withheld Grades

At the discretion of the instructor of record and with the approval of the academic unit head, a grade of WH will be assigned only if the student cannot complete the course work because of unavoidable circumstances. Students must complete the work by the deadline set by the instructor of record, not to exceed 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 Activation (6.14)]. If students register for the same course in future semesters, the WH will automatically become an F and will be counted as a repeated course for the purpose of computing the grade point average.
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 (6.7); Military Service Activation (6.14); Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g;

Responsible for Implementation: Provost and Vice President for Academic Affairs

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

Forms: WH and Grade Change Form

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Curriculum Reviews, Modifications and Approvals

Policy Number: 5.7

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

Date of last revision, if applicable: January 28, 2020

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

Purpose of Policy (what does it do): Guidelines for curriculum reviews, modifications and approvals

Reason for the addition, revision, or deletion (check all that apply):
☐ Scheduled Review  ☐ Change in law  ☐ Response to audit finding
☐ Internal Review  ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: add "or president's designee" to approval process, minor wording change for clarification, added semi-colon to correct formatting

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: October 17, 1978
Last Revision: January 28, 2020, April 18, 2020

Introduction

It is the responsibility of each academic unit of the university to maintain current curricula and engage in continuous review of its curricula. The provost and vice president for academic affairs and appropriate dean will set timelines for the modification and approval process.

Curricular Modification Procedures

Curricular modifications include:

- new courses;
- core curriculum courses;
- modified courses (e.g., course title, credit hours);
- new programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- modified programs (e.g., degrees, endorsements, certificates, minors, concentrations);
- deletion of courses and/or programs (e.g., degrees, endorsements, certificates, minors, concentrations); and
- changes in mode of delivery such as off-campus face to face, online instruction, and other distance delivery methods.

Curricular modifications will be developed and submitted at the program level, and recommended for approval by:

- the academic unit;
- the academic unit head;
- the appropriate councils or committees in the college;
- the college dean;
- the university Undergraduate Council or Graduate Council;
- as appropriate, the Core Curriculum Advisory Committee;
- the Deans Council; and
- the provost and vice president for academic affairs.

New: In addition to the above steps, 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 or president’s designee; and
- the Board of Regents.
Where appropriate, approval will then be sought from (and/or notification will be made to) the Texas Higher Education Coordinating Board (THECB), the Texas Education Agency, the Southern Association of Colleges and Schools, or other outside agencies and organizations. Changes will be reflected in the General Bulletin and/or Graduate Bulletin after approval.

**Substantive Change**

Any curricular changes that involve substantive change as defined by the Southern Association of Colleges and Schools Commission on Colleges must be communicated by the Office of the Provost and Vice President for Academic Affairs to the appropriate entity and, if necessary under the rules on the entity, be approved before implementation. For further information, see the university policy on Substantive Change (4.10).

**Cross Reference:** THECB Instructions and Classification of Instructional Programs Codes; Certificate Programs (5.2); Course Fees (3.8); Laboratory Fees (3.22); Substantive Change (4.10); Academic Program Review (5.1); and Professional Educators’ Council (5.16)

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

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

**Forms:** Forms for program revision, course proposals, substantive change, distance education and laboratory/course fee requests are available at the university website.

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Drug and Alcohol Testing

Policy Number: 11.6

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: Director of Environmental Health Safety and Risk Management, Director of Human Resources, General Counsel

Purpose of Policy (what does it do): outlines drug testing policy in the case of reasonable suspicion or an accident. Serves as part of the investigative process in the case of an accident or worker's comp claim.

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: Just minor word and formatting changes no procedural changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

**Original Implementation:** July 14, 1998
**Last Revision:** April 25, 2017 April 18, 2020

**Purpose**

This policy affirms the university’s commitment to providing a safe, healthy, and productive learning and working environment by taking appropriate steps to maintain a drug-free and alcohol-free workplace.

**Definitions**

*Medical review officer (MRO)* refers to a licensed physician who is responsible for receiving laboratory results generated by the employer's drug testing program, evaluating, interpreting and verifying those drug testing results in conjunction with an employee's medical history, and determining whether a positive result was caused by the use of prohibited drugs or by an employee's medical condition.

**General**

It is the policy of Stephen F. Austin State University to promote a safe, healthy and productive learning and working environment free from the influences of drugs and alcohol. The university must set an example to ensure the safety, health and welfare of its employees, students and the citizens which it serves, by taking the appropriate steps for maintaining a drug-free workplace as mandated by the state and federal governments. This policy supplements all other SFA policies regarding drug and alcohol use and related topics by establishing the guidelines for drug and alcohol testing. The drug and alcohol testing program is for the purpose of ensuring a healthy and safe workplace, and may not be used for the purpose of criminal prosecution.

**General Policy**

Stephen F. Austin State University may require employees in safety sensitive positions to submit to drug and/or alcohol testing based upon reasonable suspicion, post-accident, or post-university referred drug and/or alcohol rehabilitation. University safety sensitive employees who are subject to Department of Transportation regulations in 49 C.F.R. parts 382 and 40 (primarily drivers with commercial driver’s licenses) will additionally be subject to random drug and/or alcohol testing prescribed by federal law.

*Reasonable suspicion can be established by any of the following:* **Reasonable Suspicion:**

1. Direct observation of drug or alcohol use or possession and/or demonstration of physical symptoms of the influence of a drug or alcohol as related to work activities,
2. A pattern of abnormal or erratic behavior, consistent with alcohol or drug abuse,
3. Arrest or conviction of a drug or alcohol related offense as the focus of a criminal investigation into illicit drug use, possession, or trafficking,
4. Information provided by reliable or credible sources,
5. Information, which is independently corroborated,
6. Evidence that an employee or student worker has tampered with a previous drug or alcohol test, or
7. Possession of drug paraphernalia.

Individuals having reasonable suspicion of an employee in a safety sensitive position, based on the above criteria, must contact the director of human resources and/or the director of environmental health, safety, and risk management. When feasible, the Office of the General Counsel will be contacted to confirm whether a given circumstance is sufficient to conduct a test.

Reporting personnel shall document the exact reasons why they suspect that a certain employee in a safety sensitive position has violated the drug and/or alcohol policy to include: the symptoms exhibited by the employee; the actions of the administrator, faculty, employee or student worker; if at all possible, corroborating statements from other administrators, faculty, employees or student workers; and other evidence which tends to establish a reasonable suspicion of illicit drug or unauthorized alcohol use.

Statements by the reporting personnel should document specific facts, not speculation, about an employee’s behavior or appearance which would lead a reasonable person to the conclusion that the employee was using or in possession of illicit drugs or unauthorized alcohol. The emphasis should be placed on how the behavior of the employee is affecting his/her performance.

**Post-accident**

Each employee in a safety sensitive position who is involved in an accident that occurs during the course and scope of employment shall be required to submit to a drug/alcohol test. (A drug or alcohol test will also be requested if damage has occurred to university property as a direct result of the employee's behavior.)

As a condition of continued employment, any employee in a safety sensitive position who is participating in a substance abuse treatment program or who has a rehabilitation agreement with the university following an incident involving substance abuse may be required to submit to additional drug testing. This section shall not apply to employees in safety sensitive positions who have successfully completed a drug and or alcohol rehabilitation program prior to employment with the university.

Until the results of a test are received, an individual will automatically be removed from all safety sensitive functions, but may perform duties as assigned. Individuals may be suspended with pay pending investigation, if the continued participation of that individual presents a real and present danger to personal safety or property or threatens the health and safety of the individual or peers.

**Prohibited Employee Conduct**

1. Engaging in the manufacture, distribution, possession, or use of prohibited substances on university property, in university vehicles, or while in the conduct of university business. (Alcohol possession or use may be permitted on university
property as articulated by university policy.)
2. Reporting to work under the influence of alcohol or illegal drugs.
3. Testing positive for alcohol and controlled substances as a safety sensitive employee.
4. Refusing to submit to required testing as a safety sensitive employee.
5. Permitting a subordinate employee, in a safety sensitive position, to perform or continue to perform safety sensitive functions when the supervising employee has actual knowledge that a safety sensitive employee has engaged in conduct prohibited in paragraphs above.

Refusal to Submit Test

An employee in a safety sensitive position who refuses to consent and submit to a test when requested under any of the circumstances provided for above will be subject to disciplinary action including termination.

Refusal to submit includes:

1. Failure to provide adequate breath for testing without a valid medical explanation after he or she has received notice of the requirement for breath testing in accordance with the provisions of this policy,
2. Failure to provide adequate urine for controlled substances testing without a valid medical explanation after he or she has received notice of the requirement for urine testing in accordance with the provisions of this policy, and/or
3. Engaging in conduct that clearly obstructs the testing process.

Positive Test

An employee in a safety sensitive position with a positive test will be removed from performing his or her safety sensitive functions. Their supervisor and the director of human resources will meet with each employee who tests positive and inform the employee of the test result.

Based upon the information available after the meeting with the employee, the supervisor and the director of human resources shall determine whether:

1. To proceed to impose appropriate disciplinary action (keeping in mind any minimum penalties as may be required by federal or state law, if criminal penalties may have been pursued, and the nature of the infraction as related to the job functions of the individual) pursuant to university procedures for discipline and dismissal of employee; or
2. To offer the employee the opportunity to participate in and satisfactorily complete an appropriate employee assistance program or rehabilitation program for alcohol and/or drug abusers as a condition of continued employment solely at the employee's expense. An employee who is permitted and chooses to participate in such a program must be informed that the university will pursue appropriate disciplinary action if the employee does not satisfactorily complete the prescribed program.

Recurrence of Substance Abuse
Upon the second occurrence of the necessity to potentially refer an employee to counseling or rehabilitation treatment, there will not be an option to refer the employee in a safety sensitive position for treatment and termination will be automatic.

**Subsequent disciplinary actions**

When an employee has experienced work related problems as a result of alcohol or drug use and has been reinstated, subsequent disciplinary action will not be taken for the previous work related problems provided the problems cease after reinstatement.

**Employees Subject to Drug and Alcohol Testing**

All employees in safety sensitive positions of Stephen F. Austin State University are to be included in the alcohol and/or drug testing program and will be subject to testing. Employees identified for testing purposes are expected to cooperate fully with designated clinic and/or laboratory personnel by making themselves available for testing, giving a valid sample and completing accurately all of the steps and necessary documents associated with the test.

Employees in safety sensitive positions at the university who are subject to this drug testing policy are defined as follows:

All employees whose job duties have a direct effect on the health, safety and welfare of employees, students and citizens, which the university serves including the following described duties:

- Drivers with commercial driver’s licenses (CDL),
- Employees who are required to have a university certified driver’s license in their job description,
- Persons who carry a firearm for security purposes,
- Employees who control dispatch of emergency services,
- Employees who repair or maintain university owned or leased vehicles,
- All maintenance personnel including but not limited to electricians, plumbers, carpenters, etc.,
- All employees who maintain the critical infrastructure of the university including but not limited to database administrators, systems administrators, programmer and systems analysts, network support specialists, etc.,
- Persons required to use dangerous equipment in the course and scope of their jobs including saws, drills, torches, tractors, mowers, and other motorized equipment,
- Employees using chemicals or other dangerous substances in the course and scope of their jobs,
- Medical professionals including licensed doctors, licensed nurses, certified athletic -trainers.

**Facilities for Testing**

Employees selected for testing procedures shall report to the designated independent facility, or may be escorted by an authorized supervisor. A specimen will be collected and tested by an independently approved laboratory using valid, reliable testing procedures as outlined under U.S. DOT regulations at 49 C.F.R. part 40. The services of a medical review officer (MRO).
will be retained for proper laboratory results interpretation.

**Test Results**

Drug and alcohol screen test results will be reviewed by an independent MRO after receipt of the specimen by the laboratory. Employees who test positive for substances prohibited by this program shall be afforded an opportunity to consult with the MRO and to provide medical records or other biomedical information to assist the MRO in determining whether there is a legitimate medical explanation for the test results, including use of a legally prescribed medication. Upon review of all confirmatory tests and other medical records, the MRO shall issue a confirmation report verifying test results. The MRO's confirmation report and the results therein shall be deemed conclusive.

The MRO refers to a licensed physician who is responsible for receiving laboratory results generated by the employer's drug testing program, evaluation, interpreting and verifying those drug testing results in conjunction with an employee's medical history, and determining whether a positive result was caused by the use of prohibited drugs or by an employee's medical condition.

If a post-accident drug screen produces a positive result due to a safety sensitive employee’s lawful use of prescription medication which may impair judgement such as driving, handling equipment or making sound decisions, the employee will be removed from all safety sensitive work and, as soon as reasonably practical, discuss any limitations with the employee’s supervisor. An employee may be required to provide a doctor’s release to resume regular safety sensitive work duties.

The MRO shall have knowledge of substance abuse disorders and appropriate medical training to interpret and evaluate an individual's positive test result (as reported by the laboratory) together with his or her medical history and any other relevant biomedical information.

Any results below the minimum stipulated test levels for drug testing or under .02 for alcohol testing shall be considered a negative test result. Any employee with properly confirmed positive drug test results, or greater than .02 alcohol test as certified by the MRO, shall continue to be removed from any safety sensitive work and shall report to the supervisor upon request.

**Records**

All information from an employee's drug and alcohol tests is confidential, unless otherwise required by law. Records will be maintained in a secure manner so that disclosure of information to unauthorized persons does not occur.

**Appeal and Retesting**

Employees may appeal positive test results by submitting a written request to the director of human resources within 24 hours after being informed of the positive test result. The appellant has the right to have a second test performed at a certified laboratory of his/her choice. The specimen transfer between the laboratories will follow standard protocol. An MRO shall interpret the alternate laboratory's test results, considering the nature of the result and time...
elapsed since the original test. All expenses for such retests will be the responsibility of the appellant.

**Notice**

All new employees shall receive notice of this policy and be required to sign an acknowledgement of receipt. Failure to sign an acknowledgement of receipt shall not nullify the notice provided by the university. Existing employees will be notified of the policy and its revisions.

**Cross-reference:** Discipline and Discharge (11.4); Illicit Drugs and Alcohol Abuse (13.11); 49 C.F.R. §§ 40, 382

**Responsible for Implementation:** President

**Contact for Revision:** Director of Environmental Health, Safety, and Risk Management, Director of Human Resources, and General Counsel

**Forms:** Notice and Acknowledgement of Policy Receipt

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Early Registration Priority

Policy Number: 4.3

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

Date of last revision, if applicable: none - original July 25, 2017

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

Purpose of Policy (what does it do): allows priority registration for students with special scheduling circumstances

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: no changes recommended

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: July 25, 2017
Last Revision: None. April 18, 2020

The primary purpose of priority registration at Stephen F. Austin State University is to ensure that students with special scheduling circumstances have an opportunity to make adequate progress through their curricula toward graduation.

Generally, the criteria for approval to register early may include scheduling constraints related to academic programs or university related activities that cause students to travel away from campus.

Written requests for priority registration may be submitted by appropriate faculty or staff affiliated with student groups. A one-page rationale requesting special status should be sent to the office of the provost and vice president for academic affairs. Requests will be considered on a case-by-case basis by the Deans' Council.

The registrar will maintain a current list of those groups of students who have priority registration.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Electronic Signatures

Policy Number: 2.17

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

Date of last revision, if applicable:

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

Purpose of Policy (what does it do): The policy establishes guidelines for the use of electronic signatures, approvals, and records.

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: New policy

Please complete the appropriate section:

Specific rationale for new policy: Federal and state statutes provide that a record or signature may not be denied legal effect or enforceability solely because it is in electronic form. The policy provides guidance for all members of the university community as it applies to uses of electronic signatures to conduct university business with internal and external constituents.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Anthony Espinoza, Chief Information Officer
Gina Oglesbee, Chief Audit Executive
Damon Derrick, General Counsel
Electronic Signatures

Original Implementation: April 18, 2020

Last Revision: None

Federal and state statutes provide that a record or signature may not be denied legal effect or enforceability solely because it is in electronic form. The purpose of this policy is to establish guidelines for the use of electronic signatures, approvals, and records, to the fullest extent permitted by law, using secure and practical methods.

This policy applies to all members of the university community, including, but not limited to faculty, staff, students, affiliates and volunteers. It applies to all uses or potential uses of electronic signatures to conduct the official business of the university, including transactions with third-party vendors and contractors.

This policy does not mandate the use of electronic signatures or otherwise limit the rights of parties to conduct transactions on paper. This policy does not apply where a handwritten signature is required by applicable law. The policy does not apply to facsimile signatures used on checks issued by the university.

I. Definitions
   For the purposes of this policy, the university adopts the following definitions:

   A. Electronic means relating to technology having electrical, digital, magnetic, wireless, optical, electromagnetic, or similar capabilities.
   B. Electronic record means a record created, generated, sent, communicated, received or stored by electronic means.
   C. Electronic signature means an electronic sound, symbol, or process attached to or logically associated with a record and executed or adopted by a person with the intent to sign the record.
   D. Signature authority means the permission given or delegated to enter and make contracts, purchases, and agreements of any character on behalf of the university.
   E. Approved electronic signature method is one that has been approved by Information Technology Services in accordance with this policy and all applicable state and federal laws.

II. Approval of Electronic Signature Methods
   The final approval of any electronic signature method will be by Information Technology Services (ITS). ITS must approve all electronic signature methods to ensure that (i) the services have appropriate security procedures that can accurately attribute electronic records or electronic signatures to the individuals that created them; (ii) the services do not result in the remote storage of confidential or sensitive university records without appropriate safeguards; and (iii) the services comply with the requirements of all applicable legislation, including, but not limited to 1 TAC § 203.44.
ITS must also approve, in consultation with the General Counsel, all requests to use the secure, authenticated electronic signature application to create and send documents for signature.

III. Use of Electronic Signatures
Except as stated in Section IV, when applicable law or university policy requires a written signature on a document binding the university, an electronic signature will meet the requirement and will be accepted as legally binding and equivalent to a handwritten signature when an approved electronic signature service is used and signed by an employee with signature authority under university policy 1.3 (Contracting Authority).

IV. Exceptions to Use of Electronic Signatures
Electronic signatures cannot be used when university policy or federal or state laws or regulations do not allow their use. The following are important examples of documents that cannot be signed electronically. This list is not exhaustive:

A. Wills, codicils and testamentary trusts;
B. Promissory notes;
C. Any document required to accompany any transportation or handling of hazardous materials, pesticides or other toxic or dangerous materials;
D. Notices involving mortgages or leases that could lead to the loss of a primary residence;
E. Notices of the cancelation or termination of health insurance, health benefits, or life insurance benefits.

V. Accountability
Employees with signature authority are equally accountable for properly and appropriately executing documents on behalf of the university whether they sign the document manually or electronically.


Responsible for Implementation: Chief Information Officer

Contact for Revision: Chief Information Officer

Forms: None

Board of Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Employee Enrolling for Courses

Policy Number: 12.4

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

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

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

Purpose of Policy (what does it do): This policy permits full-time employees to take a course during working hours and describes the related requirements.

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

- [ ] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [x] 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: Contents of this policy have been incorporated with changes to 12.5 Lumberjack Education Assistance Program

Additional Comments:

Reviewers:

Dr. Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Employee Enrolling for Courses

Original Implementation: Unpublished
Last Revision: April 30, 2019

Purpose

This policy permits full-time employees to take a course during working hours and describes the related requirements.

General

If departmental workloads permit, full-time employees may take one course per semester of either three or four semester credit hours during working hours.

Approval of the employee's supervisor must be obtained in advance, and arrangements must be made with the supervisor to schedule make-up time for work missed. If work cannot be made-up, then the employee must turn in vacation or comp time for work time missed.

Exceptions to this policy will be considered, but approval must be obtained in writing from the employee's supervisor and the appropriate vice president.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Employee Terminations and Transfers

Policy Number: 11.10

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): This policy establishes the responsibilities and timing of required notifications when an employee is terminating employment of transferring to another department.

Reason for the addition, revision, or deletion (check all that apply):
☑ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes

Reviewers:

Dr. Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Employee Terminations and Transfers

Original Implementation: Unpublished
Last Revision: April 18, 2020

Purpose

This policy establishes the responsibilities and timing of required notifications when an employee is terminating employment or transferring to another department.

General

It is preferred that faculty, staff, and graduate assistant employees give at least two (2) weeks’ notice to their supervisors prior to termination or retirement from the university or transfer to another department. Supervisors are responsible for immediately notifying human resources of all faculty, staff, graduate assistant terminations, retirements, and transfers. Notification will be accomplished through completion of an Electronic Personnel Action Form (EPAF). University policy, Electronic Personnel Action Form (11.8) directs the preparation and processing of an EPAF.

Timely notification must be given to human resources prior to the termination, retirement, or transfer date preferably in the last week of employment, but must be given no later than the day the employee leaves his/her department. The purpose of this notification action is to alleviate security risks and prompt the termination of accounts such as email, long distance access, internet connectivity, purchasing privileges, computer system access and building access. This notice also alerts certain departments to verify whether or not the employee has outstanding financial matters to be resolved. If the employee has any outstanding debts to the university, the employee's department should notify payroll immediately so that the matter can be reviewed.

Early notification will not terminate an employee's accounts until the effective date. The EPAF process should be started as soon as possible to allow for routing through the appropriate channels for approval.

Failure of the department head to notify human resources in a timely manner may cause the employee's department to be charged for the employee's benefits unnecessarily since employees continue to have benefit coverage unless proper and timely notification has occurred.

As part of the exit process, the department in which the employee works must administer a departmental exit process to finalize business matters involving the terminating or retiring employee. This process, a departmental checklist form, is available on-line to assist the department in accomplishing this task. The departmental checkout form is to be signed by the department head and the employee and forwarded to human resources for the employee's personnel file. The department head is responsible for verifying whether or not all departmental business is cleared such as keys collected, credit cards returned, uniforms returned, files and equipment returned, time sheet signed and that the EPAF has been submitted.

All faculty, staff, and graduate assistant employees leaving the employment of the university are
highly encouraged to complete an exit interview or checkout procedure with human resources. The employee should contact human resources to schedule an exit interview, but it is the department head’s responsibility to ensure that the exiting employee meets with human resources before their last day of employment. Faculty, staff, and graduate assistant employees should clear all outstanding financial matters prior to their exit interview.

It is to the employee's benefit to have an exit interview where they will obtain information about their retirement funds, discuss benefits, and make arrangements for their last paycheck, and receive information regarding remaining leave time. It is important that a forwarding address be given to human resources so that the employee's W-2 and COBRA (health care continuation) information can be sent to them. The employee will be given an opportunity to complete a separation questionnaire during the exit interview. Employees who will be transferring to a state agency must meet with Human Resources for details to ensure efficient and timely transition.

Cross Reference: Electronic Personnel Action Form (11.8)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Electronic Personnel Action Form; Departmental Employee Checkout Form

Board Committee Assignment: Academic and Student Affairs
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: January 29, 2019

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

Purpose of Policy (what does it do): Guidelines for faculty compensation

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 Deans Council

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording change in Compensation for Adjunct Faculty for clarification: "years of relevant experience in discipline"

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: February 3, 2005
Last Revision: January 29, 2019/ April 18, 2020

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. 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. Salary recommendations by the academic unit head and dean are submitted to the provost for approval.

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, 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 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). 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 years of relevant experience in the discipline according to the following ranges:

<table>
<thead>
<tr>
<th>Years of Experience</th>
<th>Salary Range (per course)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Zero to Six</td>
<td>$2,500 - $3,000</td>
</tr>
<tr>
<td>Seven to Ten</td>
<td>$2,650 - $3,200</td>
</tr>
<tr>
<td>Over Ten</td>
<td>$2,800 - $3,800</td>
</tr>
</tbody>
</table>

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.

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).

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 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.

g. Associate Dean, Assistant Dean or Academic Unit Head Compensation: When appointed as an associate dean, assistant dean, or academic unit head, a faculty member may receive a combination of a stipend and reassignment time for performing administrative duties. See Academic Unit Head – Responsibilities, Selection, and Evaluation Appointments (4.24).

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 academic unit head and dean, subject to the approval of the provost and vice president of academic affairs.

b. Recommendations: Academic unit 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 academic unit head for use in consideration of a merit increase. See Faculty Merit Pay (7.6).

c. Salary Increases for Promotion: Faculty members, through the promotion process [see Academic Promotion of Full-Time Faculty (7.4)], are awarded increases in the subsequent budget year based on budgeted resources and the promotion rank.

Cross Reference: Academic Appointments and Titles (7.2); Academic Promotion of Full-Time Faculty (7.4); Academic Unit Head Appointments – Responsibilities, Selection, and Evaluation

12.6 Faculty Compensation
\(4.24\); Faculty Workload (7.13); Salary Supplements, Stipends and Additional Compensation (12.16); Compensation from Grants, Contracts and Other Sponsored Agreements (12.1); 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
POLICY SUMMARY FORM

Policy Name: Graduate Admission

Policy Number: 6.17

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

Date of last revision, if applicable:

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

Purpose of Policy (what does it do): Details requirements and criteria for students applying for graduate studies.

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: new policy

Please complete the appropriate section:

Specific rationale for new policy: Policy specifically addressing admissions for graduate studies

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
Graduate Admission

Original Implementation: April 18, 2020

Admission Requirements

Stephen F. Austin State University (SFA) encourages qualified students to apply for admission to Graduate Studies by using the electronic version of the Texas Common Application, which is available at [www.applytexas.org](http://www.applytexas.org).

Evaluation of transcripts is done by the Office of Research and Graduate Studies and the departments. All new and returning graduate applicants for admission are required to submit a nonrefundable application fee. Applicants for clear admission to SFA will be required to meet or exceed an overall GPA of 2.5. Applicants must have proof of bachelor's degree from a recognized accredited college/university as indicated on an official transcript.

Admission to Graduate Studies is under the discretion of the Dean of Research and Graduate Studies and the programs. Admission to the university does not automatically guarantee admission to a particular college, school, or program. An applicant admitted to a graduate program must enroll within one year of admission. When a graduate student, new or returning, does not register for courses in one year, that student must re-apply to the program to continue studies.

Admission Criteria

All students seeking admission to a graduate program should consult criteria directly with the graduate program advisor of the department in which they wish to study for specific additional requirements. Each department has the authority to set admission standards higher than the general criteria set by the university. Some graduate programs have higher GPA standards and require additional documentation such as the Graduate Record Examination, the Graduate Management Admission Test, essays, and letters of recommendations or resumes.

Transfer Credits

The university accepts transfer credits from accredited institutions as determined appropriate by the major departments’ program. Any course accepted by transfer will carry credit but no grade-point value. Moreover, to transfer credit, the student must have earned a grade of B or better on the course.

Degree Plan

Following admission to a graduate degree program, a student must confer with the graduate advisor in the major department. As soon as possible and preferably during the first semester or summer session of enrollment, a student should have a degree plan made by the graduate advisor in the major department. Hours earned in an SFA certificate program can be
considered for a graduate degree program.

Resident Status

The student who has not resided in Texas for 12 months immediately preceding the student's registration into the university will be classified as non-resident. A non-resident teaching assistant employed at least half-time in a position which relates to her or his degree program shall be entitled to pay the tuition and fees of a resident student. A non-resident student holding a competitive scholarship of at least $1,000 for the academic year awarded by a scholarship committee of SFA qualifies for resident tuition and fees.

Meningitis Vaccination

State law requires all entering or re-entering students to provide evidence of vaccination against bacterial meningitis or the appropriate documentation for exemption. A student is exempt if she/he is 22 years old or older by the first day of the semester in which she/he intends to enroll or if she/he is enrolled in online or distance-education courses only.

Cross Reference: General Bulletin; Graduate Bulletin; Course Grades (5.5)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Dean of Research and Graduate Studies

Forms: None

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Graduate Assistantships

Policy Number: 6.12

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

Date of last revision, if applicable: July 25, 2017

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

Purpose of Policy (what does it do): Definitions, guidelines and requirements for graduate assistantships

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

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

☐ Internal Review
☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: update titles and processes

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
Graduate Assistantships

Original Implementation: Unpublished
Last Revision: July 25, 2017/April 18, 2020

Stephen F. Austin State University offers three types of graduate assistantships (GAs):

Teaching Assistantship - A Graduate Teaching Assistant (GTA) works with students in a specific course or laboratory to provide support for the faculty member in charge, and, in some cases, to teach the course as the primary instructor, under the guidance of a faculty member.

Research Assistantship - A Graduate Research Assistant (GRA) is normally employed by the principal investigator of a funded research project or may be employed by an academic department in the pursuit of its broader research mission. The GRA will be assigned a range of duties, such as library searches, fieldwork, laboratory experiments, and preparation of reports. Work on a research project often leads to a thesis or dissertation or a professional presentation or publication, and provides long-range direction for the student's development as a scholar.

Administrative Assistantship - A Graduate Administrative Assistant (GAA) works with the administrative staff of a department, college, or campus office primarily in gathering, organizing, and analyzing information. The duties should be more advanced than those performed by undergraduate student assistants.

To be eligible for a GA, a student must have clear or provisional admission to the graduate school and the academic unit, and be in good academic standing. GAs assigned at the 50% rate (50% = full GA) are obligated to the academic unit to which they are assigned for approximately 320 hours per semester or twenty (20) clock hours per week. Those assigned to other percentages are obligated for a proportionate number of clock hours. GA work times and schedules are determined by the needs of the academic unit or department. The academic unit or department head is responsible for the selection, training, assignment of duties, and supervision of the GAs.

A GA must be enrolled for at least six semester credit hours (SCH) of graduate courses in a fall or spring semester, or three SCH in the summer. Should a GA fall below the required SCH minimum, the GA will not be eligible for an assistantship the following semester.

A GA who receives veteran's benefits or other resources may be required to take nine hours in a fall or spring semester in order to receive the additional benefits. A student eligible for additional benefits should consult the source of the additional funding to determine the number of hours he/she must be enrolled to receive the benefits.

A student must be approved for an assistantship by the academic unit head, dean, director of human resources, and dean of research and graduate studies. Appointment as a GA requires a clear background check and is completed only after the candidate has attended a mandatory new employee orientation session in the Department of Human Resources. All GAs must also complete an online GA Orientation module within their first month of employment. Except for students in the
Ed.D., Ph.D. and M.F.A. programs, or externally funded grant programs, a student normally may receive an assistantship for no more than four long semesters and two full summers.

**Cross Reference:** Graduate Bulletin

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

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

**Forms:** Application Form for Graduate Assistantships (available on the ORGS website and from the office of the academic unit head)

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: In-Residence Requirement

Policy Number: 6.15

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

Date of last revision, if applicable: July 25, 2017

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

Purpose of Policy (what does it do): Requirements for in-residence hours for undergraduate and graduate degree programs

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Revised wording from specific number of hours to percentage of degree programs. Added cross-references.

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
In-Residence Requirement

Original Implementation: January 25, 2000
Last Revision: July 25, 2017
April 18, 2020

The term "in-residence" includes on-campus, off-campus, distance education, field-based, practicum, internship, and thesis/dissertation work for master's/doctoral degrees. Only courses offered by Stephen F. Austin State University will be counted toward the in-residence requirement.

Undergraduate Degree Programs

Undergraduate degrees require at least 25 percent semester credit hours completed in-residence.

Undergraduate degrees with 120 hours total degree program hours require a

Undergraduate degrees require a minimum of 30 semester hours in-residence, all of which must be advanced work (300-400 level) semester credit hours. The in-residence hour requirement will be fulfilled as part of the individual discipline major which includes at least 12 advanced in-residence semester credit hours. Minor requirements may also contribute to the total in-residence hours as at least six advanced in-residence semester credit hours are required. The balance of in-resident hours will be fulfilled through additional advanced semester credit hours and may include further major and minor coursework.

Undergraduate degrees with more than 120 total degree program hour requirements will ensure semester credit hours for the specific discipline include at least 25 percent of total semester credit hours in-residence.

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

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

Graduate Degree Programs

Graduate degrees require at least one third of total semester credit hours completed in-residence.

Master's degrees require a minimum of 24 semester hours completed in-residence, regardless of the total degree program hours required for the specific degree. Specific minimum. Doctoral degree in-residence requirements are determined by each college.

Cross Reference: 6.20 None; SACS 9.4 Institutional credits for an undergraduate degree; SACS
9.5 Institutional credits for a graduate/professional degree

**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
POLICY SUMMARY FORM

Policy Name: Longevity Pay and Hazardous Duty Pay

Policy Number: 12.13

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): This policy establishes eligibility for longevity pay and hazardous duty pay and prescribes amounts to be paid.

Reason for the addition, revision, or deletion (check all that apply):
- [X] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Longevity Pay and Hazardous Duty Pay

Original Implementation: Unpublished
Last Revision: April 18, 2020

Purpose

This policy establishes eligibility for longevity pay and hazardous duty pay and prescribes the amounts to be paid.

General

Non-academic, full-time employees working at least 40 hours a week in one position, are entitled to longevity pay in the amount of $20 per month for each 2 years of state service. When appointments are added together, an eligible employee may be paid longevity pay if the sum of the scheduled work hours in all non-academic appointments is 40 or more hours. Longevity pay is capped at $420 per month. At the time of initial employment, employees are required to report prior employment with other state of Texas agencies or institutions of higher education. The new employee will be asked to provide prior state employment information to human resources during the new employee orientation. Prior state employment is verified by human resources. SFA Charter School teachers are excluded from this policy.

Commissioned law officers are entitled to hazardous duty pay in lieu of longevity pay. In most cases, the amount of a full-time employee’s hazardous duty pay is $10 per month for each 12-month period of lifetime service credit accrued by the employee.

Cross Reference: Tex. Gov’t Code §§ 659.041-.047, .305; Texas Comptroller guidelines on longevity pay and hazardous duty pay

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
POLICY SUMMARY FORM

Policy Name: Out-of-State Course Delivery

Policy Number: 5.15

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

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

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

Purpose of Policy (what does it do): rules/guidelines for courses offered out of the State of Texas

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, update one deadline

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
Out-of-State Course Delivery

Original Implementation: September, 1981
Last Revision: January 31, 2017 April 18, 2020

Out-of-state courses occur when the majority of instruction takes place beyond the state’s borders. This does not include courses in which incidental travel outside Texas occurs for enrichment activities, nor does this include online courses taught by instructors residing outside Texas. Prior approval is required for any out-of-state course offering, with different forms and routing processes for domestic and international travel.

The Texas Higher Education Coordinating Board (THECB) establishes the following rules for any out-of-state course.

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

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

- Prior to February 1 for delivery in the following fall semester;
- Prior to June 1 for delivery in the following spring semester;
- Prior to November 1 for delivery in the following summer semester; and
- Prior to May 1 for delivery of any international course for the upcoming academic year.

5.15 Out-of-State Course Delivery
Any agreement with a travel agency, carrier, or vendor will be reviewed by the general counsel prior to implementation.

Students must be informed in writing when any contract for transportation, lodging, or food has been made with a travel agency or carrier. This information must also be clearly stated that SFA is responsible only for instruction and academic credit.

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

State bid procedures must be followed. Trip directors may be required to submit requests for bids or justifications for contracts with specific vendors or agents.

Faculty members leading study abroad groups typically have all of their trip-related expenses paid through the study abroad program – mileage to airport, parking (or cost of rental car), airfare, local transportation, entrance fees, meals, lodging, insurance, telephone charges related to the trip. However, no separate travel allowance for the instructor will be provided unless a specific exception is made by the provost and vice president for academic affairs.

**Cross Reference:** Tex. Educ. Code § 61.0512(g); 19 Tex. Admin. Code §§ 4.270-.279

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

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

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

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Recombinant DNA and/or Infectious Biohazards in Teaching and Research

Policy Number: 8.9

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

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

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

Purpose of Policy (what does it do): Guidelines for use of recombinant DNA and/or infectious biohazards in teaching and research

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 for clarification and format corrections

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
Recombinant DNA and/or Infectious Biohazards in Teaching and Research

Original Implementation: January 29, 2013
Last Revision: January 31, 2017; April 18, 2020

I. Purpose

The Institutional Biosafety Committee (IBC) at Stephen F. Austin State University (SFA) is responsible for the review of proposed research activities that involve biological agents, toxins, or recombinant DNA (rDNA). This review process ensures that all university activities comply with government regulations set forth by the National Institutes of Health (NIH), the Centers for Disease Control and Prevention (CDC), the U.S. Department of Agriculture (USDA), the U.S. Department of Health and Human Services (HHS), and the latest Select Agent Regulations (7 CFR Part 331, 9 CFR Part 121, and 42 CFR Part 73), as applicable.

The IBC shall consist of university faculty and community representatives as set forth by the NIH Guidelines, and will meet monthly, or on an as-needed basis. In addition to ensuring compliance with federal agency requirements, the main goal of the IBC is to minimize risks to faculty, staff, students, facilities, the community, and the environment. All IBC procedures should be followed in conjunction with other relevant SFA policies and procedures.

II. Scope

This policy applies to all activities, teaching or research, that involve rDNA and/or biohazardous materials as defined in Section III, below, that are:

- conducted by university faculty or staff;
- conducted using property and/or facilities owned by the university; and/or
- stored at any university-owned facility

Environmental Health, Safety, and Risk Management Department (EHSRM) and IBC procedures apply to all faculty, staff, students, visitors, and agents (and their employees) that are engaged in teaching or research activities involving rDNA and/or biohazardous materials.

III. Definitions of rDNA and/or Biohazardous Materials

A. rDNA

The NIH Guidelines for Research Involving Recombinant DNA Molecules (NIH Guidelines) define rDNA molecules as either: (1) molecules that are constructed outside of living cells by joining of natural or synthetic DNA segments to DNA molecules that can replicate in a living cell; or (2) molecules that result from the replication of those described in (1) above. Synthetic
DNA segments that have the potential to produce harmful or potentially harmful polynucleotides or polypeptides (e.g. toxins, and pharmacologically active agents) are considered equivalents to their natural DNA counterparts.

B. Infectious Biological Agents
Infectious biological agents include biological agents and/or biologically-derived materials that present or that may present a risk to the health and welfare of humans or animals, whether directly through infection or indirectly through damage to the environment. Categories of potentially infectious biological materials include:

- human, animal and plant pathogens (bacteria, parasites, fungi, viruses, prions);
- all human blood, blood products, tissues, and bodily fluids;
- cultured cells and potentially infectious agents these cells may contain or can support the proliferation of;
- clinical specimens; and
- infected or potentially infected animals and animal tissues

C. Select Agents and Toxins
The Department of Health and Human Services (HHS), Centers for Disease Control and Prevention (CDC), and the United States Department of Agriculture (USDA) have identified select agents and toxins that have a high potential to pose a major threat to public, animal or plant health. These agents are subject to protocol and regulatory oversight by these agencies. The HHS/CDC list of select agents and toxins (including those that overlap with USDA) are identified at 42 CFR 73.3 (HHS list) and 42 CFR 73.4 (Overlap list). The USDA list of select agents and toxins are identified at 9 CFR 121.3.

Because SFA does not have a permit of registration with the CDC or USDA, the receipt, use, or storage of select agents and toxins that are not deemed to be excluded by HHS criteria are prohibited.

IV. Risk Assessment and Selection of Appropriate Safeguards
Teaching or research activities that involve rDNA and/or biohazardous materials are classified on the basis of potential risk to humans. Risk classification determines the type of biological and physical containment level(s). There are no facilities at the university certified to conduct research or teaching above Biosafety Level 2 (BSL-2) and above Risk Group 2 (RG-2).

A. Risk Group Classification
Agents are classified into two risk groups according to their relative pathogenicity for healthy adult humans. These two risk groups are:

- Risk Group 1 (RG-1) – Agents that are not associated with disease in healthy adult humans.
- Risk Group 2 (RG-2) – Agents that are associated with human disease that is rarely serious and for which preventative or therapeutic interventions are often available.

B. Biological and Physical Containment (Biosafety Level)
The final assessment of risk, based on the agent’s risk group and other risk factors, should be used to determine the appropriate biosafety level (BSL-1 or BSL-2) for the rDNA and/or biohazardous materials. The level of biosafety describes the degree of physical and biological containment required to contain rDNA and/or biohazardous materials in order to reduce or eliminate the potential for exposure of all personnel, whether inside or outside of the facility, as well as the environment.

Following is a general description of the acceptable biosafety levels at the university:

- Biosafety Level 1 (BSL-1) – Suitable for work involving biohazardous materials of a minimal potential hazard to personnel and the environment.
- Biosafety Level 2 (BSL-2) – Suitable for work involving biohazardous materials of a moderate potential hazard to personnel and the environment. The biohazardous materials are associated with human disease that is rarely serious and for which preventative or therapeutic interventions are often reliable.

Additionally, there are specific biosafety levels for work with rDNA and/or biohazardous agents involving plants or animals. Additional information on these can be found in the BMBL and the NIH Guidelines Section III and Appendix P (plants) and Q (animals).

V. Responsibilities

The provost and vice president for academic affairs is responsible for compliance with this policy and accompanying procedures. It is the role of the IBC to review, approve/reject, and provide oversight and guidance to individuals at the university, or that use property owned by the university, who seek to use or possess rDNA and/or biohazardous materials for teaching or research. The possession and/or use of rDNA and/or biohazardous materials at the university must be conducted with safeguards in place to protect against environmental release.

A. Laboratory Supervisors, Faculty and Staff Responsibilities

- Obtain IBC approval and meet all other requirements prior to initiating or modifying any teaching or research involving rDNA and/or biohazardous materials;
- Immediately report any significant problems or accidents and illnesses to the EHSRM, the IBC chair, and any other university committee or official that has reviewed and approved the research activity (e.g. the Institutional Animal Care and Use Committee or the Radiation Safety Officer);
- Comply with all local, state, and federal requirements when teaching or research involves rDNA and/or biohazardous materials;
- Comply with all local, state and federal requirements when teaching or research involves rDNA and/or biohazardous materials;
• Develop Standard Operating Procedures (SOPs) incorporating biosafety procedures or a biosafety manual prepared specifically for the teaching or research classroom or laboratory;
• Ensure that all personnel and students are properly trained on the potential hazards associated with the teaching or research activities and the necessary precautions to prevent exposures;
• Provide personal protective equipment required for work with the respective rDNA and/or biohazardous material;
• Supervise the safety performance of the teaching or research staff and personnel to ensure that the required safety practices and techniques are employed;
• Correct work errors and conditions that may result in the release of rDNA and/or biohazardous materials;
• Ensure the integrity of the biological and physical containment (biosafety level);
• Ensure the security of rDNA and/or biohazardous materials at all times; and
• Initiate or modify no rDNA research that requires prior IBC approval before initiation, until that research or the proposed modification(s) has been approved by the IBC and has met all other requirements.[01]

B. Environmental Health, Safety, & Risk Management Responsibilities:
• Inspect periodically (minimum of one per fiscal year) all laboratories and classrooms conducting rDNA and/or biohazardous research to ensure that proper standards are strictly followed.;
• Ensure that each laboratory has up-to-date standard operating procedure manuals that meet EHSRM standards.;
• Report to the IBC Chair any significant problems, violations of NIH Guidelines, and any significant accidents or illnesses.;
• Assist the laboratory personnel with the development of emergency plans for handling accidental spills and personnel contamination.;
• Investigate accidents involving rDNA and/or biohazardous materials.
• Adopt and implement emergency plans set forth with the assistance of the safety officer for accidental spills and personnel contamination.;
• Provide information on spills and incidents to public health officials as required.;
• Provide advice on laboratory security.;
• Provide advice to the IBC, faculty and staff on safety procedures.

C. IBC Responsibilities
• Review and consider for approval, including initial annual review of approval, and modifications, proposals for teaching or research activities involving rDNA and other potentially hazardous agents that are sponsored by, or conducted at, the university for compliance with the NIH Guidelines. This relates to initial and annual review of approval and modifications to all proposals and activities.;
• Assess facilities, procedures, practices, training, and expertise of personnel taking part in
such teaching or research; 

- Notify the EHSRM of the IBC’s review results, including approval or rejection, and the Office of Research and Sponsored Programs for externally funded research activities.
- Assess, modify and finalize containment levels for teaching or research;
- Review and report any significant problems with or violations of the NIH Guidelines, accidents, or illnesses to the provost and vice president for academic affairs and to the NIH OBA as required by section IV-B-1-j of the NIH Guidelines.

**Cross Reference:** *NIH Guidelines for Research Involving Recombinant DNA Molecules; Biosafety in Microbiological and Biomedical Laboratories* (BMBL); 7 CFR Part 331; 9 CFR 121.3; 42 CFR 73.3-.4.

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

**Contact for Revision:** Institutional Biosafety Committee Chair

**Forms:** Permit Registration, Annual Renewal, Adverse Event, BSL2 SOP Template, BSL2 Manual Template

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Research Enhancement Program

Policy Number: 8.11

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

Date of last revision, if applicable: April 25, 2017

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

Purpose of Policy (what does it do): Description and guidelines for the research enhancement 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: Update description, eligibility, and compliance requirements. Delete reference to Graduate Research Program. Update titles.

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
Research Enhancement Program

Original Implementation: September 1965  
Last Revision: April 25, 2017 18, 2020

The Research Enhancement Program at Stephen F. Austin State University (SFA) encourages and enhances research and creative opportunities for faculty members, serves as support for innovative research, and provides seed monies to attract external funding.

Description: The Research Enhancement Program consists of three-two components: (1) the Faculty Research Grant Program, which provides substantive support for research and scholarly creative activities; and (2) the Minigrant Program, which provides opportunities for faculty to carry out small projects or preliminary research activities that will increase their competitiveness in acquiring additional funding; and (3) the Graduate Research Assistant (GRA) Program, which provides support for graduate students working toward research-based theses and dissertations.

Eligibility: Individuals with a full-time, tenured or tenure-track academic appointment as professor, associate professor, assistant professor, instructor, or librarian I-IV are eligible to apply for Faculty Research Grants and Minigrants. Members of the graduate faculty serving as faculty advisors may apply for GRA support on behalf of their students.

Compliance: Recipients of research enhancement funds are subject to university policies as well as state and federal rules and regulations. For research projects involving human subjects, laboratory animals, or hazardous materials, or exports, the applicant must provide a memorandum of approval from the chair of the appropriate university committee to the Office of Research and Sponsored Program (ORSP). Graduate Studies (ORGS) prior to project implementation.

Faculty Research Grant (FRG) and Minigrant (MG) Programs: The University Research Council (URC) establishes guidelines for the content and format of proposals and creates criteria for the evaluation of applications. These guidelines include, at a minimum, the following provisions:

1. Funds cannot be used by faculty or students to obtain advanced academic degrees; however, these funds may be used by faculty to hire students to work on specific aspects of a project.
2. An applicant with an FRG or MG award must follow URC guidelines.
3. Funds cannot be used to supplant funding for research activities or equipment provided by another source.
4. Recipients must submit progress and/or final reports as required by ORSP/ORG.
5. Any publication, presentation, or exhibition resulting from an FRG or MG must acknowledge the support provided by the Research Enhancement Program at SFA.
6. The project director must submit copies of publications, exhibitions, or other media to ORSP ORS and may also send this to the Center for Digital Scholarship.

The URC makes recommendations for funding of FRGs to the chair of the council. If an award exceeds $5,000, the provost and vice president for academic affairs must approve the funding.
Graduate Research Program: Faculty advisors may identify and submit applications on behalf of graduate students.

The content, format, and criteria for evaluation are determined by the URC. These guidelines include, at a minimum, the following provisions:

1. Awardees must be working toward a research-based thesis/dissertation or equivalent project. Non-thesis graduate students are ineligible.
2. Students receiving awards must be released from teaching responsibilities.
3. Graduate Research Assistantships can be up to twelve (12) months in duration. Faculty sponsors can apply for a second 12-month assistantship for a student, but assistantships may not exceed a total of 24 months per student. For continued funding, the faculty sponsor must demonstrate student progress to the URC each semester.

The FRG proposals are submitted and filed in the ORGS. The URC makes recommendations for funding to the chair of the council who, in turn, must obtain approval from the dean of the graduate school ORGS for funding. If approved, the dean of ORGS chair of the council notifies the provost and vice president of academic affairs (PVPAA) of the recommended FRG awards. The PVPAA-provost and vice president of academic affairs approves and notifies the recommended recipients of the FRG.

Cross Reference: Human Research Subjects Protection (8.4); Institutional Animal Care and Use Committee (8.6); Recombinant DNA and/or Infectious Biohazards in Teaching and Research (8.9) Export Control (2.15)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Director, Office of Research and Sponsored Programs/Dean Office of Research and Graduate Studies

Forms: Faculty Research Grant and Minigrant applications

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Selection of Vice Presidents, Athletic Director, and Head Coaches

Policy Number: 1.8

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

Date of last revision, if applicable: 4/21/2018

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy provides the authority for the Board of Regents to be notified of a vacancy and engage in the selection of a vice president, athletic director, head coach, chief information officer or the executive director of enrollment.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Policy name change and minor wording changes for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Scott Gordon, President
Damon Derrick, General Counsel
Selection of Vice Presidents, Athletic Director, Positions Reporting to the President and Head Coaches

**Original Implementation:** April 21, 1998  
**Last Revision:** October 29, 2018, April 18, 2020

The chair of the Board of Regents shall be notified in the event of a vacancy in the positions of vice president, athletic director, any position reporting directly to the president and head coaches. The Board of Regents may participate at its discretion in the selection of the vice presidents, athletic director, any position reporting directly to the president and head coaches prior to the obligation of those positions.

**Cross Reference:** None

**Responsible for Implementation:** President

**Contact for Revision:** President

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs Committee
POLICY SUMMARY FORM

Policy Name: Selective Service Registration

Policy Number: 11.26

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): This policy establishes the requirement that prescribed individuals must provide proof of selective service registration prior to beginning employment with the university.

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

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

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes

Reviewers:

Dr. Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Selective Service Registration

Original Implementation: October 26, 1999  
Last Revision: April 18, 2020

Purpose

This policy establishes the requirement that prescribed individuals must provide proof of selective service registration prior to beginning employment with the university.

General

All male citizens/nationals from eighteen up to twenty-six years of age must provide proof of registration or proof of exemption from registration with the selective service system prior to beginning employment with Stephen F. Austin State University. Upon attaining reaching the 26th year of age, the registration verification process is no longer applicable.

This verification requirement is applicable to all categories of employees including faculty and student employees, staff employees, and temporary and casual employees. staff, casual, temporary, and student. The registration requirement does not apply to a person employed by SFA before September 1, 1999 as long as the person's employment by SFA is continuous.

The following persons are exempt from the requirement to register:

- Females
- Lawfully admitted non-immigrant aliens on visas (such as those men on visitor or student visas and members of diplomatic or trade missions and their families) because they are residing in this country temporarily
- Members of the Armed Forces on full-time active duty, including cadets and midshipmen at the United State service academies
- All males who have reached age 26
- Females

Exemptions to the selective service requirement will be reviewed on a case-by-case basis.

The following guidelines should be followed for the employment process:

- Any offer of employment is considered conditional until proof of registration is documented.
- This information verification will be gathered obtained by human resources during the new employee orientation process. At that time, the data is verified in a government database and if the individual is not registered, he must do so immediately in order to be eligible for state employment.

Cross Reference: Tex. Gov’t Code § 651.005

Responsible for Implementation: Vice President for Finance and Administration
Contact for Revision: Director of Human Resources

Forms: SFA Selective Service Registration Verification Form

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: University Website

Policy Number: 15.10

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 University Advancement

Purpose of Policy (what does it do): Designates responsibility for university websites, including technical responsibility, accuracy, style and format. The policy also provides information regarding outsourcing, e-commerce and ADA compliance.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: August 1, 2000
Last Revision: April 25, 2021, 2020

The Stephen F. Austin State University website is an important communication tool for the university and the source of vital information for prospective and current students, as well as faculty and staff, among other audiences. The quality of the university is evaluated in part by its online content.

University Marketing Communications provides best-practice guidelines, which are updated from time to time. Current guidelines may be found on the university website.

I. Responsibility
   a. Management of the website, led by University Marketing Communications, strives to ensure that information is accurate and easily accessible, while recognizing the contributions of university colleges, schools, departments and programs.
   b. The administrative head of each campus organizational unit maintaining a website is responsible for seeing that the site adheres to this and other university policies.
   c. Every organizational unit head shall designate an individual(s) to serve the following functions: website editor, and, if applicable, server administrator. (The same person may serve in both of these capacities.) To ensure continuity of service, these individuals must be regular (non-student) university employees. However, the organizational unit head is responsible for the unit's website and its adherence to university Web policy and practices provided by University Marketing Communications. Careful thought must be given to the collection of site content and the ongoing responsibility of site maintenance.
   d. Each organizational unit head will keep University Marketing Communications apprised of the current designees and will assist University Marketing Communications in ensuring that all of the designees' responsibilities have been fulfilled.

II. Technical Requirements
   a. Duplication. To facilitate revisions and prevent contradictory information from appearing on the university website, unit website editors should not duplicate information already on the university website, but rather should link to information on the site of the office primarily responsible for the function or activity. Information should be entered into the university's content management system and used from the system when available.
   b. Identification. Each website associated with SFA must be clearly identified. The name of the organizational unit should be on every page it creates.
   c. Required page links. Documents should be designed to minimize users’ reliance on navigational aids in browsers. Links must be provided on each page back to the
homepage for that document or collection, and for the homepage, back to the sponsoring department or unit. Each department or unit homepage must include a link back to the university homepage. Other links may be required for different websites as directed by University Marketing Communications.

III. **Style and Format**
   a. University websites should maintain a uniform and consistent appearance; therefore all university websites shall use the university’s Identity Standards that are posted on University Marketing Communications’ website. Individual faculty members designing personal websites, as well as websites designed, hosted, and published pursuant to a properly executed written agreement with a third-party vendor that has been signed by the president, are excluded from this provision.
   b. The university seal is reserved for use by the Office of the President and may only be used by other departments with the permission of the Office of the President. The university logo is to be used on university websites as per the university’s Identity Standards manual.
   c. The Identity Standards manual shall be developed by University Marketing Communications and approved by the president. It may be modified upon approval of the president.

IV. **Outsourcing**
   An organizational unit that is considering contracting outside the university for web development, paid or volunteer, should contact University Marketing Communications first. University Marketing Communications will work with units and their consultants to help ensure that the final product of outsourcing efforts complies with university policy and that the final site supports the mission and goals of the unit and the university effectively.

V. **Content**
   Responsibility for accuracy of website content is the responsibility of everyone in the university, especially the deans, directors, managers and their designees:
   a. Faculty Web pages must be approved by the relevant dean or designee.
   b. Unit Web pages must be approved by the relevant director/manager or designee.
   c. The university home page and top-level pages must be approved by University Marketing Communications.
   d. Administrative material, e.g. policies and minutes of meetings, are to be approved through appropriate administrative channels prior to posting.
   e. Obsolete or out-of-date material must be removed as soon as practical.
   g. Links on the university homepage and index pages to material that is considered obsolete will be removed by University Marketing Communications.

VI. **E-commerce Activity**
   The university offers a secure method to support e-commerce activities. Contact marketplace@sfasu.edu for more information about establishing e-commerce service on a university website.
VII. Copyright and Privacy
Copyright laws and university copyright policy must be followed. Information created by a government agency is largely considered to be in the public domain. "Found" graphics or outside information must not be used on websites without proper attribution or permission.

VIII. Commercial Activity
Commercial activity for personal gain is not permitted on any site operated with university resources, nor may readers be automatically re-directed from a university website to an external website that may result in personal financial income for any university employee.

IX. ADA Compliance
Websites must be in compliance with accessibility requirements. See the state of Texas website Rules and Regulations for additional information on meeting requirements of the Americans with Disabilities Act (ADA).

X. Exceptions
All requests for exemptions from these standards must be submitted in writing to University Marketing Communications prior to a website launch.

Cross Reference: 1 Tex. Admin. Code §§ 206.1-.2, .70-.75; Web Accessibility Page; Accessibility of Electronic Information Resources (16.9)

Responsible for Implementation: Vice President for University Advancement

Contact for Revision: Executive Director of University Marketing Communications

Forms: None

Board Committee Assignment: Academic and Student Affairs
Building and Grounds Committee
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:

- Firearms, Explosives and Ammunition 13.9
- Training and Certification of University Vehicle Operators 13.23
- Vehicle Repair and Maintenance 16.34
POLICY SUMMARY FORM

Policy Name: Firearms-explosives-and-ammunition

Policy Number: 13.9

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: Chief of University Police; Director of Environmental Health, Safety, and Risk Management

Purpose of Policy (what does it do): Provides information and protocol for firearms, explosives and ammunition on campus.

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

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

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: n/a

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

John Fields Jr., Chief of Police
Jeremy Higgins, Director Environmental Health, Safety, and Risk Management
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Firearms, Explosives and Ammunition

**Original Implementation:** Unpublished
**Last Revision:** April 25, 2017 - April 18, 2020

Firearms, ammunition, explosive devices, or illegal knives may not be brought on to the campus of Stephen F. Austin State University or any property which is owned, leased, or operated by the university, or a passenger vehicle which is owned, leased, or operated by the university, without the written permission of the president unless otherwise specified by this policy. Requests for permission must be submitted in writing to the chief of university police, or designee, at least fifteen (15) business days prior to the date the requestor seeks to bring such an item on campus. The chief will forward the request to the vice president for university affairs with a recommendation for approval or rejection, with a copy provided to the director of environmental health, safety & risk management. The vice president for university affairs will review the request with the president, who will make the final decision. The president will notify the requestor, the chief of university police and the director of environmental health, safety & risk management of his/her final decision.

Notwithstanding the foregoing, effective August 1, 2016, a concealed handgun license holder may carry a concealed handgun in accordance with Texas Government Code Section 411.2031 and other applicable law, subject to the reasonable rules and regulations in Appendix 1. A concealed handgun license holder is responsible for knowing areas where carrying a concealed handgun is prohibited where notice is not required to be posted. A concealed handgun license holder is not required to disclose whether that person has a license or is currently carrying a concealed handgun to anyone except a magistrate or peace officer.

**Cross Reference:** Tex. Gov’t Code § 411.2031; Tex. Penal Code §§ 46.03-.035

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

**Contact for Revision:** Chief of University Police; Director of Environmental Health, Safety, and Risk Management

**Forms:** Request for Use of Prohibited Materials

**Board Committee Assignment:** Building and Grounds
<table>
<thead>
<tr>
<th>LOCATION/ACTIVITY</th>
<th>POLICY</th>
<th>CROSS REFERENCE</th>
<th>UNIQUE ENVIRONMENT/SAFETY CONSIDERATIONS/OTHER COMMENTS</th>
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</thead>
<tbody>
<tr>
<td>1.1 Campus Storage – General</td>
<td>No on-campus storage for handguns will be provided; License holders may store handguns at the University Police Department (UPD) in accordance with UPD policies and procedures.</td>
<td>Tex. Gov’t Code § 411.2031(d)</td>
<td>An institution of higher education may establish rules, regulations or other provisions concerning storage of handguns in dormitories or other residential facilities owned or leased and located on the campus of the institution.</td>
</tr>
<tr>
<td>1.2 Campus Storage – Residential Facilities</td>
<td>License holders residing in campus housing may carry a concealed handgun into campus housing and may store his/her handgun in campus housing except during extended periods of absence, such as spring break and the periods between the fall and spring semesters. When storing a handgun in campus housing, he/she must store the handgun in his/her residential room, in a secured area or occupant-provided locked and secure container. Handguns may not be stored in designated campus housing during summer camps. Handguns may never be stored in campus housing by non-resident persons or any person other than the residential room occupant. Residents may not store a handgun for any other resident or person.</td>
<td>Tex. Gov’t Code § 411.2031(d)</td>
<td>An institution of higher education may establish rules, regulations or other provisions concerning storage of handguns in dormitories or other residential facilities owned or leased and located on the campus of the institution.</td>
</tr>
<tr>
<td>1.3 Campus Storage – Full-time Residential Staff</td>
<td>License holders who are employed as full-time residential staff in campus housing may store his/her handgun in his/her residence at all times in a secured area or resident- provided locked, secure container.</td>
<td>Tex. Gov’t Code § 411.2031(d)</td>
<td>An institution of higher education may establish rules, regulations or other provisions concerning storage of handguns in dormitories or other residential facilities owned or leased and located on the campus of the institution.</td>
</tr>
</tbody>
</table>
### 2. Particular Locations/Activities as Gun-Free Zones

| 2.1 Early Childhood Research Center, including fenced grounds, and surrounding premises such as walkways, driveways, and parking lots when used for school-sponsored or day care-sponsored activities | Concealed carry prohibited. | Tex. Penal § 46.03(a)(1); Tex. Educ. § 37.125; 40 Tex. Admin. Code § 746.3707 | The Charter School serves Kindergarten through 5th grade children and is unique to most universities. It is located within Early Childhood Research Center (ECRC) Building with adjacent grounds. The Early Childhood Lab licensed day care center, serving infants, toddlers, and pre-K and is also located within the Building with adjacent grounds. Significant excludable use of the building together with the inability to segregate the excludable space renders it impracticable to parcel building into carry and non-zones. |

| 2.2 The Human Services building (other than the Telecommunications area), Student Health Clinic, 3rd floor of Rusk Building. | Concealed carry prohibited. | Tex. Gov’t §§ 411.172, 2031(d-1); Tex. Penal Code § 46.035(b)(4) | The Human Services building numerous physical and mental clinics, labs, and offices for and treatment of children and from the campus and located in various rooms on floor of the building. These the Little Jacks, pre-school for children with communication difficulties (1st Floor), Human Neuroscience Laboratory (1st Rehabilitative Services Career Planning Laboratory (1st Floor), Stanley Speech and Hearing (2nd Floor), Voice and Speech Laboratory (2nd Floor), Cole Laboratory (2nd Floor), Clinic (2nd Floor), School Assessment Center (2nd Floor), Skills Clinic, includes client populations with Autism (2nd Office of Rehabilitative Services Floor), Office of Disability includes testing accommodations Floor), and Office of Assistance |

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13.9 Firearms, Explosives and Ammunition
Rehabilitative Services (DARS)(3rd Floor). The building and uses are unique in the campus. Many of the services address issues related to the physical-psychological-emotional status of clientele representing populations across the developmental lifespan. Safety considerations are also paramount for the clientele and providers. The 3rd floor of the Rusk Building includes Counseling Services. The Student Health Clinic and Counseling Services on the 3rd Floor of the Rusk Building provide outpatient medical care and mental health counseling services, respectively, to campus students. The significant excludable use of the Human Services building, the Student Health Clinic, and the 3rd floor of the Rusk Building, together with the inability to effectively segregate the excludable space (other than the Telecommunications area of the Human Services building) renders it impracticable to parcel the building into carry and non-carry zones.
| 2.3 | The 3rd Floor of the Rusk Building and Conference Room 301 in the Human Services building. | Concealed carry prohibited. | Tex. Gov’t § 411.2031 (d-1); Tex. Penal § 46.03(a)(3) | The Texas Penal Code firearms “on the premises of government court or office utilized the court.” Formal hearings and grievance actions adjudicatory activities and may highly emotional and events as unique environments Justifying special safety considerations for participants. Counseling Services (see also 2.2) the Office of Student Rights Responsibilities engages in such activities and comprise substantial usage and space on the 3rd floor the Rusk Building. The excludable use of the 3rd together with the inability to effectively segregate the space renders it impracticable parcel the floor into carry and carry zones. Conference Room 301 the Human Services Building is location used for both student employee disciplinary and hearings. |
| 2.4 | A location where a high school, collegiate, or professional sporting event is taking place as prohibited under section 46.035(b)(2) of the Texas Penal Code, or where a sports club or intramural athletic competition is taking place. | Concealed carry prohibited. | Tex. Penal Code § 46.035(b)(2) | Under the Texas Penal Code, a person commits an offense by carrying a handgun on the premises when a high school, collegiate, professional sporting or interscholastic event is taking place. Intramural and club sporting events are events of a similar nature and possess the same safety considerations as those provided for in the Penal Code. |
| 2.5 | Nonpublic, secure portions of the University Police Department | Concealed carry prohibited. | Tex. Gov’t Code § 411.207(b) | A peace officer who is acting in the lawful discharge of the officer's official duties may temporarily disarm a license holder when a license holder enters a nonpublic, secure portion of a law enforcement facility. |
| 2.6 | Occasional, reasonable, temporary restrictions by the president for up to five (5) days, renewable in the president’s discretion. | Concealed carry prohibited. | Tex. Gov’t § 411.2031(d-Tex. Att’y Gen. Op. No. KP-0051(2015) | Specific, occasional occurrences events will arise from time to time the campus environment safety considerations. The prohibition of concealed carry by president in such circumstances both prudent and necessary and not violate the letter or spirit of law. Other temporary include locations where carry is otherwise prohibited by (e.g. court hearings, polling locations). |
POLICY SUMMARY FORM

Policy Name: Training and Certification of University Vehicle Operators

Policy Number: 13.23

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: President, Chief of University Police and Director of Environmental Health, Safety, and Risk Management

Purpose of Policy (what does it do): Provides information the drivers certification processes.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: n/a

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor changes/updates were done

Reviewers:

John Fields Jr., Chief of Police
Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Training and Certification of University Vehicle Operators

**Original Implementation:** May 4, 1983

**Last Revision:** April 25, 2017February 18, 2020April 18, 2020

Driver certification is required for any all university employees who must are required to drive a university vehicle within the scope of his/her employment. For the purposes of this policy the term, “university vehicle,” means any vehicle owned or leased by the university.

To operate a university vehicle, an employee must be designated by their employing department, college, or division as a driver and be certified as an approved driver by the SFA University Police Department Department of Public Safety (UPD/DPS).

*In order* To obtain certification a driver must submit an application (application can be located at http://www.sfasu.edu/upd/defensive-driving.asp), available from the SFA UPD websiteDPS, and provide evidence of the following:

- An appropriate Valid Texas driver’s license, or a valid out of state license if the employee is an active duty member of the military or reserves;
- Satisfactory completion of a course of defensive driving; and,

When determining an employee’s eligibility for certification, the applicant’s driving record will be obtained and reviewed by UPD.

If an applicant has had been convicted of a DWI or DUID in the past seven years, they applicant will not be allowed to operate a cannot drive for the university vehicle unless it was expunged or erased from their driving record.

When evaluating an applicant’s record, the Executive Director/Chief of University Police, or designee, may regard a probated sentence, deferred adjudication, enhancement, or reduction for a traffic related violation the same as a conviction. Upon approval of the certification application the Executive Director/Chief of University Police, or designee, will issue an Approved Driver Certificate to the employee. This certificate will authorize the employee to operate any university vehicle of one-ton carrying capacity or less.

An Approved Driver Certificate will be valid for three years from the date of issuance and can be renewed upon receiving a satisfactory driving record issued from the Driver Records Division of the Texas Department of Public Safety records division. This document will be obtained by UPD during the month the renewal is requested. A renewal request may be denied due to a DWI or DUID.

Van certification requires the below listed steps: To be certified to operate a passenger van the employee must receive additional training specific to driving vans (see policy 16.23).

1. To be certified to operate a university motor vehicle in excess of one-ton capacity, the
Employees must demonstrate proficiency in the operation of the type of vehicle in question and hold a Texas Driver’s License with the appropriate endorsement. Approval of this level of certification will be indicated by an endorsement to the Approved Driver Certificate.

An employee holding an Approved Driver Certificate who is involved in a hazardous traffic violation, as defined by the SFA UPDPS, may be required to repeat any phase of the certification process. Habitual or repeated violation of university policy or the Texas Motor Vehicle Law may result in the suspension or cancellation of an Approved Driver Certificate. The Executive Director of Public Safety/Chief of University Police, or designee, may refuse to issue or renew an Approved Driver Certificate based on driving record of an employee without notice or hearing.

The manager of transportation shall not permit an employee who does not hold an Approved Driver Certificate to operate any university vehicle under his control. The chief administrator of a department, college, or division of the university shall not permit an employee who does not hold an Approved Driver Certificate to operate a university motor vehicle under his control.

Temporary Certifications

The Executive Director/Chief of University Police, or designee, may issue a Temporary Approved Driver Certificate for a period of 180 days for faculty, staff, and students upon receiving a satisfactory driving record and proficiency. Temporary certifications may not be renewed. The temporary condition of the certificate may be removed by the Executive Director/Chief of University Police, or designee, upon the employee’s successful completion of the steps necessary for regular certification.

Any new employee of the University that holds a valid out-of-state driver’s license may be issued a Temporary Approved Driver Certificate for a period of no longer than 30 days.

Cross Reference: Rental of University Vehicles (16.23)

Responsible for Implementation: President

Contact for Revision: President, Chief of University Police and Director of Environmental Health, Safety, and Risk Management

Forms: Approved Driver Certificate Form (UPDPS)

Board Committee Assignment: Building and Grounds
POLICY SUMMARY FORM

Policy Name: Vehicle Repair and Maintenance

Policy Number: 16.34

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: Director of Physical Plant

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: Most of the changes were for clarification. Rewording of the last paragraph was for alignment with SFA policy 16.11 Fleet Management.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

**Original Implementation:** Unpublished  
**Last Revision:** April 18, 2020

**Purpose**

This policy establishes guidelines and responsibilities for the maintenance and repair of university-owned vehicles and also for reporting daily use of the vehicles.

**General**

The physical plant auto shop located at the Grounds and Transportation Building on the corner of University Drive and Starr Avenue provides repair and maintenance services for university-owned vehicles, and equipment. The physical plant auto shop maintains an inventory listing of all university-owned vehicles and schedules annual maintenance inspections. Department *vehicle custodians heads* are notified by the *auto shop foreperson* or *lead mechanic* or *manager of transportation* that those vehicles in their charge are to be delivered to the auto shop for an annual inspection and/or preventative maintenance. The auto shop will conduct a complete and thorough preventive maintenance inspection and make any repairs necessary. Expenses incurred for service on departmentally-owned vehicles will be charged to the department.

All maintenance and repairs performed by outside vendors on university-owned vehicles must be authorized by the physical plant auto shop prior to services being performed. Request for services to be performed by outside vendors should be made by email or with other appropriate written requests. Emergency repair requests may be made by telephone. After-hour repair emergencies must be routed through the university police department. *It is the responsibility of the owning department to notify the PPD auto shop* PPD auto shop must be notified when emergency repairs are conducted and to provide a copy of the maintenance report and invoice/receipt. *This information should be delivered to the PPD auto shop immediately to be documented in the Texas Fleet Management System.*

Repair and maintenance of vehicles leased by the university is performed in accordance with the terms of the lease agreement.

*Operators of university-owned vehicles are required by the Texas Government Code and university policy to report daily use of the vehicles. Failure to produce timely reports, as defined by fleet management procedures, may result in financial penalties or loss of university vehicle privileges. Operators of university-owned vehicles are required by the Texas Government Code and university policy to report daily use of the vehicles. Departments that fail to submit the required report(s) by the fifth calendar day of the subsequent month may be assessed a late penalty of $100 by the vice president of finance and administration. Reporting guidelines and procedures may be accessed on the physical plant department website.*

**Cross Reference:** Tex. Gov’t Code § 2171.101 et seq.; Rental of University Vehicles (16.23)
**Responsible for Implementation:** Vice President for Finance and Administration

**Contact for Revision:** Director of Physical Plant

**Forms:** None

**Board Committee Assignment:** Building and Grounds
Finance and Audit Committee
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:

- Secondary Education and Education Leadership Departmental Audit
- University Police Department Departmental Audit
- Human Resources Departmental Audit
- Benefits Proportional by Fund Audit
- Follow-up Audit
- Risk Assessment
- Update on Audit Plan

Recommendation:

Acknowledge receipt of the audit services report pending consideration by the Finance and Audit Committee.
LUMBERJACK EDUCATION ASSISTANCE PROGRAM

Explaination:

The university currently has an employee tuition assistance program that is governed by SFA Policy 12.5, Employee Scholarship Program. The program is currently budgeted at $450,000 and provides up to $3,000 annual financial assistance for employees and/or dependents to enroll in SFA courses. During fiscal year 2019, $436,379 was used to support the employee scholarship program. 105 employees and 107 dependents participated in the program.

As part of SFA’s strategic commitment to attract and retain high quality faculty and staff, a committee examined expanded educational support for SFA employees and dependents. The committee’s recommendation to the administration is to exempt all tuition and fees for employees and dependents, excluding the statutory educational and general tuition of $50 per semester credit hour for undergraduate classes and $80 per hours for graduate classes. Texas Education Code 54.051 governs both the undergraduate and graduate semester credit hour costs.

In addition, the committee’s recommendation is to utilize currently budgeted funds to scholarship the education and general statutory tuition of $50 per semester credit hour for employees who are undergraduate students and $80 per semester credit hour for employees who are graduate students. Using fiscal year 2019 employee enrollment, the scholarship cost is projected to be $45,200. Further, the committee recommendation is to change the name of the Employee Scholarship Program to the Lumberjack Education Assistance Program.

Recommendation:

The administration recommends approval to exempt eligible SFA employees and dependents from all tuition and fees, excluding tuition charges enacted by the Texas Education Code 54.051, Tuition Rates. Further, the administration recommends an employee scholarship waiver for Texas Education Code 54.051 tuition charges.
Finance & Administration
Lumberjack Education Assistance Program
April 18, 2020
Agenda

• Existing Employee Scholarship Program
  – Provides up to $3,000 per year for employees and/or dependents

• Proposed Lumberjack Education Assistance Program
  – Proposes to exempt all tuition and fees, excluding statutory education and general tuition
  – Proposes to provide scholarship support for the statutory tuition component, $50 per semester credit hour for undergraduate students and $80 per semester credit hour for graduate students
Employee Scholarship Program

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## Employee Scholarship Program

**FY 2019**

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<td>2,795</td>
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### Lumberjack Education Assistance Program (LEAP)

#### Projected Impact for Fiscal Year 2021

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<td>Projected Exemptions</td>
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<td>Projected Employee Scholarship</td>
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<td><strong>Projected Institutional Contribution</strong></td>
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<td><strong>Projected Contribution Increase</strong></td>
<td>$ 606,272.35</td>
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ADOPTION OF FISCAL YEAR 2019-20 SUMMER BUDGET

Explanation:

The fiscal year 2019-20 summer budget contains two regular summer semesters and a mini-semester. The 2019-20 annual budget includes summer reserve funds of $2,284,581 that are used to support summer school salaries and benefits. In addition, salary savings and designated funds that total $1,198,530 are needed to support summer budget salaries and initiatives.

Recommendation:

The administration recommends approval of the fiscal year 2019-20 summer budget that totals $3,483,111. Funding sources include budgeted summer reserve funds, salary savings and designated support funds.
Stephen F. Austin State University

SUMMER BUDGET

2020
Stephen F. Austin State University
Summer Budget
2020

Table of Contents

Statement of Source of Funds ................................................................. 1
Budget Summary .................................................................................. 2
Budget by Account .............................................................................. 3
STEPHENV. AUSTIN STATE UNIVERSITY  
SUMMER BUDGET 2020  
SOURCE OF FUNDS

**EDUCATIONAL AND GENERAL**

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**DESIGNATED FUNDS**

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TOTAL SUMMER BUDGET 3,483,111
# STEPHEN F. AUSTIN STATE UNIVERSITY
## SUMMER BUDGET SUMMARY
### SUMMER BUDGET FOR FISCAL YEAR 2020

<table>
<thead>
<tr>
<th>FACULTY SALARIES</th>
<th>STAFF SALARIES</th>
<th>O&amp;M</th>
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FACULTY SALARIES  
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BENEFITS  
O AND M  
TOTAL  

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79,925
# College of Business
## Business Communication & Legal Studies
### 159996 - 21200

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#### Economics & Finance

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**FACULTY SALARIES**
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**STAFF SALARIES**
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**BENEFITS**
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**O AND M**
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**TOTAL**
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## College of Education
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#### 159996 - 22400

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### FACULTY SALARIES
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### STAFF SALARIES
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### BENEFITS
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STAFF SALARIES
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BENEFITS
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159996 - 22706

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**STAFF SALARIES**
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**BENEFITS**
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**O AND M**
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**TOTAL**
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Theatre  
159996 - 23300

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FACULTY SALARIES 41,890  
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# College of Forestry & Agriculture
## Forestry
### 159996 - 24100

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# College of Forestry & Agriculture
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### FACULTY SALARIES
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### STAFF SALARIES
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### BENEFITS
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### O AND M
- 0

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## College of Forestry & Agriculture
### Agriculture
#### 159996 - 24200

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## College of Forestry & Agriculture
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**FACULTY SALARIES**

**STAFF SALARIES**

**BENEFITS**

**O AND M**

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**FACULTY SALARIES**
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**BENEFITS**
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**O AND M**
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College of Liberal and Applied Arts  
Linguistics  
159996 - 25109

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**FACULTY SALARIES**
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**BENEFITS**
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**O AND M**
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**TOTAL**
81,602
**College of Liberal and Applied Arts**  
Languages, Cultures & Communication  
15996 - 25300

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**STAFF SALARIES**  
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**BENEFITS**  
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**O AND M**  
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**TOTAL**  
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# College of Liberal and Applied Arts
## Government
### 159996 - 25400

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**FACULTY SALARIES** 131,000
**STAFF SALARIES** 0
**BENEFITS** 19,650
**O AND M** 0
**TOTAL** 150,650
# College of Liberal and Applied Arts
## Psychology
### 159996 - 25500

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O AND M: 0
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BENEFITS 8,175
O AND M 0
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O AND M 0
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### College of Liberal and Applied Arts
#### Division of Multidisciplinary Programs
159996 - 25750

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### College of Liberal and Applied Arts
#### Social Work
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# College of Sciences & Mathematics
## Office of the Dean
159996 - 26001

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**FACULTY SALARIES**

- 26,716

**STAFF SALARIES**

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**BENEFITS**

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**O AND M**

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**TOTAL**

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## College of Sciences & Mathematics
### Biology
#### 159996 - 26100

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**159996 - 26300**

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## College of Sciences & Mathematics
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709

863
## College of Sciences & Mathematics
### School of Nursing
159996 - 26500

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**FACULTY SALARIES**
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**STAFF SALARIES**
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**BENEFITS**
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**O AND M**
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## College of Sciences & Mathematics
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#### 159996 - 26600

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**FACULTY SALARIES**
- 29,834

**STAFF SALARIES**
- 0

**BENEFITS**
- 4,475

**O AND M**
- 0

**TOTAL**
- 34,309
### College of Sciences & Mathematics
##### Computer Science

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<th>EMPLOYEE</th>
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**FACULTY SALARIES**

- Salary: 63,102

**STAFF SALARIES**

- 0

**BENEFITS**

- 9,465

**O AND M**

- 0

**TOTAL**

- 72,567

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38

712

866
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FACULTY SALARIES 13,200

STAFF SALARIES 1,980

BENEFITS 0

O AND M 0

TOTAL 15,180
GRANT AWARDS

Explanation:

For fiscal year 2020, the multi-year grant award total is currently $13,680,431. Of this total, grant awards allocable to fiscal year 2020 are currently $6,271,303, an increase of $596,703 since the last report.

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

Recommendation:

The administration recommends approval and ratification of the additional fiscal year 2020 grant awards that total $596,703. The grant awards are detailed as presented.
Grant Report to the Board of Regents – April 2020
Grants¹ awarded between January 1, 2020 and March 31, 2020
Prepared by the Office of Research & Graduate Studies

Fiscal Year 2020 – as of March 31, 2020

Amounts allocable to FY20 (detailed in this report)
Federal Funds (direct and pass-through) $ 247,388
State Funds (direct and pass-through) $ 208,608
Private, Local Government, Other $ 140,707
TOTAL $ 596,703

New awards, FY20 (detailed in this report, all project years) $ 752,312
Cumulative amount allocable to FY20 $ 6,271,303
Cumulative award total FY20, all project years $13,680,431

Federal SEOG (not included in ORGS totals) $ 393,022

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

New, Additional, or Previously Unreported Awards for FY20

Federal Funds (direct and pass-throughs)

Title * Distribution, Occupancy, and Mercury Bioaccumulation of Alligator Snapping Turtles In Texas
Sponsor: Texas Parks and Wildlife (Fish & Wildlife Service, CFDA 15.634)
Award Term: February 28, 2020 to May 31, 2022
PI/PD: Dr. Christopher Schalk, Forestry
Total Award: $150,878 Amount allocable to FY20: $66,452

This research project will examine the current distribution, occupancy, and mercury bioaccumulation in Alligator Snapping Turtles which will assist the sponsor as it begins a species assessment to determine if this turtle should be listed as an endangered species.

Title * Ground Truthing the Species Distribution Model of Bachman’s Sparrow
Sponsor: Texas Parks and Wildlife (Fish & Wildlife Service, CFDA 15.634)
Award Term: February 28, 2020 to May 31, 2022
PI/PD: Dr. Christopher Schalk, Forestry
Total Award: $148,741 Amount allocable to FY20: $84,623

This research project will provide an assessment of a species distribution model for the Bachman's Sparrow; in addition, the habitat evaluation will aid in identifying important areas for future population expansion and management.

¹New awards or additional funds added to a current award.
¹¹For purposes of this report, “grant” includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller’s Office or the VP of Finance & Administration.
Grant Report to the Board of Regents – April 2020
Grants awarded between January 1, 2020 and March 31, 2020
Prepared by the Office of Research & Graduate Studies

Title: *Establishment of Silvopasture Demonstration Area Using Native Grasses
Sponsor: Natural Resources Conservation Service (USDA, CFDA 10.912)
Award Term: January 22, 2020 – September 30, 2022
PI/PD: Jason Grogan, Forestry
Total Award: $75,000

Amount allocable to FY20: $45,885

Several demonstration areas of silvopasture practices will be studied to and used to transfer agroforestry science and technology to producers and others including outreach to historically underserved producers.

Previously Described Awards:

*Investigating the Potential for Golden Kiwifruit as a New Specialty Crop in Texas, Phase 4
Dr. David Creech, Agriculture

Award Total: $50,428

Amount allocable to FY20: $50,428

Subtotal amounts allocable to FY20 (this report) = $247,388

Subtotal new federal funds = $425,047

Federal Supplemental Education Opportunity Grants (SEOG) (not included in ORGS totals)

FY2020 Additional Funds: $393,022
Agency: Department of Education
Manager: Rachele Garrett, Financial Aid

State Funds (direct and pass-through)

Title: *Assessing Pathways of Introduction of Non-Native Fishes In Texas Streams
Sponsor: Texas Parks and Wildlife Department
Award Term: February 28, 2020 to August 31, 2021
PI/PD: Dr. Carmen Montana-Schalk, Biology
Total Award: $74,580

Amount allocable to FY20: $63,623

This research project will review various methods if introducing non-native fishes into Texas streams to help conservation planning efforts in relation to introduction prevention, early invasion intervention, and control of established populations.

*New awards or additional funds added to a current award.

*For purposes of this report, ‘grant’ includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller’s Office or the VP of Finance & Administration.
Grant Report to the Board of Regents – April 2020
Grants awarded between January 1, 2020 and March 31, 2020
Prepared by the Office of Research & Graduate Studies

Title: *Assessing The Population Status of Brazos River Watersnakes*
Sponsor: Texas Parks and Wildlife Department
Award Term: March 16, 2020 to December 31, 2020
PI/PID: Dr. Stephen Mullin, Biology
Total Award: $27,900  
Amount allocable to FY20: $26,700
This research project will assist the sponsor in detecting declines in already-small populations and in making management decisions to assure species continuation.

Previously Described Awards

*Texas AHEC East, Piney Woods Region, State FY20*
Debra Kiesel, AHEC East Piney Woods Region
Award Total: $100,285  
Amount allocable to FY20: $100,285

*JAMP Special Projects: JAMP Camp 2020*
Dr. Kevin Langford, Biology
Award Total: $18,000  
Amount allocable to FY20: $18,000

Subtotal amounts allocable to FY20 (this report) = $208,608
Subtotal new state funds = $220,765

Private Entity, Local Government, and Other Awards

Title: *Health Resource Centers Evaluation: Robertson, Trinity and Bastrop Counties*
Sponsor: Episcopal Health Foundation
Award Term: January 1, 2020 to December 31, 2020
Pls/PDs: Dr. Emmerentie Oliphant, School of Social Work
Total Award $92,000  
Amount allocable to FY20: $92,000
This is a qualitative evaluation of health resource centers in three counties.

Title: *Student Percepts and Learning Effectiveness Across Educational Platforms*
Sponsor: Tophatmonocle Corp.
Award Term: February 19, 2020 to January 31, 2021
Pls/PDs: Dr. Lora Jacobi, Psychology
Total Award $8,000  
Amount allocable to FY20: $8,000
This research project will utilize the sponsor’s active learning technology to determine how to improve processes and outcomes in college classrooms

*New awards or additional funds added to a current award.
1For purposes of this report, “grant” includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller’s Office or the VP of Finance & Administration.
Grant Report to the Board of Regents – April 2020  
Grants\(^1\) awarded between January 1, 2020 and March 31, 2020  
Prepared by the Office of Research & Graduate Studies

<table>
<thead>
<tr>
<th>Title:</th>
<th>*Professional Development Grant: CCIS Conference 2020</th>
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<tbody>
<tr>
<td>Sponsor:</td>
<td>College Consortium for International Studies</td>
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<tr>
<td>Award Term:</td>
<td>October 31, 2019 to April 1, 2020</td>
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<tr>
<td>PIs/PDs:</td>
<td>Heather Catton, International Studies and Programs</td>
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<tr>
<td><strong>Total Award</strong></td>
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<td><strong>Amount allocable to FY20:</strong></td>
<td>$500</td>
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Travel grant funds to assist attendance at the College Consortium for International Studies.

**Previously Described Awards:**

**Luminant Environmental Research Program**  
Dr. Jason Paul, Environmental Science  
**Award Total:** $84,439  
**Amount allocable to FY20:** $34,207

**Guest Speakers, Undergraduate Research, and Reading Group**  
Dr. Donald Gooch, Government  
**Award Total:** $81,000  
**Amount allocable to FY20:** *$6,000

Subtotal amounts allocable to FY20 (this report) = $140,707  
Subtotal new private and local fund = $106,500

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*New awards or additional funds added to a current award.

\(^1\)For purposes of this report, ‘grant’ includes grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Other external funds are also reported as instructed by the Controller’s Office or the VP of Finance & Administration.
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, depositaries, 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:

- Best Value Procurement 17.1
- Departmental Budgeting and Accounting Responsibility 3.9
- Interagency and Interlocal Contracts 17.8
- Lumberjack Education Assistance Program 12.5
- Payment Card Acceptance and Security 14.8
- Procurement Card 17.11
- Professional and Consulting Services 17.12
- Property Inventory and Management 17.14
- Proprietary Purchases 17.15
- Purchase of Demonstrator or Used Equipment 17.18
- Returned Payments 3.27
POLICY SUMMARY FORM

Policy Name: Best Value Procurement

Policy Number: 17.1

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

Date of last revision, if applicable: 7/25/2017

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

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

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

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

☒ Internal Review  ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: The change provides a revision to bid limits, blends in content/allows deletion of policies 17.8, 17.12, and 17.15, and addresses changes in TCG 2254.002(2)(C). Revision adds references to the Cross Reference and Forms section of the policy.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

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

Original Implementation: January, 1988
Last Revision: April 18, 2020 July 25, 2017

Purpose

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

PROCUREMENT PROCESSES

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

A. programs associated with the purchase of goods or services from persons with disabilities as required under applicable state law;
B. direct negotiation if the aggregate total is $150,000 or less (except that the limit for federal funds is $3,000);
C. group/cooperative purchasing programs;
D. contracts awarded by the state comptroller’s office, Department of Information Resources, Council on Competitive Government, State Office of Risk Management, or other state of Texas agencies or institutions of higher education;
E. contracting with other state agencies or political subdivisions in accordance with Interagency and Interlocal Contracts (see additional information below in Additional Procurement Considerations) (17.15);
F. purchasing on a proprietary basis in accordance with Proprietary Purchases (see additional information below in Additional Procurement Considerations) (17.15);
G. purchase of professional and consulting services in accordance with Texas Government Code Section 2254 (see additional information below in Additional Procurement Considerations) (17.12);
H. purchasing from state or federal surplus warehouses in accordance with Purchase of Surplus Property (17.17);
I. soliciting bids or proposals as follows:
   a. informal solicitation if the aggregate total is $5025,000 or less; this limit may be increased to $150,000 if using federal grant funds;
   b. formal solicitation if the aggregate total is over $5025,000; this limit may be increased to $150,000 if using federal grant funds;
J. purchasing on an emergency basis as long as the procurement is necessary to prevent a hazard to life, health, safety, welfare or property, or to avoid undue additional cost to the university;
K. purchasing on a best value basis without using one of the above processes as long as the supporting justification is approved by the director of procurement and is in compliance with best value considerations outlined in Texas Education Code Section 51.9335.
ADDITIONAL PROCUREMENT CONSIDERATIONS

General

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

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

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

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

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

Some procurements have additional restrictions based on the source of funding. Reference the Funds Guidelines and HEF Guidelines published on the procurement and property services and controller’s office websites.

Contracting Restrictions

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

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

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

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

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

**Contract Management**

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

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

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

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

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

**Interagency and Interlocal Purchases**

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

*Interlocal purchases are for goods or services from or by a local government such as a city or county government, school district, junior or community college district, or other political subdivision. Such purchases are handled as an Interlocal Agreement, and are allowed so long as neither the agency nor the political subdivision exceeds its duties and responsibilities or the limitations of its appropriated funds or its governing board or commission.*
A state agency may not provide services or resources to another agency that are required by Article XVI, Section 21, of the Texas Constitution to be provided under a contract awarded to the lowest responsible bidder. Printing services may not be purchased through an Interagency or Inter-local Agreement.

Interagency contracts shall follow financial approval thresholds allowed in university policy 1.4. All interagency contracts must conform to appropriate procurement procedures and be approved by an authorized administrator from each agency. An interagency agreement, if required under applicable law, must specify the following:

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

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

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

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

**Proprietary Purchases**

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

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

**Purchase of Professional and Consulting Services**

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

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

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

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

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

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

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

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

1. Select the most highly qualified provider based on demonstrated competence and qualifications as provided in the Request for Qualifications;
2. Attempt to negotiate a contract with the selected provider at a fair and reasonable price;
3. If a satisfactory contract cannot be negotiated with the most highly qualified provider, formally end negotiations with that provider; select the next most highly qualified provider; and attempt to negotiate a contract at a fair and reasonable price.

The selection process for architectural, engineering, or land surveying services shall continue in this manner until a contract is accepted by all parties.

A consulting service provider is to be selected using the procurement method that provides the best value to the university based on demonstrated competence, knowledge, qualifications, and reasonableness of the proposed fees for the services.

**EXEMPT PURCHASES**

The following purchases that are exempt from best value procurement processes outlined herein but for which Submission of a purchase requisition and other rules may apply include:

17.1 Best Value Procurement
1. advertising;
2. hotels and meeting rooms for conferences;
3. conference expenses – expenses related to conference room services such as audio/visual/network and food services. (does not include goods purchased for attendees or transportation services);
4. moving expenses (employee) – see Moving Expenses (3.23);
5. student travel – see Student Travel (10.12) – expenses related to student travel – see Student Travel (10.12);
6. library materials and services for Stephen F. Austin State University libraries when such exemption represents the best value to the university;
7. membership dues and associated fees;
8. direct publications only available from a single source as defined in the procurement procedure manual;
9. freight, including shipping, handling, fuel surcharge, hazardous material fee, postage, and other surcharges;
10. intra-agency payments (IDT);
11. rental of exhibit space;
12. items for resale;
13. internal repairs – repairs for which the extent and cost of such cannot be determined until the commodity is disassembled and evaluated; an internal repair must contain labor and may also include parts;
14. purchases from federal agencies;
15. utilities, other than deregulated electricity;
16. organized activity purchases – goods and services for the Early Childhood Lab, Cole Audiology Lab, Beef Farm, Poultry Farm, Equestrian Program, Broiler Houses, and Swine Farm when the purchase directly affects operations and such exemption represents the best value to the university;
17. group travel – expenses related to group travel when such group travel includes non-university persons and/or is funded by payment from individual travelers; i.e., Art Tour;
18. gifts, prizes and awards for students, employees and non-university individuals – See Gifts, Prizes and Awards (3.18) See Gifts, Prizes and Awards (3.18);
19. accreditation fees;
20. tournament fees or game guarantees;
21. licensing fees or permits;
22. employee registration or tuition;
23. sponsorships;
24. non-travel-related meals;
25. fees, not otherwise identified herein;
26. notary bonds;
27. guest lecturers, speakers, artists, entertainers, performers, musicians, etc.;
28. educational/training services for university employees;
29. veterinary services;
30. other professional services as defined by the state comptroller’s expenditure codes.
Cross References: Items Requiring Board of Regents Approval (1.4); Ethics (2.6); Gifts, Prizes and Awards (3.18); Student Travel (10.12); Nepotism (11.16); Historically Underutilized Businesses (17.7); Delegated Purchasing Authority (17.5); Interagency and Interlocal Contracts (17.8); Proprietary Purchases (17.15); Professional and Consultant Services (17.12); Purchase of Surplus Property (17.17); Purchase Voucher (17.20); Purchases From Officers or Employees (17.21); Moving Expenses (3.23); Purchase Requisition (17.19); Tex. Educ. Code §§ 51.9335, .9337; Tex. Gov’t Code § 572.069; Tex. Gov’t Code § 669.003; Tex. Gov’t Code § 2261.253; Tex. Gov’t Code §§ 2252.001-.004, .901; Tex. Gov’t Code Ch. 2254; Tex. Gov’t Code Ch. 573; Tex. Gov’t Code Ch. 771, 791; Tex. Const. Art. XVI, §21; Tex. Gov’t Code §§ 2155.063, .067; 2 CFR §§ 200.317-.326.

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Procurement and Property Services/HUB Coordinator

Forms: Purchase Requisition, Purchase Voucher

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Departmental Budgeting and Accounting Responsibilities

Policy Number: 3.9

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): Establishes the responsibility of the designated account manager to exercise budgetary control and to account for funds and property

Reason for the addition, revision, or deletion (check all that apply):

☑ Scheduled Review ☐ Change in law ☐ Response to audit finding

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Departmental Budgeting and Accounting Responsibilities

Original Implementation: September 1, 1987
Last Revision: April 18, 2020

Purpose

This policy establishes the responsibility of a designated account manager to exercise budgetary control and to account for the funds and property assigned.

Definitions

An account is defined as a specific Banner fund/organization combination as assigned by the controller’s office.

General

It is the responsibility of each department head to account for the funds and property of his/her department and to exercise budgetary control over them. For that reason, all accounts have a designated account manager. It is the responsibility of each account manager to maintain records of sales and other revenues, expenditures and encumbrances including salaries and wages, and other charges, which support and supplement the records in the Banner finance system.

It is the account manager's responsibility to ensure that each account under his/her control does not exceed budget limitations. In accounts where both revenues and expenditures are projected (i.e. Designated Fund, Restricted Fund, and Plant Fund accounts), if actual revenues do not meet budgeted revenues, it is the account manager's responsibility to reduce expenditures accordingly. All deficits are to be thoroughly investigated and resolved in a timely manner. Likewise, if actual revenue exceeds the account revenue estimate, a budget change may be requested. Procedures that govern this process may be found on the budget office website. Except for restricted grants and contracts, all budget increases in excess of $450,000 require approval of the vice president for finance and administration and the president or his designee. Budget increases over $100,000 require approval of the president or designee, and budget increases of $450,000 or more require approval of the Board of Regents.

Complete and accurate records of financial transactions are to be maintained by the controller's office. These records may be accessed by the appropriate account manager through the Banner system. Account managers are responsible for comparing their records with those of the controller's office and reporting any differences promptly to the controller's office. The original budgets and all authorized budget revisions for non-restricted accounts and restricted gift accounts are approved by the budget office. The original budgets and all authorized budget revisions for restricted grants and contracts are approved by the Office of Research and Sponsored Programs Graduate Studies (ORGS). Budget revisions for non-restricted accounts and restricted gift accounts under the account manager's control can be initiated with the appropriate form or process presented on the Budget Office Website. Budget Office Transaction Request or through Self Service Banner (SSB). Budget revisions between like funds and among a department’s various organizations should be completed
online, by the department, through Self Service Banner. No form is necessary for these types of transactions. Budget revisions for restricted grants and contract accounts can be initiated with the External Grant Budget ORGS Revision Request Clearance Form process established by the ORGS.

Banner confirms available funding during the requisition process. If funds are not available in the account, the budget director, or designee, may authorize an override pending a budget or funds transfer.

An account manager may authorize an employee(s) to view and/or transact account and organizational functions, using the appropriate submission authorization. That delegation should be communicated to all campus support departments which include, but are not limited to Account access designations can be made on the Banner Access Request form. Each account manager may designate one or more additional individuals in the department to approve time and leave in the appropriate timekeeping systems, vouchers, requisitions, and similar documents in his/her absence.

The procurement and property services department, the controller’s office, printing services, post office, physical plant, information technology services (telecommunications and networking), and other offices initiating billing charges through interdepartmental transfers (IDTs), must be informed of these designations. These designations shall be periodically reviewed and updated.

Cross Reference: Interdepartmental Transfer (IDT) (17.9); Items Requiring Board of Regents Approval (1.4)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller, Budget Director

Forms: Budget Office Transaction Request, External Grant Office of Research and Graduate Studies Budget Revision Clearance Request Form, Banner Access Request form

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Interagency and Interlocal Contracts

Policy Number: 17.8

Is this policy new, being reviewed/revised, or deleted? Delete

Date of last revision, if applicable: 7/23/2019

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy defines and describes the appropriate usage of Interagency and Interlocal contracts.

Reason for the addition, revision, or deletion (check all that apply):

- [ ] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [x] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: This policy is proposed to be blended into Policy 17.1.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Interagency and Interlocal Contracts

Original Implementation: Unpublished
Last Revision: July 23, 2019

Purpose

This policy defines and describes the appropriate usage of Interagency and Interlocal contracts.

Definitions

Interagency—The purchase of goods or services from another agency of the state of Texas is allowed by the Interagency Cooperation Act, except that a state agency may not enter into an agreement or contract that requires or permits the agency to exceed its duties and responsibilities or the limitations of its appropriated funds. An agency may purchase goods, equipment and special or technical services including the services of an employee through an Interagency Cooperation Agreement.

Interlocal—The purchase of goods or services from or by a local government such as a city or county government, school district, junior or community college district, or other political subdivision, is handled as an Interlocal Agreement, and is allowed so long as neither the agency nor the political subdivision exceeds its duties and responsibilities or the limitation of its appropriated funds or its governing board or commission.

General

A state agency may not provide services or resources to another agency that are required by Article XVI, Section 21, of the Texas Constitution to be provided under a contract awarded to the lowest responsible bidder. Printing services may not be purchased through an Interagency or Interlocal Agreement.

Interagency contracts shall follow financial approval thresholds allowed in university policy 1.4. All interagency contracts must conform to appropriate procurement procedures and be approved by an authorized administrator from each agency. An interagency agreement, if required under applicable law, must specify the following:

a. the kind and amount of goods or services to be provided;

b. the basis for computing reimbursable costs; and

c. the maximum cost during the period of the agreement.

Interlocal contracts must contain a formal written agreement signed by the university agency head, or designee, and the local government, regardless of the dollar amount. The written agreement must:

a. state the purpose, terms, rights, and duties of the contracting parties; and

b. specify that each party paying for the performance of governmental functions or services must make those payments from current revenues available to the paying party.
Forms for interagency and interlocal agreements are available on the general counsel’s website.

**Cross Reference:** Tex. Gov’t Code §§ 771, 791; Tex. Const. art. XVI, § 21; Items Requiring Board of Regents Approval (1.4)

**Responsible for Implementation:** Vice President for Finance and Administration

**Contact for Revision:** Director of Procurement and Property Services/HUB Coordinator

**Forms:** Purchase Requisition (Banner System); Interagency Cooperation Agreement; Interlocal Agreement

**Board Committee Assignment:** Finance and Audit
POLICY SUMMARY FORM

Policy Name: Lumberjack Education Assistance Program

Policy Number: 12.5

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/24/2018

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy permits active benefits-eligible employees of the university, their spouses, and dependents to participate in the Lumberjack Education Assistance Program (LEAP) provided eligibility requirements are met.

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 policy change supports the university's strategic goal to attract and support high-quality faculty & staff.

Specific rationale for deletion of policy:

Additional Comments:

Policy name changed from Employee Scholarship Program to Lumberjack Education Assistance Program.

Reviewers:

Dr. Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
**Employee Scholarship Program - Lumberjack Education Assistance Program**

**Original Implementation:** January 28, 2003  
**Last Revision:** April 18, 2024

**Purpose**

This policy permits active, benefits eligible, 100 percent regular (100% equivalent FTE) employees of the university, their spouses, and dependents, as well as certain graduate assistants to participate in the Lumberjack Education Assistance Program (LEAP) provided eligibility requirements are met.

**General**

Active benefits eligible employees of the university, their spouses and dependents are eligible to participate in the Lumberjack Education Assistance Employee Scholarship Program (LEAP) provided eligibility requirements are met. This policy permits full-time employees and certain graduate assistants to take a course during working hours. Detailed program and eligibility requirements can be found on the human resources website. *The program is designed as an employee benefit initiative and is Benefits under the program are subject to available resources. The availability of specific funds in the university budget. The university is not required to make funds available in any given fiscal year.*  

The widow or widower and dependent children of an individual who died while employed at the university shall also be eligible for the Employee Scholarship Program.

Full-time employees and certain graduate assistants who meet specific eligibility requirements are permitted to take a course during working hours. Participation in the program does not supersede regular work responsibilities. If departmental workloads permit, full-time employees may take one course per semester of either three or four semester credit hours during working hours. An employee’s supervisor must approve the time off for the class, and also approve make-up work arrangements for time missed. If work cannot be made up, an employee must turn in vacation or comp time for work time missed. *See Employee Enrolling for Courses (12.4).* Exceptions to the policy will be considered, but approval must be obtained from the employee’s supervisor and appropriate vice president.

Benefits under the program are subject to the availability of specific funds in the university budget. The university is not required to make funds available in any given fiscal year.

The university complies with federal and state tax regulations governing any applicable taxability, tax reporting, and/or withholding of taxes on the Employee Scholarship Lumberjack Education Assistance Program. The value of any taxable tuition and fee benefits paid by the LEAP Employee...
Scholarship Program will be included as taxable income on the employee’s annual Wage and Tax Statement (W-2) and will be subject to tax withholdings.

**Cross Reference:** None

**Employee Enrolling for Courses (12.4)**

**Responsible for Implementation:** Vice President for Finance and Administration

**Contact for Revision:** Vice President for Finance and Administration

**Forms:** Employee Educational Assistance packet: http://www.sfasu.edu/hr/115.asp.

**Board Committee Assignment:** Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Payment Card Acceptance and Security

Policy Number: 14.8

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy defines the requirements and responsibilities for maintaining compliance with the Payment Card Industry's Data Security Standard (PCI-DSS) at Stephen F. Austin State University (the university/SFA)

Reason for the addition, revision, or deletion (check all that apply):

☑ Scheduled Review ☐ Change in law ☐ Response to audit finding

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Payment Card Acceptance and Security

Original Implementation: July 21, 2009
Last Revision: April 18, 2020

Purpose

This policy defines the requirements and responsibilities for maintaining compliance with the Payment Card Industry’s Data Security Standard (PCI-DSS) at Stephen F. Austin State University (the university/SFA). Achieving and maintaining Payment Card Industry (PCI) compliance mitigates the potential of data breaches and allows our departments and affiliated organizations (merchants) to take payment cards with a level of risk acceptable to the university. This policy is supplemental to any other information security policies currently in effect at the university.

General

Stephen F. Austin State University takes steps to ensure full compliance with the PCI-DSS. All payment card handling activities and related technologies must comply with the PCI-DSS. Payment card handling activities must be conducted as described herein and in accordance with the guidelines in the Payment Card Security Handbook, maintained on the university’s PCI website.

This policy will be reviewed at least annually and updated as needed to reflect changes to business objectives or the risk environment.

Applicability

This policy applies to all personnel who store, process, transmit, have access to, or can affect the security of payment card data, including faculty, staff, contractors, and students who are employed or utilized by SFA. This policy also applies to any employee who contracts with a third party vendor to handle and/or process payment card data on behalf of SFA. All vendors, contractors, and business partners who store, process, transmit, have access to, or can affect the security of payment card data on behalf of SFA will state in their contract that they are and will remain compliant with the PCI-DSS at all times.

All computers, electronic devices, or other resources at the university used in payment card processing are governed by this policy and subject to PCI-DSS requirements. This includes but is not limited to workstations which are used to enter payment card information into a central system, cash registers, point-of-sale terminals connected to a phone line or the university network, printers, scanners, and any other devices through which the payment card data is transmitted or on which payment card data is stored. Also covered are website storefronts that redirect customers to another website to enter payment information. In addition, all paper forms or receipts containing cardholder data are also covered under this policy.

Responsibilities
The vice president for finance and administration is responsible for oversight of the PCI compliance program. The vice president for finance and administration will designate specific individuals who will have responsibility for the development, implementation, and administration of the program. These individuals will serve on the PCI Steering Committee and will assist the university in achieving and maintaining compliance with the PCI-DSS and in reducing the scope of items that will need to be compliant with the PCI-DSS.

The vice president for finance and administration will also designate program representative(s) who will review and approve all requests to accept payment cards, perform all necessary actions to ensure PCI compliance, and respond to any suspected payment card information threat.

University merchants will establish and maintain documented procedures for complying with this policy and the PCI-DSS and will follow guidelines established in the Payment Card Security Handbook.

**Requirements**

PCI-DSS compliance is mandatory for any department or affiliated organization that accepts, captures, stores, transmits, and/or processes payment card information. Only authorized and properly trained employees, vendors, or temporary employees may accept and/or access payment card information. Each person who has access to payment card information is responsible for protecting the information in accordance with the PCI-DSS and university policy.

Only PCI-DSS compliant equipment, systems, and methods may be used to process, transmit, and/or store payment card information. All equipment and systems used to process, transmit, and/or store payment card data must be approved by and registered with the designated program representative(s). Payment cards cannot be processed, transmitted, and/or stored using the university’s network unless all technical controls required by the PCI-DSS and other applicable university policies are approved and evaluated by the designated program representative(s).

*University departments and affiliated organizations* must obtain advance approval from the program representative(s) designated by the vice president for finance and administration before accepting payment cards for payment of goods or services, or before entering into any contracts or purchases of software and/or equipment related to payment card processing. Once approved, copies of contracts must be forwarded to the designated program representative(s).

*University departments and affiliated organizations* are required to use the university’s preferred service provider. Exceptions may be granted only after a request from the payment card processor has been reviewed and approved by the PCI Steering Committee. When an exception has been granted, the merchant remains responsible for ensuring the service provider is PCI compliant and providing ongoing certification of compliance to the designated program representative(s).

Cardholder data must not be transmitted or accepted in an insecure manner. Insecure methods of transmitting or accepting cardholder data include but are not limited to unencrypted wireless, email,
fax, and campus mail. Printed receipts or other physical materials containing cardholder information must be stored in a secure environment until they are processed. Payment card information must be destroyed in a secure manner as soon as it is no longer needed.

Credit card information must not be stored on any electronic device including university network servers, workstations, laptops, tablets, and cell phones-unless it is explicitly approved for use as part of the cardholder data environment.

**Training**

All personnel in positions that store, process, transmit, have access to, or affect the security of payment card data will complete PCI-DSS training upon hire and at least annually. These personnel will also acknowledge, in writing or electronically, that they have read, and understand these security policies and procedures, and that they will comply with these policies and procedures.

**Incident Response**

All security incidents, including suspected exposure or theft of payment card information, must be reported in accordance with university policy 14.14, Information Security Incident Response and Planning. All PCI users should be familiar with this policy and are responsible for reporting any incident of theft, fraud, or misuse of payment card data.

**Enforcement**

Periodic reviews may be performed to validate compliance with this policy. If the requirements of this policy are not followed, suspension of payment card options may result. Substantial fines may also be imposed by payment card companies if a security breach and subsequent compromise of payment card data occurs.

Employees in violation of the PCI-DSS and this policy may be subject to a range of sanctions including loss of computer network access, disciplinary action or legal sanctions.


**Responsible for Implementation:** Vice President for Finance and Administration

**Contact for Revisions:** Vice President for Finance and Administration

**Forms:** Application for Exception from Use of University Preferred Electronic Payment Service, Statement of Intent to Comply with the University Policy for Payment Card Acceptance and Security, Payment Card Processor Registration Form, Confidentiality Statement
**Board Committee Assignment:** Finance and Audit
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: **1/29/2019**

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy establishes guidelines for university purchases using a procurement card (p-card) and related requirements and activities.

Reason for the addition, revision, or deletion (check all that apply):

- [ ] Scheduled Review  
- [ ] Change in law  
- [ ] Response to audit finding  
- [x] Internal Review  
- [ ] Other, please explain:

*Please complete the appropriate section:*

Specific rationale for new policy: **N/A**

Specific rationale for each substantive revision: The change provides minor changes to form names and references.

Specific rationale for deletion of policy: **N/A**

*Additional Comments:*

Reviewers:

Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel
Procurement Card

Original Implementation: July 26, 1999
Last Revision: April 18, 2020

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 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 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 procurement 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 P p-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 –designating departmental cardholders and their spending limits; –determining yearly encumbrance amounts for each fund/org against which credit card charges will be made; and –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 P-Card Application 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.

**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 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 and P-Card Records Portal instructional guide for procedures and detailed instructions. Paper records retained by departments should be kept for three (3) years plus the current fiscal year to comply with the state of Texas Records Retention Schedule. 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 a [P-Card Exception Approval 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.

4.3 **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.

2.4 **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.


Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Procurement and Property Services/HUB Coordinator

Forms: P-Card 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 Approval Form

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Professional and Consulting Services

Policy Number: 17.12

Is this policy new, being reviewed/revised, or deleted? Delete

Date of last revision, if applicable: 1/30/2018

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy defines and explains requirements related to purchases of professional and consulting 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: N/A

Specific rationale for each substantive revision: This policy is proposed to be blended into Policy 17.1.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance Administration
Damon Derrick, General Counsel
Professional and Consulting Services

Original Implementation: October 26, 1999
Last Revision: January 30, 2018

DEFINITIONS

Professional services means those services within the scope of the practice, as defined by state law, of:
1. accounting
2. architecture
3. landscape architecture
4. land surveying
5. medicine
6. optometry
7. professional engineering
8. real estate appraising
9. professional nursing

or those services provided in connection with the professional employment or practice of a person who is licensed or registered as
1. a certified public accountant
2. an architect
3. a landscape architect
4. a land surveyor
5. a physician, including a surgeon
6. an optometrist
7. a professional engineer
8. a state certified or state licensed real estate appraiser
9. a registered nurse

Consulting service means the service of studying or advising a state agency under a contract that does not involve the traditional relationship of employer and employee.

A consultant may be used only if there is a substantial need for the consulting services and only if the agency cannot adequately perform the services with its own personnel or obtain the consulting services through a contract with a state governmental entity.

Major consulting services contract means a consulting services contract for which it is reasonably foreseeable that the value of the contract will exceed $25,000. The $25,000 threshold is not a one-time cost, but rather a cumulative amount for on-going consulting services.
**Consultant** means a person that provides or proposes to provide a consulting service. The term includes a political subdivision but does not include the federal government, a state agency, or a state governmental entity.

**SELECTION OF A PROVIDER**

Professional or consulting services contracts may require Board of Regents approval. Reference Items Requiring Board of Regents Approval (1.4). Submission of a requisition is required, and other purchasing procedures may apply.

Subject to the provisions below, professional or consulting service solicitations greater than $25,000 will be posted on the electronic state business daily unless procurement determines that no value is added by the posting.

**Professional Services**

A professional service provider is not to be selected on the basis of competitive bid but rather 1) on the basis of demonstrated competence and qualifications to perform the services; and 2) a fair and reasonable price, as long as professional fees do not exceed any maximum provided by law. Architectural, engineering, or land surveying services must be procured in the following manner:

1. Select the most highly-qualified provider based on demonstrated competence and qualifications;
2. Attempt to negotiate a contract with the selected provider at a fair and reasonable price;
3. If a satisfactory contract cannot be negotiated with the most highly-qualified provider, formally end negotiations with that provider; select the next most highly-qualified provider, and attempt to negotiate a contract at a fair and reasonable price. The selection process for architectural, engineering, or land surveying services shall continue in this manner until a contract is accepted by all parties.

If a solicitation will enhance the selection process for professional services, contact the procurement director to discuss options for making informal price comparisons or preparing a formal request for proposal or request for qualifications.

**Consulting Services**

If consulting services are not purchased using processes allowed under Best Value Procurement (17.1), the following steps must be completed and documented.

An invitation for consultants to provide offers on major consulting services contracts must be submitted to the secretary of state for publication in the Texas Register for a minimum of 30 days prior to entering into the contract. The published invitation must include a finding and
explanation by the president that the consulting services are necessary. Contact the procurement director or general counsel’s office for assistance in completing the Major Consulting Contract Request form.

Not later than the 20th day after the date in which a major consulting contract in entered into by the university, the university shall file with the secretary of state for publication in the Texas Register: a description of the activities that the consultant will conduct; the name and business address of the consultant; the total value and the beginning and ending dates of the contract; and the dates on which any document, films, recording or reports required of the consultant are due.

All renewals, amendments, and extensions of a major consultant contract shall follow any procedures for posting in the Texas Register as required by applicable law.

Upon submittal of an offer by a private consultant to provide consulting services to SFA, any officer or employee shall report to the president within 10 days of receipt of the offer: 1) any financial interest that the officer or employee has in the private consultant, or 2) any financial interest in the private consultant of anyone related to the officer or employee within the second degree by consanguinity or affinity as determined under Texas Government Code Chapter 573. Reference Texas Government Code Section 2254.032 and Ethics (2.6).

RESTRICTIONS ON HIRING FORMER OR RETIRED EMPLOYEES

Contracting with a former employee or retiree for professional or consultant services is prohibited on state funds within 12 months of the employee’s separation date from the university. The use of local funds is allowed within 12 months of the employee’s separation date with prior approval of the director of procurement and property services, director of human resources, and general counsel.

If a past employee or retiree is hired as a consultant within 2 years of leaving SFA or any other state agency, the consultant must disclose in his/her offer the following information: a) nature of employment at the agency; b) the date employment was terminated; c) the annual rate of compensation at termination. This requirement does not apply to professional services.

Contracting for professional services with a company employing a former employee or retiree within 12 months of the employee’s separation date from the university is allowed only if the former or retired employee does not work on a project that is similar to his/her duties while employed by SFA.

Cross Reference: Tex. Educ. Code § 51.0335; Tex. Gov’t Code § 2252.001; Tex. Gov’t Code Ch. 2254; Tex. Gov’t Code Ch. 573; Nepotism (11.16); Ethics (2.6); Items Requiring Board of Regents Approval (1.4); Purchase Requisition (17.19)
Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Procurement and Property Services/HUB Coordinator

Forms: Major Consulting Contract Request Form

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Property Inventory and Management

Policy Number: 17.14

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 10/29/2018

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy affirms that SFA will comply with TGC 403.2715, university policies, and procedures outlined in the property management manual.

Reason for the addition, revision, or deletion (check all that apply):
[ ] Scheduled Review [ ] Change in law [ ] Response to audit finding
[ ] Internal Review [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Property Inventory and Management

Original Implementation: September 28, 1996
Last Revision: April 18, 2020

Purpose

This policy affirms that Stephen F. Austin State University will comply with Texas Government Code §403.2715, university policies, and procedures outlined in the property management manual. Property acquired under federal or state grants and contracts will be identified and maintained according to the same guidelines as the university's centralized property management and control described herein, except as otherwise stipulated by the grant.

Definitions

Property is defined and will be accounted for in accordance with Texas Government Code §403.272. The property manager, in conjunction with the director of procurement, and with appropriate administrative approval may define additional equipment to be tracked in property records. Property can be purchased or donated.

Salvage property is any personal property which through use, time, or accident is so depleted, worn out, damaged, consumed, or outdated that it is obsolete and/or can no longer serve the purpose for which it was originally intended.

Surplus property is any personal property that is in excess of the needs of the department and which is not required for the foreseeable future. Surplus property may be new or used but must have additional useful life.

Stolen property is any personal property that has disappeared by known theft, whether by forced removal, burglary, theft by employee, or other criminal act.

Missing property is any personal property that has disappeared with no explanation.

The equipment manager for a department is the chair or administrative head of the department.

A designee may be named by the equipment manager to receive and submit property communications on his/her behalf. The designee does not assume property responsibility or liability in lieu of the equipment manager but may sign property documents on behalf of the equipment manager with the exception of the Annual Property Inventory Audit Certification form.

The property custodian is any individual employee who is listed on property records as entrusted with the care and safekeeping of specific pieces of property, and is liable for any university property assigned to him/her.
General

The president has delegated to the director of procurement and property services and the property manager responsibility for the overall management of university property, maintenance and control of centralized property records, and disposition of surplus and salvage property.

An equipment manager may not delegate their responsibilities and is ultimately liable for any property listed on his/her department property records. The equipment manager is responsible to assign property to the property custodian who uses and/or is entrusted with property on a daily/regular basis. If the equipment manager fails to assign property to a property custodian, the property manager will contact the department and assign custodial responsibility to the employee who uses and/or is entrusted with property on a daily/regular basis. The equipment manager is responsible to notify the property manager of any donations to determine if the property must be added to property records.

The property custodian is responsible for locating all equipment for which he/she is responsible during the annual property audit, spot-check audit, or audits by audit services or state auditors. All employees and/or property custodians employees are required to sign the property liability acknowledgement form advising that he/she may be entrusted with university property. The property liability acknowledgement described in Property Liability (16.22) advises the employee that he/she will be held financially responsible for any property determined to be damaged, destroyed, missing, or stolen due to employee negligence, regardless of whether the employee is identified as a property custodian or property records.

Property Validation

Each equipment manager and property custodian is to exercise care and control over the property for which he/she is responsible. Property is to be monitored on a perpetual basis both by the property office and by university property custodians employees.

Once per year a property inventory audit will be conducted in one of two ways: 1) physical count by the department, or 2) bar code scan by the property office. The signed Annual Property Inventory Audit Certification form must be returned to the property manager by the deadline stated in the property inventory instructions. Forms in campus mail will not be considered received.

Departments failing to return the signed Annual Property Inventory Audit Certification form to the property manager by 5:00 p.m. on the deadline date will be given a second deadline and will have all ordering, including p-cards, shut down until the signed form is received in the property manager's office. Forms in campus mail will not be considered received.

Failure to return the signed Annual Property Inventory Audit Certification form to the property manager by 5:00 p.m. on the second deadline will result in all ordering continuing to be shut down until the signed form is received in the property manager’s office. In addition, department
information, including, but not limited to, department name, department head, and property values will be reported to the Board of Regents at the next regularly scheduled meeting. Forms in campus mail will not be considered received.

Spot-check audits will be conducted by property personnel throughout the year except during the annual property inventory. Transaction information for all additions to each department's property records will be emailed monthly to the equipment manager, along with a request to update location and custodian information.

Equipment managers, property custodians and/or designees Employees are to advise the property office throughout the year of the following changes:

- Equipment Manager - procedures apply to both outgoing and incoming department heads (interim or permanent); information regarding the change must be completed within 30 days of assuming or relinquishing duties.
- Property Custodian - procedures apply any time there is a change in the employee who uses and/or is entrusted with property on a daily/regular basis. The Change in Property Custodian form must be completed within 30 days of the change.
- Property locations should be updated in a timely manner. Property custodians must be able to identify property locations at any point in time.

Departments may be required to write a detailed plan for monitoring and accounting for department property. A template for the plan will be provided by the property manager and can be found on the Procurement and Property Services website.

Use of State Property

In accordance with Texas Government Code §-2203.004, university property may be used only for state/university purposes. University property in the custody of any Stephen F. Austin State University property custodian employee may not be loaned, sold, traded, thrown away, cannibalized, or disposed of in any manner without the prior authorization of the property manager.

University property may be taken off campus only for official business of the university or another state agency. The individual taking property off campus assumes financial responsibility and must complete a Removal of Property from Campus form annually.

Items containing potentially sensitive, private, or confidential information are not to be stored in any leased premises unless specifically authorized in writing by the president. These items include but are not limited to computers, electronic or digital storage devices, and paper documents. Certain off-campus facilities may lack the security necessary to protect such sensitive information.
University property may be loaned to another state agency or institution of higher education. The president must approve the loan of the property in writing and receipt of the property must be acknowledged in writing by the head of the borrowing agency.

Training

Mandatory training is required for all employees within 60 days of employment. Additionally, if a property custodian is not an employee, then training will also be required. All ESF4 property equipment managers, designees, and property custodians. After initial training, refresher training is required every two (2) years. All training is documented in the university’s myTraining system. Reference Major Rule Violations in Discipline and Discharge (11.4).

Failure to complete training within 30 days of notification (equipment manager, designee, or property custodian) will result in having the individual’s p-card inactivated. Failure to complete training within 60 days of notification will result in all ordering for the department, including p-cards, being shut down until the employee completes training.

The property manager may extend the training timeframes for employees and/or property custodians on FMLA leave, out of the country, or as otherwise deemed appropriate and approved by the director of procurement and property services/HUB coordinator.

Salvage and Surplus Property

Salvage property may be discarded or retained for cannibalization of parts, but should be identified for deletion from property records with appropriate documentation and property manager approval. Data processing equipment can never be declared salvage.

Surplus property may be traded in, transferred to another department or transferred to surplus with appropriate documentation.

Property Disposal

University property is to be disposed of as described in the property management manual, with the exception that disposition of property acquired through federal or state grants and contracts must respect the terms of the grant or contract under which it was acquired. The property manager will determine the disposal option that complies with Texas Government Code §-2175.304 and § 2175.905 and best meets the needs of the university.

All property sales, including scrap metal, are to be overseen by the property office. All sale proceeds will be deposited to the surplus sales account, unless otherwise approved by the vice president for finance and administration.

Where possible hard drives (“loose”, internal or external), memory cards from printers or scanners, or copiers must have all data removed before final disposal of the property. Memory cards from printers or scanners will be destroyed by the property office. Hard drives will be degaussed, destroyed, or overwritten and the disposal will be documented. Procurement will work with departments to document that data stored on copiers is removed before a copier leaves the campus.
Stolen or Missing Property

Stolen or missing property must be reported immediately to the property manager. A missing or stolen property report must be completed within 24 hours of reporting the missing or stolen property. The property office will make a determination of negligence on the part of the equipment manager and/or property custodian, or any other employee; see Property Liability (16.22). Failure to report stolen property to the property manager and/or university police immediately may result in a determination of negligence.

Fines and other requirements will be imposed for missing property.

The department will be fined as follows:

- $1,000 – for two items with an original purchase cost of $500 or more each, reported missing in the same fiscal year;
- $2,500 – for three to five items with any original purchase cost reported missing in the same fiscal year;
- $5,000 – for more than five items with any original purchase cost reported missing in the same fiscal year;
- in the following fiscal year if additional property is reported missing the above fines will double
- if missing property is found within 30 days of the fine being assessed, the original purchase cost of the equipment will be refunded up to a maximum of $500 per item, but never exceeding the amount of the original fine.

Within 60 days of notification of a fine, responsible all individuals employees identified by the property office will be required to complete a property training refresher course. The individuals employees identified for the refresher course may include equipment manager, designee, property custodian, or any other employee. Failure to complete the training within 60 days of notification will result in all ordering (requisition and p-card) being shut down for the entire department until the training is completed by all identified employees. Extensions of the 30-60 day limit may be made by the property manager as deemed appropriate and approved by the director of procurement and property services.

Within 60 days of notification of a fine, the equipment manager will be required to prepare a detailed department property control plan using the template provided by the property office. Failure to complete the plan within 60 days of notification will result in all ordering (requisition and p-card) being shut down for the entire department until the plan is received.

Any appropriations withheld from the university because it has exceeded the allowed value threshold of missing property, as defined in the General Appropriations Act, will be deducted from the budget of the department responsible for the property.

Individual Employee Negligence

In accordance with Texas Government Code § 403.275 all university employees are liable for the State of Texas property that they use. A determination of negligence will result in one or more
employees being held liable to replace property or reimburse the university for the determined value of property. See Property Liability (16.22) and the property management manual for definitions and requirements associated with negligence.

**Cross Reference:** Tex. Gov’t Code §§ 403.2715, 403.272, 403.273(h), 403.275; Tex. Gov’t Code § 2054.003(3)(A); Tex. Gov’t Code §§ 2175.304, .905, .908; Tex. Gov’t Code § 2203.004; Department of Information Resources Security Control Standards Catalog; Property Liability (16.22); *Discipline and Discharge (11.4)*; State Comptroller eXpendit

**Responsible for Implementation:** Vice President for Finance and Administration

**Contact for Revision:** Director of Procurement and Property Services/HUB Coordinator

**Forms:** Annual Property Inventory Audit Certification (provided by the Property Office), Certification of Physical Inventory with Change In Equipment Manager (Department Head), Department Property Control Plan Template, Missing, Damaged or Stolen Property Report, Police Report (provided from University Police Department), Change in Property Custodian, Property Liability Acknowledgement (HR), Property Transfer Form – Department to Department, Property Transfer Form – Department to Surplus, Removal of Property from Campus Request, Salvage Property Request

**Board Committee Assignment:** Finance and Audit
POLICY SUMMARY FORM

Policy Name: Proprietary Purchases

Policy Number: 17.15

Is this policy new, being reviewed/revised, or deleted? Delete

Date of last revision, if applicable: 1/28/2020

Unit(s) Responsible for Policy Implementation: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy defines and explains requirements related to proprietary purchases.

Reason for the addition, revision, or deletion (check all that apply):

☐ Scheduled Review ☐ Change in law ☐ Response to audit finding

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: This policy is proposed to be blended into Policy 17.1.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Proprietary Purchases

Original Implementation: September 1979
Last Revision: January 28, 2020

Purpose

This policy defines and explains requirements related to proprietary purchases.

General

A proprietary purchasing situation occurs when competition is not available. In addition to the purchase requisition, a written justification must be submitted to the Department of Procurement and Property Services when the specification requirement limits consideration to one manufacturer, one product, or one service provider.

A sole product may be available from more than one source and is subject to best-value procurement rules. Justification for proprietary purchases must be signed by the director of procurement and property services/HUB coordinator. To assist in proprietary purchase considerations, procedures and guidelines are provided on the Department of Procurement and Property Services website.

Cross Reference: Tex. Gov’t Code §§ 2155.063, .067; Purchase Requisition (17.19)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Procurement and Property Services/HUB

Coordinator Forms: Purchase Requisition, Exclusive Acquisition Justification

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Purchase of Demonstrator or Used Equipment

Policy Number: 17.18

Is this policy new, being reviewed/revised, or deleted?  Delete

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): This policy establishes the process for purchase of demonstrator or used equipment.

Reason for the addition, revision, or deletion (check all that apply):

☐ Scheduled Review ☐ Change in law ☐ Response to audit finding

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: The policy is deemed a procedure with no unique aspects that contradict Best Value Procurement (17.1) or Delegated Purchasing Authority (17.5). The procedure is documented in the Procurement Manual.

Additional Comments:

None

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
**Purchase of Demonstrator or Used Equipment**

**Original Implementation:** June 1, 1983

**Last Revision:** April 25, 2017

Demonstrator Equipment: A department may request that a vendor place demonstrator equipment on campus for testing to determine if the equipment will meet the university's needs. The decision to purchase such demonstrator equipment does not override best value procurement or delegated purchasing policies and procedures. The purchase of demonstrator equipment will not be considered official until a purchase order is issued by the procurement office.

Used Equipment: A requisition or a p-card may be used to initiate the purchase of used equipment. In either case, the department must submit evidence to Procurement and Property Services that justifies the purchase of used equipment.

Purchase of demonstrator or used equipment shall be in accordance with Best Value Procurement (17.1) and Delegated Purchasing Authority (17.5) and other procurement procedures relating to required documentation.

**Cross Reference:** Tex. Educ. Code § 51.9335; Best Value Procurement (17.1); Delegated Purchasing Authority (17.5); Purchase Requisition (17.19)

**Responsible for Implementation:** Vice President for Finance and Administration

**Contact for Revision:** Director of Procurement and Property Services/HUB Coordinator

**Forms:** Exclusive Acquisition Justification

**Board Committee Assignment:** Finance and Audit
POLICY SUMMARY FORM

Policy Name: Returned Payments

Policy Number: 3.27

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): Establishes processes for the handling and resolution of any returned payments received by the university

Reason for the addition, revision, or deletion (check all that apply):
- [x] Scheduled Review
- [ ] Change in law
- [ ] Response to audit finding
- [ ] Internal Review
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Returned Payments

Original Implementation: September 1, 1987
Last Revision: April 25, 2017, 2020

Purpose

This policy establishes processes for the handling and resolution of any returned payments received by the university.

Definitions

A returned payment is any payment by check, credit card, debit card, draft or other format which is returned to the university unpaid due to no fault of the bank or the university.

General

The business office may assess a returned payment fee plus applicable sales tax for each returned payment item. Returned payments on employee, student or departmental accounts may be turned over for collection to a collection service, collection agency and/or attorney. If a returned payment is turned over for collection, applicable fees assessed by the collection service, collection agency and/or attorney will be charged to the debtor. Additional legal action may be taken.

Returned payments on student accounts will be treated as outstanding charges until paid. Delinquent accounts will be subject to the university’s policies and procedures for handling student accounts receivables.

Returned payments received from departmental deposits will be charged back to the originating account and the applicable department will be notified. If a returned payment is received from a donor, the university will coordinate the charge back of the gift through the development office. The development office may make contact with the donor for resolution.

Additional Consequences

After receipt of three returned payments from any individual, organization or business, the university reserves the right to refuse certain types of payments from those payers and may demand payment by cash, cashier’s check, debit card, credit card or money order.

Employees with returned payments should make restitution to the university within ten business days of notification. If the employee has not reimbursed the university for returned payments and any applicable service charges, the university may reduce or withhold any payments due to an employee by amounts due the university, in accordance with Texas law.
Cross Reference: Check Cashing (3.7); Student Accounts Receivable (3.28)

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
Board of Regents Meeting 335
April 18, 2020

President’s Report

• COVID-19
  o Suspended and Modified Policies
  o University Teamwork, Communication, Unity and Unsung Heroes and Heroines
  o Community Partnerships
  o Post-COVID-19: The New and Unknown Landscape of Higher Education

• Initiative Progress
  o Internal
  o External
Temporary policy suspensions, modifications and operating procedures
(as a result of COVID-19)

The outbreak of the coronavirus has resulted in an unprecedented disruption of higher education across the country, state and specifically SFA. Essentially every aspect of college life has been altered, including but not limited to: teaching and learning modalities, admissions, budgets, meetings, gatherings and signature events such as commencement, housing and dining, travel, and student health and wellness. The result has been a need to suspend and/or modify policies to aid in the continued delivery of services and provision of flexibility for faculty and students as a result of the rapid mid-semester shift in teaching and learning modalities. The policies below have either been suspended or modified to accommodate issues as a result of the COVID-19 crisis. Details on each policy will be discussed during the Presidents’ report.

**POLICY 5. Academic Programs and Degrees**

5.5 Course Grades AND 6.10 Course Add/Drop

**POLICY 6. Academics-Students**

6.4 Academic Probation, Suspension and Reinstatement for Undergraduates
6.8 Commencement
6.20 Undergraduate Admissions and Credits

**POLICY 7. Academics-Faculty**

7.4 Academic Promotion of Full-Time Faculty
7.9 Distance Education Faculty Competencies and Compensation
7.18 Meeting and Conducting Classes
7.22 Performance Evaluation of Faculty
7.27 Student Evaluation of Instruction

**POLICY 11. Employment**

11.27 Telecommuting

**POLICY 12. Compensation and Benefits**

12.11 Emergency Leave
Faculty Senate Chair’s Report
Jeremy Stovall, PhD, Chair 2019-20
Address to SFA Board of Regents
April 18, 2020

1. Faculty Response to COVID-19
   a. Distance Education – Faculty Accomplishments
   b. Grade Policies for Spring 2020
2. Increase in non-tenure-track representation on faculty senate
3. Final meeting of 2019-20 on April 29
4. Opportunity for questions
Student Government Association Report  
Scarleth Lopez, President  
Address to SFA Board of Regents  
April 18, 2020

1. Spring Semester Update  
2. SGA Elections  
3. Thank you!

Link to pre-recorded report: https://youtu.be/ _Vuliwbzgil
Stephen F. Austin State University
2020-2021 Board of Regents Committees

ESTABLISHED BOARD COMMITTEES

EXECUTIVE AND LEGISLATIVE
Alton Frailey, Chair
Karen Gantt, Vice-Chair
Tom Mason, Secretary

ACADEMIC AND STUDENT AFFAIRS
Brigettee Henderson, Chair
David Alders
Jennifer Winston
Student Regent
Alton Frailey, ex-officio

BUILDING AND GROUNDS
David Alders, Chair
Scott Coleman
Judy Olson
Alton Frailey, ex-officio

FINANCE AND AUDIT
Tom Mason, Chair
Karen Gantt
Judy Olson
Alton Frailey, ex-officio
Stephen F. Austin State University
2020-2021 Board of Regents Committees

ESTABLISHED BOARD COMMITTEES

EXECUTIVE AND LEGISLATIVE
This committee is comprised of the board officers and shall serve as an advisory committee to review and make recommendations to the full board on any matter related to legislative initiatives and the governance, control and direction of the policies of the university.

Alton Frailey, Chair
Karen Gantt, Vice-Chair
Tom Mason, Secretary

ACADEMIC AND STUDENT AFFAIRS
This committee shall consider: (1) the curricula of the various colleges and departments of the University with any other matters dealing with academic programs and the progress thereof; (2) the research programs within the university and their relationship to all graduate education; (3) student affairs within the university; (4) personnel matters within the university; administrative matters not delegated to another committee.

Brigettee Henderson, Chair
David Alders
Jennifer Winston
Student Regent
Alton Frailey, ex-officio

BUILDING AND GROUNDS
This committee shall consider: (1) use and occupancy of university property; (2) planning of, locating of, receiving bids for, awarding contracts for, construction of, and maintenance of buildings, utilities, and other physical facilities of the campus.

David Alders, Chair
Scott Coleman
Judy Olson
Alton Frailey, ex-officio
FINANCE AND AUDIT
This committee shall consider: (1) the budgeting and appropriations request processes; (2) all requests for appropriations and budgets covering expenditures of educational and general funds and auxiliary programs, including, but not limited to, student housing and the athletic department; (3) handling of university funds, depositories, etc., whether from appropriated or contributed funds. (4) the auditing function of the university including, but not limited to, annual audit plan, internal and external audit reports, risk assessment, and audit/compliance

Tom Mason, Chair
Karen Gantt
Judy Olson
Alton Frailey, ex-officio