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BOARD OF REGENTS MEETING 339

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# AGENDA

**SFA Board of Regents**

**Austin 307**  
**Meeting 339**  
**October 25-26, 2020**

**Board members**  
Alton Frailey, Chair | Karen Gantt, Vice Chair | Tom Mason, Secretary  
David Alders | Scott Coleman | Robert Flores | Brigette Henderson |  
Judy Olson | Jenn Winston | Ireland Bramhall

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<tr>
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<th>Item</th>
<th>Presenter</th>
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<tbody>
<tr>
<td><strong>SUNDAY, October 25, 2020</strong></td>
<td>Call to Order in Open Session</td>
<td>A. Frailey</td>
</tr>
<tr>
<td>1:00 p.m.</td>
<td>Welcome and Roll Call/Introductions</td>
<td>A. Frailey</td>
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<tr>
<td>1:05 p.m.</td>
<td><strong>BUILDING AND GROUNDS COMMITTEE MEETING</strong></td>
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<td></td>
<td>Call to Order</td>
<td>D. Alders</td>
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<td></td>
<td>Report: Construction Report</td>
<td>D. Gallant</td>
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<td></td>
<td>Agenda Item 8: Building and Grounds Policy Revisions</td>
<td>D. Derrick</td>
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<td>Turner Auditorium 16.30</td>
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<td></td>
<td>Recess Building and Grounds Committee</td>
<td>D. Alders</td>
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<tr>
<td>1:30 p.m.</td>
<td><strong>RECESS TO EXECUTIVE SESSION</strong></td>
<td>A. Frailey</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/ G. Oglesbee</td>
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<td>Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations. (Texas Government Code, Section 551.073)</td>
<td>D. Derrick</td>
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<tr>
<td></td>
<td>Potential Naming Opportunities</td>
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<td>Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, Marcella Cook v. SFASU et al; Ann Wilder, Ph.D. v. SFASU; and S.M., J.C., C.O., T.R., M.W., and K.W. vs. SFASU et al. (Texas Government Code, Section 551.071)</td>
<td>D. Derrick</td>
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<td>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,</td>
<td>D. Derrick</td>
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<td>Estimated Time</td>
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<tr>
<td>6:00 p.m.</td>
<td>Return to Open Session</td>
<td>A. Frailey</td>
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<td>Recess Board of Regents Meeting to Monday, October 26, at 8:30 a.m.</td>
<td>A. Frailey</td>
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<td>MONDAY, October 26, 2020</td>
<td>7:30 a.m. Individual Regents Photos</td>
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<td>8:00 a.m.</td>
<td>Regent Group Photos</td>
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<td>8:30 a.m.</td>
<td>Call to Order in Open Session</td>
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<td>Welcome and Roll Call/Introductions</td>
<td>A. Frailey</td>
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<tr>
<td></td>
<td>Pledge</td>
<td>Cadet Davis</td>
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<td></td>
<td>Invocation</td>
<td>Regent</td>
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<td></td>
<td>Reports from Cabinet</td>
<td>S. Gordon</td>
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<tr>
<td>10:15 a.m.</td>
<td><strong>BREAK</strong></td>
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<tr>
<td>10:30 a.m.</td>
<td><strong>FINANCE AND AUDIT COMMITTEE MEETING</strong></td>
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<tr>
<td></td>
<td>Call to Order</td>
<td>T. Mason</td>
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<td></td>
<td>Report: Contract Monitoring</td>
<td>D. Gallant</td>
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<td></td>
<td><strong>Agenda Item 9: Acknowledge Receipt of Audit Services Report</strong></td>
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<td>Follow-Up Audit</td>
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<td>Information Technology Services Departmental Audit</td>
<td>G. Oglesbee</td>
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<td>Student Success Center Departmental Audit</td>
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<td>Update on Audit Plan</td>
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<td><strong>Agenda Item 10: Annual Audit Report and Audit Charter</strong></td>
<td>G. Oglesbee</td>
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<td><strong>Agenda Item 11: Extension of Marketing Campaign Contract</strong></td>
<td>J. Still</td>
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<td><strong>Agenda Item 12: Economic Development Administration Grant –</strong></td>
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<td></td>
<td>Institutional Match</td>
<td>D. Gallant</td>
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<td><strong>Agenda Item 13: Ratification of the 2022-23 LAR Submission</strong></td>
<td>D. Gallant</td>
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<td><strong>Agenda Item 14: Ratification of the Vivature Medical Billing Contract</strong></td>
<td>D. Gallant</td>
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<td><strong>Agenda Item 15: Grant Awards</strong></td>
<td>D. Gallant</td>
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<td><strong>Agenda Item 16: Finance and Audit Policy Revisions</strong></td>
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<td>Check Cashing 3.7</td>
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<td>Compliance 2.12</td>
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<td>Environmental Management 13.26</td>
<td>D. Derrick</td>
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<td>Gift Reporting 3.16</td>
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<td>Travel Card 3.30</td>
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<td></td>
<td>Recess Finance and Audit Committee</td>
<td>T. Mason</td>
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<tr>
<td>11:15 a.m.</td>
<td><strong>ACADEMIC AND STUDENT AFFAIRS COMMITTEE MEETING</strong></td>
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<td></td>
<td>Call to Order</td>
<td>B. Henderson</td>
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<td></td>
<td>Agenda Item 6: Holiday Schedule Update 2020-2021</td>
<td>S. Gordon</td>
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<td></td>
<td>Agenda Item 7: Academic and Student Affairs Policy Revisions</td>
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<td>Accessibility for Persons with Disabilities 2.2</td>
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<td>Concurrent and Dual Credit Enrollment Programs 6.9</td>
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<td>Information Security Management 14.1</td>
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<td>Staff Employment 11.5 (New)</td>
<td>D. Derrick</td>
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<td>Student Organization Formation and Recognition 10.9</td>
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<td>Tuition Rebate 6.21</td>
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<td>University Logo and Seal 15.6</td>
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<td>Recess Academic and Student Affairs Committee</td>
<td>B. Henderson</td>
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<tr>
<td>11:45 a.m.</td>
<td>Recess Committee Meetings – Walking Tour of Newly Renovated Student Center Dining Hall</td>
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<tr>
<td>12:15 p.m.</td>
<td>Break for Lunch</td>
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<td>1:15 p.m.</td>
<td>Tour of Basketball Performance Center and Griffith Fine Arts Construction Sites</td>
<td>D. Gallant/ J. Kingham</td>
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<td>3:15 p.m.</td>
<td><strong>Return in Open Session</strong></td>
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<td>Special Recognition</td>
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<td>Regent recognitions</td>
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<td>Dr. Leslie Cecil – Regents Scholar for 2020-21</td>
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<td></td>
<td>Action Item 1: Approval of Board Meeting Minutes for July 19-21 (337) and September 11 (338)</td>
<td>A. Frailey</td>
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<td><strong>PERSONNEL</strong></td>
<td>S. Gordon</td>
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<td></td>
<td>Action Item 2: Approval of Staff Appointments</td>
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<td>Action Item 3: Approval of Faculty Appointments</td>
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<td>Action Item 4: Approval of Changes of Status</td>
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<td>Action Item 5: Faculty Promotions</td>
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<td><strong>REPORT FROM ACADEMIC AND STUDENT AFFAIRS COMMITTEE</strong></td>
<td>B. Henderson</td>
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<td>Action Item 6: Holiday Schedule Update 2020-2021</td>
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### Estimated Time

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<td>Student Organization Formation and Recognition 10.9</td>
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<td>University Logo and Seal 15.6</td>
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<tr>
<td><strong>3:30 p.m. REPORT FROM BUILDING AND GROUNDS COMMITTEE</strong></td>
<td>D. Alders</td>
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<tr>
<td>Action Item 8: Building and Grounds Policy Revisions</td>
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<tr>
<td>Turner Auditorium 16.30</td>
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<td>Action Item 17: Possible Naming Opportunities (Pending Executive Session)</td>
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<td><strong>REPORT FROM FINANCE AND AUDIT COMMITTEE</strong></td>
<td>T. Mason</td>
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<td>Information Technology Services Departmental Audit</td>
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<td>Student Success Center Departmental Audit</td>
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<td>Update on Audit Plan</td>
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<td>Action Item 11: Approval of Extension of Marketing Campaign Contract</td>
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<td>Action Item 12: Approval of Economic Development Administration Grant – Institutional Match</td>
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<td>Travel Card 3.30</td>
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<td><strong>4:00 p.m. REPORTS</strong></td>
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<td>President</td>
<td>S. Gordon</td>
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<td>Suspended and Modified Policies</td>
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<td>VSIP Update</td>
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<td>University Affairs 360 review</td>
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<td>Legislator Meetings</td>
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<td>Preparing for 2021</td>
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<td>Athletics Update</td>
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<td>Lumberjack Innovation Team</td>
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<td>Academic Reorganization</td>
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<td>Other Updates</td>
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<td>Faculty Senate</td>
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<td>Introduction</td>
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<td>Thanks to President and Board</td>
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<td>Faculty flexibility and workload in a time of maximum uncertainty</td>
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<td>SGA Virtual Retreat</td>
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<td>SGA Town Hall Meeting with Senior Leadership</td>
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<td>Mental Health Awareness</td>
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<td>5:00 p.m.</td>
<td>Adjourn Meeting of the Board of Regents</td>
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Stephen F. Austin State University  
Board of Regents  
Meeting #339  
October 25-26, 2020  

ROLL CALL  

Regents  
Alton Frailey, Chair  
Karen Gantt, Vice Chair  
Tom Mason, Secretary  
David Alders  
Scott Coleman  

Robert Flores  
Brigette Henderson  
Judy Olson  
Jenn Winston  
Ireland Bramhall, Student Member  

Administrators  
Scott Gordon  
Damon Derrick  
Gina Oglesbee  
Erma Brecht  
Steve Bullard  
Michara Delaney-Fields  

Anthony Espinoza  
Danny Gallant  
Ryan Ivey  
Jill Still  
Steve Westbrook
Stephen F. Austin State University  
Board of Regents – Building and Grounds Committee  
Construction Update  
October 25, 2020 – October 26, 2020
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<td>Project 2 - Campus Space Realignment and Renovations</td>
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<td>Project 3 - McKibben Education Building 1st Floor Lobby Renovations</td>
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<td>Project 4 - Fine Arts Expansion</td>
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<td>Project 5 - Basketball Practice Facility</td>
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<td>Project 6 - Student Residential and Dining Facilities</td>
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<td>Project 7 - Parking Lot Construction</td>
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<td>Project 8 - Power Plant 1 Upgrade</td>
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<td>Project 9 - Culinary Café Relocation and Renovation</td>
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<td>Project 10 - Steen Library Renovations Phase 1</td>
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<td>Project 11 - Student Center Dining Hall Renovation</td>
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<td>Project 12 - Beef Farm Facility Construction</td>
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<td>Project 13 - Relocation of Einstein Bros. in the Steen Library</td>
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<td>Project 14 - Music and Boynton Utility System Upgrade</td>
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<tr>
<td>Project 15 - Education and General Roof Replacement and Repair</td>
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Construction Projects In Progress - as of September 16, 2020 (Projects greater than or equal to $500,000)

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<tr>
<th>No</th>
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<th>Fund Source</th>
<th>Project Budget</th>
<th>Expenditures To Date</th>
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<th>Total To Date</th>
<th>Budget Variance</th>
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<td>STEM Facility</td>
<td>Aug-15</td>
<td>Tuition Rev. Bond</td>
<td>$47,320,000</td>
<td>$46,804,691</td>
<td>$489,485</td>
<td>$47,294,176</td>
<td>$25,824</td>
<td>98%</td>
<td>Complete</td>
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<td>2</td>
<td>Campus Space Realignment and Renovation</td>
<td>May-18</td>
<td>HEF</td>
<td>$3,000,000</td>
<td>$4,260</td>
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<td>$4,260</td>
<td>$2,995,740</td>
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<td>TBD</td>
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<td>3</td>
<td>McKibbon Education Building 1st Floor Lobby Renovations</td>
<td>Jul-18</td>
<td>HEF</td>
<td>$150,000</td>
<td>$52,301</td>
<td>$78,112</td>
<td>$130,413</td>
<td>$19,387</td>
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<td>4</td>
<td>Fine Arts Expansion</td>
<td>Sep-18</td>
<td>Revenue Financing Bonds</td>
<td>$50,000,000</td>
<td>$2,908,739</td>
<td>$1,377,024</td>
<td>$4,345,762</td>
<td>$45,654,238</td>
<td>20%</td>
<td>Aug-22</td>
</tr>
<tr>
<td>5</td>
<td>Basketball Practice Facility</td>
<td>Dec-18</td>
<td>Revenue Financing Bonds</td>
<td>$28,500,000</td>
<td>$8,597,016</td>
<td>$16,463,396</td>
<td>$28,940,412</td>
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<td>6</td>
<td>Student Resident Hall</td>
<td>Dec-18</td>
<td>Revenue Financing Bonds</td>
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<td>$1,154,006</td>
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<td></td>
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<td>7</td>
<td>Parking Lot Construction</td>
<td>Dec-18</td>
<td>Auxiliary Fund Balance</td>
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<td>$723,193</td>
<td>$4,183</td>
<td>$727,376</td>
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<td>8</td>
<td>Power Plant 1 Upgrade</td>
<td>Jul-19</td>
<td>HEF</td>
<td>$3,500,000</td>
<td>$152,788</td>
<td>$62,189</td>
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<td>35%</td>
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<td>9</td>
<td>Culinary Cafeteria Relocation and Renovation</td>
<td>Dec-19</td>
<td>HEF</td>
<td>$3,500,000</td>
<td>$388</td>
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<td>10</td>
<td>Steen Library Renovation Phase 1</td>
<td>Sep-19</td>
<td>HEF</td>
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<td>$224,794</td>
<td>$26,671</td>
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<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>
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<tr>
<td>12</td>
<td>Beef Farm Facility Construction</td>
<td>Jan-20</td>
<td>HEF and other Institutional Funds</td>
<td>$900,000</td>
<td>$297,274</td>
<td>$410,807</td>
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<td>Relocation of Einstein Bros. In the Steen Library</td>
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<td>Information Unavailable</td>
<td>Information Unavailable</td>
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<tr>
<td>14</td>
<td>Music and Boynton Utility System Upgrade</td>
<td>Jan-20</td>
<td>HEF</td>
<td>$2,000,000</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$2,000,000</td>
<td>15%</td>
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<tr>
<td>15</td>
<td>Education and General Roof Replacement and Repair</td>
<td>Jan-20</td>
<td>HEF</td>
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<td>-</td>
<td>-</td>
<td>-</td>
<td>$600,000</td>
<td>15%</td>
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</tr>
</tbody>
</table>

**Totals**

$178,121,010 | $61,153,694 | $23,359,999 | $84,513,692 | $93,607,318
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: Complete
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
  Increased by $70,000 to $47,320,000 in October 2019

Construction Guaranteed Maximum Price: $40,952,315

Project Status:
  • Project is complete, pending final contractor payments.
Project # 2

Campus Space Realignment and Renovation

Project Manager – Physical Plant
Architect – Various, as needed
Contractor – N/A

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:
- $115,000 allocated for LINC power/data and additional level one flooring replacement.
- Pending further virtual One Stop Shop (the Axe Handle) development

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

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. This project is done in conjunction with Physical Plant refurbishment of hallway finishes.

Funding Source: HEF

Key Milestones:
Start Date: September 2018
Expected Completion: October 2020
Project Budget of $150,000 approved by the Regents on July 23, 2018

Project Status:
- Contractor work completed
- Scheduling floor refinishing
- Final building signage being produced

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
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<td>52,301</td>
<td>78,112</td>
<td>130,413</td>
<td>19,587</td>
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</table>
Project # 4

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
Phase I – Demolition & Abatement, $725,912
Phase II – Construction, TBD

Project Status:

- GMP pricing in process
- Change Order processed for added services in relation to site structural

<table>
<thead>
<tr>
<th>Project Budget</th>
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<th>Encumbered</th>
<th>Total to Date</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>50,000,000</td>
<td>2,968,739</td>
<td>1,377,024</td>
<td>4,345,763</td>
<td>45,654,237</td>
</tr>
</tbody>
</table>
Project # 5

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: June 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
      Reduced by $132,330 to $1,237,057
  Phase II – Main Building $23,818,986 GMP
      Increased by $406,561 to $25,462,604
  Total Project GMP - $25,188,374
      Increased by $274,230 to $25,462,604

Project Status:
  • Vertical superstructure in progress
  • Building entrance and coliseum anticipated to be accessible to accommodate the start of Basketball season and December Graduation

<table>
<thead>
<tr>
<th>Project Budget</th>
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<th>Total to Date</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>28,500,000</td>
<td>8,597,016</td>
<td>19,463,396</td>
<td>28,060,412</td>
<td>439,588</td>
</tr>
</tbody>
</table>
Project # 6

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:
- Both building projects on pause

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>
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<td>1,134,006</td>
<td>372,050</td>
<td>1,506,056</td>
<td>22,993,944</td>
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</tbody>
</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>
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<td>1,071,957</td>
<td>1,266,401</td>
<td>13,733,599</td>
</tr>
</tbody>
</table>
Project # 7

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: Complete.
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:
• Project is Complete.

<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>786,010</td>
<td>723,193</td>
<td>4,183</td>
<td>727,376</td>
<td>58,634</td>
</tr>
</tbody>
</table>
Project # 8

Power Plant 1 Upgrade

Project Manager – Physical Plant  
Engineer(s) – Estes McClure and Associates, Two Fifteen Consulting  
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:  
• Evaluating long lead items and underground piping new route

<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>
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<td>152,788</td>
<td>62,189</td>
<td>214,977</td>
<td>3,285,023</td>
</tr>
</tbody>
</table>
Project # 9

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: Fall 2021
Project Budget of $1,500,000 approved by the regents on July 22, 2019

Project Status:
  • Contractor mobilizing with expected start date of 10/12/2020

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
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<tr>
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<td>4,313</td>
<td>1,495,687</td>
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</tbody>
</table>
Project # 10

Steen Library Renovation Phase 1

Project Manager – Physical Plant
Architect– n/a
Contractor – Managed In-House

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
Additional Project funds of $115,000 brought over from the Campus Realignment project in July 2020.

Project Status:
- “The Axe Handle” (One Stop Shop) Phase 2 discussion & modifications underway
- New Linc lab furniture ordered
- Lobby floor refinishning and restricted access assessments underway

<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>
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<td>224,794</td>
<td>26,671</td>
<td>251,465</td>
<td>113,535</td>
</tr>
</tbody>
</table>
Project # 11

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: Complete
Project Budget of $4,000,000 approved by the regents on October 27, 2019

Project Status:
• Project is complete.

<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>Information Unavailable (privately funded by Aramark)</td>
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<td></td>
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</table>
Project # 12

Beef Farm Facility Construction

Project Manager – Physical Plant
Architect/ Engineer– Goodwin-Lasiter-Strong, Two Fifteen Consulting
Contractor – SpawGlass

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:
• Building erected and classroom build out underway

<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>900,000</td>
<td>297,274</td>
<td>410,807</td>
<td>708,081</td>
<td>191,919</td>
</tr>
</tbody>
</table>
Project # 13

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: TBD
Project Budget of $1,000,000 approved by the regents on January 28, 2020

Project Status:
• Project 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>Information Unavailable (privately funded by Aramark)</td>
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<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Project # 14

Music and Boynton Utility System Upgrade

Project Manager – Physical Plant
Architect – EMA and Two Fifteen Engineers
Contractor – TBD

Scope of Work:
At the July 23, 2019 meeting, the regents approved at $3.5 million piping system to link the Griffith Fine Arts Building and the new fine arts facilities with the current Power Plant 1 utility distribution system. To provide additional support for the fine arts facilities, it is necessary to upgrade the Power Plant 1 utility distribution system to include the Wright Music Building and Boynton Building in the upgrades. This project will add an additional chiller to Power Plant 1, remove the old inefficient energy equipment in both Boynton and Music buildings, and connect both buildings to the hydronic piping system. Site work, installation, and flood mitigation, will be included in the utility infrastructure upgrade.

Funding Source: HEF

Key Milestones:
Start Date: Fall 2020
Expected Completion: N/A
Project Budget of $2,000,000 approved by the regents on July 21, 2020

Project Status:
- Pricing and route directions underway

<table>
<thead>
<tr>
<th>Project Budget</th>
<th>Expenditure</th>
<th>Encumbered</th>
<th>Total to Date</th>
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</thead>
<tbody>
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<td>2,000,000</td>
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<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>
Project # 15

Education and General Roof Replacement and Repair

Project Manager – Physical Plant
Architect – N/A
Contractor – RMI

Scope of Work:
The Lucille E. Norton Health and Physical Education (HPE) Building and complex contains the Kinesiology Department and serves as the hub for various university functions. The building contains 70,000 square feet, was last reroofed in 1985, its warranty is expired, and it is nearing the end of its useful life. The recommendation is to split the re-roofing in two phases to spread the cost of a period of years. In addition, various E&G roofs require more than regular preventative maintenance to extend their life.

Funding Source: HEF

Key Milestones:
Start Date: Fall 2020
Expected Completion: N/A
Project Budget of $600,000 approved by the regents on July 21, 2020

Project Status:
• Waiting on pricing proposal from contractor

<table>
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<th>Total to Date</th>
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<td>600,000</td>
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</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:

Turner Auditorium 16.30
Policy Name: Turner Auditorium

Policy Number: 16.30

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: Provost and Vice President for Academic Affairs

Purpose of Policy (what does it do): Establishes a process for scheduling and use of Turner Auditorium and equipment within.

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

Original Implementation: May, 1987
Last Revision: January 30, 2018  October 26, 2020

Auditorium Operating Policy

Scheduling and use of Turner Auditorium and its equipment are pursuant to the policy on Use of University Facilities (16.33). The dean of the College of Fine Arts is the administrator of the facility and its operating policies. Nothing contained in this policy will be construed to prohibit or hinder the operation of Turner Auditorium in pursuing the university's mission. All activities associated with that mission will have priority in the use of this facility.

Priority of Users

Because Turner Auditorium is an academic and a performing arts facility, its use shall be restricted according to the following prioritized categories:

Category I - Events sponsored by the Schools of Art, Music, or Theatre; and other performance activities that are a necessary adjunct to academic programs in the College of Fine Arts.

Category II - Events that are a part of the University Series or the Children's Performing Arts Series (CPAS).

Category III - Events sponsored by university academic units or organizations.

Category IV - Events sponsored by non-university groups subject to the regulations described herein.

Reservations Procedures

Reservations for all functions in Turner Auditorium are made through the office of the dean of the College of Fine Arts. The dean may limit in advance, or reduce after receipt of reservations, the number of dates reserved by any entity, activity, or type of event. The dean may limit the duration and/or reject the date(s) of any reservation that is impractical for reasons such as safety, stage operations requirements, or excessive restriction of the auditorium’s availability. All reservations require the dean’s approval. The dean will act as arbitrator in circumstances where scheduling conflicts cannot be resolved. Scheduling priorities will be given in accordance with the following procedures:

Category I - Events requiring the use of the auditorium for five days or longer have priority for reserving dates until October 1 of the previous academic year. Events requiring the use of the auditorium for fewer than five days have priority for reserving dates through October 31 of the previous academic year.
Category II - Events in this category have priority for reserving dates after November 1 and prior to January 1 of the previous academic year.

Categories III and IV - Events in these categories may reserve available dates after May 1 of the previous academic year.

**Events with Admission Charges**

Categories I and II - If an event has an admission charge, the Fine Arts Box Office must deposit all proceeds into a university account according to business office procedures.

Categories III and IV - Admission pricing and procedures may be established by individual users for their events. Services of the Fine Arts Box Office are not available; nevertheless, university academic units must conform to university business practices and policies.

**Jointly Sponsored Events**

Jointly sponsored events (i.e., events where official university academic units and organizations jointly sponsor an event with a non-university group) may be scheduled only in accordance with the provisions of the policy on Use of University Facilities (16.33). Jointly sponsored events in Turner Auditorium are subject to the following regulations:

1. Only university entities (colleges, academic units, auxiliary offices) may jointly sponsor an event with a non-university group.
2. A jointly sponsored event must have approval from an academic unit chair/director, dean or vice president and have relevant educational objectives.
3. A written agreement between the university entity and the non-university group must be prepared in consultation with the dean of the College of Fine Arts and the Turner facilities manager. This agreement must be signed by the appropriate authorities.
4. The Turner staff will work directly with the university sponsor rather than the non-university group. The university sponsor will be considered the producer of the event.
5. The university sponsor will assume full responsibility for the event and all related charges, including costs for damages. All promotion of the event must include the name of the university, be approved by the university sponsor and conform to the policy on University Publications (15.8).
6. The university sponsor will assure the use of Turner Auditorium does not result in private gain for the non-university group.

**General Operating Regulations**

1. No signs, messages or other materials may be posted, displayed, distributed, or announced in, on, or adjacent to Turner Auditorium without prior written approval by the dean of the College of Fine Arts. Such materials may not be fastened to any part of the facility except in
spaces provided for that purpose and may not be permitted to interfere with crowd movement and safety.
2. All news releases, handbills, advertisements, television and radio announcements or other media utilized to inform the public of a non-university event to be held in Turner Auditorium must be approved by University Marketing Communications and must carry a disclaimer, approved by the university general counsel, stating that the use of Turner Auditorium does not imply endorsement of the event by the sponsoring organization or the university.
3. Safety regulations, as determined by the Turner staff and the university safety officer, will govern all areas of Turner Auditorium and the Griffith Fine Arts Building.
4. User organizations are responsible for the conduct of their representatives, members, and guests of the event while in the Griffith Fine Arts Building. Organizations with a history of conduct violations during previous use of Turner Auditorium may be denied subsequent use.
5. In accordance with the policy on Smoking, Vaping and Use of Tobacco Products (13.21), the university is a tobacco and vape free campus.
6. Users are advised to make their policies regarding the taking of photographs and/or recordings clear to the audience.
7. Users must have prior written permission from the Turner staff to make any broadcasts, telecasts, master recordings, films, or transcripts of performances. If consent is given, the user organization will furnish and install all necessary equipment other than that provided by the Turner staff.
8. Users must specify hours of occupancy and may not have activities in the facility other than at those times. The Turner staff will be in attendance and will be paid by the users during all specified hours, according to a schedule of fees kept in the dean’s office.
9. Turner staffing levels will be determined by the dean of the College of Fine Arts and the Turner facilities manager. A Turner technical crew and house management are required for all events when an audience is present. Any additional required personnel (ticket sellers/takers, ushers, etc.) will be provided by the users, at the users’ expense.
10. Users may employ their own crews for tasks better understood by their personnel (music stand and chair setup, prop arrangements, etc.). These arrangements must be approved in advance by the dean of the College of Fine Arts and Turner facilities manager. Such arrangements do not, however, release the users from the basic personnel charges identified in this policy.
11. Services provided by the Turner staff outside scheduled occupancy will be paid by the users. All university equipment will be operated by trained personnel employed by the university and/or approved by the Turner facilities manager.
12. All users and sponsors will pay for damages to the facility, its fixtures and equipment, whether caused by the users, sponsors, or patrons, with the exception of ordinary wear and tear.
13. Pianos owned by the university may be provided, according to the schedule of fees.
14. Stage work will be done at the users’ expense under the supervision of the Turner facilities manager. Approval must be secured for organizations to employ their own personnel.
15. Users must request equipment that may be deemed non-standard by the Turner facilities manager prior to signing the contract.
16. Users must obtain approval from the Turner facilities manager before placing any equipment on the stage. All decorations will be installed without defacing the building and will be subject to the supervision and approval of the Turner facilities manager.

17. User organizations will leave the stage and stage areas, including dressing rooms and access areas, clean and clear after the final performance. Any exception must be approved by the Turner facilities manager. If the stage is not cleared within the designated period, the Turner staff will employ a crew for which the users will pay. Users will be released from further clean-up responsibility only after inspection by the Turner facilities manager.

18. Additional charges will apply for custodial services required outside regularly scheduled housekeeping hours.

19. User organizations will not allow beverages, food, gum, or refreshments to be sold, brought into, or served in the Griffith Fine Arts Building. No refreshments will be taken onto the stage, into the backstage areas, or into the auditorium. Exceptions must be approved by the Turner facilities manager.

20. Should an event be canceled within three weeks before the scheduled performance, a cancellation fee will be charged to the users according to the schedule of fees.

21. House doors open thirty (30) minutes before curtain time. The house manager starts the performance.

22. Users whose technical or house crew fails to operate and maintain the facility according to the stated operating regulations will be required to employ Turner staff for future events, or may forfeit future use.

Cross Reference: Use of University Facilities (16.33); University Publications (15.8); Smoking, Vaping and Use of Tobacco Products (13.21), Health and Safety (13.10), Receipts and Deposits (3.26)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Dean of the College of Fine Arts

Forms: Reservation Form, Schedule of Fees

Board Committee Assignment: Building and Grounds
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
Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations (Texas Government Code, Section 551.073)

- Potential Naming Opportunities
Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, *Marcella Cook v. SFASU et al*; *Ann Wilder, Ph.D. v. SFASU*; and *S.M., J.C., C.O., T.R., M.W., and K.W. vs. SFASU et al.* (Texas Government Code, Section 551.071)
Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the director of athletics, head men’s basketball coach, vice presidents and the president. (Texas Government Code, Section 551.074)
Stephen F. Austin State University
Board of Regents
Meeting 338
October 26, 2020
Stephen F. Austin State University  
Board of Regents  
Meeting #339  
October 25-26, 2020

ROLL CALL

Regents
Alton Frailey, Chair                    Robert Flores
Karen Gantt, Vice Chair               Brigette Henderson
Tom Mason, Secretary                 Judy Olson
David Alders                         Jenn Winston
Scott Coleman                         Ireland Bramhall, Student Member

Administrators
Scott Gordon                          Anthony Espinoza
Damon Derrick                         Danny Gallant
Gina Oglesbee                         Ryan Ivey
Erma Brecht                           Jill Still
Steve Bullard                         Steve Westbrook
Michara Delaney-Fields
ROTC CADET DAVIS

Cadet Ariana Davis is the proud daughter of LTC Larinzol Davis and Tawyna Davis. Ariana is a Military child who graduated from Seoul American High School in Seoul, Republic of Korea. Although she has lived in many places, she considers herself a Texan at heart. Since Cadet Davis’ first semester she has been (added) an invaluable member of the Lumberjack Battalion. Ariana is currently serving as the Cadet Executive Officer and Chief of Staff within the Lumberjack Battalion. Cadet Davis is on track to graduate with a Bachelor of Science in Health Science with a minor in Military Science. Upon graduation, Ariana will commission as a 2nd Lieutenant and Basic Officer Leader Course.
Board of Regents Reports

October 26, 2020
COVID-19 Response Update

- Operations Team
- Surveillance
  - Test Reporting
    - Contact Tracing
    - Cleaning/Disinfection
    - HR Support
    - Student Affairs/Auxiliary Services Support
      - Quarantine meals
      - Isolation Rooms
COVID-19 Response Update

Daily Status Review

Statewide
- Positive case 7-day trend
- Hospitalization numbers
- Positivity Rate

Regional
- Hospitalization data
  - General Use Beds in use
  - ICU Beds in use

City
- Hospitalization data
  - General Use Beds in use
  - ICU Beds in use

University
- Active cases
- Isolation Beds in Use
- 7-day trends

Communication
- Reporting website updated daily M-F
Positive Results

The table below shows the number of positive tests reported by SFA faculty, staff or students who may have been present on campus during the time of their infection.

<table>
<thead>
<tr>
<th>Reported Positives</th>
<th>Cumulative Since 7/23/20*</th>
<th>Recovered**</th>
<th>Active</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students</td>
<td>220</td>
<td>197</td>
<td>23</td>
</tr>
<tr>
<td>Faculty/Staff</td>
<td>31</td>
<td>30</td>
<td>1</td>
</tr>
<tr>
<td>Totals</td>
<td>251</td>
<td>227</td>
<td>24</td>
</tr>
</tbody>
</table>

*First day reporting portal was live.

**Cases reported for which the CDC recommended isolation period has expired.

(A correction on 8/8/20 to the number of "on-campus" cases resulted in a revision to the cumulative case total.)

Total Tests Reported On and Off Campus

The table below shows the number of tests reported by SFA faculty, staff or students, including persons who were not on campus during the time they may have been infected.

| Total tests reported since 7/23/20* | 1013 |
| Positives reported since 7/23/20* | 380  |
| Recovered**                        | 341  |
| Active                              | 39   |

Updated Oct. 14, 2020 – 8:57 a.m.
University Affairs

- Development of Student Housing and Dining contracts that align with flexible session lengths
- Lumberjack FIT: First-Year Intensive Transition
- Lumberjack Essentials
  - Food
  - Finance
  - Health & Well-being
# Finance

**STEPHEN F. AUSTIN STATE UNIVERSITY**

<table>
<thead>
<tr>
<th>Method of Financing:</th>
<th>For the Years Ending</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>August 31, 2020</td>
</tr>
<tr>
<td>General Revenue Fund</td>
<td>$ 39,106,062</td>
</tr>
<tr>
<td><strong>General Revenue Fund - Dedicated</strong></td>
<td></td>
</tr>
<tr>
<td>Estimated Board Authorized Tuition Increases Account No. 704</td>
<td>$ 840,000</td>
</tr>
<tr>
<td>Estimated Other Educational and General Income Account No. 770</td>
<td>$ 15,329,918</td>
</tr>
<tr>
<td>Subtotal, General Revenue Fund - Dedicated</td>
<td></td>
</tr>
<tr>
<td>$ 16,169,918</td>
<td>$ 16,187,905</td>
</tr>
<tr>
<td><strong>License Plate Trust Fund Account No. 0802, estimated</strong></td>
<td></td>
</tr>
<tr>
<td>$ 7,946</td>
<td>$ 7,946</td>
</tr>
<tr>
<td><strong>Total, Method of Financing</strong></td>
<td></td>
</tr>
<tr>
<td>$ 55,283,926</td>
<td>$ 54,235,335</td>
</tr>
</tbody>
</table>

**Items of Appropriation:**

1. Educational and General State Support
   - $ 55,283,926 | $ 54,235,335

**Grand Total, STEPHEN F. AUSTIN STATE UNIVERSITY**

- $ 55,283,926 | $ 54,235,335

A773-FSize-up-3-C

III-141

August 8, 2019
Finance

STEPHEN F. AUSTIN STATE UNIVERSITY
(Continued)

This bill pattern represents an estimated 23.5%
of this agency's estimated total availablefunds for the biennium.

Number of Full-Time-Equivalents (FTE)- Appropriated Funds

|                | 566.5 | 566.5 |

1. **Informational Listing of Appropriated Funds.** The appropriations made above for Educational and General State Support are subject to the special and general provisions of this Act and include the following amounts for the purposes indicated.

**A. Goal:** INSTRUCTION/OPERATIONS
Provide Instructional and Operations Support.

<table>
<thead>
<tr>
<th>Strategy Description</th>
<th>Amount</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.1.1. Strategy: OPERATIONS SUPPORT</td>
<td>$31,002,992</td>
<td>$31,002,992</td>
</tr>
<tr>
<td>A.1.2. Strategy: TEACHING EXPERIENCE SUPPLEMENT</td>
<td>$1,449,309</td>
<td>$1,449,309</td>
</tr>
<tr>
<td>A.1.3. Strategy: STAFF GROUP INSURANCE PREMIUMS</td>
<td>$2,842,243</td>
<td>$2,842,243</td>
</tr>
<tr>
<td>A.1.4. Strategy: TEXAS PUBLIC EDUCATION GRANTS</td>
<td>$2,068,851</td>
<td>$2,072,718</td>
</tr>
<tr>
<td>A.1.5. Strategy: ORGANIZED ACTIVITIES</td>
<td>$941,619</td>
<td>$941,619</td>
</tr>
</tbody>
</table>

**Total, Goal A:** INSTRUCTION/OPERATIONS

<table>
<thead>
<tr>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>$38,305,014</td>
</tr>
</tbody>
</table>

**B. Goal:** INFRASTRUCTURE SUPPORT
Provide Infrastructure Support.

<table>
<thead>
<tr>
<th>Strategy Description</th>
<th>Amount</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>B.1.1. Strategy: E&amp;G SPACE SUPPORT</td>
<td>$6,329,131</td>
<td>$6,329,131</td>
</tr>
</tbody>
</table>

Educational and General Space Support.

<table>
<thead>
<tr>
<th>Strategy Description</th>
<th>Amount</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>B.1.2. Strategy: TUITION REVENUE BOND RETIREMENT</td>
<td>$6,440,456</td>
<td>$5,388,000</td>
</tr>
</tbody>
</table>

**Total, Goal B:** INFRASTRUCTURE SUPPORT

<table>
<thead>
<tr>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>$12,769,587</td>
</tr>
</tbody>
</table>
Finance

STEPHEN F. AUSTIN STATE UNIVERSITY
(Continued)

C. Goal: NON-FORMULA SUPPORT
Provide Non-formula Support.

1. Objective: INSTRUCTIONAL SUPPORT
   1. Strategy: RURAL NURSING INITIATIVE
      $ 270,370

2. Objective: RESEARCH
   1. Strategy: APPLIED FORESTRY STUDIES CENTER
      Center for Applied Studies in Forestry.
      $ 377,523

C.3. Objective: PUBLIC SERVICE
   C.3.1. Strategy: STONE FORT MUSEUM & RESEARCH CENTER
      Stone Fort Museum and Research Center of East Texas.
      $ 71,959

   C.3.2. Strategy: SOIL PLANT & WATER ANALYSIS LAB
      Soil Plant and Water Analysis Laboratory.
      $ 41,048

   C.3.3. Strategy: APPLIED POULTRY STUDIES & RESEARCH
      Applied Poultry Studies and Research.
      $ 38,714

4. Objective: INSTITUTIONAL SUPPORT
   1. Strategy: INSTITUTIONAL ENHANCEMENT
      $ 3,238,235

Total, Goal C: NON-FORMULA SUPPORT
$ 4,037,849

D. Goal: RESEARCH FUNDS

D.1.1. Strategy: COMPREHENSIVE RESEARCH FUND
$ 171,476

Grand Total, STEPHEN F. AUSTIN STATE UNIVERSITY
$ 55,283,926
# Finance

STEPHEN F. AUSTIN STATE UNIVERSITY

(Continued)

**Object-of-Expense Informational Listing:**

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and Wages</td>
<td>$13,964,324</td>
<td>$13,900,119</td>
</tr>
<tr>
<td>Other Personnel Costs</td>
<td>478,572</td>
<td>319,328</td>
</tr>
<tr>
<td>Faculty Salaries (Higher Education Only)</td>
<td>28,903,908</td>
<td>29,100,166</td>
</tr>
<tr>
<td>Professional Fees and Services</td>
<td>6,860</td>
<td>4,265</td>
</tr>
<tr>
<td>Fuels and Lubricants</td>
<td>15</td>
<td>15</td>
</tr>
<tr>
<td>Consumable Supplies</td>
<td>6,915</td>
<td>5,228</td>
</tr>
<tr>
<td>Utilities</td>
<td>129</td>
<td>0</td>
</tr>
<tr>
<td>Rent - Machine and Other</td>
<td>28,479</td>
<td>13,718</td>
</tr>
<tr>
<td>Debt Service</td>
<td>6,440,456</td>
<td>5,388,000</td>
</tr>
<tr>
<td>Other Operating Expense</td>
<td>3,286,940</td>
<td>3,345,036</td>
</tr>
<tr>
<td>Client Services</td>
<td>6,108</td>
<td>0</td>
</tr>
<tr>
<td>Grants</td>
<td>2,068,851</td>
<td>2,072,718</td>
</tr>
<tr>
<td>Capital Expenditures</td>
<td>92,369</td>
<td>86,742</td>
</tr>
</tbody>
</table>

**Total, Object-of-Expense Informational Listing**

$55,283,926  $54,255,335
Finance
STEPHEN F. AUSTIN STATE UNIVERSITY
(Continued)

Estimated Allocations for Employee Benefits and Debt Service Appropriations Made Elsewhere in this Act:

<table>
<thead>
<tr>
<th>Employee Benefits</th>
<th>$3,042,203</th>
<th>$3,109,904</th>
</tr>
</thead>
<tbody>
<tr>
<td>Retirement</td>
<td>6,423,580</td>
<td>6,423,580</td>
</tr>
<tr>
<td>Group Insurance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Social Security</td>
<td>3,311,616</td>
<td>3,378,511</td>
</tr>
</tbody>
</table>

Total, Estimated Allocations for Employee Benefits and Debt Service Appropriations Made Elsewhere in this Act

$12,777,399  $12,911,995

2. Performance Measure Targets. The following is a listing of the key performance target levels for the Stephen F. Austin State University. It is the intent of the Legislature that appropriations made by this Act be utilized in the most efficient and effective manner possible to achieve the intended mission of the Stephen F. Austin State University. In order to achieve the objectives and service standards established by this Act, the Stephen F. Austin State University shall make every effort to attain the following designated key performance target levels associated with each item of appropriation.
Finance
STEPHEN F. AUSTIN STATE UNIVERSITY
(Continued)

A. Goal: INSTRUCTION/OPERATIONS

Outcome (Results/Impact):
Percent of First-time, Full-time, Degree-seeking Freshmen
  Who Earn a Baccalaureate Degree within Six Academic Years 45\% 45.5\%
Percent of First-time, Full-time, Degree-seeking Freshmen
  Who Earn a Baccalaureate Degree within Four Academic Years 32.5\% 33\%
Persistence Rate of First-time, Full-time, Degree-seeking
  Freshmen Students after One Academic Year 72.8\% 74\%
Certification Rate of Teacher Education Graduates 97\% 97\%
Percent of Baccalaureate Graduates Who Are First Generation
  College Graduates 45\% 45\%
Percent of Incoming Full-time Undergraduate Transfer
  Students Who Graduate within Four Years 70\% 70\%
Percent of Incoming Full-time Undergraduate Transfer
  Students Who Graduate within Two Years 32\% 33\%
Percent of Lower Division Semester Credit Hours Taught by
  Tenured or Tenure-Track Faculty 50\% 50\%
State Licensure Pass Rate of Nursing Graduates 95\% 95\%
Dollar Value of External or Sponsored Research Funds (in
  Millions) 4.7 5

A.1.1. Strategy: OPERATIONS SUPPORT

Efficiencies:
Administrative Cost as a Percent of Total Expenditures 11\% 11\%
Average Cost of Resident Undergraduate Tuition And Fees
  For 15 Semester Credit Hours 5,144 5,144

Explanatory:
Average Student Loan Debt 32,166 33,472
Percent of Students with Student Loan Debt 68.7\% 68.6\%
Average Financial Aid Award Per Full-Time Student 13,024 13,154
Percent of Full-Time Students Receiving Financial Aid 87\% 88\%
3. **Governing Board.** Out of the funds appropriated above, an amount not to exceed $30,000 in each year of the biennium shall be for all expenses associated with the governing board's duties including, but not limited to: travel, entertainment, lodging, and expenses of state employees who provide services for the governing board.

A separate record of the board's expenditures shall be kept and retained in the same manner as the fiscal records of the institution(s) the board governs. No funds may be used for the governing board's expenses except for the specific amounts designated above. Funds appropriated for the governing board's expenses may be used for any other purpose covered by this Act.
# Finance

**LAR Non Formula Requests and Appropriation Bill Analysis**  
**October 9, 2020**

**Current Appropriation Bill Pattern - Non Formula Items**

<table>
<thead>
<tr>
<th>Item</th>
<th>FY 2020</th>
<th>FY 2021</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition Revenue Bond Retirement</td>
<td>6,440,456.00</td>
<td>5,388,000.00</td>
</tr>
<tr>
<td>Rural Nursing Initiative</td>
<td>270,370.00</td>
<td>270,370.00</td>
</tr>
<tr>
<td>Applied Forestry Studies Center</td>
<td>377,523.00</td>
<td>377,523.00</td>
</tr>
<tr>
<td>Stone Fort Museum &amp; Research Center</td>
<td>71,959.00</td>
<td>71,959.00</td>
</tr>
<tr>
<td>Soil Plant &amp; Water Analysis Lab</td>
<td>41,048.00</td>
<td>41,047.00</td>
</tr>
<tr>
<td>Applied Poultry Studies &amp; Research</td>
<td>38,714.00</td>
<td>38,713.00</td>
</tr>
<tr>
<td>Institutional Enhancement</td>
<td>3,238,235.00</td>
<td>3,238,235.00</td>
</tr>
<tr>
<td><strong>Total Special Item non-Formula Support</strong></td>
<td>4,037,849.00</td>
<td>4,037,847.00</td>
</tr>
<tr>
<td>Staff Group Insurance Premiums</td>
<td>2,842,243.00</td>
<td>2,842,243.00</td>
</tr>
<tr>
<td>Texas Public Education Grants</td>
<td>2,068,851.00</td>
<td>2,072,718.00</td>
</tr>
<tr>
<td>Organized Activities</td>
<td>941,619.00</td>
<td>941,619.00</td>
</tr>
<tr>
<td><strong>General Revenue Dedicated Items</strong></td>
<td>5,852,713.00</td>
<td>5,856,580.00</td>
</tr>
</tbody>
</table>


# Finance

## LAR Non Formula Requests and Appropriation Bill Analysis

October 9, 2020

### LAR Submission with Required Reductions

<table>
<thead>
<tr>
<th>Description</th>
<th>FY 2022</th>
<th>FY 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition Revenue Bond Retirement</td>
<td>5,383,800.00</td>
<td>5,382,750.00</td>
</tr>
<tr>
<td>Rural Nursing Initiative</td>
<td>270,370.00</td>
<td>270,370.00</td>
</tr>
<tr>
<td>Applied Forestry Studies Center</td>
<td>377,523.00</td>
<td>377,523.00</td>
</tr>
<tr>
<td>Stone Fort Museum &amp; Research Center</td>
<td>71,959.00</td>
<td>71,959.00</td>
</tr>
<tr>
<td>Soil Plant &amp; Water Analysis Lab</td>
<td>41,048.00</td>
<td>41,047.00</td>
</tr>
<tr>
<td>Applied Poultry Studies &amp; Research</td>
<td>38,714.00</td>
<td>38,713.00</td>
</tr>
<tr>
<td>Institutional Enhancement</td>
<td>3,238,234.00</td>
<td>3,238,236.00</td>
</tr>
<tr>
<td>5% Required Reduction</td>
<td>(201,495.00)</td>
<td>(201,495.00)</td>
</tr>
</tbody>
</table>

**Special Item non-Formula Support**

<table>
<thead>
<tr>
<th>Description</th>
<th>FY 2022</th>
<th>FY 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff Group Insurance Premiums</td>
<td>3,642,748.00</td>
<td>3,679,176.00</td>
</tr>
<tr>
<td>Texas Public Education Grants</td>
<td>2,150,000.00</td>
<td>2,190,000.00</td>
</tr>
<tr>
<td>Organized Activities</td>
<td>915,000.00</td>
<td>915,000.00</td>
</tr>
</tbody>
</table>

**General Revenue Dedicated Items**

<table>
<thead>
<tr>
<th>Description</th>
<th>FY 2022</th>
<th>FY 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Revenue Dedicated Items</td>
<td>6,707,748.00</td>
<td>6,784,176.00</td>
</tr>
</tbody>
</table>

**Total Non Formula Request Items**

<table>
<thead>
<tr>
<th>Description</th>
<th>FY 2022</th>
<th>FY 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Non Formula Request Items</td>
<td>15,927,901.00</td>
<td>16,003,279.00</td>
</tr>
</tbody>
</table>
## Finance

### Legislative Appropriation Request (LAR) 2022-23

### Exceptional Item Requests

October 9, 2020

<table>
<thead>
<tr>
<th>Exceptional Item Initiatives</th>
<th>Project Cost</th>
<th>Annual Debt Service</th>
<th>Annual LAR Request Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interdisciplinary and Applied Science Building</td>
<td>53,000,000</td>
<td>4,620,782</td>
<td>4,620,782</td>
</tr>
<tr>
<td>Agriculture and Technology Complex</td>
<td>45,000,000</td>
<td>3,923,305</td>
<td>3,923,305</td>
</tr>
<tr>
<td>Center for Applied Research and Innovation</td>
<td></td>
<td></td>
<td>1,000,000</td>
</tr>
<tr>
<td>Restoration of the 5% Required Reduction</td>
<td></td>
<td></td>
<td>201,495</td>
</tr>
</tbody>
</table>

| Total Exceptional Item Requests                                   |              |                     | 9,745,582                  |

Page 22
ITS

• Classroom Upgrades
  o 68 classrooms were upgraded over the summer with Zoom capabilities
  o 18 classrooms are currently being upgraded to be Zoom collaborative classrooms
  o 12 existing full Zoom rooms
  o 122 web conference cameras deployed to classrooms
Academic Affairs

New Academic Programs

BA/BS Medical Humanities
BS General Studies
BA International and Intercultural Communication
BS Criminal Justice
BS Data Analytics
BBA Entrepreneurship
Bachelor of Music, Sound Recording Technology
BS Human Services
Academic Affairs

New Academic Programs

BA/BS Medical Humanities
BS General Studies
BA International and Intercultural Communication
BS Criminal Justice
BS Data Analytics
BBA Entrepreneurship
Bachelor of Music, Sound Recording Technology
BS Human Services
BS Aviation Science
Academic Affairs

New Academic Programs

MA National Security
MA Publishing
MA Teaching College Social Sciences
MS Cyber Security
MS Nursing
"Flex" MBA
Academic Affairs

New Academic Programs

MA National Security
MA Publishing
MA Teaching College Social Sciences
MS Cyber Security
MS Nursing
"Flex" MBA
Doctoral Degree in Social Work
Doctoral Degree in Curriculum and Instruction
Academic Affairs

New Academic Certificates, Concentrations, Minors

An example of each ... ~ 27 total

NRCoB – Certificate in Petroleum Land Mgt
Chemistry – Concentration in Fermentation Science
Liberal and Applied Arts – Minor in Religious Studies
Academic Affairs

New Initiatives

Modalities – 3,579 Sections

- Face-to-face: 37%
- Hybrid: 41%
- Online: 21%
- Livestream (Zoom): 1%
Academic Affairs

New Initiatives

• 8-Week Courses/Programs

• Online Programs and Certificates

• 2+2 Programs with Community Colleges

• New Locations – BSIS @ RELLIS, LSC-Kingwood, Polk County (?)

• CBE in Hospitality Administration
Academic Affairs

New Initiatives

- Organizational Options for Academic Programs
  - Provide clear guidance to degree and career pathways for prospective students and parents
  - Reduce administrative costs
  - Enhance collaboration between programs
  - Establish what each college is for

Candace Hicks • JD Salas • Jeremy Stovall • Jared Barnes • Rachel Jumper • Nina Ellis-Hervey • Anne Smith • Sam Copeland • Kevin Langford • Brian Beavers • Nikki Shoemaker • Charlotte Allen
Enrollment Management

<table>
<thead>
<tr>
<th>Fall 2020 Enrollment Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Enrollment</strong></td>
</tr>
<tr>
<td><strong>Semester Credit Hour</strong></td>
</tr>
<tr>
<td><strong>Undergraduates</strong></td>
</tr>
<tr>
<td><strong>Graduates</strong></td>
</tr>
<tr>
<td><strong>Hispanic enrollment</strong></td>
</tr>
<tr>
<td><strong>First Year Retention</strong></td>
</tr>
<tr>
<td><strong>Six Year Grad Rate</strong></td>
</tr>
</tbody>
</table>
# Enrollment Management

## Fall 2020 Enrollment Comparison Information

<table>
<thead>
<tr>
<th>School</th>
<th>Fall 2020 Enrollment</th>
<th>+/-</th>
<th>Reported Notes of Interest</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Stephen F. Austin</strong></td>
<td>12,620</td>
<td>2.7%</td>
<td>Undergrad 4.4% decrease. Graduate 10.7% increase.</td>
</tr>
<tr>
<td>Angelo State</td>
<td>10,775</td>
<td>1.7%</td>
<td>13% increase in Dual Credit</td>
</tr>
<tr>
<td>Texas A&amp;M System</td>
<td>71,109</td>
<td>2.4%</td>
<td>20% increase in Transfer</td>
</tr>
<tr>
<td>UT Austin</td>
<td>50,481</td>
<td>1.2%</td>
<td></td>
</tr>
<tr>
<td>Texas State</td>
<td>37,849</td>
<td>0.9%</td>
<td>24.3% increase in Graduate</td>
</tr>
<tr>
<td>Texas Woman's Univ</td>
<td>16,441</td>
<td>3.8%</td>
<td>Dual Credit &amp; Graduate Increase. Freshman 13% decrease and Transfer 5% decrease.</td>
</tr>
<tr>
<td>Texas Tech</td>
<td>40,332</td>
<td>3.9%</td>
<td>1st Year Retention 87.6%. Significant increase in scholarships.</td>
</tr>
<tr>
<td>Univ of North Texas</td>
<td>40,796</td>
<td>4.1%</td>
<td>13% increase in Graduate</td>
</tr>
<tr>
<td>Tarleton State</td>
<td>14,096</td>
<td>6.2%</td>
<td>16% increase in Graduate; Fort Worth campus 16% increase</td>
</tr>
<tr>
<td>Texas A&amp;M Commerce</td>
<td>11,994</td>
<td>0.9%</td>
<td>Freshman 16% decrease; Transfer 14% decrease; Graduate 3.2% increase</td>
</tr>
<tr>
<td>UT Tyler</td>
<td>9,927</td>
<td>1.2%</td>
<td>Longview Center decrease 32% decrease (256 to 174)</td>
</tr>
<tr>
<td>Kilgore Comm College</td>
<td>5,031</td>
<td>11%</td>
<td></td>
</tr>
<tr>
<td>Panola College</td>
<td>2,531</td>
<td>3%</td>
<td></td>
</tr>
<tr>
<td>Trinity Valley CC</td>
<td>5,832</td>
<td>12%</td>
<td></td>
</tr>
<tr>
<td>Angelina</td>
<td>4,244</td>
<td>7%</td>
<td></td>
</tr>
</tbody>
</table>

**Note:** Data from websites or news releases. THECB will post statewide preliminary headcount report after Oct. 22.
## Enrollment Management

<table>
<thead>
<tr>
<th></th>
<th>Headcount</th>
<th>SCH</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fall 2020</strong></td>
<td>12,620</td>
<td>150,785</td>
</tr>
<tr>
<td><strong>Goal 5% increase</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Fall 2021</strong></td>
<td>13,251</td>
<td>+631</td>
</tr>
<tr>
<td><strong>Stretch Goal 7% increase</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Fall 2021</strong></td>
<td>13,503</td>
<td>+883</td>
</tr>
</tbody>
</table>
# Enrollment Management

<table>
<thead>
<tr>
<th></th>
<th>Fall 2020</th>
<th>Fall 2021 5% increase</th>
<th>Fall 2021 7% increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dual Credit</td>
<td>970</td>
<td>1,150</td>
<td>1,150</td>
</tr>
<tr>
<td>New Freshman</td>
<td>1,597</td>
<td>1,702</td>
<td>1,757</td>
</tr>
<tr>
<td>New Transfer</td>
<td>862</td>
<td>920</td>
<td>965</td>
</tr>
<tr>
<td>Returners</td>
<td>268</td>
<td>320</td>
<td>335</td>
</tr>
<tr>
<td>Continuing Undergraduate</td>
<td>7,295</td>
<td>7,368</td>
<td>7,474</td>
</tr>
<tr>
<td>New Graduate</td>
<td>429</td>
<td>459</td>
<td>479</td>
</tr>
<tr>
<td>Continuing Graduate</td>
<td>1,199</td>
<td>1,332</td>
<td>1,343</td>
</tr>
<tr>
<td></td>
<td>12,620</td>
<td>13,251</td>
<td>13,503</td>
</tr>
</tbody>
</table>
Enrollment Management

Fall 2021 Enrollment Plan
Dual Credit

1,150

- Continuing Student
- New Students
- Continuing DC Partners
- Returning DC Partners
- New Dual Credit Partners
- Center
- Timpson
- Palestine
- Marshall ISD (ECHS)
Enrollment Management

Fall 2021 Enrollment Plan
New Freshman

1,757

East Texas - 400
- Distinguished HS Program
- DC Seniors

Houston Area – 557
- Harris
- Fort Bend
- Montgomery
- Brazoria
- Galveston

Dallas/Fort Worth – 460
- Dallas
- Denton
- Collin
- Tarrant
- Rockwall

Other Texas – 310
- IH35 Corridor
- Rellis area
- South Texas

Out of State – 30
- Border State Campaign
- International
Enrollment Management

Fall 2021 Enrollment Plan
New Transfer

- Angeline
- Tyler Junior College
- Panola
- Kilgore

- Lone Star
- TCC
- Other

- Transfer Showcase
- Transfer Counselor Event

- Aviation
- Degree Completer
- Online Programs

- Lone Star – Kingwood
- Rillos (Texas A&M System and Blinn)

Enhanced Communications

New Partnerships

Academic Programs

Recruitment Events

Community Colleges – Other

Community Colleges - East

965

sfasu.edu
Enrollment Management

Fall 2021 Enrollment Plan
Returning Students

335

- Campaign to Stop Outs
- Communications Plan
- Advising Connection
Enrollment Management

Fall 2021 Enrollment Plan
Continuing Undergrad Students

7,474

- Park Team
- Non-Matriculant + - 1st Year students
- Predictive Texas Resident Peer Retention Plan
- 15 to Finish Campaign
- Flexible Majors
- Advising Experience
- Internal Marketing - Registration Reminders
- LEAP
- Jacks PASS
Enrollment Management

Fall 2021 Enrollment Plan
New & Continuing Graduate Students

New
479

Online Programs
New Grad Programs
LEAP
Flexible Modalities
Targeted Marketing

Cont.
1,343

Online Programs
Advising
LEAP
Flexible Modalities
Targeted Marketing
Advancement

• Chief Marketing & Communications Officer Search
• Fundraising Campaign Update
• Alumni Engagement Efforts
Athletics

- **Current Fall Seasons Update**
  - **Football:** 1-3 with losses to 3 FBS teams
    - Has 6 additional games scheduled
    - 4 home games, 4 FBS games and 2 FCS games
  - **Soccer:** 2-1-2 Fall season and will play in the spring
  - **Volleyball:** 8-2 Fall season and will play in the spring
Athletics

• Basketball Season
  – Delayed 2 weeks by the NCAA to a November 25 start date
  – Currently still working on both basketball team schedules
  – Will limit capacity to WRJ to 3,475 (50% capacity)

– COVID Protocols:
  • No floor seats
  • Will severely reduce the access to the back of WRJ
  • Masks will be required at all times, since it is inside
Athletics – External Initiatives

• Fall sports in the Spring
  – Volleyball:
    • 12 matches this spring starting 2/2/21-3/27/21
    • 4 team, single elimination championship at the site of the top seed 4/2-3/21
    • May schedule non-conference competition beginning 1/23/21
  – Soccer:
    • Full round robin schedule (11 matches) starting 2/12-4/9/21
    • 4-team, single-elimination championship at the site of the top seed 4/15-17/21
    • May schedule non-conference competition beginning 2/3/21
  – Spring Sports
    • All spring sports currently are moving forward to start on time with no reduction in schedules (at this time)
Office of Diversity, Equity, and Inclusion

- **Mission:** The Office of Diversity, Equity & Inclusion (ODEI) supports the mission of SFA by engaging, celebrating, cultivating, and fostering a welcoming environment for all. We are committed to amplifying a campus culture that nurtures belonging, enriches learning and development, enhances research, and celebrates similarities and differences in which all members of the community can thrive and succeed authentically.
Office of Diversity, Equity, and Inclusion

- **Vision:** At Stephen F. Austin State University, we will become a more equitable, engaged, and transformative university and community.
Office of Diversity, Equity, and Inclusion

- Launch a campus-wide assessment and planning process.
  - Campus Climate Survey- faculty, staff, and students
  - Campus Climate Steering Committee
Office of Diversity, Equity, and Inclusion

- Conduct a thorough cataloging of the extent and effectiveness of DEI activities across the spectrum from how and where we recruit students, staff and faculty, and how we support their successes.

- Diversity Strategic Plan Four Working Groups
  - Student Success- I, II, III, and IV
  - Research and Innovation- I, II
  - Campus Culture- III
  - Student Engagement and Collaboration-IV
Office of Diversity, Equity, and Inclusion

- Launch a campus-wide listen, understand, and act initiative.
- Listen
  - Facilitate listening sessions throughout the year with students faculty, staff, alumni, and community.
  - Articulate the development of objectives and priorities from the sessions to guide our work.
- Understand
  - Explore how DEI is incorporated into our community outreach activities
  - Ensure diverse and inclusive programs are appropriately aligned and adequately resourced.
- Act
  - Implemented a Hate/Bias reporting form- “AXE HATE”
    - http://www.sfasu.edu/osrr/axe-hate
Office of Diversity, Equity, and Inclusion

• Our efforts will always have a commitment to best practices, research, data and results that will take time and require patience—but we are confident that it will set the stage for future progress for SFA.
Office of Diversity, Equity, and Inclusion

Questions
Finance and Audit Committee
Stephen F. Austin State University
Board of Regents – Finance Committee
Texas Government Code Contract Reporting
October 25, 2020
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<th>Page</th>
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<tr>
<td>Texas Government Code Contract Reporting</td>
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</tr>
<tr>
<td>Kingham Dalton Wilson, Ltd.</td>
<td>2</td>
</tr>
<tr>
<td>Kirksey Architects, Inc.</td>
<td>3</td>
</tr>
<tr>
<td>Summary of Contracts</td>
<td>4-5</td>
</tr>
</tbody>
</table>
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: 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. Subsequent amendment for Fine Arts Expansion Initiative-Amendment No. 3 for phase 1 of the GMP in the amount of $725,912. Subsequent amendment for Basketball Practice Facility-Amendment No. 4 for additional services added to Phase 2 GMP in the amount of $274,320. Subsequent amendment for Fine Arts Expansion Initiative-Amendment No. 5 for additional services added to Phase 1 GMP in the amount of $71,336.63. Residence Hall project closed as of 08/31/20 in the amount of ($12,464.12).

**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:** $0.00

**Total Estimated Aggregate Amount:** $26,571,060.51

**Contract Period:** 2/07/2019-7/07/2021

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

**Director Certification:** Completed

**President Attestation:** Completed

**Statutory Reporting Requirement:** Government Code 2261.253, 2261.254, 2261.255, GAA Article IX, Section 7.12
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 Once 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. Subsequent Amendment No. 2-Fine Arts in the amount of $7,000 for additional services related to redesign.

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: $7,000.00

Total Estimated Aggregate Amount: $5,947,791.00


Board Approved: October 2018, October 2019

Director Certification: Completed

President Attestation: Not Applicable

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>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-UNIV-BLDG-PROJECTS-2018 opened 8/10/18 and construction manager agreement dated 2/20/19 with estimated substantial completion date for all projects of 2/17/23 which may change upon final schedules and final project GMP's. Subsequent amendment for preconstruction services in the amount of $205,744. Subsequent amendments for Basketball Practice Facility: Amendment No. 1 effective 7/22/19 for phase 1 of the GMP in the amount of $1,369,188, Amendment No. 2 effective 10/29/2019 for phase 2 of the GMP in the amount of $233,818,985. 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 $119,928. Subsequent amendment for Fine Arts Expansion Initiative: Amendment No. 3 for phase 1 of the GMP in the amount of $725,912. Subsequent Amendment for Basketball Practice Facility: Amendment No. 4 for additional services added to Phase 2 GMP in the amount of $774,320. Subsequent amendment for Fine Arts Expansion Initiative: Amendment No. 5 for additional services added to Phase 1 GMP in the amount of $71,336.63. Residence Hall project closed as of 06/30/20 in the amount of $132,464.12.</td>
<td>Kingham Dalton Wilson, Ltd</td>
<td>Request for Proposal</td>
<td>Physical Plant</td>
<td>None</td>
<td>$</td>
<td>-</td>
<td>$26,571,061.51</td>
<td>2/20/19 - 7/07/2021</td>
</tr>
<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-UNIV-BLDG-PROJECTS-2018 opened 8/10/18 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 $790,000 for basic services, $164,900 for additional services, and reimbursable expenses not to exceed $42,605. Addendum 1- Construct and Renovate Student Residential and Dining Facilities in the amount of $2,275,250 for basic services, $99,250 for additional services, and reimbursable expenses not to exceed $36,900. Subsequent Amendment No. 1 to Addendum 1-Residence Hall in the amount of $354,000 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. Subsequent Amendment No. 1-Fine Arts in the amount of $7,000 for additional services related to redesign.</td>
<td>Kirtsey Architects, Inc.</td>
<td>Request for Qualifications</td>
<td>Physical Plant</td>
<td>None</td>
<td>$</td>
<td>7,000.00</td>
<td>$5,947,791.00</td>
<td>3/06/2019 - 3/04/2023</td>
</tr>
</tbody>
</table>
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:

- Follow-Up Audit
- Information Technology Services Departmental Audit
- Student Success Center Departmental Audit
- Update on Audit Plan

Recommendation:

Acknowledge receipt of the audit services report pending consideration by the Finance and Audit Committee.
ANNUAL AUDIT REPORT AND AUDIT CHARTER

Explanation:

According to the Rules and Regulations of the Board of Regents, the chief audit executive shall submit an annual report as required by Art. 6252-5d, V.T.C.S., recodified at Government Code, Chapter 2101. The annual report shall be submitted to the president and the board for review prior to public dissemination. In addition, the Institute of Internal Auditors (IIA) International Standards for the Professional Practice of Internal Auditing (the standards) require the internal audit charter to be approved periodically. The internal audit charter provides the purpose, authority, responsibility, and position of the internal audit department. The charter is included in the annual audit report.

Recommendation:

Approval of the annual audit report and audit charter pending approval of the Finance and Audit Committee.
EXTENSION OF MARKETING CAMPAIGN CONTRACT

Explanation:

Carlberg is contracted for website development and has requested an extension of their FY2020 contract through May 31, 2021 in order to complete the work.

Recommendation:

The administration recommends that the board approve this contract amendment extension for completion of FY2020 website work. The administration further recommends that the president be authorized to sign the contract amendment.
ECONOMIC DEVELOPMENT ADMINISTRATION GRANT RATIFICATION

Explanation:

The university is developing a grant proposal from the Economic Development Administration (EDA) to establish a collaborative center where faculty, students, and staff can engage in research development projects that support academic programs and regional economic development. The collaboration may include, but is not limited to, government agencies, private manufacturers, corporate research entities, and the financial services industry. The center will host conferences, professional development opportunities, and research initiatives.

The base EDA grant of $3,571,579 represents 80% of the total project funding. The grant opportunity requires the university to fund 20% of the $4,464,474 grant total. That required match is $892,895, which would come from designated fund balance.

The grant submission date was September 30, 2020. Therefore, the administration seeks ratification of the grant project and the required institutional match.

Recommendation:

The administration recommends the board ratify approval of the Economic Development Administration grant submission, which includes a grant funding level of $3,571,579, an institutional match of $892,895 using designated fund balance, and a total grant budget of $4,464,474. The administration further recommends presidential authorization to sign the grant agreement and contract. In addition, the administration recommends presidential authorization to sign associated contracts and purchase orders that exceed the president’s board-authorized limit.
RATIFICATION OF THE 2022-23 LEGISLATIVE APPROPRIATIONS REQUEST

Explanation:

At the July 21, 2020 meeting, the regents approved the submission of the 2022-23 Legislative Appropriations Request (LAR) to the Legislative Budget Board (LBB). The regents were provided capital request plans that included a $45,000,000 Agriculture and Technology Complex, a $53,000,000 Interdisciplinary and Applied Sciences Building, and a $2,000,000 request to fund a Center for Applied Research and Rural Innovation. The LAR submission on September 18, 2020 contained those specific initiatives, presented as exceptional item requests.

As a part of the LAR submission, the LBB instructed state agencies and institutions of higher education to submit a 5% general revenue reduction for the 2022-23 biennium. That biennial amount totaled $402,990. SFA complied with that requirement, but also included an exceptional item request, asking for the restoration of that reduction.

In addition to the capital requests, funding for the Center for Applied Research and Rural Innovation, and restoration of the required five percent general revenue reduction, the university requested continued funding of non-formula support items. Those included continued funding for tuition revenue bond debt service, and all other non-formula support items.

Excluding exceptional item requests, the university submitted non-formula requests as directed by the LBB. The requests were $15,927,901 for fiscal year 2022 and $16,003,279 for fiscal year 2023, for a biennial non-formula total of $31,931,180.

Exceptional item request biennial totals included restoration of the required 5% general revenue reduction of $402,990, debt service for the Interdisciplinary and Applied Sciences Building of $9,241,564, debt service for the Agriculture and Technology Complex of $7,846,610, and operational funding for the Center for Applied Research and Innovation initiative of $2,000,000. Biennial exceptional item requests totaled $19,491,164.

The LBB has requested updates to revenue and expenditures that occurred in end-of-year closing activities. The updated report was due on October 23, 2020. There were no revisions to non-formula or exceptional item requests.
Recommendation:

The administration recommends ratification of the 2022-23 Legislative Appropriations Request as submitted.
Legislative Appropriations Request
for Fiscal Years 2022 and 2023

Submitted to the
Officer of the Governor, Budget
Division, and the Legislative Budget
Board
by

Stephen F. Austin State University

REVISED
October 23, 2020
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<td>October, 2020</td>
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For the reports identified below, Stephen F. Austin State University either has no information to report or the schedule is not applicable. Accordingly, these reports have been excluded from the Legislative Appropriations Request for the 2020-21 biennium.

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Administrator's Statement
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

755 Stephen F. Austin State University

Stephen F. Austin State University
General Statement of the President

OVERVIEW

Founded in 1923, Stephen F. Austin State University (SFA) is a comprehensive institution located in Nacogdoches that is dedicated to excellence in teaching, research, scholarship, creative work, and service. Throughout the university, faculty and staff provide personal attention, engaging students in a learner-centered environment and offering opportunities to prepare for the challenges of living in the global community. SFA benefits the East Texas community and the State of Texas by providing a high quality, affordable education.

SFA serves students through a variety of undergraduate and graduate programs. Eighty undergraduate programs and forty-four master degree programs are available in six colleges (Business, Education, Fine Arts, Forestry and Agriculture, Liberal and Applied Arts, and Sciences and Mathematics). Additionally, SFA offers three doctoral programs: the Doctor of Philosophy (Ph.D.) in Forestry, and School Psychology as well as the Doctor of Education (Ed.D.) in Educational Leadership.

STUDENTS

SFA is proud of its mission as a comprehensive university serving students who are primarily residents of Texas. Ninety-seven percent of SFA students are Texas residents and 91 percent are residents within 200 miles of Nacogdoches. In fact, most students (83%) come from Dallas (20%), East Texas (35%), and Houston (28%). In Fall 2020, SFA enrolled 12,620 students (87% undergraduates and 13% graduates).

Approximately 40 percent of SFA degrees are awarded to first generation college students. SFA continues to award an increasing number of degrees, with more than 2,800 degrees awarded in fiscal year 2020. The university is also increasing degree completion numbers with high need populations by serving diverse groups, including more than 3,500 economically disadvantaged graduates and more than 2,600 Hispanic and African American graduates over the last three years. Related to these diverse populations are increased graduation rates over the last five years to 53.4 percent - 9 percentage points higher for six-year rates. One of the 60x30TX goals is for 80 percent of students to be working or enrolled after receiving a degree and SFA already exceeds this goal with 82 percent of SFA graduates working or enrolled in another higher education institution for an additional degree. Overall one-year retention rate for first-time, full-time freshmen is approximately 77 percent. The university’s commitment to helping students succeed is demonstrated through these current graduation and retention rates, which are the highest reported rates in SFA history.

ACCESS AND AFFORDABILITY

SFA is committed to making higher education affordable to its students. In addition to strategically managing resources, SFA has taken great strides to increase efficiency and contain costs. Financial aid also plays a significant role in making college more affordable to students. Prior to the enormous changes associated with COVID-19 in fiscal year 2020, approximately 77 percent of SFA students received financial aid, amounting to a total disbursement of $145.8 million, $76.9 million in gift aid and $68.8 million in loan funds. This includes 4633 students, who received $21.5 million in Pell Grants. In addition, SFA students received over $9.6 million in Texas Grant awards. Of the total awarded, $3.8 million was provided to initial recipients and $5.8 million for returning students’ renewals.

In an effort to reduce costs, SFA has been diligent to increase efficiency through energy conservation. In fact, SFA has completed three energy performance contract phases that have resulted in a 27.9 percent reduction in electricity consumption and a 16.7 percent reduction in natural gas consumption. In addition, SFA reduced water
Administrator’s Statement
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755 Stephen F. Austin State University

consumption by 26.4 percent.

SFA appreciates the sacrifice and service of veterans and their families. However, the Hazlewood Act tuition and fee exemption for military veterans, their children, and qualifying spouses presents a significant and mounting cost to all Texas institutions of higher education. During the fiscal year 2020, veterans and dependents received the Hazlewood Exemption totaling over $5.9 million. This represents an increase of 23.8 percent from fiscal year 2019. Of the total Hazlewood Exemption, Hazlewood Legacy was $5,018,405 for Fiscal Year 2020. The General Revenue funds distributed in fiscal years 2016, 2017, 2018, 2019 and 2020 assisted in covering previous year’s Hazlewood Exemptions; however, the growing enrollment of those who are eligible for the exemption requires institutions to seek alternative methods for covering the cost of this exemption. We hope that the legislature will help institutions find funding solutions to this growing challenge.

PANDEMIC COSTS AND OPERATIONS

The proliferation of COVID-19 presented an enormous challenge to the safety of SFA students, staff, and faculty. On March 15, 2020, SFA announced that spring break would be extended by two days and all instruction would resume in an online-only or other distance-education format beginning March 18, 2020. Faculty utilized March 16 and 17 to change the modality of course delivery. This is an unprecedented undertaking, requiring nearly 2,600 courses to be adjusted to a new modality in only 2 days. Furthermore, all university faculty and staff were encouraged to telecommute. These changes resulted in significant costs.

In addition, COVID-19 resulted in other tremendous revenue losses and significant additional costs. The volatile nature of the virus caused students to change their decisions to enroll at SFA. As a result, SFA experienced an enrollment decline in fiscal year 2020 that resulted in a net revenue decrease of approximately $3.8 million, which required a corresponding $3.8 million reduction in expenditures.

Since students were no longer able to live on campus in close quarters due to the highly contagious nature of the virus, SFA refunded approximately $9.1 million to students for housing, meals, recreation center and student center payments for spring 2020. Forty-seven students stayed on campus due to the difficulty of making other housing arrangements. As a result, residential student services implemented all protocols regarding sanitization and hygiene to prevent the spread of the virus; thus, adding to the cost of keeping residents safe.

As the state’s financial situation became more difficult with the loss of state revenue, state agencies including universities were asked to make a five percent reduction in the current 2020-21 biennium. This resulted in a $3.265 million reduction in state-appropriated general revenue to SFA. In order to address the five percent reduction and other financial losses, SFA implemented a hiring freeze, eliminated certain positions, eliminated travel, enacted vacation furloughs for staff members (10 days in FY20 and 12 days in FY21), minimized discretionary expenditures, swept certain fiscal year 2020 funds, and reduced additional operational expenses. For fiscal year 2021, SFA is also offering a voluntary separation incentive program for faculty and staff.

Federal funds were provided through the CARES Act of slightly over $10.5 million. Of this, $5.2 million was legislatively mandated to be awarded to students as emergency aid; the remaining $5.2 million is divided as follows: $2.6 million allocated to instructional classroom technology upgrades and $2.6 million allocated to fiscal year 2021 budget support. SFA received additional federal funding from the Strengthening Institutional Programs component of the CARES Act in the amount of $513,425, which was allocated to fiscal year 2021 budget support.

SFA recognizes the volatile economic environment caused by the pandemic. Families are experiencing unemployment, students have increased financial needs, and state revenues are lagging. Likewise, the university will experience additional costs associated with maintaining safety protocols, which include aggressive sanitization and
hygiene protocols as recommended by authorities as well as increased custodial cleaning.

SFA continues to monitor the economic situation and to reduce costs where possible. Even before the pandemic, SFA began to implement innovations that would reduce costs to students and better meet their academic needs. The onset of the pandemic accelerated the implementation of these innovations. One example is the Lumberjacks FLEX program.

Lumberjacks FLEX offers the maximum flexibility for students, providing a robust set of options in course modality. Faculty have evaluated the best way to deliver quality learning experiences, given course content and objectives, room capacity, and safety. The five main ways SFA will offer courses include: face-to-face instruction, online (course content available at any time), livestream (with real-time interaction with faculty and other students), hybrid (a blend of face-to-face, online, and livestream with some attendance required), and HyFlex (students are given the option to attend face-to-face, online or livestream). These enhanced course modalities give students control of their educational experience and allow education to continue even in the midst of the pandemic.

EXCEPTIONAL ITEM REQUESTS

Restoration of the Five Percent Biennial Reduction

We understand the fiscal challenges that the State of Texas is facing in the wake of COVID-19 and know that difficult decisions need to be made. However, SFA can be a source of economic growth for the state if its operations are not significantly hindered by excessive financial constraints. Therefore, we respectfully request that consideration be given to restoring the five percent reduction ($402,990) made during the FY 2022-2023 biennium.

Interdisciplinary and Applied Sciences Building ($53 million capital funding request)

The university understands the extraordinary challenge of the state’s current budget situation. Nevertheless, support for capital projects continues to be a need as academic programs grow and adjust to new industry standards. The state’s ongoing support of facilities is greatly appreciated and SFA values our ongoing partnership with the state to meet the needs of Texas’ students. We, therefore, ask for an Interdisciplinary and Applied Sciences capital request which will advance the economic impact of higher education by training students to be productive members of the workforce.

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. This building will provide contemporary laboratories and classrooms for multiple cooperating and interdependent academic programs.

SFA is known internationally for its outstanding teaching, research, and service programs in life sciences and related disciplines. Demand for graduates with bachelor’s and master’s degrees has been strong in recent years, and projections show a much greater need in these workforce areas in the future. It is imperative that SFA has 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.

SFA requests state support to build a $53 million Interdisciplinary and Applied Sciences Building. This will require capital construction annual debt service of approximately $9,241,564 million over the biennium.
Agriculture and Technology Complex ($45 million capital funding request)

SFA currently has strong academic programs in agriculture and technology. These programs are housed in inadequate facilities that are unable to facilitate the level of instruction needed by 21st century students and skills desired by their prospective employers. Existing laboratories 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.

The proposed Agriculture and Technology Complex would include a 30,000-square foot teaching arena with an attached 24,000 square feet of classroom space. These facilities will contain agricultural engineering technology and industrial engineering technology programs. The facility also will allow expansion of programs including advanced manufacturing, industrial supervision, construction supervisors, construction managers, industrial engineers, wholesale and manufacturing representatives, and veterinary technologists. Life sciences and applied engineering technologies are critical disciplines for economic growth and advancement of economic opportunities in Texas. 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 requests state support to build a $45 million Agriculture and Technology Complex. This will require capital construction annual debt service of approximately $7,846,610 million over the biennium.

Center for Applied Research and Rural Innovation ($2 million)

SFA 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. Through these interactions, students will learn how to use their skills to work in teams with other students from multiple disciplines in order to solve complex real-world problems for rural and smaller communities. This will provide hands-on experience that will serve as a culmination of a student’s education.

In partnering with enterprises outside the university, students will build relationships that will hopefully lead to job opportunities upon graduation. Under the supervision of a faculty member, students will use the community as a kind of laboratory for their instruction. They will work with students from multiple disciplines to identify problems encountered by the community and will develop a research project to solve the issues they encounter. Thus, the student’s education is enhanced by working side by side with an experienced faculty member, other students and the community.

PROGRAMS RECOMMENDED FOR CONSOLIDATION OR ELIMINATION BY THECB

Pursuant to Sec. 61.0512(f), Education Code, the following is a list of programs the Texas Higher Education Coordinating Board (THECB) recommended for consolidation or elimination that the SFA Board of Regents approved for continuation: Economics, BA; Forestry, PhD; School Mathematics Teaching, MS; Philosophy, BA. The university administration strongly believes that these programs are essential to the academic mission of the university.

BACKGROUND CHECKS
The University Police Department conducts background checks using the National Crime Information Center (NCIC), the Texas law Enforcement Telecommunication’s System, (TLETS), and the Texas Crime Information Center, (TCIC). Criminal histories, driving records, warrants, stolen property, missing persons or other types of sensitive law enforcement information are obtained from these data bases. In addition, the Department of Human Resources uses a firm to obtain county criminal felony and misdemeanor information, national sexual offender information, social security number validation, and information from the National Criminal Database. From these data sources, Human Resources obtains background data on all faculty and staff, graduate assistants, and casual employees.

CONCLUSION

SFA has worked diligently to manage resources efficiently and to find cost savings without impacting the quality of education for students. COVID-19 has drastically altered the operation of the university, but the underlying mission to serve students and to prepare the state’s workforce in order to stimulate the economy stand firm. The continued support of the Legislature is critical to facilitating SFA’s ability to provide an affordable, high quality education in order to promote the workforce of the future.

SFA is governed by a Board of Regents. The current members of the Board of Regents are included in the organizational chart.
Stephen F. Austin State University
Organizational Chart

Board of Regents
Mr. Alton L. Frailey, Chair, Katy, TX, 1-31-2021
Mrs. Karen G. Gantt, Vice Chair, McKinney, TX, 1-31-2023
Mr. M. Thomas Mason, Secretary, Dallas, TX, 1-31-2023
Mr. David R. Alders, Nacogdoches, TX, 1-31-2025
Dr. Scott H. Coleman, Houston, TX, 1-31-2021
Mr. Robert Flores, Nacogdoches, TX, 1-31-2021
Mrs. Brigette C. Henderson, Lufkin, TX, 1-31-2023
Mrs. Judy L. Olson, The Woodlands, TX, 1-31-2025
Mrs. Jennifer W. Winston, Lufkin, TX, 1-31-2025
Ms. Ireland Bramhall, Student Regent, Ennis, TX, 5-31-2021

General Counsel
Damon Derrick
(3)

Chief Audit Executive
Gina Oglesbee
(5)

President
Dr. Scott Gordon
(4)

Provost & VP for Academic Affairs
Dr. Steve Bullard
(807.16)

VP for University Affairs
Dr. Steve Westbrook
(198.90)

VP for Finance & Administration
Dr. Danny Gailant
(202.70)

VP for University Advancement
Jill Stell
(40)

Enrollment Management Executive Director
Erma Brecht
(55)

Chief Diversity Officer
Dr. Michara DeLaney Fields
(14)

Information Technology
Chief Information Officer
Anthony Espinoza
(67)

Intercollegiate Athletics
Director
Ryan Ivey
(82.82)
CERTIFICATE

Agency Name: Stephen F. Austin State University

This is to certify that the information contained in the agency Legislative Appropriation Request filed with the Legislative Budget Board (LBB) and the Governor's Office Budget Division (Governor's Office) is accurate to the best of my knowledge and that the electronic submission to the LBB via the Automated Budget and Evaluation System of Texas (A/BEST) and the PDF file submitted via the LBB Document Submission application are identical.

Additionally, should it become likely at any time that unexpended balances will accrue for any account, the LBB and the Governor's Office will be notified in writing in accordance with Article IX, Section 7.01 (2020-21 GAA).

Chief Financial Officer or President

Signature

Scott Gordon
Printed Name

President
Title

September 18, 2020
Date

Board or Commission Chair

Signature

Allon Frailey
Printed Name

Board Chair
Title

September 18, 2020
Date

Chief Financial Officer

Signature

Danny R. Gallant
Printed Name

Vice President for Finance and Administration
Title

September 18, 2020
Date
### Goal: 1. Provide Instructional and Operations Support

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<td>1.1.6. Texas Public Education Grants</td>
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### Goal: 2. Provide Infrastructure Support

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<td>3.3.1. Stone Fort Museum &amp; Research Center</td>
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<td>3.3.2. Soil Plant &amp; Water Analysis Lab</td>
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<td>3.3.3. Applied Poultry Studies &amp; Research</td>
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### Goal: 6. Research Funds

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<td><strong>$42,459,184</strong></td>
<td><strong>$6,707,748</strong></td>
<td><strong>$6,784,176</strong></td>
</tr>
</tbody>
</table>

| 2 Provide Infrastructure Support |            |            |            |          |          |
| 1 Provide Operation and Maintenance of E&G Space |            |            |            |          |          |
| 1 E&G SPACE SUPPORT           | 2,050,102  | 1,376,991  | 1,390,761  | 0        | 0        |
| 2 TUITION REVENUE BOND RETIREMENT | 7,440,416  | 6,440,456  | 5,388,000  | 5,383,800 | 5,382,750 |
| **TOTAL, GOAL 2**             | **$9,490,518** | **$7,817,447** | **$6,778,761** | **$5,383,800** | **$5,382,750** |

(1) - Formula funded strategies are not requested in 2022-23 because amounts are not determined by institutions.

2.A. Page 1 of 4
<table>
<thead>
<tr>
<th>Goal / Objective / STRATEGY</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>Req 2022</th>
<th>Req 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>3 Provide Non-formula Support</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 INSTRUCTIONAL SUPPORT</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 RURAL NURSING INITIATIVE</td>
<td>300,411</td>
<td>270,370</td>
<td>270,370</td>
<td>270,370</td>
<td>270,370</td>
</tr>
<tr>
<td>2 Research</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 APPLIED FORESTRY STUDIES CENTER</td>
<td>377,523</td>
<td>377,523</td>
<td>377,523</td>
<td>377,523</td>
<td>377,523</td>
</tr>
<tr>
<td>3 Public Service</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>1 STONE FORT MUSEUM &amp; RESEARCH CENTER</td>
<td>71,959</td>
<td>71,959</td>
<td>71,959</td>
<td>71,959</td>
<td>71,959</td>
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<tr>
<td>2 SOIL PLANT &amp; WATER ANALYSIS LAB</td>
<td>41,047</td>
<td>41,047</td>
<td>41,047</td>
<td>41,047</td>
<td>41,047</td>
</tr>
<tr>
<td>3 APPLIED POULTRY STUDIES &amp; RESEARCH</td>
<td>38,713</td>
<td>38,714</td>
<td>38,713</td>
<td>38,714</td>
<td>38,713</td>
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<tr>
<td>4 INSTITUTIONAL SUPPORT</td>
<td></td>
<td></td>
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<tr>
<td>1 INSTITUTIONAL ENHANCEMENT</td>
<td>3,238,235</td>
<td>3,238,235</td>
<td>3,238,235</td>
<td>3,036,739</td>
<td>3,036,741</td>
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<tr>
<td>5 Exceptional Item Request</td>
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<tr>
<td>1 EXCEPTIONAL ITEM REQUEST</td>
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</tr>
</tbody>
</table>

2.A.  Page 2 of 4
<table>
<thead>
<tr>
<th>Goal / Objective / STRATEGY</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>Req 2022</th>
<th>Req 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL, GOAL</td>
<td>3</td>
<td></td>
<td></td>
<td>$3,836,353</td>
<td>$3,836,353</td>
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<tr>
<td>6 Research Funds</td>
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<tr>
<td>3 Comprehensive Research Fund</td>
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<tr>
<td>1 COMPREHENSIVE RESEARCH FUND</td>
<td>209,682</td>
<td>171,476</td>
<td>171,476</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>TOTAL, GOAL</td>
<td>6</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>209,682</td>
<td>171,476</td>
<td>171,476</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>TOTAL, AGENCY STRATEGY REQUEST</td>
<td>$56,607,860</td>
<td>$54,754,455</td>
<td>$53,447,268</td>
<td>$15,927,901</td>
<td>$16,003,279</td>
</tr>
<tr>
<td>TOTAL, AGENCY RIDER APPROPRIATIONS REQUEST*</td>
<td></td>
<td></td>
<td></td>
<td>$0</td>
<td>$0</td>
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<tr>
<td>GRAND TOTAL, AGENCY REQUEST</td>
<td></td>
<td></td>
<td></td>
<td>$56,607,860</td>
<td>$54,754,455</td>
</tr>
</tbody>
</table>

2.A. Page 3 of 4
755  Stephen F. Austin State University

<table>
<thead>
<tr>
<th>Goal / Objective / STRATEGY</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>Req 2022</th>
<th>Req 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>METHOD OF FINANCING:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Revenue Funds:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1  General Revenue Fund</td>
<td>40,211,531</td>
<td>37,473,135</td>
<td>36,406,556</td>
<td>9,212,207</td>
<td>9,211,157</td>
</tr>
<tr>
<td><strong>SUBTOTAL</strong></td>
<td>$40,211,531</td>
<td>$37,473,135</td>
<td>$36,406,556</td>
<td>$9,212,207</td>
<td>$9,211,157</td>
</tr>
<tr>
<td>General Revenue Dedicated Funds:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>704 Est Bd Authorized Tuition Inc</td>
<td>878,747</td>
<td>791,345</td>
<td>786,684</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>770 Est. Other Educational &amp; General</td>
<td>15,513,707</td>
<td>16,477,718</td>
<td>16,246,082</td>
<td>6,707,748</td>
<td>6,784,176</td>
</tr>
<tr>
<td><strong>SUBTOTAL</strong></td>
<td>$16,392,454</td>
<td>$17,269,063</td>
<td>$17,032,766</td>
<td>$6,707,748</td>
<td>$6,784,176</td>
</tr>
<tr>
<td>Other Funds:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>802 Lic Plate Trust Fund No. 0802, est</td>
<td>3,875</td>
<td>12,257</td>
<td>7,946</td>
<td>7,946</td>
<td>7,946</td>
</tr>
<tr>
<td><strong>SUBTOTAL</strong></td>
<td>$3,875</td>
<td>$12,257</td>
<td>$7,946</td>
<td>$7,946</td>
<td>$7,946</td>
</tr>
<tr>
<td><strong>TOTAL, METHOD OF FINANCING</strong></td>
<td>$56,607,860</td>
<td>$54,754,455</td>
<td>$53,447,268</td>
<td>$15,927,901</td>
<td>$16,003,279</td>
</tr>
</tbody>
</table>

*Rider appropriations for the historical years are included in the strategy amounts.
### 2.B. Summary of Base Request by Method of Finance

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

<table>
<thead>
<tr>
<th>Agency code: 755</th>
<th>Agency Name: Stephen F. Austin State University</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>METHOD OF FINANCING</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>Req 2022</th>
<th>Req 2023</th>
</tr>
</thead>
</table>

#### GENERAL REVENUE

<p>| | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>General Revenue Fund</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

##### REGULAR APPROPRIATIONS

- Regular Appropriations from MOF Table (2018-19 GAA)
  - $40,201,343
  - $0
  - $0
  - $0
  - $0

- Regular Appropriations from MOF Table (2020-21 GAA)
  - $0
  - $37,473,135
  - $36,406,556
  - $0
  - $0

- Regular Appropriations
  - $0
  - $0
  - $0
  - $9,212,207
  - $9,211,157

##### UNEXPENDED BALANCES AUTHORITY

  - $10,188
  - $0
  - $0
  - $0
  - $0

#### TOTAL, General Revenue Fund

- $40,211,531
- $37,473,135
- $36,406,556
- $9,212,207
- $9,211,157

#### TOTAL, ALL GENERAL REVENUE

- $40,211,531
- $37,473,135
- $36,406,556
- $9,212,207
- $9,211,157

#### GENERAL REVENUE FUND - DEDICATED
2.B. Summary of Base Request by Method of Finance
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

<table>
<thead>
<tr>
<th>Agency code: 755</th>
<th>Agency name: Stephen F. Austin State University</th>
</tr>
</thead>
</table>

**METHOD OF FINANCING**

**Exp 2019** | **Est 2020** | **Bud 2021** | **Req 2022** | **Req 2023**

---

### GENERAL REVENUE FUND - DEDICATED

<table>
<thead>
<tr>
<th>704</th>
<th>GR Dedicated - Estimated Board Authorized Tuition Increases Account No. 704</th>
</tr>
</thead>
</table>

**REGULAR APPROPRIATIONS**

Regular Appropriations from MOF Table (2018-19 GAA)

| $975,000 | $0 | $0 | $0 | $0 |

Regular Appropriations from MOF Table (2020-21 GAA)

| $0 | $840,000 | $840,000 | $0 | $0 |

**BASE ADJUSTMENT**

Revised Receipts

| $(96,253) | $(48,655) | $(53,316) | $0 | $0 |

**TOTAL,** GR Dedicated - Estimated Board Authorized Tuition Increases Account No. 704

| $878,747 | $791,345 | $786,684 | $0 | $0 |

<table>
<thead>
<tr>
<th>770</th>
<th>GR Dedicated - Estimated Other Educational and General Income Account No. 770</th>
</tr>
</thead>
</table>

**REGULAR APPROPRIATIONS**

Regular Appropriations from MOF Table (2018-19 GAA)

| $15,643,282 | $0 | $0 | $0 | $0 |

Regular Appropriations from MOF Table (2020-21 GAA)
## 2.B. Summary of Base Request by Method of Finance

### 87th Regular Session, Agency Submission, Version 1

Automated Budget and Evaluation System of Texas (ABEST)

<table>
<thead>
<tr>
<th>Agency code:</th>
<th>755</th>
<th>Agency name:</th>
<th>Stephen F. Austin State University</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>METHOD OF FINANCING</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>Req 2022</th>
<th>Req 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>GENERAL REVENUE FUND - DEDICATED</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>$0</td>
<td>$15,329,918</td>
<td>$15,347,905</td>
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<tr>
<td>Regular Appropriations</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$6,707,748</td>
<td>$6,784,176</td>
</tr>
<tr>
<td><strong>BASE ADJUSTMENT</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revised Receipts</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>$1,064,770</td>
<td>$883,468</td>
<td>$296,201</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Comments:</strong> For FY 2021, we are projecting a 15% decrease in undergraduate enrollment based on freshman orientation registration and the uncertainty as a result of COVID-19.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Adjustment to Actual Expended</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$(1,194,345)</td>
<td>$264,332</td>
<td>$601,976</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>TOTAL, GR Dedicated - Estimated Other Educational and General Income Account No. 770</strong></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$15,513,707</td>
<td>$16,477,718</td>
<td>$16,246,082</td>
<td>$6,707,748</td>
<td>$6,784,176</td>
</tr>
<tr>
<td><strong>TOTAL GENERAL REVENUE FUND - DEDICATED - 704, 708 &amp; 770</strong></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$16,392,454</td>
<td>$17,269,063</td>
<td>$17,032,766</td>
<td>$6,707,748</td>
<td>$6,784,176</td>
</tr>
<tr>
<td><strong>TOTAL, ALL GENERAL REVENUE FUND - DEDICATED</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$16,392,454</td>
<td>$17,269,063</td>
<td>$17,032,766</td>
<td>$6,707,748</td>
<td>$6,784,176</td>
</tr>
</tbody>
</table>
### 2.B. Summary of Base Request by Method of Finance

**87th Regular Session, Agency Submission, Version 1**

**Automated Budget and Evaluation System of Texas (ABEST)**

<table>
<thead>
<tr>
<th>Method of Financing</th>
<th>Agency Code: 755</th>
<th>Agency Name: Stephen F. Austin State University</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TOTAL, GR &amp; GR-Dedicated Funds</strong></td>
<td>Exp 2019</td>
<td>Est 2020</td>
</tr>
<tr>
<td>$56,603,985</td>
<td>$54,742,198</td>
<td>$53,439,322</td>
</tr>
</tbody>
</table>

**OTHER FUNDS**

- **802** License Plate Trust Fund Account No. 0802, estimated

#### REGULAR APPROPRIATIONS

- Regular Appropriations from MOF Table (2018-19 GAA)
  - Exp 2019: $7,946
  - Est 2020: $0
  - Bud 2021: $0
  - Req 2022: $0
  - Req 2023: $0

- Regular Appropriations from MOF Table (2020-21 GAA)
  - Exp 2019: $0
  - Est 2020: $7,946
  - Bud 2021: $7,946
  - Req 2022: $0
  - Req 2023: $0

- Regular Appropriations
  - Exp 2019: $0
  - Est 2020: $0
  - Bud 2021: $0
  - Req 2022: $7,946
  - Req 2023: $7,946

#### BASE ADJUSTMENT

- Adjustment to Actual Expended
  - $(4,071)
  - $4,311
  - $0
  - $0
  - $0

- **TOTAL, License Plate Trust Fund Account No. 0802, estimated**
  - $3,875
  - $12,257
  - $7,946
  - $7,946
  - $7,946

- **TOTAL, ALL OTHER FUNDS**
  - $3,875
  - $12,257
  - $7,946
  - $7,946
  - $7,946
### 2.B. Summary of Base Request by Method of Finance

**87th Regular Session, Agency Submission, Version 1**

**Automated Budget and Evaluation System of Texas (ABEST)**

<table>
<thead>
<tr>
<th>Method of Financing</th>
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<th>Est 2020</th>
<th>Bud 2021</th>
<th>Req 2022</th>
<th>Req 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Grand Total</strong></td>
<td>$56,607,860</td>
<td>$54,754,455</td>
<td>$53,447,268</td>
<td>$15,927,901</td>
<td>$16,003,279</td>
</tr>
</tbody>
</table>

### Full-Time-Equivalent Positions

**Regular Appropriations**

- Appropriations from MOF Table (2018-19 GAA) | 641.4 | 0.0 | 0.0 | 0.0 | 0.0 |
- Appropriations from MOF Table (2020-21 GAA) | 0.0 | 566.5 | 566.5 | 0.0 | 0.0 |
- Regular Appropriations | 0.0 | 0.0 | 0.0 | 525.0 | 525.0 |

**Unauthorized Number Over (Below) CAP**

- Unauthorized Amount Below Cap | (136.1) | (63.2) | (56.5) | 0.0 | 0.0 |

**Total, Adjusted FTES**

<p>| | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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<th></th>
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</thead>
<tbody>
<tr>
<td></td>
<td>505.3</td>
<td>503.3</td>
<td>510.0</td>
<td>525.0</td>
<td>525.0</td>
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</table>

### Number of 100% Federally Funded FTEs
<table>
<thead>
<tr>
<th>OBJECT OF EXPENSE</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001 SALARIES AND WAGES</td>
<td>$11,244,505</td>
<td>$11,044,955</td>
<td>$11,143,693</td>
<td>$2,914,361</td>
<td>$2,914,359</td>
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<tr>
<td>1002 OTHER PERSONNEL COSTS</td>
<td>$357,322</td>
<td>$383,122</td>
<td>$377,657</td>
<td>$121,988</td>
<td>$121,988</td>
</tr>
<tr>
<td>1005 FACULTY SALARIES</td>
<td>$30,906,935</td>
<td>$30,102,474</td>
<td>$30,100,224</td>
<td>$1,714,891</td>
<td>$1,714,893</td>
</tr>
<tr>
<td>2001 PROFESSIONAL FEES AND SERVICES</td>
<td>$3,062</td>
<td>$3,148</td>
<td>$3,000</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>2003 CONSUMABLE SUPPLIES</td>
<td>$4,054</td>
<td>$2,047</td>
<td>$3,688</td>
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<td>$0</td>
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<tr>
<td>2004 UTILITIES</td>
<td>$586,613</td>
<td>$157</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>2007 RENT - MACHINE AND OTHER</td>
<td>$30,241</td>
<td>$81,973</td>
<td>$91,794</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>2008 DEBT SERVICE</td>
<td>$7,440,416</td>
<td>$6,440,456</td>
<td>$5,388,000</td>
<td>$5,383,800</td>
<td>$5,382,750</td>
</tr>
<tr>
<td>3001 CLIENT SERVICES</td>
<td>$2,320,962</td>
<td>$2,333,796</td>
<td>$2,192,908</td>
<td>$2,150,000</td>
<td>$2,190,000</td>
</tr>
<tr>
<td>5000 CAPITAL EXPENDITURES</td>
<td>$105,651</td>
<td>$6,826</td>
<td>$5,999</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>OOE Total (Excluding Riders)</td>
<td>$56,607,860</td>
<td>$54,754,455</td>
<td>$53,447,268</td>
<td>$15,927,901</td>
<td>$16,003,279</td>
</tr>
<tr>
<td>OOE Total (Riders)</td>
<td>$56,607,860</td>
<td>$54,754,455</td>
<td>$53,447,268</td>
<td>$15,927,901</td>
<td>$16,003,279</td>
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<tr>
<td>Grand Total</td>
<td>$56,607,860</td>
<td>$54,754,455</td>
<td>$53,447,268</td>
<td>$15,927,901</td>
<td>$16,003,279</td>
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### 2.D. Summary of Base Request Objective Outcomes

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation system of Texas (ABEST)

755 Stephen F. Austin State University

<table>
<thead>
<tr>
<th>Goal/ Objective / Outcome</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Provide Instructional and Operations Support</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 % 1st-time, Full-time, Degree-seeking Frsh Earn Degree in 6 Yrs</td>
<td>44.10%</td>
<td>48.60%</td>
<td>52.10%</td>
<td>45.50%</td>
<td>46.00%</td>
</tr>
<tr>
<td>2 % 1st-time, Full-time, Degree-seeking White Frsh Earn Degree in 6 Yrs</td>
<td>49.40%</td>
<td>53.40%</td>
<td>57.30%</td>
<td>45.50%</td>
<td>46.00%</td>
</tr>
<tr>
<td>3 % 1st-time, Full-time, Degree-seeking Hisp Frsh Earn Degree in 6 Yr</td>
<td>41.30%</td>
<td>41.70%</td>
<td>47.10%</td>
<td>45.50%</td>
<td>46.00%</td>
</tr>
<tr>
<td>4 % 1st-time, Full-time, Degree-seeking Black Frsh Earn Degree in 6 Yrs</td>
<td>36.40%</td>
<td>43.70%</td>
<td>44.50%</td>
<td>45.50%</td>
<td>46.00%</td>
</tr>
<tr>
<td>5 % 1st-time, Full-time, Degree-seeking Other Frshmn Earn Deg in 6 Yrs</td>
<td>46.60%</td>
<td>46.10%</td>
<td>49.00%</td>
<td>45.50%</td>
<td>46.00%</td>
</tr>
<tr>
<td>6 % 1st-time, Full-time, Degree-seeking Frsh Earn Degree in 4 Yrs</td>
<td>32.20%</td>
<td>34.20%</td>
<td>35.20%</td>
<td>33.00%</td>
<td>33.50%</td>
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<td>7 % 1st-time, Full-time, Degree-seeking White Frsh Earn Degree in 4 Yrs</td>
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<td>41.00%</td>
<td>39.80%</td>
<td>33.00%</td>
<td>33.50%</td>
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<td>8 % 1st-time, Full-time, Degree-seeking Hisp Frsh Earn Degree in 4 Yrs</td>
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<td>28.80%</td>
<td>32.90%</td>
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<td>9 % 1st-time, Full-time, Degree-seeking Black Frsh Earn Degree in 4 Yrs</td>
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<td>21.10%</td>
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<td>10 % 1st-time, Full-time, Degree-seeking Other Frsh Earn Degree in 4 Yrs</td>
<td>28.50%</td>
<td>43.60%</td>
<td>36.30%</td>
<td>33.00%</td>
<td>33.50%</td>
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<tr>
<td>11 Persistence Rate 1st-time, Full-time, Degree-seeking Frsh after 1 Yr</td>
<td>71.60%</td>
<td>70.50%</td>
<td>70.00%</td>
<td>72.20%</td>
<td>72.50%</td>
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<td>12 Persistence 1st-time, Full-time, Degree-seeking White Frsh after 1 Yr</td>
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<td>72.10%</td>
<td>72.80%</td>
<td>72.20%</td>
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<td>Goal/ Objective / Outcome</td>
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<td>Est 2020</td>
<td>Bud 2021</td>
<td>BL 2022</td>
<td>BL 2023</td>
</tr>
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<td>---------------------------------------------------------------</td>
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<tr>
<td>13 Persistence 1st-time, Full-time, Degree-seeking Hisp Frsh after 1 Yr</td>
<td>68.10%</td>
<td>66.00%</td>
<td>67.10%</td>
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<tr>
<td>14 Persistence 1st-time, Full-time, Degree-seeking Black Frsh after 1 Yr</td>
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<td>71.70%</td>
<td>65.00%</td>
<td>72.20%</td>
<td>72.50%</td>
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<tr>
<td>15 Persistence Rate1st-time, Full-time, Degree-seeking Other Frsh-1yr</td>
<td>73.30%</td>
<td>69.20%</td>
<td>66.30%</td>
<td>72.20%</td>
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<tr>
<td>16 Percent of Semester Credit Hours Completed</td>
<td>97.80%</td>
<td>97.50%</td>
<td>97.80%</td>
<td>97.50%</td>
<td>97.50%</td>
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<tr>
<td>KEY</td>
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<td>99.70%</td>
<td>95.60%</td>
<td>97.00%</td>
<td>97.00%</td>
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<tr>
<td>17 Certification Rate of Teacher Education Graduates</td>
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<td></td>
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<tr>
<td>18 Percentage of Underprepared Students Satisfy TSI Obligation in Math</td>
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<td>19 Percentage of Underprepared Students Satisfy TSI Obligation in Writing</td>
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<td>20 Percentage of Underprepared Students Satisfy TSI Obligation in Reading</td>
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<td>KEY</td>
<td>84.10%</td>
<td>86.20%</td>
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<tr>
<td>21 % of Baccalaureate Graduates Who Are 1st Generation College Graduates</td>
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<tr>
<td>KEY</td>
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<td>44.50%</td>
<td>43.90%</td>
<td>45.00%</td>
<td>45.00%</td>
</tr>
<tr>
<td>22 Percent of Transfer Students Who Graduate within 4 Years</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>KEY</td>
<td>63.30%</td>
<td>67.30%</td>
<td>68.20%</td>
<td>70.00%</td>
<td>70.00%</td>
</tr>
<tr>
<td>23 Percent of Transfer Students Who Graduate within 2 Years</td>
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<td></td>
<td></td>
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<td>30.30%</td>
<td>30.50%</td>
<td>30.10%</td>
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<td>24 % Lower Division Semester Credit Hours Taught by Tenured/Tenure-Track</td>
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<tr>
<td>KEY</td>
<td>50.30%</td>
<td>48.40%</td>
<td>45.80%</td>
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<td>27 State Licensure Pass Rate of Nursing Graduates</td>
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</tr>
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<td>KEY</td>
<td>96.60%</td>
<td>97.30%</td>
<td>96.80%</td>
<td>95.00%</td>
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</tbody>
</table>
### 2.D. Summary of Base Request Objective Outcomes

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation system of Texas (ABEST)

#### 755 Stephen F. Austin State University

<table>
<thead>
<tr>
<th>Goal / Objective / Outcome</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>KEY 30 Dollar Value of External or Sponsored Research Funds (in Millions)</strong></td>
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<td>2.90</td>
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<td><strong>32 External Research Funds As Percentage Appropriated for Research</strong></td>
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<td>294.60%</td>
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### 2.E. Summary of Exceptional Items Request

**Agency code:** 755  
**Agency name:** Stephen F. Austin State University

<table>
<thead>
<tr>
<th>Priority</th>
<th>Item</th>
<th>2022</th>
<th>2023</th>
<th>Biennium</th>
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<tr>
<td></td>
<td></td>
<td>GR and</td>
<td>All Funds</td>
<td>FTEs</td>
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<tr>
<td></td>
<td></td>
<td>GR/GR Dedicated</td>
<td></td>
<td></td>
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<tr>
<td>1</td>
<td>Restoration 5% Biennial Reduction</td>
<td>$201,495</td>
<td>$201,495</td>
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<tr>
<td>2</td>
<td>Interdisc and Appl Sciences Bldg</td>
<td>$4,620,782</td>
<td>$4,620,782</td>
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<tr>
<td>3</td>
<td>Agriculture and Technology Complex</td>
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<tr>
<td>4</td>
<td>Appl Rsch and Innovation</td>
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<tr>
<td><strong>Total, Exceptional Items Request</strong></td>
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<td><strong>$9,745,582</strong></td>
<td>3.4</td>
<td><strong>$9,745,582</strong></td>
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</tbody>
</table>

**Method of Financing**

- General Revenue: $9,745,582  
- General Revenue - Dedicated: $9,745,582  
- Federal Funds: $9,745,582  
- Other Funds: $9,745,582  
- $19,491,164  
- $19,491,164

**Full Time Equivalent Positions**

- 2022: 3.4  
- 2023: 3.4  

**Number of 100% Federally Funded FTEs**
### 2.F. Summary of Total Request by Strategy

**Agency code:** 755  
**Agency name:** Stephen F. Austin State University

<table>
<thead>
<tr>
<th>Goal/Objective/STRATEGY</th>
<th>Base 2022</th>
<th>Base 2023</th>
<th>Exceptional 2022</th>
<th>Exceptional 2023</th>
<th>Total Request 2022</th>
<th>Total Request 2023</th>
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</thead>
<tbody>
<tr>
<td>1 Provide Instructional and Operations Support</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>1 OPERATIONS SUPPORT</td>
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<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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<td>0</td>
<td>0</td>
<td>3,642,748</td>
<td>3,679,176</td>
</tr>
<tr>
<td>6 TEXAS PUBLIC EDUCATION GRANTS</td>
<td>2,150,000</td>
<td>2,190,000</td>
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<td>0</td>
<td>2,150,000</td>
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<tr>
<td>7 ORGANIZED ACTIVITIES</td>
<td>915,000</td>
<td>915,000</td>
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<td>915,000</td>
<td>915,000</td>
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<tr>
<td><strong>TOTAL, GOAL 1</strong></td>
<td><strong>$6,707,748</strong></td>
<td><strong>$6,784,176</strong></td>
<td><strong>$0</strong></td>
<td><strong>$0</strong></td>
<td><strong>$6,707,748</strong></td>
<td><strong>$6,784,176</strong></td>
</tr>
<tr>
<td>2 Provide Infrastructure Support</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>1 Provide Operation and Maintenance of E&amp;G Space</td>
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<td>1 E&amp;G SPACE SUPPORT</td>
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<td>2 TUITION REVENUE BOND RETIREMENT</td>
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<td><strong>$0</strong></td>
<td><strong>$5,383,800</strong></td>
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### 2.F Summary of Total Request by Strategy
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

<table>
<thead>
<tr>
<th>Agency code:</th>
<th>755</th>
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<th>Stephen F. Austin State University</th>
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<tbody>
<tr>
<td><strong>Goal/Objective/STRATEGY</strong></td>
<td><strong>Base 2022</strong></td>
<td><strong>Base 2023</strong></td>
<td><strong>Exceptional 2022</strong></td>
</tr>
<tr>
<td>3 Provide Non-formula Support</td>
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<tr>
<td>1 INSTRUCTIONAL SUPPORT</td>
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<td>1 RURAL NURSING INITIATIVE</td>
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<tr>
<td>2 Research</td>
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<tr>
<td>1 APPLIED FORESTRY STUDIES CENTER</td>
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<td>3 Public Service</td>
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<td>1 STONE FORT MUSEUM &amp; RESEARCH CENTER</td>
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<td>Base 2023</td>
<td>Exceptional 2022</td>
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<tr>
<td></td>
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</tr>
<tr>
<td>6 Research Funds</td>
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<td>GRAND TOTAL, AGENCY REQUEST</td>
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<tr>
<td>Goal/Objective/STRATEGY</td>
<td>Base 2022</td>
<td>Base 2023</td>
<td>Exceptional 2022</td>
</tr>
<tr>
<td>-------------------------</td>
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<tr>
<td>General Revenue Funds:</td>
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<tr>
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<tr>
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<td>704 Est Bd Authorized Tuition Inc</td>
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<td>770 Est. Other Educational &amp; General</td>
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<td>Other Funds:</td>
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<td>802 Lic Plate Trust Fund No. 0892, est</td>
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<td>$9,745,582</td>
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<tr>
<td>FULL TIME EQUIVALENT POSITIONS</td>
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<td>Excp 2022</td>
<td>Excp 2023</td>
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<tr>
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<tr>
<td>45.50%</td>
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<td>45.50%</td>
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<tr>
<td>33.00%</td>
<td>33.50%</td>
<td>33.00%</td>
<td>33.50%</td>
</tr>
<tr>
<td>33.00%</td>
<td>33.50%</td>
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</tr>
<tr>
<td>33.00%</td>
<td>33.50%</td>
<td>33.00%</td>
<td>33.50%</td>
</tr>
</tbody>
</table>
### 2.G. Summary of Total Request Objective Outcomes

#### 87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation system of Texas (ABEST)

<table>
<thead>
<tr>
<th>Agency code:</th>
<th>755</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agency name:</td>
<td>Stephen F. Austin State University</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Goal/ Objective / Outcome</th>
<th>BL 2022</th>
<th>BL 2023</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
<th>Total Request 2022</th>
<th>Total Request 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>9 % 1st-time, Full-time, Degree-seeking Black Frsh Earn Degree in 4 Yrs</strong></td>
<td>33.00%</td>
<td>33.50%</td>
<td></td>
<td></td>
<td>33.00%</td>
<td>33.50%</td>
</tr>
<tr>
<td><strong>10 % 1st-time, Full-time, Degree-seeking Other Frsh Earn Degree in 4 Yrs</strong></td>
<td>33.00%</td>
<td>33.50%</td>
<td></td>
<td></td>
<td>33.00%</td>
<td>33.50%</td>
</tr>
</tbody>
</table>

**KEY**

| 11 Persistence Rate 1st-time, Full-time, Degree-seeking Frsh after 1 Yr | 72.20% | 72.50% |           |           | 72.20%              | 72.50%              |
| 12 Persistence 1st-time, Full-time, Degree-seeking White Frsh after 1 Yr | 72.20% | 72.50% |           |           | 72.20%              | 72.50%              |
| 13 Persistence 1st-time, Full-time, Degree-seeking Hisp Frsh after 1 Yr | 72.20% | 72.50% |           |           | 72.20%              | 72.50%              |
| 14 Persistence 1st-time, Full-time, Degree-seeking Black Frsh after 1 Yr | 72.20% | 72.50% |           |           | 72.20%              | 72.50%              |
| 15 Persistence Rate1st-time, Full-time, Degree-seeking Other Frsh-1yr | 72.20% | 72.50% |           |           | 72.20%              | 72.50%              |
| 16 Percent of Semester Credit Hours Completed | 97.50% | 97.50% |           |           | 97.50%              | 97.50%              |

**KEY**

| 17 Certification Rate of Teacher Education Graduates | 97.00% | 97.00% |           |           | 97.00%              | 97.00%              |
### 2.G. Summary of Total Request Objective Outcomes

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation system of Texas (ABEST)

<table>
<thead>
<tr>
<th>Agency code: 755</th>
<th>Agency name: Stephen F. Austin State University</th>
</tr>
</thead>
</table>

#### Goal/ Objective / Outcome

<table>
<thead>
<tr>
<th>BL 2022</th>
<th>BL 2023</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
<th>Total Request 2022</th>
<th>Total Request 2023</th>
</tr>
</thead>
</table>

18 Percentage of Underprepared Students Satisfy TSI Obligation in Math

- 70.00%  
- 70.00%  
- 70.00%  
- 70.00%

19 Percentage of Underprepared Students Satisfy TSI Obligation in Writing

- 70.00%  
- 70.00%  
- 70.00%  
- 70.00%

20 Percentage of Underprepared Students Satisfy TSI Obligation in Reading

- 70.00%  
- 70.00%  
- 70.00%  
- 70.00%

#### KEY

21 % of Baccalaureate Graduates Who Are 1st Generation College Graduates

- 45.00%  
- 45.00%  
- 45.00%  
- 45.00%

22 Percent of Transfer Students Who Graduate within 4 Years

- 70.00%  
- 70.00%  
- 70.00%  
- 70.00%

23 Percent of Transfer Students Who Graduate within 2 Years

- 32.00%  
- 33.00%  
- 32.00%  
- 33.00%

24 % Lower Division Semester Credit Hours Taught by Tenured/Tenure-Track

- 46.00%  
- 46.00%  
- 46.00%  
- 46.00%

27 State Licensure Pass Rate of Nursing Graduates

- 95.00%  
- 95.00%  
- 95.00%  
- 95.00%

30 Dollar Value of External or Sponsored Research Funds (in Millions)

- 3.50  
- 3.60  
- 3.50  
- 3.60
2.G. Summary of Total Request Objective Outcomes

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation system of Texas (ABEST)

<table>
<thead>
<tr>
<th>Agency code: 755</th>
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<table>
<thead>
<tr>
<th>Goal/ Objective / Outcome</th>
<th>BL 2022</th>
<th>BL 2023</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
<th>Total Request 2022</th>
<th>Total Request 2023</th>
</tr>
</thead>
</table>

32 External Research Funds As Percentage Appropriated for Research

<table>
<thead>
<tr>
<th></th>
<th>2022</th>
<th>2023</th>
<th>2022</th>
<th>2023</th>
<th>2022</th>
<th>2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>475.00%</td>
<td>475.00%</td>
<td>475.00%</td>
<td>475.00%</td>
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</tr>
</tbody>
</table>
### 3.A. Strategy Request

**755 Stephen F. Austin State University**

**GOAL:** Provide Instructional and Operations Support

**OBJECTIVE:** Provide Instructional and Operations Support

**STRATEGY:** Operations Support

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Number of Undergraduate Degrees Awarded</td>
<td>2,176.00</td>
<td>2,181.00</td>
<td>2,177.00</td>
<td>2,300.00</td>
<td>2,400.00</td>
</tr>
<tr>
<td>2</td>
<td>Number of Minority Graduates</td>
<td>779.00</td>
<td>901.00</td>
<td>926.00</td>
<td>950.00</td>
<td>1,000.00</td>
</tr>
<tr>
<td>3</td>
<td>Number of Underprepared Students Who Satisfy TSI Obligation in Math</td>
<td>254.00</td>
<td>325.00</td>
<td>290.00</td>
<td>330.00</td>
<td>350.00</td>
</tr>
<tr>
<td>4</td>
<td>Number of Underprepared Students Who Satisfy TSI Obligation in Writing</td>
<td>93.00</td>
<td>97.00</td>
<td>21.00</td>
<td>100.00</td>
<td>125.00</td>
</tr>
<tr>
<td>5</td>
<td>Number of Underprepared Students Who Satisfy TSI Obligation in Reading</td>
<td>95.00</td>
<td>100.00</td>
<td>76.00</td>
<td>100.00</td>
<td>125.00</td>
</tr>
<tr>
<td>6</td>
<td>Number of Two-Year College Transfers Who Graduate</td>
<td>608.00</td>
<td>647.00</td>
<td>640.00</td>
<td>655.00</td>
<td>670.00</td>
</tr>
</tbody>
</table>

**Output Measures:**

**Efficiency Measures:**

| KEY | Administrative Cost As a Percent of Operating Budget | 11.30% | 11.20% | 11.70% | 11.00% | 11.00% |
| KEY | Avg Cost of Resident Undergraduate Tuition and Fees for 15 SCH | 5,144.00 | 5,474.00 | 5,300.00 | 5,300.00 | 5,300.00 |

**Explanatory/Input Measures:**

| 1 | Student/Faculty Ratio | 17.80 | 17.60 | 17.10 | 16.70 | 18.00 |
| 2 | Number of Minority Students Enrolled | 4,431.00 | 4,662.00 | 4,617.00 | 4,495.00 | 4,750.00 |
| 3 | Number of Community College Transfers Enrolled | 2,495.00 | 2,488.00 | 2,464.00 | 2,577.00 | 2,600.00 |
| 4 | Number of Semester Credit Hours Completed | 152,093.00 | 150,830.00 | 151,509.00 | 148,437.00 | 151,734.00 |

(1) - Formula funded strategies are not requested in 2022-23 because amounts are not determined by institutions.

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3.A. Page 1 of 32
## 3.A. Strategy Request

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

### 755 Stephen F. Austin State University

**GOAL:** Provide Instructional and Operations Support

**OBJECTIVE:** Provide Instructional and Operations Support

**STRATEGY:** Operations Support

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Number of Semester Credit Hours</td>
<td>154,733.00</td>
<td>154,965.00</td>
<td>154,579.00</td>
<td>151,260.00</td>
<td>155,895.00</td>
</tr>
<tr>
<td>6</td>
<td>Number of Students Enrolled as of the Twelfth Class Day</td>
<td>12,653.00</td>
<td>12,578.00</td>
<td>13,058.00</td>
<td>12,862.00</td>
<td>12,892.00</td>
</tr>
<tr>
<td>KEY</td>
<td>Average Student Loan Debt</td>
<td>26,483.00</td>
<td>27,012.00</td>
<td>27,822.00</td>
<td>28,656.00</td>
<td>29,516.00</td>
</tr>
<tr>
<td>KEY</td>
<td>Percent of Students with Student Loan Debt</td>
<td>67.42 %</td>
<td>68.09 %</td>
<td>69.45 %</td>
<td>70.84 %</td>
<td>71.50 %</td>
</tr>
<tr>
<td>KEY</td>
<td>Average Financial Aid Award Per Full-Time Student</td>
<td>13,447.00</td>
<td>13,581.00</td>
<td>13,717.00</td>
<td>13,854.00</td>
<td>13,992.00</td>
</tr>
<tr>
<td>KEY</td>
<td>Percent of Full-Time Students Receiving Financial Aid</td>
<td>93.70 %</td>
<td>93.00 %</td>
<td>94.00 %</td>
<td>94.00 %</td>
<td>94.00 %</td>
</tr>
</tbody>
</table>

**Objects of Expense:**

| 1001 | SALARIES AND WAGES                                   | $6,751,383 | $6,941,915 | $6,900,000 | $0       | $0       |
| 1002 | OTHER PERSONNEL COSTS                                | $205,622   | $211,425   | $200,000   | $0       | $0       |
| 1005 | FACULTY SALARIES                                     | $29,083,757| $28,271,609| $28,267,072| $0       | $0       |
| 2001 | PROFESSIONAL FEES AND SERVICES                       | $3,062     | $3,148     | $3,000     | $0       | $0       |
| 2003 | CONSUMABLE SUPPLIES                                  | $1,990     | $2,047     | $2,000     | $0       | $0       |
| 2004 | UTILITIES                                           | $152       | $157       | $0         | $0       | $0       |
| 2007 | RENT - MACHINE AND OTHER                             | $17,615    | $18,112    | $17,500    | $0       | $0       |
| 2009 | OTHER OPERATING EXPENSE                              | $509,349   | $523,723   | $497,258   | $0       | $0       |
| 5000 | CAPITAL EXPENDITURES                                 | $6,640     | $6,826     | $5,999     | $0       | $0       |

**TOTAL, OBJECT OF EXPENSE**

|                  | $36,579,570 | $35,978,962 | $35,892,829 | $0         | $0         |

(1) - Formula funded strategies are not requested in 2022-23 because amounts are not determined by institutions.
755  Stephen F. Austin State University

GOAL:  1  Provide Instructional and Operations Support

OBJECTIVE:  1  Provide Instructional and Operations Support

STRATEGY:  1  Operations Support

Service Categories:
Service: 19  Income: A.2  Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>(1)</th>
<th>(1)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>General Revenue Fund</td>
<td>$26,447,318</td>
<td>$25,638,865</td>
<td>$25,426,418</td>
<td>$0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>SUBTOTAL, MOF (GENERAL REVENUE FUNDS)</td>
<td>$26,447,318</td>
<td>$25,638,865</td>
<td>$25,426,418</td>
<td>$0</td>
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<tr>
<td>704</td>
<td>Est Bd Authorized Tuition Inc</td>
<td>$878,747</td>
<td>$791,345</td>
<td>$786,684</td>
<td>$0</td>
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<td></td>
</tr>
<tr>
<td>770</td>
<td>Est. Other Educational &amp; General</td>
<td>$9,253,505</td>
<td>$9,548,752</td>
<td>$9,679,727</td>
<td>$0</td>
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<td></td>
</tr>
<tr>
<td></td>
<td>SUBTOTAL, MOF (GENERAL REVENUE FUNDS - DEDICATED)</td>
<td>$10,132,252</td>
<td>$10,340,097</td>
<td>$10,466,411</td>
<td>$0</td>
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<td></td>
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<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)</td>
<td></td>
<td></td>
<td></td>
<td>$0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)</td>
<td>$36,579,570</td>
<td>$35,978,962</td>
<td>$35,892,829</td>
<td>$0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>FULL TIME EQUIVALENT POSITIONS</td>
<td>407.0</td>
<td>413.9</td>
<td>410.6</td>
<td>417.2</td>
<td>417.2</td>
<td></td>
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</table>

STRATEGY DESCRIPTION AND JUSTIFICATION:
The Instruction and Operations Formula provides funding for faculty salaries, including nursing, departmental operating expense, library, instructional administration, research enhancement, student services, and institutional support. These funds are distributed on a weighted semester credit hour basis. The rate per weighted semester credit hour is established by the Legislature each biennium.

(1) - Formula funded strategies are not requested in 2022-23 because amounts are not determined by institutions.
755 Stephen F. Austin State University

GOAL:  1  Provide Instructional and Operations Support

OBJECTIVE:  1  Provide Instructional and Operations Support

STRATEGY:  1  Operations Support

<table>
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<tr>
<th>CODE</th>
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<th>Exp 2019</th>
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<th>Bud 2021</th>
<th>BL 2022</th>
<th>(1)</th>
<th>(1)</th>
</tr>
</thead>
</table>

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:

EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL CHANGE</th>
<th>EXPLANATION OF BIENNIAL CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Spending (Est 2020 - Bud 2021)</td>
<td>Baseline Request (BL 2022 + BL 2023)</td>
<td>$ Amount</td>
</tr>
<tr>
<td>$71,871,791</td>
<td>$0</td>
<td>$(71,871,791)</td>
</tr>
<tr>
<td>$3,265,855</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>$(71,871,791)</td>
</tr>
</tbody>
</table>

(1) - Formula funded strategies are not requested in 2022-23 because amounts are not determined by institutions.
755 Stephen F. Austin State University

GOAL: 1 Provide Instructional and Operations Support

OBJECTIVE: 1 Provide Instructional and Operations Support

STRATEGY: 3 Staff Group Insurance Premiums

Service Categories:
Service: 06  Income: A.2  Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>OTHER OPERATING EXPENSE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL, OBJECT OF EXPENSE</td>
<td>$3,054,296</td>
<td>$3,796,507</td>
<td>$3,606,682</td>
<td>$3,642,748</td>
<td>$3,679,176</td>
<td></td>
</tr>
</tbody>
</table>

Method of Financing:

770  Est. Other Educational & General

| SUBTOTAL, MOF (GENERAL REVENUE FUNDS - DEDICATED) | $3,054,296 | $3,796,507 | $3,606,682 | $3,642,748 | $3,679,176 |

TOTAL, METHOD OF FINANCE (INCLUDING RIDERS) $3,054,296 $3,796,507 $3,606,682 $3,642,748 $3,679,176

TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS) $3,054,296 $3,796,507 $3,606,682 $3,642,748 $3,679,176

FULL TIME EQUIVALENT POSITIONS:

STRATEGY DESCRIPTION AND JUSTIFICATION:
This strategy reflects the institutional portion of health insurance costs.

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:
The rising cost of health care and health insurance impact this strategy.
### 3.A. Strategy Request

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

755  **Stephen F. Austin State University**

GOAL: 1  Provide Instructional and Operations Support

OBJECTIVE: 1  Provide Instructional and Operations Support

STRATEGY: 3  Staff Group Insurance Premiums

<table>
<thead>
<tr>
<th>SERVICE CATEGORIES:</th>
<th>SERVICE: 06</th>
<th>INCOME: A.2</th>
<th>AGE: B.3</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

**EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):**

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL CHANGE</th>
<th>EXPLANATION OF BIENNIAL CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Spending (Est 2020 – Bud 2021)</td>
<td>$7,403,189</td>
<td>$(81,265)</td>
</tr>
<tr>
<td>Baseline Request (BL 2022 + BL 2023)</td>
<td>$7,321,924</td>
<td></td>
</tr>
</tbody>
</table>

We anticipate a decrease due to expected FTE decreases

$81,265  Total of Explanation of Biennial Change

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3.A.  Page 6 of 32

---

36
### 755 Stephen F. Austin State University

**GOAL:** 1 Provide Instructional and Operations Support

**OBJECTIVE:** 1 Provide Instructional and Operations Support

**STRATEGY:** 6 Texas Public Education Grants

**Service Categories:**

<table>
<thead>
<tr>
<th>Service</th>
<th>Income</th>
<th>Age</th>
</tr>
</thead>
<tbody>
<tr>
<td>20</td>
<td>A.2</td>
<td>B.3</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>3001</td>
<td>CLIENT SERVICES</td>
<td>$2,281,342</td>
<td>$2,237,715</td>
<td>$2,109,673</td>
<td>$2,150,000</td>
<td>$2,190,000</td>
</tr>
<tr>
<td></td>
<td>TOTAL, OBJECT OF EXPENSE</td>
<td>$2,281,342</td>
<td>$2,237,715</td>
<td>$2,109,673</td>
<td>$2,150,000</td>
<td>$2,190,000</td>
</tr>
<tr>
<td>770</td>
<td>Est. Other Educational &amp; General</td>
<td>$2,281,342</td>
<td>$2,237,715</td>
<td>$2,109,673</td>
<td>$2,150,000</td>
<td>$2,190,000</td>
</tr>
<tr>
<td></td>
<td>SUBTOTAL, MOF (GENERAL REVENUE FUNDS - DEDICATED)</td>
<td>$2,281,342</td>
<td>$2,237,715</td>
<td>$2,109,673</td>
<td>$2,150,000</td>
<td>$2,190,000</td>
</tr>
<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)</td>
<td>$2,281,342</td>
<td>$2,237,715</td>
<td>$2,109,673</td>
<td>$2,150,000</td>
<td>$2,190,000</td>
</tr>
<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)</td>
<td>$2,281,342</td>
<td>$2,237,715</td>
<td>$2,109,673</td>
<td>$2,150,000</td>
<td>$2,190,000</td>
</tr>
</tbody>
</table>

**Method of Financing:**

**FULL TIME EQUIVALENT POSITIONS:**

**STRATEGY DESCRIPTION AND JUSTIFICATION:**

This strategy reflects the portion of per hour tuition revenue that is set aside for grants for students.

**EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:**

Factors that impact this strategy include the state of the economy and the economic status of students.
755 Stephen F. Austin State University

GOAL:  1 Provide Instructional and Operations Support

OBJECTIVE:  1 Provide Instructional and Operations Support

STRATEGY:  6 Texas Public Education Grants

Service Categories:

Service: 20  Income: A.2  Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL CHANGE</th>
<th>$ Amount</th>
<th>Explanation(s) of Amount (must specify MOFs and FTEs)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Spending (Est 2020 – Bud 2021)</td>
<td>$4,347,388</td>
<td>$(7,388)</td>
<td>Expected decrease in gross tuition</td>
</tr>
<tr>
<td>Baseline Request (BL 2022 + BL 2023)</td>
<td>$4,340,000</td>
<td>$(7,388)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Total of Explanation of Biennial Change</td>
</tr>
</tbody>
</table>
755 Stephen F. Austin State University

GOAL: 1 Provide Instructional and Operations Support

OBJECTIVE: 1 Provide Instructional and Operations Support

STRATEGY: 7 Organized Activities

Service Categories:
Service: 19  Income: A.2  Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001</td>
<td>SALARIES AND WAGES</td>
<td>$895,373</td>
<td>$691,941</td>
<td>$823,164</td>
<td>$886,112</td>
<td>$886,112</td>
</tr>
<tr>
<td>1002</td>
<td>OTHER PERSONNEL COSTS</td>
<td>$29,076</td>
<td>$22,470</td>
<td>$26,731</td>
<td>$28,775</td>
<td>$28,775</td>
</tr>
<tr>
<td>2009</td>
<td>OTHER OPERATING EXPENSE</td>
<td>$115</td>
<td>$88</td>
<td>$105</td>
<td>$113</td>
<td>$113</td>
</tr>
<tr>
<td></td>
<td>TOTAL, OBJECT OF EXPENSE</td>
<td>$924,564</td>
<td>$714,499</td>
<td>$850,000</td>
<td>$915,000</td>
<td>$915,000</td>
</tr>
</tbody>
</table>

Method of Financing:

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>770</td>
<td>Est. Other Educational &amp; General</td>
<td>$924,564</td>
<td>$714,499</td>
<td>$850,000</td>
<td>$915,000</td>
<td>$915,000</td>
</tr>
<tr>
<td></td>
<td>SUBTOTAL, MOF (GENERAL REVENUE FUNDS - DEDICATED)</td>
<td>$924,564</td>
<td>$714,499</td>
<td>$850,000</td>
<td>$915,000</td>
<td>$915,000</td>
</tr>
<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)</td>
<td>$924,564</td>
<td>$714,499</td>
<td>$850,000</td>
<td>$915,000</td>
<td>$915,000</td>
</tr>
<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)</td>
<td>$924,564</td>
<td>$714,499</td>
<td>$850,000</td>
<td>$915,000</td>
<td>$915,000</td>
</tr>
</tbody>
</table>

FULL TIME EQUIVALENT POSITIONS:

|                      | 3.A. | 8.8  | 11.7  | 11.7   | 11.7   |

STRATEGY DESCRIPTION AND JUSTIFICATION:
755 Stephen F. Austin State University

GOAL: 1 Provide Instructional and Operations Support

OBJECTIVE: 1 Provide Instructional and Operations Support

STRATEGY: 7 Organized Activities

Service Categories:
Service: 19 Income: A.2 Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

All costs of activities or enterprises separately organized and operated in connection with instructional departments primarily of the purpose of giving professional training to students as a necessary part of the educational work of the related departments. Organized activities provide laboratory experiences for the University students in Agriculture and Early Childhood programs of instruction. These units also provide public service to the community and region and serve as resources in conducting appropriate research.

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:

Rises in minimum wage, rising cost of food, feed and equipment affect the teaching farms and early childhood lab. The farms do not produce enough income to cover the cost of operation because they are instructional units and lack economies of scale.

EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL CHANGE</th>
<th>EXPLANATION OF BIENNIAL CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Spending (Est 2020 - Bud 2021)</td>
<td>Baseline Request (BL 2022 + BL 2023)</td>
<td>$ Amount</td>
</tr>
<tr>
<td>$1,564,499</td>
<td>$1,830,000</td>
<td>$265,501</td>
</tr>
</tbody>
</table>

$265,501 Total of Explanation of Biennial Change
755 Stephen F. Austin State University

GOAL: 2 Provide Infrastructure Support

OBJECTIVE: 1 Provide Operation and Maintenance of E&G Space

STRATEGY: 1 Educational and General Space Support

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Efficiency Measures:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1 Space Utilization Rate of Classrooms</td>
<td>30.00</td>
<td>31.00</td>
<td>29.00</td>
<td>28.00</td>
<td>30.00</td>
</tr>
<tr>
<td></td>
<td>2 Space Utilization Rate of Labs</td>
<td>25.00</td>
<td>26.00</td>
<td>25.00</td>
<td>22.00</td>
<td>25.00</td>
</tr>
<tr>
<td></td>
<td>Objects of Expense:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1001</td>
<td>SALARIES AND WAGES</td>
<td>$1,403,427</td>
<td>$1,319,850</td>
<td>$1,333,048</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>1002</td>
<td>OTHER PERSONNEL COSTS</td>
<td>$60,214</td>
<td>$57,141</td>
<td>$57,713</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>2004</td>
<td>UTILITIES</td>
<td>$86,461</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>TOTAL, OBJECT OF EXPENSE</td>
<td></td>
<td>$2,050,102</td>
<td>$1,376,991</td>
<td>$1,390,761</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

Method of Financing:

1 General Revenue Fund | $2,050,102 | $1,196,746 | $1,390,761 | $0 | $0

SUBTOTAL, MOF (GENERAL REVENUE FUNDS) | $2,050,102 | $1,196,746 | $1,390,761 | $0 | $0

Method of Financing:

770 Est. Other Educational & General | $0 | $180,245 | $0 | $0 | $0

SUBTOTAL, MOF (GENERAL REVENUE FUNDS - DEDICATED) | $0 | $180,245 | $0 | $0 | $0

(1) - Formula funded strategies are not requested in 2022-23 because amounts are not determined by institutions.
755 Stephen F. Austin State University

GOAL: 2 Provide Infrastructure Support

OBJECTIVE: 1 Provide Operation and Maintenance of E&G Space

STRATEGY: 1 Educational and General Space Support

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)</td>
<td>$0</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)</td>
<td>$2,050,102</td>
<td>$1,376,991</td>
<td>$1,390,761</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td></td>
<td>FULL TIME EQUIVALENT POSITIONS:</td>
<td>53.5</td>
<td>49.1</td>
<td>54.0</td>
<td>60.0</td>
<td>60.0</td>
</tr>
</tbody>
</table>

STRATEGY DESCRIPTION AND JUSTIFICATION:
The portion of the formula related to utilities is adjusted to reflect differences in unit costs for purchased utilities, including electricity, natural gas, water and wastewater, and thermal energy.

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:

(1) Formula funded strategies are not requested in 2022-23 because amounts are not determined by institutions.
GOAL:  2  Provide Infrastructure Support

OBJECTIVE:  1  Provide Operation and Maintenance of E&G Space

STRATEGY:  1  Educational and General Space Support

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL CHANGE</th>
<th>$ Amount</th>
<th>Explanation(s) of Amount (must specify MOEs and FTEs)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Spending (Est 2020 – Bud 2021)</td>
<td>Baseline Request (BL 2022 + BL 2023)</td>
<td>$0</td>
<td>$(2,767,752)</td>
</tr>
<tr>
<td>$2,767,752</td>
<td>$0</td>
<td>$(2,767,752)</td>
<td>Formula funding strategies are not requested in 2022-2023 because amounts are not determined by institution.</td>
</tr>
</tbody>
</table>

$2,767,752  Total of Explanation of Biennial Change

(1) - Formula funded strategies are not requested in 2022-23 because amounts are not determined by institutions.
755 Stephen F. Austin State University

GOAL: 2 Provide Infrastructure Support

OBJECTIVE: 1 Provide Operation and Maintenance of E&G Space

STRATEGY: 2 Tuition Revenue Bond Retirement

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>OBJECT OF EXPENSE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2008</td>
<td>DEBT SERVICE</td>
<td>$7,440,416</td>
<td>$6,440,456</td>
<td>$5,388,000</td>
<td>$5,383,800</td>
<td>$5,382,750</td>
</tr>
<tr>
<td>TOTAL, OBJECT OF EXPENSE</td>
<td>$7,440,416</td>
<td>$6,440,456</td>
<td>$5,388,000</td>
<td>$5,383,800</td>
<td>$5,382,750</td>
<td></td>
</tr>
</tbody>
</table>

Method of Financing:

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>SUBTOTAL, MOF (GENERAL REVENUE FUNDS)</td>
<td>$7,440,416</td>
<td>$6,440,456</td>
<td>$5,388,000</td>
<td>$5,383,800</td>
<td>$5,382,750</td>
</tr>
<tr>
<td>TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$5,383,800</td>
<td>$5,382,750</td>
</tr>
<tr>
<td>TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)</td>
<td>$7,440,416</td>
<td>$6,440,456</td>
<td>$5,388,000</td>
<td>$5,383,800</td>
<td>$5,382,750</td>
<td></td>
</tr>
</tbody>
</table>

FULL TIME EQUIVALENT POSITIONS:

STRATEGY DESCRIPTION AND JUSTIFICATION:

To provide 2016-17 ongoing debt service for existing tuition revenue bond projects. The debt service that is requested for fiscal years 2018 and 2019 supports tuition revenue bond projects in 2002, 2006, 2007, and 2015. Those projects include the 2002 Series which funded a new Telecommunications building and equipment as well as renovations to Power Plant and infrastructure; the 2006 Series which funded the construction of a new Early Childhood Research Center; the 2007 series which funded the construction of a new Nursing building as well as deferred maintenance; and the 2015 series which will fund the construction of a new Science, Technology, Engineering, and Mathematics (STEM) building.
755 Stephen F. Austin State University

GOAL: 2 Provide Infrastructure Support

OBJECTIVE: 1 Provide Operation and Maintenance of E&G Space

STRATEGY: 2 Tuition Revenue Bond Retirement

Service Categories:
Service: 10 Income: A.2 Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:
A major factor impacting this strategy is the economic health of the state of Texas.

EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<p>| STRATEGY BIENNIAL TOTAL - ALL FUNDS | BIENNIAL CHANGE | EXPLANATION OF BIENNIAL CHANGE |</p>
<table>
<thead>
<tr>
<th>Base Spending (Est 2020 – Bud 2021)</th>
<th>Baseline Request (BL 2022 + BL 2023)</th>
<th>$ Amount</th>
<th>Explanation(s) of Amount (must specify MOFs and FTEs)</th>
</tr>
</thead>
<tbody>
<tr>
<td>$11,828,456</td>
<td>$10,766,550</td>
<td>$(1,061,906)</td>
<td>Debt Service will decrease for 2022 and 2023 according to the debt schedule</td>
</tr>
<tr>
<td></td>
<td></td>
<td>$(1,061,906)</td>
<td>Total of Explanation of Biennial Change</td>
</tr>
</tbody>
</table>

3.A. Page 15 of 32
GOAL: 3 Provide Non-formula Support
OBJECTIVE: 1 INSTRUCTIONAL SUPPORT
STRATEGY: 1 Rural Nursing Initiative

Service Categories:
Service: 19  Income: A.1  Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1005</td>
<td>FACULTY SALARIES</td>
<td>$300,411</td>
<td>$270,370</td>
<td>$270,370</td>
<td>$270,370</td>
<td>$270,370</td>
</tr>
<tr>
<td></td>
<td>TOTAL, OBJECT OF EXPENSE</td>
<td>$300,411</td>
<td>$270,370</td>
<td>$270,370</td>
<td>$270,370</td>
<td>$270,370</td>
</tr>
</tbody>
</table>

Method of Financing:

1 General Revenue Fund

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>General Revenue Fund</td>
<td>$300,411</td>
<td>$270,370</td>
<td>$270,370</td>
<td>$270,370</td>
<td>$270,370</td>
</tr>
<tr>
<td></td>
<td>SUBTOTAL, MOF (GENERAL REVENUE FUNDS)</td>
<td>$300,411</td>
<td>$270,370</td>
<td>$270,370</td>
<td>$270,370</td>
<td>$270,370</td>
</tr>
<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)</td>
<td></td>
<td></td>
<td></td>
<td>$270,370</td>
<td>$270,370</td>
</tr>
<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)</td>
<td>$300,411</td>
<td>$270,370</td>
<td>$270,370</td>
<td>$270,370</td>
<td>$270,370</td>
</tr>
<tr>
<td></td>
<td>FULL TIME EQUIVALENT POSITIONS:</td>
<td>2.9</td>
<td>2.9</td>
<td>2.9</td>
<td>2.9</td>
<td>2.9</td>
</tr>
</tbody>
</table>

STRATEGY DESCRIPTION AND JUSTIFICATION:
The mission of the Rural Nursing Initiative is to address the shortage of nurses in rural East Texas by increasing the number of students admitted into the nursing program. Since nurses who train in rural areas tend to remain in rural areas, funding for this item would permit additional students to be admitted to the baccalaureate program and will thereby increase the number of nurses in the East Texas region. This is a continuation of the current project.
755 Stephen F. Austin State University

GOAL: 3 Provide Non-formula Support
OBJECTIVE: 1 INSTRUCTIONAL SUPPORT
STRATEGY: 1 Rural Nursing Initiative

Service Categories:
Service: 19  Income: A.1  Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:
Additional information for this strategy is available in Schedule 9, Special Item Information.

EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL</th>
<th>EXPLANATION OF BIENNIAL CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Spending (Est 2020 - Bud 2021)</td>
<td></td>
<td>$0 Amount Explanation(s) of Amount must specify MOFs and FTEs</td>
</tr>
<tr>
<td>Baseline Request (BL 2022 + BL 2023)</td>
<td></td>
<td>$0</td>
</tr>
</tbody>
</table>

$540,740  $540,740  $0
3.A. Strategy Request

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

755 Stephen F. Austin State University

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001</td>
<td>SALARIES AND WAGES</td>
<td>$149,732</td>
<td>$81,191</td>
<td>$82,000</td>
<td>$82,000</td>
<td>$82,000</td>
</tr>
<tr>
<td>1002</td>
<td>OTHER PERSONNEL COSTS</td>
<td>$4,003</td>
<td>$23,897</td>
<td>$24,000</td>
<td>$24,000</td>
<td>$24,000</td>
</tr>
<tr>
<td>1005</td>
<td>FACULTY SALARIES</td>
<td>$223,788</td>
<td>$272,435</td>
<td>$271,523</td>
<td>$271,523</td>
<td>$271,523</td>
</tr>
<tr>
<td>TOTAL, OBJECT OF EXPENSE</td>
<td>$377,523</td>
<td>$377,523</td>
<td>$377,523</td>
<td>$377,523</td>
<td>$377,523</td>
<td></td>
</tr>
</tbody>
</table>

Method of Financing:

1. General Revenue Fund
   - $377,523
   - $377,523
   - $377,523
   - $377,523
   - $377,523
   SUBTOTAL, MOF (GENERAL REVENUE FUNDS)  $377,523
   - $377,523
   - $377,523
   - $377,523
   - $377,523
   TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)  $377,523
   - $377,523
   - $377,523
   - $377,523
   - $377,523
   TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)  $377,523
   - $377,523
   - $377,523
   - $377,523
   - $377,523
   FULL TIME EQUIVALENT POSITIONS: 3.4

STRATEGY DESCRIPTION AND JUSTIFICATION:

3.A. Page 18 of 32
GOAL: 3 Provide Non-formula Support

OBJECTIVE: 2 Research

STRATEGY: 1 Center for Applied Studies in Forestry

### SERVICE CATEGORIES:
- Service: 21
- Income: A.2
- Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

The Center for Applied Studies in Forestry (CASF) in the Arthur Temple College of Forestry and Agriculture is dedicated to applied research that delivers working solutions to the economic and ecological challenges associated with forest resources in Texas. It has existed since 1980 and serves a diverse clientele, providing information not available at any other location in the state. The center provides essential knowledge and expertise required to manage, protect and conserve forest and environmental resources in Texas and to promote sustainable economic development. The Center conducts integrated programs of interdisciplinary research, graduate education, training for professional foresters, and provides services to a broad range of clientele groups.

**EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:**

Additional information for this strategy is available in Schedule 9, Special Item Information.

**EXPLANATION OF BIENNIAL CHANGE (Includes Rider amounts):**

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL CHANGE</th>
<th>EXPLANATION OF BIENNIAL CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Spending (Est 2020 – Bud 2021)</td>
<td>Baseline Request (BL 2022 + BL 2023)</td>
<td>$ Amount Explanation(s) of Amount (must specify MOEs and FTEs)</td>
</tr>
<tr>
<td>$755,046</td>
<td>$755,046</td>
<td>$0</td>
</tr>
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</table>

Total of Explanation of Biennial Change: $0
GOAL: 3  Provide Non-formula Support

OBJECTIVE: 3  Public Service

STRATEGY: 1  Stone Fort Museum and Research Center of East Texas

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
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<tbody>
<tr>
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<td>SALARIES AND WAGES</td>
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<td>$28,400</td>
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<td>TOTAL</td>
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<td>$71,959</td>
<td>$71,959</td>
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<td>$71,959</td>
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</table>

Method of Financing:

1  General Revenue Fund

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<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>SUBTOTAL, MOF (GENERAL REVENUE FUNDS)</td>
<td>$71,959</td>
<td>$71,959</td>
<td>$71,959</td>
<td>$71,959</td>
<td>$71,959</td>
</tr>
<tr>
<td>TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)</td>
<td>$71,959</td>
<td>$71,959</td>
<td>$71,959</td>
<td>$71,959</td>
<td>$71,959</td>
</tr>
<tr>
<td>TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)</td>
<td>$71,959</td>
<td>$71,959</td>
<td>$71,959</td>
<td>$71,959</td>
<td>$71,959</td>
</tr>
</tbody>
</table>

FULL TIME EQUIVALENT POSITIONS:

1.0

STRATEGY DESCRIPTION AND JUSTIFICATION:
755 Stephen F. Austin State University

GOAL: 3 Provide Non-formula Support
OBJECTIVE: 3 Public Service

STRATEGY: 1 Stone Fort Museum and Research Center of East Texas

Service Categories:
Service: 04 Income: A.2 Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
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<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

The Stone Fort Museum (SFM) is an educational center at Stephen F. Austin State University (SFASU) serving the University and regional community through interdisciplinary, collaborative research, service learning projects, and educational programs. Its goal is to support the mission of the University and the preservation of eastern Texas history. As an academic support unit of the University, the Museum functions as a center within the College of Liberal and Applied Arts. The Museum’s Unit Objectives are linked to the mission of SFASU in four areas:

-- Education Services – The Museum will provide quality learner-centered services to a diverse community; including a University, local, regional, and statewide audience.
-- Research & Interpretation – The Museum will provide faculty, staff and students opportunities to engage in interdisciplinary, collaborative research on topics relevant to the museum collection, informal education, interpretive methods, and museum management.
-- Resources – The Museum will maintain and enhance resources, including, human resources, facilities and artifactual collections.
-- Civic Engagement & Quality Relationships – The Museum will seek to build quality relationships locally, regionally, statewide, and nationally that foster growth and provide civic engagement opportunities for faculty, staff and students.

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:
Additional information for this strategy is available in Schedule 9, Special Item Information.

EXPLANATION OF BIENNAL CHANGE (includes Rider amounts):

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL</th>
<th>EXPLANATION OF BIENNIAL CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Spending (Est 2020 + Bud 2021)</td>
<td>Baseline Request (BL 2022 + BL 2023)</td>
<td>CHANGE $ Amount Explanation(s) of Amount (must specify MOFs and FTEs)</td>
</tr>
<tr>
<td>$143,918</td>
<td>$143,918</td>
<td>$0</td>
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<tr>
<td>$0</td>
<td>$0</td>
<td>Total of Explanation of Biennial Change</td>
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</table>
755 Stephen F. Austin State University

GOAL: 3 Provide Non-formula Support
OBJECTIVE: 3 Public Service
STRATEGY: 2 Soil Plant and Water Analysis Laboratory

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001</td>
<td>SALARIES AND WAGES</td>
<td>$41,047</td>
<td>$41,048</td>
<td>$41,047</td>
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<td>$41,047</td>
<td>$41,048</td>
<td>$41,047</td>
<td></td>
</tr>
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</table>

Method of Financing:

| 1   | General Revenue Fund                 | $41,047  | $41,048  | $41,047  | $41,048 | $41,047 |
| SUBTOTAL, MOF (GENERAL REVENUE FUNDS)| $41,047  | $41,048  | $41,047  | $41,048 | $41,047 |
| TOTAL, METHOD OF FINANCE (INCLUDING RIDERS) | $41,048  | $41,048  | $41,048  | $41,048 | $41,047 |
| TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS) | $41,047  | $41,048  | $41,047  | $41,048 | $41,047 |

FULL TIME EQUIVALENT POSITIONS:

|              | 1.4 | 1.0  | 1.0  | 1.0  | 1.0  |

STRATEGY DESCRIPTION AND JUSTIFICATION:

The mission of the Soil, Plant and Water Analysis laboratory involves Public Service, Research, and Instructional Support in analysis of soils, plant tissue, animal wastes, water quality and the development of new plant materials which supports diversity in landscapes of Texas. This comprehensive program supports combined regional agricultural hay, poultry, livestock, dairy and nursery industries with an estimated value of well over a billion dollars.
755 Stephen F. Austin State University

GOAL: 3 Provide Non-formula Support
OBJECTIVE: 3 Public Service
STRATEGY: 2 Soil Plant and Water Analysis Laboratory

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:
Additional information for this strategy is available in Schedule 9, Special Item Information.

EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL CHANGE</th>
<th>EXPLANATION OF BIENNIAL CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Spending (Est 2020 – Bud 2021)</td>
<td>Baseline Request (BL 2022 + BL 2023)</td>
<td>$ Amount</td>
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<tr>
<td>$82,095</td>
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$0 Total of Explanation of Biennial Change

3.A. Page 23 of 32
3A. Strategy Request

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

755 Stephen F. Austin State University

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
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<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
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</thead>
<tbody>
<tr>
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<td>$36,801</td>
<td>$36,800</td>
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<tr>
<td>1002</td>
<td>OTHER PERSONNEL COSTS</td>
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<td>$1,877</td>
<td>$1,913</td>
<td>$1,913</td>
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<td>TOTAL OBJECT OF EXPENSE</td>
<td>$38,713</td>
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<td></td>
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</table>

Method of Financing:

1  General Revenue Fund

SUBTOTAL, MOF (GENERAL REVENUE FUNDS) $38,713 $38,714 $38,713 $38,714 $38,713

TOTAL, METHOD OF FINANCE (INCLUDING RIDERS) $38,713 $38,714 $38,713 $38,714 $38,713

TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS) $38,713 $38,714 $38,713 $38,714 $38,713

FULL TIME EQUIVALENT POSITIONS:

0.7 0.5 1.4 1.4 1.4

STRATEGY DESCRIPTION AND JUSTIFICATION:

The purpose is to provide continued support in research, service, and teaching to the poultry industry of the East Texas Region. Research studies are designed to improve the economic efficiency within the integrated poultry industry and to address newly emerging topics in poultry production and management. The economics of the poultry industry in East Texas is an estimated 10 to 20 million dollars annually. The Center is in a very unique facility to provide important services to allied industry partners and to prepare our students for employment in this thriving industry.
755 Stephen F. Austin State University

GOAL: 3 Provide Non-formula Support

OBJECTIVE: 3 Public Service

STRATEGY: 3 Applied Poultry Studies and Research

Service Categories:
Service: 38 Income: A.2 Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:
Additional information for this strategy is available in Schedule 9, Special Item Information.

EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL CHANGE</th>
<th>EXPLANATION OF BIENNIAL CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Spending (Est 2020 – Bud 2021)</td>
<td>Baseline Request (BL 2022 + BL 2023)</td>
<td>$ Amount Explanation(s) of Amount (must specify MOFs and FTEs)</td>
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<tr>
<td>$77,427</td>
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<td>$0 Total of Explanation of Biennial Change</td>
</tr>
</tbody>
</table>

3.A. Page 25 of 32
755 Stephen F. Austin State University

GOAL: 3 Provide Non-formula Support

OBJECTIVE: 4 INSTITUTIONAL SUPPORT

STRATEGY: 1 Institutional Enhancement

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001</td>
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<tr>
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<td>OTHER PERSONNEL COSTS</td>
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<td>$65,000</td>
<td>$65,000</td>
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<tr>
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<td>FACULTY SALARIES</td>
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<td>CLIENT SERVICES</td>
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<td>$0</td>
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<td>$3,238,235</td>
<td>$3,238,235</td>
<td>$3,036,739</td>
<td>$3,036,741</td>
</tr>
</tbody>
</table>

Method of Financing:

|   | SUBTOTAL, MOF (GENERAL REVENUE FUNDS) | $3,234,360 | $3,225,978 | $3,230,289 | $3,028,793 | $3,028,795 |

Method of Financing:

| 802 | Lic Plate Trust Fund No. 0802, est | $3,875  | $12,257  | $7,946   | $7,946   | $7,946   |
|     | SUBTOTAL, MOF (OTHER FUNDS)      | $3,875  | $12,257  | $7,946   | $7,946   | $7,946   |
755 Stephen F. Austin State University

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)</td>
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<td></td>
<td></td>
<td></td>
<td>$3,036,739</td>
</tr>
<tr>
<td></td>
<td>$3,238,235</td>
<td>$3,238,235</td>
<td>$3,238,235</td>
<td>$3,036,739</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$3,036,741</td>
</tr>
<tr>
<td></td>
<td>$3,238,235</td>
<td>$3,238,235</td>
<td>$3,238,235</td>
<td>$3,036,741</td>
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<tr>
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<td>FULL TIME EQUIVALENT POSITIONS:</td>
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<td>22.4</td>
<td>22.6</td>
<td>25.0</td>
<td>25.0</td>
</tr>
</tbody>
</table>

STRATEGY DESCRIPTION AND JUSTIFICATION:
Institutional Enhancement funding is used to attract, hire, and retain qualified faculty members who are committed to quality classroom instruction and research, as well as supporting recruitment, marketing and retention efforts. Some of the expenditures from this strategy are included in operations support.

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:
Additional information for this strategy is available in Schedule 9, Special Item Information.

EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL CHANGE</th>
<th>EXPLANATION OF BIENNIAL CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Spending (Est 2020 - Bud 2021)</td>
<td>Baseline Request (BL 2022 + BL 2023)</td>
<td>$ Amount Explanation(s) of Amount (must specify MOFs and FTEs)</td>
</tr>
<tr>
<td>$6,476,470</td>
<td>$6,073,480</td>
<td>$(402,990)</td>
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</tbody>
</table>

3.A. Page 27 of 32
755 Stephen F. Austin State University

GOAL: 3 Provide Non-formula Support

OBJECTIVE: 5 Exceptional Item Request

STRATEGY: 1 Exceptional Item Request

<table>
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<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
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<tr>
<td>TOTAL, OBJECT OF EXPENSE</td>
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<td>$0</td>
<td>$0</td>
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<td>$0</td>
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</tr>
</tbody>
</table>

Method of Financing:

1 General Revenue Fund

SUBTOTAL, MOF (GENERAL REVENUE FUNDS) $0

TOTAL, METHOD OF FINANCE (INCLUDING RIDERS) $0

TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS) $0

FULL TIME EQUIVALENT POSITIONS: 0.0

STRATEGY DESCRIPTION AND JUSTIFICATION:

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3.A. Strategy Request

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

755 Stephen F. Austin State University

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
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<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:
Additional information for this strategy is available in Schedule 9, Special Item Information.

EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL CHANGE</th>
<th>EXPLANATION OF BIENNIAL CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Spending (Est 2020 - Bud 2021)</td>
<td>Baseline Request (BL 2022 + BL 2023)</td>
<td>$ Amount Explanation(s) of Amount (must specify MOFxs and FTEs)</td>
</tr>
<tr>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

$0 Total of Explanation of Biennial Change

3.A.  Page 29 of 32
755 Stephen F. Austin State University

GOAL: 6 Research Funds

OBJECTIVE: 3 Comprehensive Research Fund

STRATEGY: 1 Comprehensive Research Fund

Service Categories:
Service: 21 Income: A.2 Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
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<tbody>
<tr>
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<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td></td>
<td>TOTAL, OBJECT OF EXPENSE</td>
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<td>$171,476</td>
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<td>$0</td>
<td>$0</td>
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</tbody>
</table>

Method of Financing:

| 1 | General Revenue Fund | $209,682 | $171,476 | $171,476 | $0 | $0 |
|   | SUBTOTAL, MOF (GENERAL REVENUE FUNDS) | $209,682 | $171,476 | $171,476 | $0 | $0 |
|   | TOTAL, METHOD OF FINANCE (INCLUDING RIDERS) | | | | $0 | $0 |
|   | TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS) | $209,682 | $171,476 | $171,476 | $0 | $0 |
|   | FULL TIME EQUIVALENT POSITIONS: | 1.4 | 0.3 | 1.4 | 1.4 | 1.4 |

3.A. Page 30 of 32
755 Stephen F. Austin State University

GOAL: 6 Research Funds
OBJECTIVE: 3 Comprehensive Research Fund
STRATEGY: 1 Comprehensive Research Fund

Service Categories:
Service: 21 Income: A.2 Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

STRATEGY DESCRIPTION AND JUSTIFICATION:
The Comprehensive Research Fund is distributed among eligible institutions based on the average amount of restricted research funds expended by each institution per year for the three preceding fiscal years. The purpose of these funds is to promote research capacity.

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:

EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<table>
<thead>
<tr>
<th>STRATEGY BIENNIAL TOTAL - ALL FUNDS</th>
<th>BIENNIAL CHANGE</th>
<th>EXPLANATION OF BIENNIAL CHANGE</th>
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<tbody>
<tr>
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<td>Baseline Request (BL 2022 + BL 2023)</td>
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<td>-----------------</td>
<td>------------------</td>
</tr>
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3.A. Page 31 of 32
### SUMMARY TOTALS:

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<th>Description</th>
<th>Value 1</th>
<th>Value 2</th>
<th>Value 3</th>
<th>Value 4</th>
<th>Value 5</th>
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<tbody>
<tr>
<td>OBJECTS OF EXPENSE:</td>
<td>$56,607,860</td>
<td>$54,754,455</td>
<td>$53,447,268</td>
<td>$15,927,901</td>
<td>$16,003,279</td>
</tr>
<tr>
<td>METHODS OF FINANCE (INCLUDING RIDERS):</td>
<td></td>
<td></td>
<td></td>
<td>$15,927,901</td>
<td>$16,003,279</td>
</tr>
<tr>
<td>METHODS OF FINANCE (EXCLUDING RIDERS):</td>
<td>$56,607,860</td>
<td>$54,754,455</td>
<td>$53,447,268</td>
<td>$15,927,901</td>
<td>$16,003,279</td>
</tr>
<tr>
<td>FULL TIME EQUIVALENT POSITIONS:</td>
<td>505.3</td>
<td>503.3</td>
<td>510.0</td>
<td>525.0</td>
<td>525.0</td>
</tr>
</tbody>
</table>
### 3.A.1. PROGRAM-LEVEL REQUEST SCHEDULE

87th Regular Session, Agency Submission, Version 1

<table>
<thead>
<tr>
<th>Strategy</th>
<th>Program Priority</th>
<th>Program Name</th>
<th>Legal Authority</th>
<th>2020-21 Base</th>
<th>Requested 2022</th>
<th>Requested 2023</th>
<th>Biennial Total</th>
<th>Biennial Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.1.1.</td>
<td>Operations Support</td>
<td>Formula Funding - Institutions and Operations Support</td>
<td>Education Code, Ch. 101</td>
<td>$68,975,173</td>
<td>$0</td>
<td>$0</td>
<td>$68,975,173</td>
<td>100.0%</td>
</tr>
<tr>
<td>A.1.2.</td>
<td>Teaching Experience Supplement</td>
<td>Formula Funding - Teaching Experience Supplement</td>
<td>Education Code, Ch. 101</td>
<td>$2,839,614</td>
<td>$0</td>
<td>$0</td>
<td>$2,839,614</td>
<td>100.0%</td>
</tr>
<tr>
<td>A.1.3.</td>
<td>Staff Group Insurance Premiums</td>
<td>Staff Group Insurance</td>
<td>Insurance Code, Ch. 1651</td>
<td>$7,603,189</td>
<td>$3,642,786</td>
<td>$3,679,776</td>
<td>$7,282,924</td>
<td>$81,265, 1.1%</td>
</tr>
<tr>
<td>A.1.4.</td>
<td>Texas Public Education Grants</td>
<td>Texas Public Education Grants</td>
<td>Education Code, Sec. 56.331</td>
<td>$6,947,388</td>
<td>$2,160,000</td>
<td>$2,190,000</td>
<td>$6,940,000</td>
<td>$7,987, -8.2%</td>
</tr>
<tr>
<td>A.1.5.</td>
<td>Organized Activities</td>
<td>Organized Activities</td>
<td>Education Code, Ch. 101</td>
<td>$7,064,409</td>
<td>$915,000</td>
<td>$915,000</td>
<td>$7,980,000</td>
<td>$128,000, 17.0%</td>
</tr>
<tr>
<td>B.1.1.</td>
<td>E&amp;G Space Support</td>
<td>Formula Funding - Educational &amp; General Support</td>
<td>Education Code, Ch. 101</td>
<td>$2,767,752</td>
<td>$0</td>
<td>$0</td>
<td>$2,767,752</td>
<td>100.0%</td>
</tr>
<tr>
<td>B.1.2.</td>
<td>Tuition Revenue Bond Retirement</td>
<td>Tuition Revenue Bond Service</td>
<td>Education Code, Ch. 55</td>
<td>$15,624,454</td>
<td>$5,343,820</td>
<td>$5,343,820</td>
<td>$10,768,600</td>
<td>$1,061,900, -9.0%</td>
</tr>
<tr>
<td>C.1.1.</td>
<td>RN/RN Nursing Initiative</td>
<td>RN/RN Nursing Initiative</td>
<td>Education Code, Ch. 101</td>
<td>$560,760</td>
<td>$270,370</td>
<td>$270,370</td>
<td>$560,760</td>
<td>$0, 0.0%</td>
</tr>
<tr>
<td>C.1.2.</td>
<td>Applied Forestry Studies Center</td>
<td>Applied Forestry Studies Center</td>
<td>Education Code, Ch. 101</td>
<td>$735,046</td>
<td>$377,523</td>
<td>$377,523</td>
<td>$756,046</td>
<td>$0, 0.0%</td>
</tr>
<tr>
<td>C.1.3.</td>
<td>Stone Flint Museum &amp; Research Center</td>
<td>Stone Flint Museum and Research Center</td>
<td>Education Code, Ch. 101</td>
<td>$143,918</td>
<td>$71,959</td>
<td>$71,959</td>
<td>$143,918</td>
<td>$0, 0.0%</td>
</tr>
<tr>
<td>C.1.4.</td>
<td>Soil Plant &amp; Water Analysis Lab</td>
<td>Soil Plant and Water Analysis Lab</td>
<td>Education Code, Ch. 101</td>
<td>$82,039</td>
<td>$41,047</td>
<td>$41,047</td>
<td>$82,039</td>
<td>$0, 0.0%</td>
</tr>
<tr>
<td>C.1.5.</td>
<td>Applied Poultry Studies &amp; Research</td>
<td>Applied Poultry Studies and Research</td>
<td>Education Code, Ch. 101</td>
<td>$77,437</td>
<td>$38,713</td>
<td>$38,713</td>
<td>$77,437</td>
<td>$0, 0.0%</td>
</tr>
<tr>
<td>C.1.6.</td>
<td>Institutional Enhancement</td>
<td>Institutional Enhancement</td>
<td>Education Code, Ch. 101</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0, 0.0%</td>
</tr>
<tr>
<td>D.1.1.</td>
<td>Comprehensive Research Fund</td>
<td>Comprehensive Research Fund</td>
<td>Education Code, Ch. 62,091</td>
<td>$342,952</td>
<td>$0</td>
<td>$0</td>
<td>$342,952</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

**Program Prioritization:** Indicate the methodology or approach taken by the agency, court, or institution to determine the ranking of each program by priority.

Program priorities 1-9 fund the very core of our academic mission, the instruction of students, along with the necessary facilities and staffing. Several programs are formula driven.
4.A. Exceptional Item Request Schedule
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

Agency code: 755  Agency name: Stephen F. Austin State University

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>Item Name: Restoration of the Five Percent Biennial Reduction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Item Priority: 1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IT Component: No</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Anticipated Out-year Costs: No</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Involve Contracts &gt; $50,000: No</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Includes Funding for the Following Strategy or Strategies: 03-05-01  Exceptional Item Request

OBJECTS OF EXPENSE:
1001 SALARIES AND WAGES

<p>| | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>201,495</td>
<td>201,495</td>
</tr>
</tbody>
</table>

TOTAL, OBJECT OF EXPENSE

<p>| | | | |</p>
<table>
<thead>
<tr>
<th></th>
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<th></th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>201,495</td>
<td>201,495</td>
</tr>
</tbody>
</table>

METHOD OF FINANCING:
1 General Revenue Fund

<p>| | | | |</p>
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>201,495</td>
<td>201,495</td>
</tr>
</tbody>
</table>

TOTAL, METHOD OF FINANCING

<p>| | | | |</p>
<table>
<thead>
<tr>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>201,495</td>
<td>201,495</td>
</tr>
</tbody>
</table>

FULL-TIME EQUIVALENT POSITIONS (FTE):

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3.40</td>
</tr>
</tbody>
</table>

DESCRIPTION / JUSTIFICATION:

We understand the fiscal challenges that the State of Texas is facing in the wake of COVID-19 and know that difficult decisions need to be made. Stephen F. Austin State University (SFA) can positively contribute to the state’s 60x30TX plan for higher education and be a source of economic growth for the state if its operations are not significantly hindered by excessive financial constraints. Therefore, we respectfully request that consideration be given to restoring the five percent biennial reduction ($402,990) made for the FY 2022-2023 biennium.

If this baseline funding is not restored, SFASU will need to make further reductions in faculty and staff, which will impact course offerings and student support services. The restriction of these services will adversely impact key performance indicators such as retention and graduation rates.

EXTERNAL/INTERNAL FACTORS:

The five percent baseline reduction will adversely impact the university's ability to deliver current and future academic and student services. This appropriation reduction, in addition to refunding over $9 million in Spring student refunds, creates a serious financial challenge for SFA.

PCLS TRACKING KEY:
Agency code: 755  
Agency name: Stephen F. Austin State University

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Item Name:</th>
<th>Interdisciplinary and Applied Sciences Building</th>
</tr>
</thead>
<tbody>
<tr>
<td>Item Priority:</td>
<td>2</td>
<td>IT Component:</td>
<td>No</td>
</tr>
<tr>
<td>Anticipated Out-year Costs:</td>
<td>No</td>
<td>Involves Contracts &gt; $50,000:</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Includes Funding for the Following Strategy or Strategies: 03-05-01 Exceptional Item Request

**OBJECTS OF EXPENSE:**

<table>
<thead>
<tr>
<th>2008</th>
<th>DEBT SERVICE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**TOTAL, OBJECT OF EXPENSE:**

<table>
<thead>
<tr>
<th></th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>4,620,782</td>
<td>4,620,782</td>
</tr>
</tbody>
</table>

**TOTAL, METHOD OF FINANCING:**

<table>
<thead>
<tr>
<th>1</th>
<th>General Revenue Fund</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>4,620,782</td>
<td>4,620,782</td>
</tr>
</tbody>
</table>

**DESCRIPTION / JUSTIFICATION:**

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 in which to offer the high-quality, hands-on instructional experiences demanded by 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. SFA’s capital funding request is for an interdisciplinary and Applied Sciences Building. 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.

**EXTERNAL/INTERNAL FACTORS:**

SFA is known internationally for its outstanding teaching, research, and service programs in life sciences and related disciplines. Demand for graduates with bachelor’s and master’s degrees has been strong in recent years, and projections show a much greater need in these workforce areas in the future. It is imperative that SFA has 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.

**PCLS TRACKING KEY:**
4.A. Exceptional Item Request Schedule
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

Agency code: 755  
Agency name: Stephen F. Austin State University

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
</table>

APPROXIMATE PERCENTAGE OF EXCEPTIONAL ITEM: 95.00%

CONTRACT DESCRIPTION:

*Type of contract(s) to be awarded:
Professional-including Architect/Engineer, Construction manager at risk, Furniture and equipment

*Expected contract duration and method of procurement:
Contract duration through 5/31/21, Professional services-RFQ; Construction-RFP, Furniture- ITB/RFP or state/cooperative contracts, Equipment & Other- ITB, state/cooperative contracts, and/or sole source if applicable. Professional services cannot be performed in-house due to University not having a staffed architect/engineer to handle a project of this size.
Agency code: 755
Agency name: Stephen F. Austin State University

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>Item Name:</td>
<td>Agriculture and Technology Complex</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Item Priority:</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>IT Component:</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Anticipated Out-year Costs:</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Involve Contracts &gt; $50,000:</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Includes Funding for the Following Strategy or Strategies:</td>
<td>03-05-01</td>
<td>Exceptional Item Request</td>
<td></td>
</tr>
</tbody>
</table>

OBJECTS OF EXPENSE:
2008 DEBT SERVICE

| TOTAL, OBJECT OF EXPENSE | 3,923,305 | 3,923,305 |

METHOD OF FINANCING:
1 General Revenue Fund

| TOTAL, METHOD OF FINANCING | 3,923,305 | 3,923,305 |

DESCRIPTION / JUSTIFICATION:
Stephen F. Austin State University is submitting a capital funding request for an Agriculture and Technology Complex. SFU currently has strong academic programs in agriculture and technology. These programs are housed in inadequate facilities that are unable to facilitate the level of instruction needed by 21st century students and skills desired by their prospective employers. Existing laboratories 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. The proposed Agriculture and Technology Complex would include a 30,000-square-foot teaching arena with an attached 24,000 square feet of classroom space. These facilities will contain agricultural engineering technology and industrial engineering technology programs. The facility also will allow expansion of programs including advanced manufacturing, industrial supervision, construction supervisors, construction managers, industrial engineers, wholesale and manufacturing representatives, and veterinary technologists.

EXTERNAL/INTERNAL FACTORS:
Life sciences and applied engineering technologies are critical disciplines for economic growth and advancement of economic opportunities in Texas. 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.

PCLS TRACKING KEY:
APPORXIMATE PERCENTAGE OF EXCEPTIONAL ITEM : 95.00%

CONTRACT DESCRIPTION :

*Type of contract(s) to be awarded:
Professional-including Architect/Engineer, Construction manager at risk, Furniture and equipment

*Expected contract duration and method of procurement:
Contract duration through 5/31/23, Professional services-RFQ, Construction-RFP, Furniture- ITB/RFP or state/cooperative contracts, Equipment & Other- ITB, state/cooperative contracts, and/or sole source if applicable. Professional services cannot be performed in-house due to University not having a staffed architect/engineer to handle a project of this size.
Report to the Board of Regents - Meeting of the Finance and Audit Committee

4.A. Exceptional Item Request Schedule
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

Agency code: 755
Agency name: Stephen F. Austin State University

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>Item Name:</td>
<td>Center for Applied Research and Rural Innovation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Item Priority:</td>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>IT Component:</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Anticipated Out-year Costs:</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Involve Contracts &gt; $50,000:</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Includes Funding for the Following Strategy or Strategies:</td>
<td>03-05-01 Exceptional Item Request</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

OBJECTS OF EXPENSE:
2009 OTHER OPERATING EXPENSE

| | | 1,000,000 | 1,000,000 |
| | TOTAL, OBJECT OF EXPENSE | | $1,000,000 | $1,000,000 |

METHOD OF FINANCING:
1 General Revenue Fund

| | | 1,000,000 | 1,000,000 |
| | TOTAL, METHOD OF FINANCING | | $1,000,000 | $1,000,000 |

DESCRIPTION / JUSTIFICATION:
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. Through these interactions, students will learn how to use their skills to work in teams with other students from multiple disciplines in order to solve complex real-world problems for rural and smaller communities. This will provide hands-on experience that will serve as a culmination of a student’s education. In partnering with enterprises outside the university, students will build relationships that will hopefully lead to job opportunities upon graduation. The center will connect the talents of the university and our communities to create dynamic, forward-thinking environments that stimulate ideas, collaboration, and immersive applied learning. Under the supervision of a faculty member, students will use the community as a kind of laboratory for their instruction. They will work with students from multiple disciplines to identify problems encountered by the community and will develop a research project to solve the issues they encounter. Thus, the student’s education is enhanced by working side by side with an experienced faculty member, other students and the community.

EXTERNAL/INTERNAL FACTORS:
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:

* 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.
4.A. Exceptional Item Request Schedule
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Increasing the capacity of the regional workforce in key areas such as data analytics, digital media, and tech commercialization and transfer.</td>
</tr>
<tr>
<td></td>
<td>• Developing regional leaders in business and education who understand the challenges and opportunities of this swiftly changing environment.</td>
</tr>
<tr>
<td></td>
<td>• 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.</td>
</tr>
</tbody>
</table>

PCLS TRACKING KEY:

APPROXIMATE PERCENTAGE OF EXCEPTIONAL ITEM : 50.00%

CONTRACT DESCRIPTION :
*Type of contract(s) to be awarded: Furniture and equipment
*Expected contract duration and method of procurement:
Contract duration through 5/31/2023; Method of procurement: Furniture- ITB/RFP or state/cooperative contracts, Equipment & Other- ITB, state/cooperative contracts, and/or sole source if applicable.
## 4.B. Exceptional Items Strategy Allocation Schedule

**Agency code:** 755  
**Agency name:** Stephen F. Austin State University

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Item Name: Restoration of the Five Percent Biennial Reduction</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Allocation to Strategy: 3-5-1 Exceptional Item Request</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1001</td>
<td>SALARIES AND WAGES</td>
<td>201,495</td>
<td>201,495</td>
</tr>
<tr>
<td></td>
<td>TOTAL, OBJECT OF EXPENSE</td>
<td><strong>$201,495</strong></td>
<td><strong>$201,495</strong></td>
</tr>
<tr>
<td></td>
<td>METHOD OF FINANCING:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1 General Revenue Fund</td>
<td>201,495</td>
<td>201,495</td>
</tr>
<tr>
<td></td>
<td>TOTAL, METHOD OF FINANCING</td>
<td><strong>$201,495</strong></td>
<td><strong>$201,495</strong></td>
</tr>
<tr>
<td></td>
<td>FULL-TIME EQUIVALENT POSITIONS (FTE):</td>
<td>3.4</td>
<td>3.4</td>
</tr>
</tbody>
</table>

**DATE:** 10/12/2020  
**TIME:** 12:19:10PM  
87th Regular Session, Agency Submission, Version 1  
Automated Budget and Evaluation System of Texas (ABEST)
### Exceptional Items Strategy Allocation Schedule

#### Agency Name: Stephen F. Austin State University

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>Item Name:</td>
<td>Interdisciplinary and Applied Sciences Building</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Allocation to Strategy:</td>
<td>3-5-1 Exceptional Item Request</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### OBJECTS OF EXPENSE:

<table>
<thead>
<tr>
<th>Year</th>
<th>Description</th>
<th>2022</th>
<th>2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>2008</td>
<td>DEBT SERVICE</td>
<td>4,620,782</td>
<td>4,620,782</td>
</tr>
</tbody>
</table>

**TOTAL, OBJECT OF EXPENSE**: $4,620,782 $4,620,782

#### METHOD OF FINANCING:

<table>
<thead>
<tr>
<th>Method</th>
<th>Description</th>
<th>2022</th>
<th>2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>General Revenue Fund</td>
<td>4,620,782</td>
<td>4,620,782</td>
</tr>
</tbody>
</table>

**TOTAL, METHOD OF FINANCING**: $4,620,782 $4,620,782
### 4.B. Exceptional Items Strategy Allocation Schedule

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

**Agency code:** 755  
**Agency name:** Stephen F. Austin State University

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
</table>
| Item Name: Agriculture and Technology Complex  
Allocation to Strategy: 3-5-1 Exceptional Item Request |

<table>
<thead>
<tr>
<th>OBJECTS OF EXPENSE:</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>2008 DEBT SERVICE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL, OBJECT OF EXPENSE</td>
<td>3,923,305</td>
<td>3,923,305</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>METHOD OF FINANCING:</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1 General Revenue Fund</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL, METHOD OF FINANCING</td>
<td>3,923,305</td>
<td>3,923,305</td>
</tr>
</tbody>
</table>
### 4.B. Exceptional Items Strategy Allocation Schedule

**Agency Code:** 755  
**Agency Name:** Stephen F. Austin State University

#### Item Name:
Center for Applied Research and Rural Innovation

**Allocation to Strategy:** 3-5-1 Exceptional Item Request

#### OBJECTS OF EXPENSE:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td>OTHER OPERATING EXPENSE</td>
<td>1,000,000</td>
<td>1,000,000</td>
</tr>
</tbody>
</table>

**TOTAL, OBJECT OF EXPENSE:**

<table>
<thead>
<tr>
<th></th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>$1,000,000</td>
<td>$1,000,000</td>
<td></td>
</tr>
</tbody>
</table>

#### METHOD OF FINANCING:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>General Revenue Fund</td>
<td>1,000,000</td>
<td>1,000,000</td>
</tr>
</tbody>
</table>

**TOTAL, METHOD OF FINANCING:**

<table>
<thead>
<tr>
<th></th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>$1,000,000</td>
<td>$1,000,000</td>
<td></td>
</tr>
</tbody>
</table>
4.C. Exceptional Items Strategy Request

Agency Code: 755
Agency name: Stephen F. Austin State University

GOAL: 3 Provide Non-formula Support
OBJECTIVE: 5 Exceptional Item Request
STRATEGY: 1 Exceptional Item Request

Service Categories:
Service: 19 Income: A.2 Age: B.3

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Excp 2022</th>
<th>Excp 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001</td>
<td>SALARIES AND WAGES</td>
<td>201,495</td>
<td>201,495</td>
</tr>
<tr>
<td>2008</td>
<td>DEBT SERVICE</td>
<td>8,544,087</td>
<td>8,544,087</td>
</tr>
<tr>
<td>2009</td>
<td>OTHER OPERATING EXPENSE</td>
<td>1,000,000</td>
<td>1,000,000</td>
</tr>
</tbody>
</table>

Total, Objects of Expense: $9,745,582 $9,745,582

METHOD OF FINANCING:

1 General Revenue Fund

Total, Method of Finance: $9,745,582 $9,745,582

FULL-TIME EQUIVALENT POSITIONS (FTE):

3.4

EXCEPTIONAL ITEM(S) INCLUDED IN STRATEGY:

- Restoration of the Five Percent Biennial Reduction
- Interdisciplinary and Applied Sciences Building
- Agriculture and Technology Complex
- Center for Applied Research and Rural Innovation
COMPARISON TO STATEWIDE HUB PROCUREMENT GOALS

A. Fiscal Year - HUB Expenditure Information

<table>
<thead>
<tr>
<th>Statewide Procurement</th>
<th>Category</th>
<th>% Goal</th>
<th>% Actual</th>
<th>% Diff</th>
<th>Actual $</th>
<th>% Goal</th>
<th>% Actual</th>
<th>% Diff</th>
<th>Actual $</th>
</tr>
</thead>
<tbody>
<tr>
<td>11.2%</td>
<td>Heavy Construction</td>
<td>11.2%</td>
<td>29.3%</td>
<td>18.1%</td>
<td>$15,521</td>
<td>$53,013</td>
<td>11.2%</td>
<td>93.2%</td>
<td>82.0%</td>
</tr>
<tr>
<td>21.1%</td>
<td>Building Construction</td>
<td>21.1%</td>
<td>15.2%</td>
<td>-5.9%</td>
<td>$4,242,596</td>
<td>$27,831,227</td>
<td>21.1%</td>
<td>10.4%</td>
<td>-10.7%</td>
</tr>
<tr>
<td>32.9%</td>
<td>Special Trade</td>
<td>32.9%</td>
<td>5.9%</td>
<td>-27.0%</td>
<td>$277,436</td>
<td>$4,674,784</td>
<td>32.9%</td>
<td>8.8%</td>
<td>-24.1%</td>
</tr>
<tr>
<td>23.7%</td>
<td>Professional Services</td>
<td>23.7%</td>
<td>11.5%</td>
<td>-12.2%</td>
<td>$130,164</td>
<td>$1,132,801</td>
<td>23.7%</td>
<td>11.3%</td>
<td>-12.4%</td>
</tr>
<tr>
<td>26.0%</td>
<td>Other Services</td>
<td>26.0%</td>
<td>11.0%</td>
<td>-15.0%</td>
<td>$1,054,406</td>
<td>$9,580,012</td>
<td>26.0%</td>
<td>11.7%</td>
<td>-14.3%</td>
</tr>
<tr>
<td>21.1%</td>
<td>Commodities</td>
<td>21.1%</td>
<td>13.5%</td>
<td>-7.6%</td>
<td>$3,802,318</td>
<td>$28,066,658</td>
<td>21.1%</td>
<td>12.5%</td>
<td>-8.6%</td>
</tr>
<tr>
<td><strong>Total Expenditures</strong></td>
<td></td>
<td><strong>13.3%</strong></td>
<td><strong>9,522,441</strong></td>
<td></td>
<td><strong>571,338,495</strong></td>
<td></td>
<td><strong>11.6%</strong></td>
<td></td>
<td><strong>$6,168,385</strong></td>
</tr>
</tbody>
</table>

B. Assessment of Fiscal Year - Efforts to Meet HUB Procurement Goals

**Attainment:**
The agency attained or exceeded one of six, or 16.7%, of the applicable statewide HUB procurement goals in FY 2018. The agency attained or exceeded one of six, or 16.7%, of the applicable statewide HUB procurement goals in FY 2019.

**Applicability:**
All categories are applicable to agency operations in fiscal years 2018 and 2019.

**Factors Affecting Attainment:**
Heavy Construction-Expenditures were for projects and purchases that were awarded via a solicitation process following appropriate procedures and ensuring that HUBs were given adequate opportunity to participate. Where applicable HUB Subcontracting Plans were required and reviewed for good faith effort. Building Construction-goals were not met, Special Trade-goals were not met; however expenditures were for orders placed following appropriate procedures and ensuring that HUBs were given adequate opportunity to participate. Where applicable HUB Subcontracting Plans were required and reviewed for good faith effort. Professional Services-goals were not met; however all procurements were made following selection of the most qualified vendor as per Gov't Code 2254. Other Services-goals were not met, Commodities-goals were not met; however procurements or contracts were secured through a small order or solicitation process that did not impose unreasonable or unnecessary contract requirements. Depending on the type of procurement there are few if any available HUBs. Many Other Services procurements are made locally for which there are few if any available HUBs locally.

"Good-Faith" Efforts:
The agency made the following good faith efforts to comply with statewide HUB procurement goals per 34 TAC Section 20.13(c):
6.A. Historically Underutilized Business Supporting Schedule
Agencies: 755
Agency: Stephen F. Austin State University

-attended economic opportunity forums, distributing information on procurement procedures in a manner that encouraged participation in agency contracts by all businesses, and providing procurement opportunities at some forums;
-Hosted HUB showcase and HUB vendor fair on campus.
-SFA participates in the Texas Universities HUB Coordinators Alliance with other institutions of higher ed, collaborating on advertising and sharing best practices.

-Ensured that contract specifications, terms and conditions reflected the agency's actual requirements, were clearly stated, and did not impose unreasonable or unnecessary contract requirements.
-Entered a HUB Mentor Protégé Agreement with vendor on 10/20/16 that expired 10/20/18.
-Providing assistance to HUBs by reviewing HUB certification applications, discussing how to do business with the university, etc.
### 6.G. HOMELAND SECURITY FUNDING SCHEDULE - PART C - COVID-19 RELATED EXPENDITURES

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

#### Agency code: 755  Agency name: Stephen F. Austin State University

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001</td>
<td>SALARIES AND WAGES</td>
<td>$0</td>
<td>$255,167</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>1002</td>
<td>OTHER PERSONNEL COSTS</td>
<td>$0</td>
<td>$76,505</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>2003</td>
<td>CONSUMABLE SUPPLIES</td>
<td>$0</td>
<td>$194,804</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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<tr>
<td>2004</td>
<td>UTILITIES</td>
<td>$0</td>
<td>$2,930</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>2005</td>
<td>TRAVEL</td>
<td>$0</td>
<td>$5,081</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>2006</td>
<td>RENT - BUILDING</td>
<td>$0</td>
<td>$300</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>2009</td>
<td>OTHER OPERATING EXPENSE</td>
<td>$0</td>
<td>$367,119</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>4000</td>
<td>GRANTS</td>
<td>$0</td>
<td>$9,366,479</td>
<td>$1,672,024</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

**TOTAL, OBJECTS OF EXPENSE**

<table>
<thead>
<tr>
<th></th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$0</td>
<td>$10,268,385</td>
<td>$1,672,024</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

#### METHOD OF FINANCING

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>General Revenue Fund</td>
<td>$0</td>
<td>$142,676</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td></td>
<td>Subtotal, MOF (General Revenue Funds)</td>
<td>$0</td>
<td>$142,676</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>770</td>
<td>Est. Other Educational &amp; General</td>
<td>$0</td>
<td>$80,937</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td></td>
<td>Subtotal, MOF (Gr-Dedicated Funds)</td>
<td>$0</td>
<td>$80,937</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>8888</td>
<td>Local/Not Appropriated Funds</td>
<td>$0</td>
<td>$678,293</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td></td>
<td>Subtotal, MOF (Other Funds)</td>
<td>$0</td>
<td>$678,293</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>555</td>
<td>Federal Funds</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>CFDA 84.425.119, COV19 Education Stabilization Fund</td>
<td>$0</td>
<td>$9,366,479</td>
<td>$1,672,024</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td></td>
<td>Subtotal, MOF (Federal Funds)</td>
<td>$0</td>
<td>$9,366,479</td>
<td>$1,672,024</td>
<td>$0</td>
<td>$0</td>
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</table>

**TOTAL, METHOD OF FINANCE**

<table>
<thead>
<tr>
<th></th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$0</td>
<td>$10,268,385</td>
<td>$1,672,024</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

#### FULL-TIME-EQUIVALENT POSITIONS

<p>| | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0.0</td>
<td>11.0</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
</tr>
</tbody>
</table>
6.G. HOMELAND SECURITY FUNDING SCHEDULE - PART C - COVID-19 RELATED EXPENDITURES

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
</table>

NO FUNDS WERE PASSED THROUGH TO LOCAL ENTITIES

NO FUNDS WERE PASSED THROUGH TO OTHER STATE AGENCIES OR INSTITUTIONS OF HIGHER EDUCATION

USE OF HOMELAND SECURITY FUNDS

Lost Revenues
Fiscal Year 2020

<table>
<thead>
<tr>
<th>Code</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>MOF 770</td>
<td>$46,221</td>
</tr>
<tr>
<td>MOF 8888</td>
<td>$11,214,707</td>
</tr>
</tbody>
</table>

Total Lost Revenue $11,260,928

Fiscal Years 2021, 2022, and 2023 are unknown at this time
6.G. HOMELAND SECURITY FUNDING SCHEDULE - PART C - COVID-19 RELATED EXPENDITURES
Funds Passed through to Local Entities
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>755</td>
<td>Stephen F. Austin State University</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
6.G. HOMELAND SECURITY FUNDING SCHEDULE - PART C - COVID-19 RELATED EXPENDITURES
Funds Passed through to State Agencies
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>Exp 2019</th>
<th>Est 2020</th>
<th>Bud 2021</th>
<th>BL 2022</th>
<th>BL 2023</th>
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<tr>
<td>755</td>
<td>Stephen F. Austin State University</td>
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<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>
### 2020-21 Biennium

<table>
<thead>
<tr>
<th>APPROPRIATED SOURCES INSIDE THE BILL PATTERN</th>
<th>2020-21 Biennium</th>
<th>2022-23 Biennium</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenue</strong></td>
<td>$39,106,062</td>
<td>$41,000,000</td>
</tr>
<tr>
<td><strong>Revenue</strong></td>
<td>$38,039,484</td>
<td>$41,150,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$77,145,546</td>
<td>$82,150,000</td>
</tr>
<tr>
<td><strong>Percent of Total</strong></td>
<td>22.9%</td>
<td>22.9%</td>
</tr>
<tr>
<td><strong>Tuition and Fees (net of Discounts and Allowances)</strong></td>
<td>15,690,326</td>
<td>16,500,000</td>
</tr>
<tr>
<td><strong>Endowment and Interest Income</strong></td>
<td>75,000</td>
<td>80,000</td>
</tr>
<tr>
<td><strong>Sales and Services of Educational Activities (net)</strong></td>
<td>656,953</td>
<td>550,000</td>
</tr>
<tr>
<td><strong>Sales and Services of Hospitals (net)</strong></td>
<td>7,946</td>
<td>-</td>
</tr>
<tr>
<td><strong>Other income</strong></td>
<td>7,946</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>55,538,287</td>
<td>58,130,000</td>
</tr>
<tr>
<td><strong>Percent of Total</strong></td>
<td>22.9%</td>
<td>22.9%</td>
</tr>
</tbody>
</table>

### 2022-23 Biennium

<table>
<thead>
<tr>
<th>APPROPRIATED SOURCES INSIDE THE BILL PATTERN</th>
<th>2022-23 Biennium</th>
<th>2022-23 Biennium</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenue</strong></td>
<td>$10,523,580</td>
<td>$11,300,000</td>
</tr>
<tr>
<td><strong>Revenue</strong></td>
<td>$10,323,580</td>
<td>$11,450,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$20,847,160</td>
<td>$22,750,000</td>
</tr>
<tr>
<td><strong>Percent of Total</strong></td>
<td>22.9%</td>
<td>22.9%</td>
</tr>
<tr>
<td><strong>Tuition and Fees (net of Discounts and Allowances)</strong></td>
<td>11,636,163</td>
<td>11,636,163</td>
</tr>
<tr>
<td><strong>Available University Fund</strong></td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>State Grants and Contracts</strong></td>
<td>10,200,800</td>
<td>9,800,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>32,360,543</td>
<td>32,736,163</td>
</tr>
<tr>
<td><strong>Percent of Total</strong></td>
<td>12.9%</td>
<td>12.9%</td>
</tr>
</tbody>
</table>

### Non-Appropriated Sources

<table>
<thead>
<tr>
<th>Non-Appropriated Sources</th>
<th>2020-21 Biennium</th>
<th>2022-23 Biennium</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Tuition and Fees (net of Discounts and Allowances)</strong></td>
<td>92,306,000</td>
<td>95,000,000</td>
</tr>
<tr>
<td><strong>Federal Grants and Contracts</strong></td>
<td>19,512,000</td>
<td>21,350,000</td>
</tr>
<tr>
<td><strong>State Grants and Contracts</strong></td>
<td>2,253,303</td>
<td>2,620,000</td>
</tr>
<tr>
<td><strong>Local Government Grants and Contracts</strong></td>
<td>620,000</td>
<td>750,000</td>
</tr>
<tr>
<td><strong>Private Gifts and Grants</strong></td>
<td>1,204,000</td>
<td>500,000</td>
</tr>
<tr>
<td><strong>Endowment and Interest Income</strong></td>
<td>1,135,000</td>
<td>1,000,000</td>
</tr>
<tr>
<td><strong>Sales and Services of Educational Activities (net)</strong></td>
<td>3,500,000</td>
<td>550,000</td>
</tr>
<tr>
<td><strong>Sales and Services of Hospitals (net)</strong></td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Professional Fees (net)</strong></td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Auxiliary Enterprises (net)</strong></td>
<td>35,240,000</td>
<td>40,000,000</td>
</tr>
<tr>
<td><strong>Other income</strong></td>
<td>120,000</td>
<td>135,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>155,890,303</td>
<td>161,905,000</td>
</tr>
<tr>
<td><strong>Percent of Total</strong></td>
<td>64.1%</td>
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</table>

### Total Sources

<table>
<thead>
<tr>
<th>Total Sources</th>
<th>2020-21 Biennium</th>
<th>2022-23 Biennium</th>
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<tbody>
<tr>
<td><strong>Revenue</strong></td>
<td>$243,787,133</td>
<td>$252,771,163</td>
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<tr>
<td><strong>Revenue</strong></td>
<td>$233,320,078</td>
<td>$254,581,163</td>
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<tr>
<td><strong>Total</strong></td>
<td>$477,707,211</td>
<td>$507,352,326</td>
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<td><strong>Percent of Total</strong></td>
<td>100.0%</td>
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</table>
# Schedule 1A: Other Educational and General Income

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

## 755 Stephen F. Austin State University

<table>
<thead>
<tr>
<th></th>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>Gross Tuition</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gross Resident Tuition</td>
<td>16,429,513</td>
<td>16,095,523</td>
<td>15,249,559</td>
<td>15,500,000</td>
<td>15,810,000</td>
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<tr>
<td>Gross Non-Resident Tuition</td>
<td>5,789,194</td>
<td>5,952,055</td>
<td>5,820,993</td>
<td>5,930,000</td>
<td>6,048,600</td>
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<tr>
<td><strong>Gross Tuition</strong></td>
<td><strong>22,218,707</strong></td>
<td><strong>22,047,578</strong></td>
<td><strong>21,070,552</strong></td>
<td><strong>21,430,000</strong></td>
<td><strong>21,858,600</strong></td>
</tr>
<tr>
<td>Less: Resident Waivers and Exemptions (excludes Hazlewood)</td>
<td>(575,398)</td>
<td>(449,265)</td>
<td>(189,380)</td>
<td>(250,000)</td>
<td>(300,000)</td>
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<tr>
<td>Less: Non-Resident Waivers and Exemptions Hazlewood Exemptions</td>
<td>(3,182,609)</td>
<td>(3,356,203)</td>
<td>(3,154,322)</td>
<td>(3,238,971)</td>
<td>(3,368,530)</td>
</tr>
<tr>
<td>Less: Board Authorized Tuition Increases (TX. Educ. Code Ann. Sec. 54.008)</td>
<td>(808,248)</td>
<td>(895,402)</td>
<td>(891,136)</td>
<td>(915,000)</td>
<td>(915,000)</td>
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<tr>
<td>Less: Tuition increases charged to doctoral students with hours in excess of 100 (TX. Educ. Code Ann. Sec. 54.012)</td>
<td>(878,747)</td>
<td>(791,345)</td>
<td>(786,684)</td>
<td>(800,000)</td>
<td>(845,000)</td>
</tr>
<tr>
<td>Less: Tuition increases charged to undergraduate students with excessive hours above degree requirements. (TX. Educ. Code Ann. Sec. 61.0595)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Less: Tuition rebates for certain undergraduates (TX. Educ. Code Ann. Sec. 54.0065)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Plus: Tuition waived for Students 55 Years or Older (TX. Educ. Code Ann. Sec. 54.013)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Less: Tuition for repeated or excessive hours (TX. Educ. Code Ann. Sec. 54.014)</td>
<td>(1,162,110)</td>
<td>(1,195,740)</td>
<td>(1,235,600)</td>
<td>(1,135,000)</td>
<td>(1,135,000)</td>
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<tr>
<td>Plus: Tuition waived for Texas Grant Recipients (TX. Educ. Code Ann. Sec. 56.307)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td><strong>Subtotal</strong></td>
<td><strong>15,611,595</strong></td>
<td><strong>15,359,623</strong></td>
<td><strong>14,813,432</strong></td>
<td><strong>15,091,029</strong></td>
<td><strong>15,295,070</strong></td>
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<tr>
<td>Less: Transfer of Funds (2%) for Physician/Dental Loans (Medical Schools)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Less: Statutory Tuition (TX. Educ. Code Ann. Sec. 54.051)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Set Aside for Doctoral Incentive Loan Repayment Program (TX. Educ. Code Ann. Sec. 56.095)</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Less: Other Authorized Deduction</td>
<td>0</td>
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<tr>
<td><strong>Net Tuition</strong></td>
<td><strong>13,330,253</strong></td>
<td><strong>13,121,908</strong></td>
<td><strong>12,703,759</strong></td>
<td><strong>12,941,029</strong></td>
<td><strong>13,105,070</strong></td>
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<tr>
<td>Student Teaching Fees</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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</table>
### 755 Stephen F. Austin State University

#### Schedule 1A: Other Educational and General Income

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

<table>
<thead>
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<tbody>
<tr>
<td>Special Course Fees</td>
<td>192,620</td>
<td>202,781</td>
<td>183,146</td>
<td>190,000</td>
<td>200,000</td>
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<tr>
<td>Laboratory Fees</td>
<td>225,324</td>
<td>210,051</td>
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<tr>
<td><strong>Subtotal, Tuition and Fees (Formula Amounts for Health-Related Institutions)</strong></td>
<td><strong>13,748,197</strong></td>
<td><strong>13,534,740</strong></td>
<td><strong>12,886,905</strong></td>
<td><strong>13,131,029</strong></td>
<td><strong>13,305,070</strong></td>
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<tr>
<td>OTHER INCOME</td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>Interest on General Funds:</td>
<td></td>
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<tr>
<td>Local Funds in State Treasury</td>
<td>103,100</td>
<td>69,913</td>
<td>50,000</td>
<td>50,000</td>
<td>50,000</td>
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<tr>
<td>Funds in Local Depositories, e.g., local amounts</td>
<td>40</td>
<td>20</td>
<td>20</td>
<td>20</td>
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<td>Other Income (Itemize)</td>
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<tr>
<td><strong>Subtotal, Other Income</strong></td>
<td><strong>103,140</strong></td>
<td><strong>69,933</strong></td>
<td><strong>50,020</strong></td>
<td><strong>50,020</strong></td>
<td><strong>50,020</strong></td>
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<tr>
<td><strong>Subtotal, Other Educational and General Income</strong></td>
<td><strong>13,851,337</strong></td>
<td><strong>13,604,673</strong></td>
<td><strong>12,936,925</strong></td>
<td><strong>13,181,049</strong></td>
<td><strong>13,355,090</strong></td>
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<tr>
<td>Less: O.A.S.I. Applicable to Educational and General Local Funds Payrolls</td>
<td>(780,725)</td>
<td>(772,180)</td>
<td>(756,736)</td>
<td>(764,303)</td>
<td>(779,589)</td>
</tr>
<tr>
<td>Less: Teachers Retirement System and ORP Proportionality for Educational and General Funds</td>
<td>(730,576)</td>
<td>(744,622)</td>
<td>(729,730)</td>
<td>(737,027)</td>
<td>(744,397)</td>
</tr>
<tr>
<td><strong>Total, Other Educational and General Income (Formula Amounts for General Academic Institutions)</strong></td>
<td><strong>9,285,740</strong></td>
<td><strong>8,291,364</strong></td>
<td><strong>7,843,777</strong></td>
<td><strong>8,036,971</strong></td>
<td><strong>8,151,928</strong></td>
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<tr>
<td>Reconciliation to Summary of Request for FY 2019-2021:</td>
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<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Plus: Transfer of Funds for Texas Public Education Grants Program and Physician Loans</td>
<td>2,281,342</td>
<td>2,237,715</td>
<td>2,109,673</td>
<td>2,150,000</td>
<td>2,190,000</td>
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<tr>
<td>Plus: Transfer of Funds 2% for Physician/Dental Loans (Medical Schools)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Plus: Transfer of Funds for Cancellation of Student Loans of Physicians</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Plus: Organized Activities</td>
<td>924,564</td>
<td>714,499</td>
<td>850,000</td>
<td>915,000</td>
<td>915,000</td>
</tr>
<tr>
<td>Plus: Board-authorized Tuition Income</td>
<td>878,747</td>
<td>791,345</td>
<td>786,684</td>
<td>800,000</td>
<td>845,000</td>
</tr>
<tr>
<td>Plus: Tuition Increases Charged to Doctoral Students with Hours in Excess of 100</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Plus: Tuition Increases Charged to Undergraduate Students with Excessive Hours above Degree Requirements (TX. Educ. Code Ann. Sec. 61.0595)</td>
<td>0</td>
<td>0</td>
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### 755 Stephen F. Austin State University

<table>
<thead>
<tr>
<th>Description</th>
<th>Act 2019</th>
<th>Act 2020</th>
<th>Bud 2021</th>
<th>Est 2022</th>
<th>Est 2023</th>
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<tbody>
<tr>
<td>Plus: Tuition rebates for certain undergraduates (TX Educ Code Ann. Sec. 54.0065)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Plus: Tuition for repeated or excessive hours (TX. Educ. Code Ann. Sec. 54.014)</td>
<td>1,162,110</td>
<td>1,195,740</td>
<td>1,235,600</td>
<td>1,135,000</td>
<td>1,135,000</td>
</tr>
<tr>
<td>Less: Tuition Waived for Students 55 Years or Older</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Less: Tuition Waived for Texas Grant Recipients</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td><strong>Total, Other Educational and General Income Reported on Summary of Request</strong></td>
<td>17,586,799</td>
<td>17,027,170</td>
<td>16,432,416</td>
<td>16,679,719</td>
<td>16,916,104</td>
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<tr>
<td>General Revenue Transfers</td>
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<tr>
<td>---------------------------</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transfer from Coordinating Board for Texas College Work Study Program (2019, 2020, 2021)</td>
<td>75,229</td>
<td>70,272</td>
<td>61,712</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Transfer from Coordinating Board for Professional Nursing Shortage Reduction Program</td>
<td>60,000</td>
<td>65,517</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Transfer of GR Group Insurance Premium from Comptroller (UT and TAMU Components only)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Less: Transfer to Other Institutions</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Less: Transfer to Department of Health, Disproportionate Share - State-Owned Hospitals (2019, 2020, 2021)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Other (Itemize)</td>
<td>12,841</td>
<td>12,841</td>
<td>12,000</td>
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<td>Texas Grants</td>
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<td>9,769,790</td>
<td>9,143,746</td>
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<td>B-on-Time Program</td>
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<td>Texas Research Incentive Program</td>
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<tr>
<td>Less: Transfer to System Administration</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<td>0</td>
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<tr>
<td>GME Expansion</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Subtotal, General Revenue Transfers</td>
<td>9,981,156</td>
<td>9,918,420</td>
<td>9,217,458</td>
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<td>General Revenue HEF for Operating Expenses</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Transfer from Available University Funds (UT, A&amp;M and Prairie View A&amp;M Only)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Other Additions (Itemize)</td>
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<td>10,569</td>
<td>10,500</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Increase Capital Projects - Educational and General Funds</td>
<td>65,695,293</td>
<td>66,914,132</td>
<td>66,182,848</td>
<td>66,200,000</td>
<td>66,200,000</td>
</tr>
<tr>
<td>Transfer from Department of Health, Disproportionate Share - State-owned Hospitals (2019, 2020, 2021)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Transfers from Other Funds, e.g., Designated funds transferred for educational and general activities (Itemize)</td>
<td>268,913</td>
<td>245,682</td>
<td>269,500</td>
<td>270,000</td>
<td>270,000</td>
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<tr>
<td>License Plate Insignia</td>
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<tr>
<td>Gross Designated Tuition (Sec. 54.0513)</td>
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<td>Indirect Cost Recovery (Sec. 145.001(d))</td>
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<td>Correctional Managed Care Contracts</td>
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## 755 Stephen F. Austin State University

<table>
<thead>
<tr>
<th></th>
<th>E&amp;G Enrollment</th>
<th>GR Enrollment</th>
<th>GR-D/OEGI Enrollment</th>
<th>Total E&amp;G (Check)</th>
<th>Local Non-E&amp;G</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>GR &amp; GR-D Percentages</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>GR %</td>
<td></td>
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<td>74.37%</td>
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</tr>
<tr>
<td>GR-D/Other %</td>
<td></td>
<td></td>
<td>25.63%</td>
<td></td>
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</tr>
<tr>
<td><strong>Total Percentage</strong></td>
<td></td>
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<td>100.00%</td>
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### FULL TIME ACTIVES

<table>
<thead>
<tr>
<th>Category</th>
<th>E&amp;G</th>
<th>GR</th>
<th>E&amp;G-D/OEGI</th>
<th>Total</th>
<th>Local</th>
</tr>
</thead>
<tbody>
<tr>
<td>1a Employee Only</td>
<td>347</td>
<td>258</td>
<td>89</td>
<td>347</td>
<td>589</td>
</tr>
<tr>
<td>2a Employee and Children</td>
<td>135</td>
<td>100</td>
<td>35</td>
<td>135</td>
<td>152</td>
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<tr>
<td>3a Employee and Spouse</td>
<td>88</td>
<td>65</td>
<td>23</td>
<td>88</td>
<td>79</td>
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<tr>
<td>4a Employee and Family</td>
<td>133</td>
<td>99</td>
<td>34</td>
<td>133</td>
<td>94</td>
</tr>
<tr>
<td>5a Eligible, Opt Out</td>
<td>4</td>
<td>3</td>
<td>1</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td>6a Eligible, Not Enrolled</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td><strong>Total for This Section</strong></td>
<td>707</td>
<td>525</td>
<td>182</td>
<td>707</td>
<td>915</td>
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### PART TIME ACTIVES

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<th>Category</th>
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<th>GR</th>
<th>E&amp;G-D/OEGI</th>
<th>Total</th>
<th>Local</th>
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<tbody>
<tr>
<td>1b Employee Only</td>
<td>11</td>
<td>8</td>
<td>3</td>
<td>11</td>
<td>1</td>
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<tr>
<td>2b Employee and Children</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>3b Employee and Spouse</td>
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### Total Active Enrollment

| Total Active Enrollment | 718 | 533 | 185 | 718 | 916 |

Sched. 3A: Page 1 of 3
## FULL TIME RETIREES by ERS

<table>
<thead>
<tr>
<th>Category</th>
<th>E&amp;G Enrollment</th>
<th>GR Enrollment</th>
<th>GR-D/OEGI Enrollment</th>
<th>Total E&amp;G (Check)</th>
<th>Local Non-E&amp;G</th>
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<tbody>
<tr>
<td>1c Employee Only</td>
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<td>4c Employee and Family</td>
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## PART TIME RETIREES by ERS

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<th>GR-D/OEGI Enrollment</th>
<th>Total E&amp;G (Check)</th>
<th>Local Non-E&amp;G</th>
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## TOTAL FULL TIME ENROLLMENT

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<th>Local Non-E&amp;G</th>
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<td>89</td>
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<td>3e Employee and Spouse</td>
<td>88</td>
<td>65</td>
<td>23</td>
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<td>34</td>
<td>133</td>
<td>94</td>
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## 755 Stephen F. Austin State University

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<th>GR-D/OEGI Enrollment</th>
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<th>Local Non-E&amp;G</th>
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<td>266</td>
<td>92</td>
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<tr>
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<td>94</td>
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<tr>
<td>5f Eligible, Opt Out</td>
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<tr>
<td>6f Eligible, Not Enrolled</td>
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<td><strong>185</strong></td>
<td><strong>718</strong></td>
<td><strong>916</strong></td>
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### Schedule 4: Computation of OASI

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

**Agency 755 Stephen F. Austin State University**

<table>
<thead>
<tr>
<th>Proportionality Percentage Based on Comptroller Accounting Policy Statement #011, Exhibit 2</th>
<th>2019</th>
<th>2020</th>
<th>2021</th>
<th>2022</th>
<th>2023</th>
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</thead>
<tbody>
<tr>
<td>% to Total</td>
<td>Allocation of OASI</td>
<td>% to Total</td>
<td>Allocation of OASI</td>
<td>% to Total</td>
<td>Allocation of OASI</td>
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<tr>
<td>General Revenue (% to Total)</td>
<td>74.1600</td>
<td>$2,240,656</td>
<td>74.2600</td>
<td>$2,227,741</td>
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<tr>
<td>Other Educational and General Funds (% to Total)</td>
<td>25.8400</td>
<td>$780,725</td>
<td>25.7400</td>
<td>$772,180</td>
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<td>Health-Related Institutions Patient Income (% to Total)</td>
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<td>$0</td>
<td>0.0000</td>
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<tr>
<td><strong>Grand Total, OASI (100%)</strong></td>
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<td>Bud 2021</td>
<td>Est 2022</td>
<td>Est 2023</td>
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<td>Gross Educational and General Payroll - Subject To TRS Retirement</td>
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<td>21,471,117</td>
<td>21,041,695</td>
<td>21,252,112</td>
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<td>Employer Contribution to TRS Retirement Programs</td>
<td>1,467,625</td>
<td>1,610,334</td>
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<td>1,593,908</td>
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<td>Gross Educational and General Payroll - Subject To ORP Retirement</td>
<td>20,605,106</td>
<td>19,432,227</td>
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<tr>
<td>Employer Contribution to ORP Retirement Programs</td>
<td>1,359,681</td>
<td>1,282,527</td>
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<td><strong>Proportionality Percentage</strong></td>
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<td>General Revenue</td>
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<td>74.2600 %</td>
<td>74.2600 %</td>
<td>74.2600 %</td>
<td>74.2600 %</td>
</tr>
<tr>
<td>Other Educational and General Income</td>
<td>25.8400 %</td>
<td>25.7400 %</td>
<td>25.7400 %</td>
<td>25.7400 %</td>
<td>25.7400 %</td>
</tr>
<tr>
<td>Health-related Institutions Patient Income</td>
<td>0.0000 %</td>
<td>0.0000 %</td>
<td>0.0000 %</td>
<td>0.0000 %</td>
<td>0.0000 %</td>
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<tr>
<td><strong>Proportional Contribution</strong></td>
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<td>Other Educational and General Proportional Contribution</td>
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<td>(Other E&amp;G percentage x Total Employer Contribution to Retirement Programs)</td>
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<td><strong>HRI Patient Income Proportional Contribution</strong></td>
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<tr>
<td>(HRI Patient Income percentage x Total Employer Contribution To Retirement Programs)</td>
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<td>0</td>
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<tr>
<td><strong>Differential</strong></td>
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<td>Differential Percentage</td>
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<td>1.9000 %</td>
<td>1.9000 %</td>
<td>1.9000 %</td>
<td>1.9000 %</td>
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<td>121,901</td>
<td>119,463</td>
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### 755 Stephen F. Austin State University

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<td><strong>Project Allocation</strong></td>
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<tr>
<td>Library Acquisitions</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Construction, Repairs and Renovations</td>
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<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Furnishings &amp; Equipment</td>
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<td>0</td>
<td>0</td>
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<tr>
<td>Computer Equipment &amp; Infrastructure</td>
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<td>0</td>
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</tr>
<tr>
<td>Reserve for Future Consideration</td>
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<td>0</td>
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<td>Other (Itemize)</td>
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<td>Library Acquisitions</td>
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<tr>
<td>Directly Appropriated Funds (Bill Pattern)</td>
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<tr>
<td>Educational and General Funds Faculty Employees</td>
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<td>Educational and General Funds Non-Faculty Employees</td>
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<td>1,675.0</td>
<td>1,675.0</td>
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### Agency 755 Stephen F. Austin State University

<table>
<thead>
<tr>
<th>Project Priority</th>
<th>Project Code</th>
<th>Tuition Revenue Bond Request</th>
<th>Total Project Cost</th>
<th>Cost Per Total Gross Square Feet</th>
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<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>$45,000,000</td>
<td>$45,000,000</td>
<td>$474</td>
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#### Name of Proposed Facility:
Agriculture and Technology Complex

#### Location of Facility:
SFASU Main Campus

#### Project Type:
New Construction

#### Type of Facility:
Instructional

#### Project Start Date:
09/01/2021

#### Project Completion Date:
05/31/2023

#### Gross Square Feet:
95,000

#### Net Assignable Square Feet in Project:
54,000

---

**Project Description**

This request is for $45 million to construct a new Agriculture and Technology complex on currently owned university property, including a 30,000 square foot teaching with attached 24,000 square feet of classroom and support space, respectively. Construction will include all necessary utility and road infrastructure upgrades associated with the work.
### Agency 755 Stephen F. Austin State University

<table>
<thead>
<tr>
<th>Project Priority:</th>
<th>Project Code:</th>
<th>Tuition Revenue Bond Request</th>
<th>Total Project Cost</th>
<th>Cost Per Total Gross Square Feet</th>
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</thead>
<tbody>
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<td>2</td>
<td>2</td>
<td>$53,000,000</td>
<td>$53,000,000</td>
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</tbody>
</table>

**Name of Proposed Facility:**
Interdisciplinary and Applied Sciences Building

**Project Type:**
New Construction

**Location of Facility:**
SFASU Main Campus

**Type of Facility:**
Instructional

**Project Start Date:**
09/01/2021

**Project Completion Date:**
05/31/2023

**Gross Square Feet:**
143,000

**Net Assignable Square Feet in Project:**
97,400

**Project Description**
This request is for $53 million to demolish a 86,715 square foot Science Building (1968) and an adjoining 4,328 square foot greenhouse (1970), renovate, upgrade, and re-equip 51,695 square foot Forestry Building (1970) and Forestry greenhouse (1982), as well as construct a 90,000 square foot building addition and 4,000 square foot adjacent greenhouse. Construction will include all necessary utility and road infrastructure upgrades associated with the work. 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.
### Schedule 8B: Tuition Revenue Bond Issuance History

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

<table>
<thead>
<tr>
<th>Authorization Date</th>
<th>Authorization Amount</th>
<th>Issuance Date</th>
<th>Issuance Amount</th>
<th>Authorized Amount Outstanding as of 08/31/2020</th>
<th>Proposed Issuance Date for Outstanding Authorization</th>
<th>Proposed Issuance Amount for Outstanding Authorization</th>
</tr>
</thead>
<tbody>
<tr>
<td>1998</td>
<td>$6,000,000</td>
<td>Sep 1 1998</td>
<td>$6,000,000</td>
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<td><strong>Subtotal</strong></td>
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<td>2002</td>
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<td>$9,995,850</td>
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<td>$39,707,800</td>
<td><strong>Subtotal</strong></td>
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### Schedule 8C: Tuition Revenue Bonds Request by Project
87th Regular Session, Agency Submission, Version 1

<table>
<thead>
<tr>
<th>Project Name</th>
<th>Authorization Year</th>
<th>Estimated Final Payment Date</th>
<th>Requested Amount 2022</th>
<th>Requested Amount 2023</th>
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</thead>
<tbody>
<tr>
<td>Early Childhood Research Center (ECRC)</td>
<td>2006</td>
<td>4/2/2038</td>
<td>$1,136,250.00</td>
<td>$1,133,250.00</td>
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<td>Deferred Maintenance</td>
<td>2006</td>
<td>1/16/20512</td>
<td>$579,000.00</td>
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<td>Nursing Building</td>
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<td>1/16/20512</td>
<td>$826,900.00</td>
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<td>Science, Technology, Engineering &amp; Math (STEM) Building</td>
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<td>1/0/201900</td>
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</table>

$5,383,800.00 $5,382,750.00
Agriculture and Technology Complex

(1) Year Non-Formula Support Item First Funded: 2022

Year Non-Formula Support Item Established: 2022

Original Appropriation: $3,923,305

(2) Mission:

The mission of the Agriculture and Technology Complex is to provide state of the art educational facilities for SFA students to fully engage in modern agricultural practices and industrial technologies through hands-on, transformative experiences to produce knowledgeable and skillful graduates. These facilities will foster an environment for co-curricular innovations between many educational programs at SFA, while increasing external connections and collaborations with agriculture and industrial stakeholders. The Agriculture and Technology Complex is critical to produce future workforce for the growing agricultural and industrial technology industries in Texas.

(3) (a) Major Accomplishments to Date:

The Department of Agriculture at SFA has seen meaningful and sustainable enrollment growth over the past decade (~61%) despite having outdated and inadequate facilities to fully support modern curriculum delivery, particularly in the agricultural engineering technology subject area. The Department of Agriculture hosts several Career Development Events (CDEs) and Leadership Development Events (LDEs) for high school FFA programs at the regional, area and state levels. These annual contests host over 5,000 students on the SFA campus each year. Our Agricultural Mechanics contest has to be limited to 75 teams, with over 100 teams on a waiting list, due to inadequate space and antiquated equipment. The Department of Agriculture, along with other college programs, host an annual College Experience Day where hundreds of high school juniors and seniors spend a day engaged with faculty and college students. These high school students have the opportunity to experience college life at SFA within the Arthur Temple College of Forestry & Agriculture.

(3) (b) Major Accomplishments Expected During the Next 2 Years:

The addition of the Agriculture and Technology Complex would provide modern facilities to accommodate future enrollment growth while providing our students the ability to learn advanced and emerging technologies in agriculture, industrial, and manufacturing disciplines. With these facilities, we would be able to create new degree programs in the areas of industrial engineering, industrial technology and manufacturing technology. Furthermore, these facilities will provide needed support for existing programs such as agriculture, construction management and engineering. We plan to utilize these facilities to establish external connections with industries to provide continuing education for existing workforce.

(4) Funding Source Prior to Receiving Non-Formula Support Funding:

None

(5) Formula Funding:

N/A
(6) Category:
Instructional Support

(7) Transitional Funding:
N

(8) Non-General Revenue Sources of Funding:
None

(9) Impact of Not Funding:
Sustained enrollment growth in agriculture and other programs such as construction management has put a strain on our antiquated and insufficient educational facilities. Lack of project funding would hinder future enrollment growth, prevent advancements in curriculum delivery, reduce our ability to attract and support high quality faculty, and eliminate our ability to support external industry partners with continuing education opportunities.

(10) Non-Formula Support Needed on Permanent Basis/Discontinu
TRB Debt Service

(11) Non-Formula Support Associated with Time Frame:
20 years TRB Debt Service

(12) Benchmarks:
N/A

(13) Performance Reviews:
N/A
Applied Forestry Studies Center

(1) Year Non-Formula Support Item First Funded: 1980
Year Non-Formula Support Item Established: 1962
Original Appropriation: $400,000

(2) Mission:
The Center for Applied Studies in Forestry (CASF) in the Arthur Temple College of Forestry and Agriculture supports applied research that delivers solutions to the economic and ecological challenges associated with forest resources in Texas. Since 1980, the CASF serves a diverse clientele, providing information not available at any other location in the state. The CASF provides essential knowledge and expertise required to establish, manage, protect and conserve forest and environmental resources in Texas and to promote sustainable economic development. The CASF supports interdisciplinary research programs directed by forestry faculty providing experience-based learning for graduate students and undergraduate students. CASF research provides relevant information used by college forestry faculty towards the continuing education of Texas professional forest resources managers and the family forest landowner.

(3) (a) Major Accomplishments to Date:
The CASF Special Item is essential in providing matching funds for federal funds under the McIntire- Stennis Act of 1962 and for leveraging other external funding. During the most recent completed fiscal year, the CASF obtained about $3 in leveraged funds for each dollar of Special Item funding provided. Funds provided by the CASF, together with other leveraged funds, have supported the College’s graduate program since its inception. Major accomplishments to date include the identification and testing of environmentally safe compounds (endogenous biocides) as a means to control invasive plants in Texas forests, lakes, and rivers; invasive plant species negatively affect both the economic and the ecologic functions of our state’s forests and water resources. CASF accomplishments include developing effective means to ensure the regeneration of hardwood and pine stands with desirable species exhibiting maximum growth potential as well as strategies to establish and restore the ecological functions and economic value of longleaf pine forests, shortleaf pine forests, oak savannas, and bottomland hardwood wetlands. CASF research investigated the extent and quality of forest habitat for non-game and game wildlife species. Another accomplishment was the use of geospatial science to study the implications of land ownership changes, population growth, and increasing fragmentations of forested areas on the ecology and the economy of Texas.

(3) (b) Major Accomplishments Expected During the Next 2 Years:
CASF funds leverage federal and grant funds supporting projects that cross a range of activities and expected accomplishments. The forest resources of interest in our studies in Texas include urban forests, urban-wildland interfaces, wildlife, water, wetlands and forest recreation, as well as, traditional timber and wood product. The human dimensions of forest resources management will be studied. As a means to promote forest establishment and conservation, studies will be initiated on how best to compensate forestland owners for ecosystem services such as maintaining critical wildlife habitat and water quality. Studies will continue on developing cost effective and time efficient approaches to inventorying and monitoring an array of economically and ecologically critical forest resources using geospatial and drone technologies. Habitat conditions will be studied and requirements recommended for non-game and game wildlife species, including threatened and endangered species. Species-specific mechanisms will be studied to control invasive plants and insects using environmentally benign means. Streamside management zone recommendations across multiple forest site conditions will be developed to enhance water quantity and quality. Studies will relate the genetics of commercially important pine species in the Western Gulf Region to their growth and yield.
Schedule 9: Non-Formula Support
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Automated Budget and Evaluation System of Texas (ABEST)

75S Stephen F. Austin State University

(4) Funding Source Prior to Receiving Non-Formula Support Funding:
Funding from 1962-79 was through General Revenue (Forestry Rsch/Water Pollution Rsch). In 1980, funds were provided for the establishment of the Center for Applied Studies in Forestry by the 66th Tx Legislature.

(5) Formula Funding:
None

(6) Category:
Research Support

(7) Transitional Funding:
N

(8) Non-General Revenue Sources of Funding:
None

(9) Impact of Not Funding:
The Arthur Temple College of Forestry and Agriculture would lose hundreds of thousands of dollars from Federal and private research programs that require matching funds. A lack of CASF funding will lead to the elimination of critical forestry and natural resources research and the elimination of multiple faculty positions. Due to the loss of faculty, non-funding would result in a loss of the Society of American Foresters accredited teaching program.

(10) Non-Formula Support Needed on Permanent Basis/Discontinu
Permanent Basis

(11) Non-Formula Support Associated with Time Frame:
N/A

(12) Benchmarks:
N/A

(13) Performance Reviews:
The Center for Applied Studies in Forestry (CASF) funds are used as the match for McIntire-Stennis Research Capacity Grant federal funding received by the Arthur Temple College of Forestry and Agriculture (ATCOFA). Federal, state agency and private dollars are leveraged 3 to 1 with CASF dollars. These funds are required to support critical research and outreach missions serving forestry stakeholders in Texas and the nation. From January 2018 to December 2019, forestry faculty published 80 unique peer-reviewed research publications and proceedings papers. These intellectual contributions, made possible by CASF funds, presented solutions on Texas, regional and national forest resources management issues. Through research and outreach, CASF funds support the ATCOFA graduate education program training the next generation of Texas forestry professionals. From January 2018 to December 2019, nine students earned their Master of Science in forestry degree. For the 2019-20 academic year, 43 Masters and Doctor of Philosophy forestry students were supported by CASF funds. CASF-supported research funded by state agencies and private sources have annual review/reporting requirements specific to the sponsor. Forestry faculty with approved McIntire-Stennis projects, supported by the CASF funds match, are required to provide an annual progress report to the United States Department of Agriculture, National Institute of Food and Agriculture (NIFA). The dean of ATCOFA reviews all reports.
Applied Poultry Studies and Research

(1) Year Non-Formula Support Item First Funded: 2000
Year Non-Formula Support Item Established: 2000
Original Appropriation: $87,821

(2) Mission:
The purpose of this funding is to provide continued support of research, service, and teaching to the poultry industry and its allied industries. Our research has a direct impact on the poultry industries in our region, the state of Texas, the United States, even on an international scale. Our teaching and research program is primarily focused on the broiler chicken sector of the industry since this is consistent with the poultry production in our area. Research studies are designed and conducted to improve the economic efficiency within the integrated poultry industry by continuously improving production parameters, meat yields, and poultry grower management practices, as well as the industries workers and stakeholders. The landscape of the Texas poultry industry is continuously changing. In 2019, Texas produces approximately thirteen million broiler chickens per week (7.36% of total US production) with over four million of those birds being produced in our east Texas region. Furthermore, the poultry industry is currently growing in our area with the expansion of Sanderson Farms new broiler complex in Smith County, due to increase the industry by 1.25 million birds per week. Our Poultry Research Center is in a unique position to provide important services to the entire poultry industry and is the only of its kind in the East Texas Region.

(3) (a) Major Accomplishments to Date:
The major accomplishments to date include the dissemination of research findings from 50+ graduate and undergraduate research projects to the integrated poultry industry and its supporters on local, regional, state, national and international levels over the past 20 years. These research projects provide invaluable information for the poultry industry. Since the last report, research findings were presented at numerous poultry industry meetings, research conferences and symposia. Another vital accomplishment is the teaching of undergraduate and graduate students to provide well prepared graduates for the integrated and allied poultry industries. The Poultry Research Center provides our students the opportunity to learn about research and gives our graduate and undergraduate students a facility to conduct their Master’s thesis projects, as well as undergraduate research projects. Our graduates are highly sought after because of the practical “hands-on” experiences they receive through this program via the Poultry Research Center. Finally, the Poultry Research Center is used for several yearly service programs and meetings that directly benefit SFA, the poultry industry and other agriculture related industries.

(3) (b) Major Accomplishments Expected During the Next 2 Years:
Plans are to continue to expand cooperative efforts with the allied poultry industry through field research and service learning projects. The Poultry Research Center currently has the next 12 months of research projects prescheduled and we are continuing to receive offers for more. Furthermore, the Poultry Research Center will be absolutely vital for the preparation of career employees to fill management positions in the poultry industry. Our position as a poultry research center and commercial poultry grower provides us with unique opportunities to prepare our students for a robust career, while providing scientific and practical information to both industry representatives and poultry growers (farmers). Finally, our department continues to find new ways to use the Poultry Research Center to improve our instruction for other classes in our department dealing with food processing, fabrication and safety.
(4) Funding Source Prior to Receiving Non-Formula Support Funding:
None

(5) Formula Funding:
None

(6) Category:
Public Service

(7) Transitional Funding:
N

(8) Non-General Revenue Sources of Funding:
Special item funding has continued to provide opportunities to leverage funds from both private and governmental funding agencies. Since the last report, research projects were funded by JBS/Pilgrim’s Corporation, Jones-Hamilton Ag Corporation, Zinpro Corporation, Phibro Animal Health Inc., and Kemin Industries.

(9) Impact of Not Funding:
The Poultry Research Center would not be able to function at the level it currently does without these funds. The Center’s ability to provide services would be severely limited. The faculty’s ability to supply hands-on knowledge to SFASU students would be greatly diminished and this would be detrimental to students’ ability to find employment in the poultry and allied industries. It continues to be extremely difficult to secure research funding to cover all the associated costs of daily operations and research activities at the Poultry Research Center. Without these funds, the faculty will be limited to secure additional research and grant funding. The facilities located at the Poultry Research Center need updates and replacements due to age, a decline in usefulness and to keep up with modern technological advancements. These funds are crucial to keeping the facilities and equipment functional and modernized. It is important for faculty members to stay current with the modernization of the poultry industry. If the faculty are not able to update and keep the facilities modernized, we would not be able to teach SFASU students the current technologies, nor would we be able to conduct useful research for the poultry industry. This would cripple the program, the department, and the university. This program is continuously being asked to do more with less when more funding is needed to meet the needs of SFASU students and industry stakeholders.

(10) Non-Formula Support Needed on Permanent Basis/Discontinu
Permanent Basis

(11) Non-Formula Support Associated with Time Frame:
N/A

(12) Benchmarks:
N/A
(13) Performance Reviews:

The main performance measurement is the leveraging of special item funding to acquire research funds. We use the funds to keep our Poultry Research Center up-to-date with current technologies used in the commercial poultry industry, in order to meet the most current demands for poultry-related research. These funds have helped us secure research funding from federal agencies, state agencies and private industry firms.
Center for Applied Research and Rural Innovation

(1) Year Non-Formula Support Item First Funded: 2022
    Year Non-Formula Support Item Established: 2022
    Original Appropriation: $1,000,000

(2) Mission:
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. Through these interactions, students will learn how to use their skills to work in teams with other students from multiple disciplines in order to solve complex real-world problems for rural and smaller communities. This will provide hands-on experience that will serve as a culmination of a student’s education. In partnering with enterprises outside the university, students will build relationships that will hopefully lead to job opportunities upon graduation. The center will connect the talents of the university and our communities to create dynamic, forward-thinking environments that stimulate ideas, collaboration, and immersive applied learning. Under the supervision of a faculty member, students will use the community as a kind of laboratory for their instruction. They will work with students from multiple disciplines to identify problems encountered by the community and will develop a research project to solve the issues they encounter. Thus, the student’s education is enhanced by working side by side with an experienced faculty member, other students and the community.

(3) (a) Major Accomplishments to Date:
N/A

(3) (b) Major Accomplishments Expected During the Next 2 Years:
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:

• 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.

(4) Funding Source Prior to Receiving Non-Formula Support Funding:
(5) Formula Funding: None

(6) Category: Instructional Support

(7) Transitional Funding: N

(8) Non-General Revenue Sources of Funding: None

(9) Impact of Not Funding: Without funding it will not be possible to bring faculty and students together with business, industry, education, and community partners.

(10) Non-Formula Support Needed on Permanent Basis/Discontinu

(11) Non-Formula Support Associated with Time Frame:

N/A

(12) Benchmarks:

N/A

(13) Performance Reviews:

N/A
Institutional Enhancement

(1) Year Non-Formula Support Item First Funded: 2000

Year Non-Formula Support Item Established: 2000

Original Appropriation: $2,007,919

(2) Mission:
The institutional enhancement funding is used to supplement the base formula funding for support of the core academic operations of Stephen F. Austin State University.

(3) (a) Major Accomplishments to Date:
Select accomplishments related to student achievement are:
• Six year graduation rate has increased more than 11 percentage points compared to five years ago. Some minority populations have noted increases of more than 13 percentage points during the same time period. All populations are consistently trending upward in this measure.
• The four-year graduation rate has increased more than nine percentage points in the last five years.
• First-time undergraduate retention consistently remains more than 3 percentage points above the SFA peer institution retention values.
• At a current value of 82%, the percentage of graduates with marketable skills is consistently above the statewide target (80%) and the average of SFA peer institution values.
• The percentage of full-time undergraduate transfer students who graduate within four years has increased more than 6 percentage points compared to five years ago.
• Total degrees awarded has increased approximately seven percentage points over the last five years. During this same time period, the number of minority graduates has increased more than 12 percentage points.

(3) (b) Major Accomplishments Expected During the Next 2 Years:
Continued funding would allow expansion of academic success services to assist additional students through achievement initiatives. Broadening the scope of students served is expected to further increase retention, graduation rates, and degrees awarded in the next two years. An even larger at-risk student population is expected to be served by sustained funding. As more served students accelerate academic achievement, student debt is expected to be lowered and more qualified graduates will be propelled into the state labor market sooner. The continued support will assist the university in realizing the institutional strategic planning goals which support the desired state 60x30TX higher education accomplishments.

(4) Funding Source Prior to Receiving Non-Formula Support Funding:
None

(5) Formula Funding:
None
(6) Category:
Institutional Enhancement

(7) Transitional Funding:
N

(8) Non-General Revenue Sources of Funding:
None

(9) Impact of Not Funding:
The consequences of not funding Institutional Enhancement projects will disable the university from maximizing academic support services and will particularly impact at-risk students, including high volumes of first-generation, first year, transfer and low income students. Additionally, the institutional impact to the 60x30TX plan will be greatly diminished. Efforts to reduce time-to-degree and student debt while increasing regional higher education participation and overall degree completions will be minimized. Institutional strategic plan goals and objectives supporting the state 60x30TX strategic plan will likely not be realized without Institutional Enhancement funding.

(10) Non-Formula Support Needed on Permanent Basis/Discontinue
Permanent Basis

(11) Non-Formula Support Associated with Time Frame:
N/A

(12) Benchmarks:
N/A

(13) Performance Reviews:
Performance metrics associated with special item funding are reviewed and evaluated annually by institutional administration and also reported to the Legislative Budget Board and/or the Texas Higher Education Coordinating Board. All metrics are directly related to the 60x30TX goals and are either key or contextual values analyzed longitudinally. The metric values are also compared to an institutionally identified set of state peers as well as the larger total state public four-year institutional group. The status and progress of the performance metric values is considered as all funding sources for budgetary decisions are contemplated. The influence and potential of federal and local funds are deliberated with state funding availability using appropriate prospective performance analyses to achieve a final balanced annual budget. Although many performance metrics are utilized, the following list shows primary metrics and the associated 60x30TX goal for each metric:

- Four year graduation rate – Completion
- Graduation rate for two-year transfers – Completion
- Persistence rate (same institution)/First-time undergraduate retention – Completion
- Undergraduate degrees awarded by race/ethnicity – Completion
- Baccalaureate graduates employed and/or enrolled in school in Texas (1 year following graduation) – Marketable Skills
- Average semester credit hour to degree – Student Debt
- Average time to degree – Student Debt
- Percent of students with debt – Student Debt
Interdisciplinary and Applied Sciences Building

(1) Year Non-Formula Support Item First Funded: 2022

Year Non-Formula Support Item Established: 2022

Original Appropriation: $4,620,782

(2) Mission:

The Interdisciplinary and Applied Sciences Building will be a new facility serving academic programs across several colleges at Stephen F. Austin State University (SFA). These programs include agriculture, agricultural engineering technology, environmental science, forestry and wildlife sciences, geology, biology, geospatial science, and engineering. SFA has inadequate facilities to offer the high quality, hands-on, instructional experiences that employers expect of graduates from the applied science and technology fields of study. Collaboration and innovation of faculty and students between these applied disciplines will be increased. Combining the applied academic programs in to one facility will result in efficiencies in space utilization, operations and maintenance. The Interdisciplinary and Applied Sciences Building will support the increasing need for graduates and the current workforce demand in Texas for outreach and continuing education in the applied sciences and technology fields.

(3) (a) Major Accomplishments to Date:

Stephen F. Austin State University has an international reputation for providing exceptional student professional development and interdisciplinary technical training in applied sciences. Academic programs such as forestry, environmental science and agriculture have seen sustained enrollment growth and these graduates have near 100 percent employment. The faculty and staff in the applied sciences disciplines, working closely with undergraduate and graduate students, engage in research that provide solutions to issues facing the economic development of Texas, K-12 outreach in disciplines including engineering, forestry, agriculture, geospatial sciences and health sciences serve school districts throughout Texas. Faculty and staff in the applied sciences provide continuing education to the Texas workforce and stakeholders through workshops and technical meetings.

(3) (b) Major Accomplishments Expected During the Next 2 Years:

Faculty in the applied sciences disciplines will continue to excel in the teaching, research and service missions for Texas. Efforts will continue to recruit and retain outstanding undergraduate and graduate students needed for the increasing workforce demand in Texas and the nation for graduates with advanced professional and technical skills gained from knowledge in the applied sciences. Faculty and graduate students will continue to conduct research relevant to solving the major issues facing the economic development of Texas.

(4) Funding Source Prior to Receiving Non-Formula Support Funding:

None

(5) Formula Funding:

None
(6) **Category:**  
Instructional Support  

(7) **Transitional Funding:**  
N  

(8) **Non-General Revenue Sources of Funding:**  
None  

(9) **Impact of Not Funding:**  
Because of enrollment growth, high job demand, and technological advances, SFA has need for an interdisciplinary applied sciences facility that can support teaching best practices and conduct research that will serve Texas. A critical need exists at SFA for significant upgrades in equipment and learning space for the applied sciences. Student recruitment in these programs suffers because the current facilities and equipment are well below the minimum modern industrial standards. The increasing demand for graduates in the applied sciences, potential community college partnerships and Texas resident outreach and continuing education cannot be met with the current facilities.

(10) **Non-Formula Support Needed on Permanent Basis/Discontinu**  
TRB Debt Service  

(11) **Non-Formula Support Associated with Time Frame:**  
20 year TRB Debt Service  

(12) **Benchmarks:**  
N/A  

(13) **Performance Reviews:**  
N/A
Restoration of the Five Percent Biennial Reduction

(1) Year Non-Formula Support Item First Funded: 2022
   Year Non-Formula Support Item Established: 2022
   Original Appropriation: $402,990

(2) Mission:

We understand the fiscal challenges that the State of Texas is facing in the wake of COVID-19 and know that difficult decisions need to be made. Stephen F. Austin State University (SFA) can be a source of economic growth for the state if its operations are not significantly hindered by excessive financial constraints. Therefore, we respectfully request that consideration be given to restoring the five percent biennial reduction made for the FY 2022-2023 biennium.

If this baseline funding is not restored, SFASU will need to make further reductions in faculty and staff, which will impact course offerings and student support services. The restriction of these services will adversely impact key performance indicators such as retention and graduation rates.

(3) (a) Major Accomplishments to Date:

N/A

(3) (b) Major Accomplishments Expected During the Next 2 Years:

N/A

(4) Funding Source Prior to Receiving Non-Formula Support Funding:

Fiscal Year 2020 and 2021 General Appropriation

(5) Formula Funding:

N/A

(6) Category:

Instructional Support

(7) Transitional Funding:

N

(8) Non-General Revenue Sources of Funding:

None
(9) Impact of Not Funding:
The five percent baseline reduction will adversely impact the university's ability to deliver current and future academic and student services. This appropriation reduction, in addition to refunding over $9 million in Spring student refunds, creates a serious financial challenge for SFASU.

(10) Non-Formula Support Needed on Permanent Basis/Discontinu
N/A

(11) Non-Formula Support Associated with Time Frame:
N/A

(12) Benchmarks:
N/A

(13) Performance Reviews:
N/A
Rural Nursing Initiative

(1) **Year Non-Formula Support Item First Funded:** 2006

   **Year Non-Formula Support Item Established:** 2006

   **Original Appropriation:** $843,260

(2) **Mission:**

This funding is used for faculty nursing salaries to address the shortage of nurses in rural East Texas by increasing the number of students admitted into the nursing programs. Since nurses who train in rural areas tend to remain in rural areas, funding for this item would permit additional students to be admitted to the baccalaureate programs as well as the master’s program thereby increasing the number of nurses and advanced practice nurses in the East Texas region.

(3) **(a) Major Accomplishments to Date:**

(1) Admit a consistent number of 80 pre-licensure students each semester. Prior to 2019, the number of students admitted into the nursing program vacillated between 60-75 students. With more intense advising and mentoring of pre-nursing students, the School of Nursing has been able to increase and stabilize the enrollment to meet the goal of 80 students/semester. Fall 2019: 80 new students; Spring 2020: 80 new students; Fall 2020: 81 new students; Spring 2021 we have invited 81 new students for admission so far and have 45 on the wait list.

(2) Improvement in first-time NCLEX pass rate. Data from the past seven academic years: AY 2013: 87.29%; AY 2014: 88.14%; AY 2015: 86.36%; AY 2016: 92.42%; AY 2017: 96.58%; AY 2018: 97.25%; AY 2019: 96.83%. For AY 2019, the Texas first time pass rate was 91.90% with a national pass rate of 88.07%.

(3) Graduation of 1st MSN class & achieve accreditation for the MSN program. During AY 2018, the program achieved candidacy status with ACEN (Accreditation Commission in Nursing). During the 2019 academic year, a self-study was completed and the program underwent a site visit during the fall 2019. During the spring 2020 semester, it was announced that the MSN program had achieved full ACEN accreditation status. Our first cohort of 19 students began the program in fall 2017 and 11 students completed and graduated in May of 2020. Their passing rate on the FNP certification exam was 100%.

(3) **(b) Major Accomplishments Expected During the Next 2 Years:**

(1) Decrease the number of students needing to repeat 1st semester courses. We have seen an increase in the number of students who are unsuccessful during their 1st semester. We have allowed these students to repeat the needed first semester courses however, they keep us from accepting more new students. We are currently working on a retention and remediation plan. We are hoping this will reduce the number of students needing to repeat courses.

(2) Continue to make meaningful use of the Simulation Lab to diversify student experiences, increase confidence, and better prepare for practice. We have increased the number of simulations to use the Sim Center as a clinical site. We continue to place students with “live” patients for the rest of their clinical hours.

(3) Continue to grow the MSN graduate program. Plans are to add a post-masters certificate for the nurse educator’s track and we are in the beginning planning stages for the addition of a nursing administration track and a NP track in gerontology.

(4) Increase the number of RNs with Associate Degrees in Nursing to the RN-BSN program. We currently have 9 affiliation agreements with community colleges to ensure a seamless transition from the Associate degree to the BSN. Our goal is to reach a minimum of 25 active students any given semester. We now admit 3 times/year and our numbers are steadily increasing with 24 students currently in the program.
(4) Funding Source Prior to Receiving Non-Formula Support Funding:

This was a new Special Item, which allowed SFA to expand its nursing program in an effort to assist the State of Texas with the major nursing shortage.

(5) Formula Funding:

$222,445 total estimated I&O formula funding

(6) Category:

Instructional Support

(7) Transitional Funding:

N

(8) Non-General Revenue Sources of Funding:

None

(9) Impact of Not Funding:

Lack of funding for this initiative would create an inability to meet the growing need for qualified nurses and advanced practice nurses in the East Texas area as well as statewide. This funding has been instrumental in our current growth. If funding were to be cut, we would have to decrease the number of faculty, which would mean decreasing enrollment to meet Board of Nursing clinical guidelines for both the BSN and MSN. We have revised the RN-BSN program and have an active MSN program with both a nurse educator’s track and a FNP track, all of which actually increase the need for adequate numbers of faculty. Maintaining (and hiring) adequate numbers of faculty are essential to the accreditation process. The BSN programs will undergo reaccreditation by ACEN in 2021 and the MSN program just received accreditation in 2020. Standard 2 (item 2.5) states: “The number of full-time faculty is sufficient to ensure that the end-of-program student learning outcomes and program outcomes are achieved” for both the BSN and MSN programs. Continued funding for the Rural Nursing Initiative is critical.

(10) Non-Formula Support Needed on Permanent Basis/Discontinu

Permanent Basis

(11) Non-Formula Support Associated with Time Frame:

N/A

(12) Benchmarks:

N/A
(13) Performance Reviews:

When the Rural Nursing funding began, we were admitting only 40 students/semester. With this funding, more faculty were hired and we were able to increase to 60 students/semester and continue to the Texas Board of Nursing guidelines for faculty to student ratio in the clinical areas. By 2009 we had received funding from the university to hire more faculty and were able to increase our admission cap to 80 qualified students/semester. This fall 2020 semester, we were able to admit 81 new students and allow 17 students to repeat courses in which they were unsuccessful. This brought our 1st semester student number to 98.
Soil, Plant, and Water Analysis Lab

(1) Year Non-Formula Support Item First Funded: 1962
   Year Non-Formula Support Item Established: 1952
   Original Appropriation: $100,000

(2) Mission:
This special item supports the public service, research, and instructional efforts of the Department of Agriculture by funding: 1) the Soil, Plant and Water Analysis Laboratory which analyzes soils, nursery substrates, forages, plant tissues, animal wastes and water, and 2) SFA Gardens which evaluates a wide range of ornamentals and fruit, oversees varied research projects, and educates K-12 students. Both are crucial to undergraduate and graduate student education in the Department of Agriculture and in other disciplines across the SFASU campus, primarily Forestry, Biology and Education. Adult learners are frequent visitors at both. This comprehensive program promotes environmental stewardship and supports hay, poultry, livestock, dairy, industrial hemp, forestry, nursery and the landscape industries, reported as a 25 billion dollar value in 2018.

(3) (a) Major Accomplishments to Date:
The Soil, Plant, & Water Analysis Lab analyzes more than 7000 samples from 55 TX counties. Approximately 40% of the analyses support research conducted by faculty & grad students at several public TX universities. The lab staff strives to educate the general public on benefits of proper nutrient mgmt through presentations at county events & local conferences. Also, 3rd party information on soil amendment materials, fertilization practices & remediation of soils contaminated from brine spills as a result of oil & gas exploration is being provided to the customers. SFA Gardens, with its 128 acres of varied theme gardens, has established a regional presence in ornamental & fruit evaluation with research plots for woody & herbaceous ornamentals, blueberries, muscadine grapes, figs & kiwifruit. SFA Gardens continue to introduce a diverse array of ornamental & fruit varieties for the nursery & landscape industry which provides high value job training & teaching for adults, SFA undergrad and grad students, faculty & staff. Until Covid19, SFA Gardens boasted a K-12 envrnmntl education program that reached more than 12,000 per year, further supporting hands-on learning for SFA education majors. In the last 4 years, SFA Gardens has successfully used the line item support & existing resources as leverage for 2 grants: 1) TX Department of Agriculture 4th yr grant ($87,018) for a kiwifruit research project & most recently, 2)$191,000 Moody Gardens 3 yr research project to begin in Oct 2020.

(3) (b) Major Accomplishments Expected During the Next 2 Years:
The Soil, Water, and Plant Analysis Laboratory in conjunction with private industry will initiate projects on evaluation of soil fertility requirements for production of industrial hemp in the unique soil and climatic conditions of East Texas. SFA Gardens will continue to provide experiential learning opportunities for SFA agriculture, forestry, art, education, and biology students, both undergraduate and graduate. SFA Gardens will continue to expand undergraduate and graduate research opportunities in nursery production, landscape development and fruit production, which benefit growers and homeowners.

(4) Funding Source Prior to Receiving Non-Formula Support Funding:
University operation & maintenance funds and fees charged for analyses
(5) Formula Funding:
None

(6) Category:
Public Service

(7) Transitional Funding:
N

(8) Non-General Revenue Sources of Funding:
University operation and maintenance funds and research funding from private sources:
Fees charged for analyses of samples, income from plant sales, educational outreach programs, donations, grants, endowments and contract grow income

(9) Impact of Not Funding:
A majority of the work accomplished at the Soil, Plant and Water analysis laboratory along with the SFA Gardens would simply not be possible without continued funding of these special items. Continued funding is critical to maintain the capacity for sample analysis and delivery of vital information to farmers, ranchers, foresters, homeowners, and other land stewards. The nursery/landscape industry would be affected by a reduction in services provided. Lack of funding would reduce the University's research capacity and remove the leverage in application for external research and development grants. Many graduate students would be unable to carry out thesis research and existing K-12 programs, including afterschool and summer camp, would be lost.

(10) Non-Formula Support Needed on Permanent Basis/Discontinu
Permanent Basis

(11) Non-Formula Support Associated with Time Frame:
N/A

(12) Benchmarks:
N/A

(13) Performance Reviews:
The main performance benchmark is the leveraging of special item funding to acquire external support. These funds have helped us secure research funding from federal agencies, state agencies and private industry firms. We also review the number of samples analyzed annually as well as the number of invited public speaking engagements.
### Stone Fort Museum

<table>
<thead>
<tr>
<th>(1) Year Non-Formula Support Item First Funded:</th>
<th>1965</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year Non-Formula Support Item Established:</td>
<td>1937</td>
</tr>
<tr>
<td>Original Appropriation:</td>
<td>$7,500</td>
</tr>
</tbody>
</table>

#### Mission:

The Stone Fort Museum is an educational center serving Stephen F. Austin State University and regional community through interdisciplinary, collaborative research, service learning projects, and educational programs. Its goal is to support the mission of the university and the preservation of eastern Texas history. As an academic support unit of the university, the Museum functions as a center within the College of Liberal and Applied Arts. The Museum’s unit objectives are linked to the mission of SFA in four areas: Education Services, Research & Interpretation, Civic Engagement and Resource Management.

#### (3) Major Accomplishments to Date:

Programs provide SFA students with service-learning through classroom projects and internships, serve the educational needs of the region & preserve the material culture critical to telling the story of East Texas. The university funded 4 graduate assistantships in FY18-FY20 that supported museum work while advancing curricular goals. Graduate research provided a refocus of the planned crime and punishment exhibit to create, Wrongdoing and Just Deserts: True Crime in Early East Texas, for FY21. SFA students worked on a National Register nomination, processed incoming collections & assisted in the rehousing of textile collections. Events featured SFA students inc. the Tuba-Euphonium Ensemble. The 2019 exhibit, With a Purpose, celebrated the Progressive Era women’s club movement and resulted in the restoration of Texas Centennial cultural material. Community engagement activities included the 2019 biennial preservation award and collaborative work with 22 external partners. In FY19, on-site programs increased 42% and reached over 9,500 life-long learners onsite, in the classroom and at regional events. The bulk of K12 and adult learners visit in the spring and summer months. With the cancellation of on-site programs due to the pandemic, the museum pivoted to digital delivery of exhibits and initiated a foodways project with SFA faculty focusing on the museum’s Spanish Colonial Demonstration Garde. Both projects capitalized on exiting resources to meet the needs of the region.

#### (3) Major Accomplishments Expected During the Next 2 Years:

The museum's planned educational programming for the next 2 years will continue the work in progress to restructure onsite programs and expand digital access to support the social distancing needed as a result of the pandemic. The museum will work with SFA & community partners to develop a long-term plan that reimagines delivery of public programs and integrates digital access. Exhibits planned for the period, including “Wrongdoing and Just Deserts” will go forward as we build a sustainable model using collections, existing university resources, faculty-led student projects and internships to engage a community of learners. All programs are the product of staff research and provide opportunities for university students to enhance research, development, and project programming skills critical to success.

#### (4) Funding Source Prior to Receiving Non-Formula Support Funding:

Auxiliary funds; 1980-81 special gifts

#### (5) Formula Funding:

None
(6) Category:
Public Service

(7) Transitional Funding:
N

(8) Non-General Revenue Sources of Funding:
Federal funding, museum store sales, program fees, and private donations

(9) Impact of Not Funding:
Special item funding for the Stone Fort Museum provides a critical base from which to build institutional capacity. Loss of funding would severely curtail the Museum’s ability to provide the educational, conservation and research functions essential to its mission. Service learning opportunities that support the academic program and professional development opportunities for teachers and heritage resource professionals would cease. The vital role of East Texas in the development of the State and the historic traditions of the region would be lost to a generation of students and citizens without the preservation of relevant collections and distribution of associated educational products.

(10) Non-Formula Support Needed on Permanent Basis/Discontinu
Permanent Basis

(11) Non-Formula Support Associated with Time Frame:
N/A

(12) Benchmarks:
N/A

(13) Performance Reviews:
The Museum provides SFASU faculty, staff and students with ongoing service-learning opportunities, which are integral to the academic mission of SFASU including classroom projects, internships, practicums and volunteer opportunities. The Museum provides impactful programming in a small space with limited funding through university and community partnerships. Staff and student employees support all Museum management including collection management, research, exhibitions, educational programs, development and administrative functions.

In fiscal year 2018-2019:
- Utilized 86% of the museum building as interpretive space.
- Provided 104 educational programs onsite and across the region.
- Fifteen SFASU academic departments with 16 SFASU faculty and staff produced 707 research and student learning hours.
- Collaborated with 22 external program partners.
- On average, served 33 patrons were daily.
- Served ten thousand patrons and 1,568 K12 students.
- Secured 28 objects on loan to support exhibits.
- Acquired 7 donations of 346 objects documenting Nacogdoches and eastern Texas heritage.
RATIFICATION OF VIVATURE MEDICAL BILLING CONTRACT

Explanation:

At the January 29, 2013 meeting, the board of regents approved Vivature, Inc. to provide insurance company medical billing services for the SFA Health Clinic. The contract was scheduled to expire on October 31, 2018. On April 15, 2013 a contract amendment with Vivature, Inc. was signed that added medical billing services for the athletic department. At the October 29, 2018 meeting, the board of regents approved a contract extension through December 31, 2019. There was an additional contract amendment related to an equipment schedule signed that extended the contract period through August 31, 2023.

The administration request ratification of contract amendment that extended the medical services billing contract with Vivature, Inc. through August 31, 2021.

Recommendation:

The administration recommends ratification of the medical services billing contract extension from January 1, 2020 through August 31, 2021. The administration also recommends the president be authorized to sign purchase orders and any associated contract documents.
GRANT AWARDS

Explanation:

In fiscal year 2020, the University received multi-year grant awards totaling $26,266,967. Of that total, grants awarded allocable to fiscal year 2020 were $17,124,616, an increase of $6,900 since the last report.

For fiscal year 2021, the multi-year grant award total is currently $17,811,197. Of this total, grant awards allocable to fiscal year 2021 are currently $5,563,148.

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 $6,900, and grant awards for fiscal year 2021 that total $5,563,148. The grant awards are detailed as presented.
**Report to the Board of Regents – October 2020**
Grants\(^1\) awarded between and July 1, 2020 and September 30, 2020

---

### Summary Report – Fiscal Year 2020

<table>
<thead>
<tr>
<th>Amounts allocable to FY20 (detailed in this report)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal funds (direct and pass-through)</td>
<td>$ 6,900</td>
</tr>
<tr>
<td>State Funds (direct and pass-through)</td>
<td>$ 0</td>
</tr>
<tr>
<td>Private and Local Government</td>
<td>$ 0</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>$ 6,900</td>
</tr>
</tbody>
</table>

**New awards, FY20** (detailed in this report, all project years) $ 6,900

**Cumulative amount allocable to FY20** $17,124,616

**Cumulative award total FY20, all project years** $26,266,967

---

**New, Additional, or Previously Unreported Awards for FY 2020**

**Federal Funds (direct and pass-through)**

**Additional Funds:**

*Rural Communities Opioid Response Program – Planning*
Dr. Jose Carbajal, School of Social Work

**Total Award:** $78,188   

**Amount Allocable to FY 2020:** *$6,900*

\[\text{Subtotal Federal Amounts Allocable to FY2020 (this report)} = \$6,900 \]
\[\text{Subtotal New Federal Awards (total award)} = \$78,188 \]

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\(^{1}\text{For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.}\)
**Report to the Board of Regents – October 2020**
Grants¹ awarded between and July 1, 2020 and September 30, 2020

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**Fiscal Year 2021 – as of September 30, 2020**

**Amounts allocable to FY21 (detailed in this report)**

- Federal funds (direct and pass-through) $1,884,990
- State Funds (direct and pass-through) $3,392,702
- Private and Local Government $285,456

**TOTAL** $5,563,148

**New awards, FY21 (detailed in this report, all project years)** $3,964,875

**Cumulative amount allocable to FY21** $5,563,148

**Cumulative award total FY21, all project years** $17,811,197

**Federal Workstudy Funds (not included in ORGS totals)** $586,747

---

**New, Additional, or Previously Unreported Awards for FY 2021**

**Federal Funds (direct and pass-throughs)**

<table>
<thead>
<tr>
<th>Title</th>
<th>Sponsor</th>
<th>Award Term</th>
<th>PI/PD</th>
<th>Total Award</th>
<th>Amount Allocable to FY 2021</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Mass Timber Buildings</em></td>
<td>US Endowment for Forestry and Communities (US Forest Service / USDA) Award # E19-71</td>
<td>February 1, 2020 to July 31, 2021</td>
<td>Dr. Robert Selden, Jr., Regional Heritage Research Center</td>
<td>$100,000</td>
<td>$100,000</td>
</tr>
</tbody>
</table>

Award will help utilize mass timber in the design and possible use in the new building projects being undertaken by the university. The use of mass timber in some of these buildings would create a unifying design theme between multiple new buildings on campus that would speak of a material language rooted in the lumber industry of the East Texas region.

<table>
<thead>
<tr>
<th>Title</th>
<th>Sponsor</th>
<th>Award Term</th>
<th>PI/PD</th>
<th>Total Award</th>
<th>Amount Allocable to FY 2021</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Expanding Opportunities in Agriculture for Under Represented Populations</em></td>
<td>Sam Houston State University (prime - National Institute of Food &amp; Agriculture / USDA) Award # 25162A</td>
<td>June 15, 2020 to June 14,2023</td>
<td>Dr. Candis Carraway, Agriculture</td>
<td>$90,000</td>
<td>$28,614</td>
</tr>
</tbody>
</table>

In partnership with SHSU, this project focuses on recruiting under-represented populations in order to obtain post-secondary education in food and agriculture related studies.

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¹New awards or additional funds added to a current award

²For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.
Report to the Board of Regents – October 2020
Grants1 awarded between and July 1, 2020 and September 30, 2020

<table>
<thead>
<tr>
<th>Title</th>
<th>Sponsor</th>
</tr>
</thead>
<tbody>
<tr>
<td>*National Forests and grasslands in Texas Site Predictive Model</td>
<td>US Forest Service / USDA</td>
</tr>
<tr>
<td>Award Term:</td>
<td>July 1, 2020 to February 20, 2025</td>
</tr>
<tr>
<td>PI/PI:</td>
<td>Dr. Robert Selden, Jr., Regional Heritage Research Center</td>
</tr>
<tr>
<td>Total Award: $20,000</td>
<td>Amount Allocable to FY 2021: $20,000</td>
</tr>
</tbody>
</table>

A variety of activities on National Forest lands in Texas will be undertaken which may include an archeological survey, evaluation, excavation, and artifact analysis, collections management, cultural resource recording, site monitoring, site relocation, and archeological and historical interpretation.

Previously Described Awards:

*Visually Impaired Preparation (VIP) Program FY21-22
Dr. Shannon Darst, Education Studies
Award Total: $602,000 Amount allocable to FY 2021: $602,000

*McIntire-Stennis Cooperative Forestry Research Program FY20
Dr. Hans Williams, College of Forestry and Agriculture
Award Total: $471,636 Amount allocable to FY 2021: $471,636

CARES Act: Stephen F. Austin State University Higher Education Emergency Relief – Institutional Aid
Dr. Danny Gallant, Finance and Administration
Award Total: $5,262,639 Amount allocable to FY 2021: $262,539

CARES Act: Stephen F. Austin State University Higher Education Emergency Relief – Students
Dr. Erma Nieto-Brecht, Admissions
Award Total: $5,262,539 Amount allocable to FY 2021: $262,539

Calculus and Virtual Reality (CalcVR)
Dr. Nicholas Long, Mathematics & Statistics
Award Total: $294,523 Amount allocable to FY 2021: $58,452

Establishment of Silvopasture Demonstration Area Using Native Grasses
Jason Grogan, Forestry
Award Total: $75,000 Amount allocable to FY 2021: $29,615

Collaborative Research: UTMOST 3.0 Undergraduate Teaching and Learning in Mathematics with Open Software and Textbooks (UTMOST Phase III)
Dr. Thomas Judson, Mathematics & Statistics
Award Total: $95,745 Amount allocable to FY 2021: $28,170

CARES ACT: Higher Education Emergency Relief Fund-Strengthening Institutions Program

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Report to the Board of Regents – October 2020
Grants awarded between and July 1, 2020 and September 30, 2020

Dr. Danny Gallant, Finance and Administration
**Award Total:** $513,425  **Amount allocable to FY 2021:** $13,425

**2019-20 MLK Day of Service**
Veronica Beavers, Multicultural Affairs
**Award Total:** $16,000  **Amount allocable to FY 2021:** *$8,000

**Subtotal Federal Amounts Allocable to FY 2021 (this report) = $1,884,990**
**Subtotal New Federal Awards (total award) = $1,283,636**

**Federal Workstudy Funds (not included in ORGS totals)**

**Department of Education federal work-study allocation**
FY 2021 Award: $586,747
Agency: Department of Education
Manager: Rachele Garrett, Financial Aid
This program funds work-study students.

**State Funds (direct and pass-through)**

Previously Described Awards
*SFA Charter School (ADA, non-grant)*
Lysa Hagan, Charter School
**Award Total:** $2,475,138  **Amount allocable to FY 2021:** $2,475,138

**Identification of Existing Geologic Hazards within TxDOT Right-of-Way I Culberson County, Phase 2**
Dr. Kevin Stafford, Geology
**Award Total:** $889,279  **Amount allocable to FY 2021:** $402,559

*SFA Jacks Teach*
Dr. Josephine Taylor, Biology
**Award Total:** $360,000  **Amount allocable to FY 2021:** $280,000

**Child Welfare Professional Development Project FY17-21**
Dr. Freddie Avant, School of Social Work
**Award Total:** $862,661  **Amount allocable to FY 2021:** $177,966

**Disability Services – Reader Services FY20-22**
Tiffany Rivers, Disability Services
**Award Total:** $64,000  **Amount allocable to FY 2021:** $32,000

*New awards or additional funds added to a current award

1For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.
**Report to the Board of Regents – October 2020**

Grants' awarded between and July 1, 2020 and September 30, 2020

---

**Assessing Pathways of Introduction of Non-Native Fishes (Sheepshead Minnow: *Cyprinodon Variegatus*, and Gulf Killfish: *Fundulus Grandis*) in Texas Streams**  
Dr. Carmen Montana-Schalk, Biology  
Award Total: $474,580  
Amount allocable to FY 2021: $10,957

**Assessing the Population Status of Brazos River Watersnakes (*Colubridae: Nerodia*)**  
Dr. Matthew Kwiatkowski (formerly Dr. Stephen Mullin), Biology  
Award Total: $26,700  
Amount allocable to FY 2021: $1,200

**Joint Admission Medical Program (JAMP ) FY20-23**  
Dr. Kevin Langford, Biology  
Award Total: $25,834  
Amount allocable to FY 2021: $12,882

---

Subtotal State Amounts Allocable to FY 2021 (this report) = $3,392,702  
Subtotal New State Awards (total award) = $2,475,138

---

**Private Entity and Local Government Awards**

<table>
<thead>
<tr>
<th>Title: <em>Evaluating woody Ornamentals for Galveston Island in an Era of Rapid Climate Change</em></th>
<th>Sponsor: Moody Gardens, Inc.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Award Term: October 1, 2020 – October 1, 2023</td>
<td>PIs/PDs: Dr. David Creech, Agriculture</td>
</tr>
<tr>
<td>Total Award $195,601</td>
<td>Amount Allocable to FY 2021: $67,487</td>
</tr>
</tbody>
</table>

This award builds on the nursery infrastructure and current inventory of plant materials at the research plot located at Moody Gardens in Galveston, Texas to continue to research plant performance and tolerance in both aerial and soil salinity threats and the challenge of strong winds.

<table>
<thead>
<tr>
<th>Title: <em>Career Sports &amp; Fall Career Exploration</em></th>
<th>Sponsor: Enterprise Holdings Foundation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Award Term: September 1, 2020 – August 31, 2021</td>
<td>PIs/PDs: Jamie Bouldin, Student Affairs</td>
</tr>
<tr>
<td>Total Award $2,500</td>
<td>Amount Allocable to FY 2021: $2,500</td>
</tr>
</tbody>
</table>

Grant funds will purchase software licenses to offer resources to students in areas such as career guidance and career aptitude.

---

**Previously Described Awards:**  
**Better Together, Nacogdoches County Community Collaborative**  
Dr. Stephen Cooper, School of Social Work  
Award Total: $410,000  
Amount allocable to FY 2021: $150,469

---

*New awards or additional funds added to a current award  
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Report to the Board of Regents – October 2020
Grants¹ awarded between and July 1, 2020 and September 30, 2020

Departmental Research Grant: Basic Chemical Research FY20-22
Dr. Michael Janusa, Chemistry
Award Total: $135,000 Amount allocable to FY 2021: $45,000

Archaeology and Education of Freedom Colonies I Deep East Texas: A Beginning
Dr. George Avery, Anthropology, Geography and Sociology
Award Total: $25,000 Amount allocable to FY 2021: $20,000

Subtotal Private and Local Amounts Allocable to FY2021 (this report) = $285,456
Subtotal New Private and Local Awards (total award) = $198,101

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

*New awards or additional funds added to a current award
¹For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.
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:

- Check Cashing 3.7
- Compliance 2.12
- Environmental Management 13.26
- Gift Reporting 3.16
- Travel 3.29
- Travel Card 3.30
POLICY SUMMARY FORM

Policy Name: Check Cashing

Policy Number: 3.7

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): This policy establishes that the business office is the only office authorized to cash checks. The business office may cash personal checks for faculty, staff and currently enrolled students with a Stephen F. Austin State University ID.

Reason 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:

Wording modified to remove the specific amount of the fee that will be assessed by the university for a return check. Also, formatting and minor wording changes.

Reviewers:

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

Original Implementation: September 1, 1988
Last Revision: October 23, 2017, 2020

Purpose

This policy affirms that the business office is designated as the only campus location allowed office authorized to cash checks. The business office may cash personal checks for faculty, staff, and currently enrolled students with a Stephen F. Austin State University ID.

General

The check-cashing limit is established by the controller’s office. If an extenuating circumstance exists in which a student or employee needs to cash a check in excess of the established amount, authorization must come from the controller, the bursar in the business office or the bursar's designee. Checks returned to the university for insufficient funds (NSF), payment stopped, or account closed will be collected by the university or an outside collection entity. A $30 fee will be assessed by the university for any check returned. Any fees charged to the university by an outside collection entity or the financial institution will be assessed to the individual. The university reserves the right to refuse personal checks from individuals who have a history of bad checks.

Restrictions

Employees may not cash their own check or a check from a relative, as defined by policy 11.16, Nepotism. Family member status is not terminated by death or divorce. The business office is not authorized to cash two-party checks or post-dated checks.

University checks (i.e., payroll checks, travel checks, student refund checks, etc.) may ordinarily be cashed only when the check is used as payment on the payee's account. Any other circumstances must be approved by both the bursar or his/her designee and the controller and/or his/her designee on the university’s check cashing exception form.

Web check payments in excess of the amount owed, thus resulting in a refund, are not permissible.

Cross Reference: Returned Payments (3.27); Nepotism (11.16)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: Check Cashing Exception Form

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Compliance

Policy Number: 2.12

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

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

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Policy describes and implements the university's compliance 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: Updates to committee member listings.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Gina Oglesbee, Chief Audit Executive
Damon Derrick, General Counsel
Compliance

**Original Implementation:** July 26, 2016  
**Last Revision:** July 23, 2019, October 26, 2020

INTRODUCTION

This policy sets forth the rules governing the creation, implementation, and periodic evaluation of an institutional compliance program for the university. The program is designed to provide a framework for promoting an organizational culture that: (1) promotes a commitment to ensure the highest level of compliance with all applicable laws and regulations, institutional policies, procedures and other rules governing higher education, including research and health care to the extent applicable and (2) prevents and detects criminal conduct or other conduct inconsistent with an effective compliance program.

DEFINITIONS

A. University - Stephen F. Austin State University (SFA) and all of its components, regardless of the source of funding.

B. Employee - All persons receiving compensation from the university, including faculty, staff, and students. The term also includes any volunteer who provides services to the university through an official arrangement with the university or a university organization.

C. Substantial authority personnel - high-level personnel or individuals who exercise substantial discretion when acting within the scope of their authority.

COMMITTEES

SFA utilizes two committees: Executive Oversight Compliance Committee and Compliance Coordinating Committee.

EXECUTIVE OVERSIGHT COMPLIANCE COMMITTEE

The Executive Oversight Compliance Committee’s primary function is to direct policy and instill the importance of compliance in the university community. This committee monitors progress on key compliance initiatives, reviews updates on compliance developments and best practices, and allocates resources as necessary to achieve the compliance program goals. Its members consist of:

1. President
2. Provost & Vice President for Academic Affairs
3. Vice President for University Affairs
4. Vice President for Finance and Administration
5. Vice President for University Advancement
6. Director of Government Relations
7. Executive Director of Enrollment Management
8. Chief Diversity Officer
9. Chief Information Officer

6.10. Director of Intercollegiate Athletics

6.11. Chief Audit Executive (advisory)

7.12. General Counsel

In exercising its overall responsibility for the university’s compliance program, the Executive Oversight Compliance Committee shall be regularly briefed by the chair of the Compliance Coordinating Committee about the content and operation of the program, and also when criminal conduct is discovered.

The Executive Oversight Compliance Committee shall take reasonable steps to:

1. Not include within the substantial authority any individual who has engaged in illegal activities or other conduct inconsistent with an effective compliance program.

2. Communicate periodically and in a practical manner the standards and procedures of the compliance program by conducting effective training programs and otherwise disseminating information appropriate to the respective roles and responsibilities of the entire university community involved in the compliance program. Such training may include informal staff meetings, and monitoring through regular “walk-arounds” or continuous observation while managing a designated compliance area.

3. Ensure that the compliance program is followed including monitoring and auditing to detect illegal activities or other conduct inconsistent with an effective compliance program.

4. Have and publicize a system, which may include mechanisms that allow for anonymity or confidentiality, whereby university employees and agents may report or seek guidance regarding potential or actual criminal conduct or other conduct inconsistent with an effective compliance program without fear of retaliation.

5. Consistently promote and enforce the compliance program throughout the university through appropriate incentives for performing in accordance with the program, and appropriate disciplinary measures for engaging in criminal conduct or other conduct inconsistent with an effective compliance program and for failing to take reasonable steps to prevent or detect such conduct.

6. Respond appropriately after criminal conduct or other conduct inconsistent with an effective compliance program has been detected, including making any necessary modifications to the compliance program to prevent further similar conduct.

7. Assess the risk of criminal conduct or other conduct inconsistent with an effective compliance program and take appropriate action to design, implement, or modify the program to reduce the risk of such conduct identified through this process at least annually.

COMPLIANCE COORDINATING COMMITTEE

The Compliance Coordinating Committee’s primary function is to oversee the implementation of the compliance program throughout the university. This committee disseminates information about compliance updates and activities to the responsible parties and keeps those individuals updated on any changes in laws or regulations and makes recommendations to the Executive Oversight Compliance Committee. Its members consist of:

1. General Counsel (Chair)
2. Chief Audit Executive (Advisory)
3. Assistant General Counsels
4. **Audit and Legal Support Specialist** Coordinator of Board Affairs/Compliance
5. Assistant Athletic Director for Compliance
6. Controller
7. Director of Procurement and Property Services
8. Director of Human Resources
9. **Director of Environmental Health, Safety, and Risk Management**
10. Deputy Chief Information Officer
11. Chief of Police
12. Registrar
13. Director of Financial Aid

**14. Compliance Coordinator - Research**
15. **Chair of the Chairs Forum**
16. Chair of the Academic Affairs Policy Committee
17. Director of Environmental Health, Safety, and Risk Management
18. Chief of Police
19. Executive Director of Development
20. Dean of Student Affairs
21. **Director of Financial Aid**
22. Executive Director of Enrollment Management
23. Chair of the Academic Affairs Policy Committee
24. Assistant Dean of Student Affairs
25. **Title IX Coordinator**
26. Chair of the Chairs Forum
27. Registrar
28. **ADA Coordinator**

The Compliance Coordinating Committee shall be provided adequate resources and appropriate authority to carry out its duties and responsibilities.

A. The General Counsel shall chair the Compliance Coordinating Committee and shall regularly brief the Executive Oversight Compliance Committee and the Board of Regents about the content and operation of the university’s compliance program, and also when criminal conduct is discovered.

B. The Compliance Coordinating Committee will utilize a Compliance Matrix to assist the responsible committee members in carrying out their duties. The matrix is designed to further the coordination and documentation efforts of existing and ongoing compliance initiatives and is broken down into different compliance areas assigned to the committee member responsible for ensuring compliance, representative issues associated with the compliance area as well as the applicable laws.

C. Compliance Calendars will be generated by the Compliance Coordinating Committee and distributed to the committee members. The calendars will aid in tracking the myriad reporting requirements and due dates.

D. The Compliance Coordinating Committee, through its members, shall assist the Executive Oversight Compliance Committee in training the university community which may include
informal staff meetings, and monitoring through regular “walk-arounds” or continuous observation while managing a designated compliance area.

E. The Compliance Coordinating Committee is also responsible for creating and maintaining a compliance web page on the university’s website. At a minimum the web page will include the Compliance Matrix, Compliance Calendars, Compliance Coordinating Committee members, and instructions on how to anonymously and confidentially report suspected fraud or other criminal conduct or conduct inconsistent with an effective compliance program without fear of retaliation.

F. The Compliance Coordinating Committee is responsible for implementing and operating a risk-based process that:
   1. builds compliance consciousness into daily business processes,
   2. monitors the effectiveness of the processes, and
   3. communicates instances of non-compliance to appropriate administrative officers for action.

DEPARTMENT HEAD RESPONSIBILITY

The department head of each operating unit within the university is responsible and shall be held accountable for compliance and compliance-related activities in their respective units. The department head shall maintain documented procedures and records for their activities and areas of responsibility.

PRESIDENT RESPONSIBILITY

The president is responsible and shall be held accountable for:
   1. the sufficiency of resources allocated to compliance activities, and
   2. the appropriateness of corrective and disciplinary action taken in the event of noncompliance.

AUDIT SERVICES RESPONSIBILITY

Audit Services may provide advisory or audit services, as necessary and appropriate, to the compliance operations. The chief audit executive is responsible and shall be held accountable for:
   1. independently evaluating the design and effectiveness of the various compliance functions as included on the annual audit plan,
   2. making recommendations for improvements, as necessary and appropriate, and
   3. reporting recommendations to the Board of Regents Finance and Audit Committee and the president.

EMPLOYEE RESPONSIBILITY

Each employee of the university shall be responsible for establishing an organizational culture that encourages compliance with its legal obligations, complying with all applicable federal and state laws and university policies and procedures, meeting and complying with any reporting requirements required by law, and complying with the mandates and standards in this policy.
REPORTING STRUCTURE

The reporting obligations set forth below are to fulfill the purposes of this policy, to enable the university to do a risk assessment to determine if additional resources should be allocated, and to assist the university to respond as needed. These requirements do not replace, change or modify applicable reporting requirements or any other action required of the university under federal or state laws or regulations.

The general counsel and chief audit executive shall report to the Executive Oversight Compliance Committee the workings of the Compliance Coordinating Committee, including agenda items, member concerns, and recommended changes in policies or procedures.

The chair of the Compliance Coordinating Committee shall promptly report to the Executive Oversight Compliance Committee any suspected compliance violation that has caused or poses an imminent risk of injury or harm to persons, property or the surrounding community, or reputational harm, as soon as possible after discovering or receiving the report of the suspected violation.

The general counsel and chief audit executive are responsible to:

1. conduct a compliance program investigation or monitor the investigation conducted by an appropriate operating unit of the suspected violation(s), and
2. as appropriate, make findings and recommendations to the chair of the Board of Regents, chair of the Finance and Audit Committee, and the president.

Cross Reference: U.S. Federal Sentencing Guidelines; Fraud (2.7)

Responsible for Implementation: President

Contact for Revision: General Counsel

Forms: None

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Environmental Management

Policy Number: 13.26

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

Date of last revision, if applicable: 8/6/2020

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

Purpose of Policy (what does it do): The purpose of this policy is to aid in protecting the environment and promote environmental stewardship among Stephen F. Austin State University’s faculty, staff, students, and visitors.

Reason 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 edits and formatting changes.

Reviewers:

Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Environmental Management

Original Implementation: October 27, 2014
Last Revision: October 23, 2020

Purpose

The purpose of this policy is to aid in protecting the environment and promote environmental stewardship among Stephen F. Austin State University’s faculty, staff, students, and visitors. To achieve this purpose the Environmental Health, Safety, and Risk Management (EHSRM) department is committed to continuous environmental improvement and protection through a variety of training and inspection programs.

General

The EHSRM department has primary responsibility for promulgating environmental health, safety, and risk management policies and procedures, to ensure that the university complies with federal, state, and local guidelines, as well as best management practices related to environmental compliance and protection. Program safety manuals and detailed safety procedures are available on the EHSRM website.

Stephen F. Austin State University is committed to the protection and enhancement of the environment, while continually seeking new ways to minimize the environmental impact of our past, present, and future activities. As a result of this continuous effort, an environmental management system (EMS) has been created to serve as a planned, documented, systematic, and comprehensive program for managing environmental compliance at SFA. Detailed information on the EMS can be found on the EHSRM website.

Goals

Stephen F. Austin State University shall:

1. Ensure compliance with applicable federal, state, and local environmental legislation, regulations, and best management practices.
2. Prevent pollution by managing and reducing: water and energy consumption, air emissions, discharges to water, and contamination of soil and/or groundwater.
3. Facilitate employee and student awareness of environmental issues through education and training for further protection of the surrounding environment.
4. Promote and facilitate the reduction, reuse, and recycling of waste.
5. Consider the impact on the environment when designing new projects and procedures or changing existing practices.

Responsibilities

It is imperative that Stephen F. Austin State University employees comply with federal, state, and local environmental health, safety, and risk management legislation, and relevant environmental
compliance and protection codes. In addition, it is essential that employees observe industry best practices and comply with SFA safety policies, programs, and procedures. Noncompliance may result in disciplinary action.

The director of EHSRM (or designee) has primary responsibility for administration of and compliance with the university’s EMS. Duties of the EHSRM department include:

a) Ensure the most current legal environmental requirements are identified and evaluated for compliance.

b) Establish, coordinate, and adhere to the environmental management programs outlined in the university’s EMS, to comply with regulatory requirements or upon request of department supervisors.

c) Provide training focused on protecting the environment and ensuring environmental compliance.

d) Inspect university buildings and property for environmental compliance and protection, or in response to a notice of a possible violation. In carrying out this duty the EHSRM director or representative shall have the authority to enter any university building, structure, room, office, or laboratory without prior notice to department supervisors and staff.

e) Serve as the official university contact for federal, state, and local environmental regulatory agencies regarding environmental compliance and communicate compliance requirements to university officials. These include, but are not limited to: the U.S. Environmental Protection Agency (EPA), Texas Commission on Environmental Quality (TCEQ), Texas Department of State Health Services (TDSHS), Texas State Office of Risk Management (SORM), and the city of Nacogdoches.

University employees must comply with the following guidelines and responsibilities:

a) Comply with all permit requirements, regulations, programs, and procedures specified by the EHSRM department and described in the university’s EMS.

b) Attend environmental training courses and use required protective equipment provided by departments.

c) Handle all hazardous waste in accordance with the SFA hazardous waste and universal waste manuals. Each department is responsible for the payment of fees associated with the disposal of their hazardous and/or regulated waste.

d) Report environmental non-compliance issues or concerns through administrative channels or to the director of EHSRM.


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

**Contact for Revision:** Director of Environmental Health, Safety, and Risk Management
Forms: None

Board Committee Assignment: Finance and Audit
Policy Name: Gift Reporting

Policy Number: 3.16

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): Explains procedures for processing gifts 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:

Specific rationale for each substantive revision: The new division of advancement services is now responsible for gift reporting and processing.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: July 18, 1981
Last Revision: October 23, 2020

The following procedural steps are to be used when depositing private funds.

1. All gifts payable to the university and its departments must be immediately delivered to the bursar’s office for deposit and must be delivered in a university-approved locked bag.

2. Information relevant to any gifts received in the form of cash, checks, money orders, or other forms of negotiable instruments will be forwarded to the Office of Development and Advancement Services from the bursar’s office for purposes of updating donor records, and official acknowledgment and receipt of gift. The department receiving the gift will complete the donation form, attach any original documentation that accompanied the gift, and submit when depositing the gift at the bursar’s office within 5 business days or within 1 business day when deposits accumulate to $100 or more, whichever comes first. The bursar’s office will forward the donation form and any original documentation included with gift to the Office of Development and Advancement Services for gift processing within 24 hours. The bursar’s office will stamp each donation form with the date of deposit and initials verifying that the gift has been properly recorded and deposited by the university.

3. Deposit of all negotiable instruments must be completed within 24 hours of receipt of the gift and must be accompanied by the donation form unless granted an exception. All exceptions are to be reported to and approved by the director of Development and Advancement Services, and the gift deposited within 48 hours of receipt.

4. In-kind gifts, contributions other than cash, check or other readily negotiable security, retained in a department, program, activity center, or other university facility, must be reported by completing the gift-in-kind form and forwarding it directly to the Office of Development and Advancement Services. A comprehensive description of the gift, background information concerning the origin of the gift, value at the time of contribution and any correspondence or wishes of the donor, along with a photograph whenever possible, must be included with the completed form. For those in-kind gifts valued at $5,000 or more, approval from the dean is required along with a written appraisal signed and dated by a qualified appraiser. Any in-kind gift that will be added to a department’s inventory must be approved by the department chair prior to the acceptance of the gift.

5. All gifts, negotiable and in-kind, will be acknowledged officially on behalf of the university by the Office of Development and Advancement Services, and may also be acknowledged by the university area recipient and/or the president. Only the Office of Development and Advancement Services is authorized to generate official receipts to donors for tax reporting purposes. Gifts received by the university and made payable to any private support organization that has entered into a written agreement with the university must be forwarded to the Office of Development and Advancement Services for transfer and deposit.
6. All eligible matching gift requests will be processed by the Office of Development Advancement Services upon recording the original gift of the donor. If a matching gift proves to be ineligible, the matching gift form will be returned to the department submitting the request. The requesting donor and/or department will be notified.

Cross Reference: None

Receipts and Deposits(3.26)

Responsible for Implementation: Vice President for University Advancement

Contact for Revision: Vice President for University Advancement

Forms: Donation form, Gift-in-kind form (available in Office of Development Advancement Services)

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Travel

Policy Number: 3.29

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

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

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

Purpose of Policy (what does it do): This policy establishes regulations related to allowable expenditures for university business travel and identifies the SFA Travel Guidelines and the Textralvel website as the authoritative resources for travel laws and rules.

Reason 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:

Minor changes to formatting and placement of sentences.

Reviewers:

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

Original Implementation: October 31, 2000
Last Revision: July 24, 2018 October 26, 2020

Purpose

This policy establishes regulations related to allowable expenditures for university business travel and identifies the Stephen F. Austin State University (SFA) Travel Guidelines and the Textxtravel website maintained by the Texas Comptroller of Public Accounts as the authoritative resources for travel laws and rules.

Definitions

University business travel is travel undertaken for the benefit of the university, and should be planned and conducted to achieve maximum cost efficiency. Travel expenditures must be reasonable, necessary, appropriately documented and properly approved.

General

The university shall make every effort to minimize the amount of travel expenses paid and/or reimbursed, and to ensure that each travel arrangement is the most cost-effective considering all relevant circumstances. Travel expenditures must be reasonable, necessary, appropriately documented, and properly approved.

The Stephen F. Austin State University (SFA) Travel Guidelines are located on the university’s travel website. These guidelines apply to employees, students, and prospective employees traveling in a university capacity, except the president, members of the Board of Regents, and intercollegiate athletics. Travel by the president and Board of Regents will be made in accordance with applicable law. Travel related to intercollegiate athletics will be made in accordance with the Intercollegiate Athletics Policy and Procedure Manual.

The reimbursement limits stated in the SFA Travel Guidelines may be exceeded only if funds are available in, and the additional costs are charged to, a discretionary account controlled by the budget manager authorizing the additional expenditure. For this policy, discretionary funds shall be defined by the controller’s office. A list of funds that can be used for discretionary purposes will be published on the controller’s office website.

Employees traveling under contracts and grants (federal, state, local, or private) shall be reimbursed for travel expenses and allowances on the same basis as other university employees, except in those instances where the terms of the contract or grant specify travel guidelines and reimbursement rates which differ from university reimbursement rates.

Generally, the Texas Comptroller of Public Accounts (TCPA) is the authoritative source regarding travel. TCPA travel rules, Textxtravel, are located on the university’s travel website. In case of conflict between SFA Travel Guidelines and Textxtravel, SFA Travel Guidelines take precedence except where
state of Texas law prevails. The university president, at his/her discretion, may establish lower travel reimbursement rates than those –in Textravel. Travelers will be notified in advance of the effective date of any rate change. The university shall make every effort to ensure that travel expenses paid and/or reimbursed are reasonable and the most cost-effective considering all relevant circumstances.

A state employee is Travelers are responsible for ensuring that his or her the/their travel complies with applicable state law and SFA Travel Guidelines. Failure to comply may result in reimbursement delays and/or rejection of the employee’s traveler’s claim for travel reimbursement. Fraudulent travel claims will be grounds for disciplinary action, including dismissal/termination.


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: Travel Card (T-Card)

Policy Number: 3.30

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): This policy establishes guidelines and requirements for the issuance and use of a travel card (T-Card) for university business travel expenses.

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

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

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Formatting and minor wording changes.

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Travel Card (T-Card)

Original Implementation: October 27, 2014  
Last Revision: October 23, 2012, 2020

Purpose

This policy establishes guidelines and requirements for the issuance and use of university purchases using a travel card (T-Card) for university business travel expenses and related requirements and activities.

Definition

A Travel Card (T-Card) provides a payment method for official university business travel and travel related expenses and may not be used for any personal transactions. 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 Stephen F. Austin State University travel card (T-Card) is designed as a payment method for official university business travel and travel related expenses and may not be used for any personal transactions.

General

The T-Card will be issued in the name of the employee with the state of Texas seal and the wording ‘For Official Use Only’ clearly indicated on the card. Approved university employees may use the T-Card in accordance with the T-Card Program Guide and Travel Guidelines to pay for travel related expenses. The terms and conditions of the state travel card contract are specified and awarded by the Texas Comptroller of Public Accounts for the state of Texas. In addition to internal policies and procedures, SFA will comply with the terms and conditions of the state contract.

Responsibilities

The T-Card will be issued in the name of the SFA employee. The T-Card is to be used for official university business travel only and may not be used for any personal transactions. The cardholder is responsible and accountable for the security and documentation associated with the use of the T-Card and for complying with all policies and procedures related to the T-Card program. Department heads are responsible for ensuring that all employees issued a T-Card understand the departmental budget constraints under which they are to use the T-Card and the individual transaction and monthly limits of the T-Card. Documentation shall follow procedural requirements in the T-Card Program Guide.
The department head or his/her designee is responsible for: 1) designating departmental cardholders; 2) determining spending limits; 3) approving monthly reconciliations of T-Card cardholder statements; and 4) verifying charges and reviewing supporting documentation to ensure T-Card charges are within SFA policies and procedures and departmental budgets.

**T-Card Use by another Employee or Student**

The only person authorized to use the T-Card is the cardholder whose name appears on the card, unless the cardholder and department head have completed a T-Card Use form to allow other employees to use the card. The T-Card Program Guide provides detailed information regarding the use of the card by other employees or students.

**Training and Issuing Cards**

All department heads will be required to attend training and sign the Travel Cardholder Application/Approval Form before any cards will be issued to employees within the department. All employees who are issued a T-Card will be required to attend training and sign a Travel Card (T-Card) Holder/Banner User Agreement before issuance being issued a card. All cardholders will be required to comply with training requirements as outlined in the T-Card Program Guide.

**Travel Card Documentation**

The documentation identified in the T-Card Program Guide must be kept for three (3) years plus the current fiscal year to comply with the time retention period prescribed in the State of Texas Records Retention Schedule. These are the official university records and must be included as attachments when the expense reports are submitted. The receipts for T-Card charges will be required for processing the payment and for periodic audits.

**Card Termination**

Certain T-Card rule violations will may result in immediate deactivation or cancellation of the cardholder’s T-Card(s). The T-Card Program Guide lists violations and associated penalties. T-Cards will also be deactivated upon termination or transfer of the cardholder.

**Administrative Authority**

The department head or supervising dean, vice president, or president has the authority to request that the travel office deactivate or cancel an employee's card at any time if fraud or misuse is suspected. Any card so deactivated or cancelled may be reactivated or a new card issued only with approval by the position that originally requested the deactivation or cancellation. Audit services and the general counsel’s office have the authority to request that the travel office deactivate an employee’s card while transactions are being researched or investigated, or an audit is being
conducted. At the conclusion of the research, investigation, or audit, the card will be reactivated and/or appropriate action taken as specified herein and in the T-Card Program Guide.

**Fees**

A foreign transaction fee may be assessed by the credit card company in addition to all charges assessed by the bankcard associations. These fees may be paid by the university if the foreign travel is approved in advance of the charge. Fees associated with inappropriate card use, such as cash advances and convenience checks, will be the responsibility of the person making the charge.

**Cross Reference:** T-Card Program Guide; Travel Guidelines

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

**Contact for Revision:** Controller

**Forms:** Travel Cardholder Application/Approval Form; Travel Card (T-Card) Holder/Banner User Agreement; T-Card Use Form

**Board Committee Assignment:** Finance and Audit
 Academic and Student Affairs Committee
HOLIDAY SCHEDULE FOR 2020-2021

Explanation:

On July 21, 2020, the board of regents approved the 2020-2021 holiday schedule. For clerical purposes, an adjustment to the two days listed for the November paid leave needs to be updated. The 2020-2021 holiday schedule will read as:

Fourteen holidays are allowed by the state for 2020-2021. The following schedule will allow SFA to be closed for five working days at Thanksgiving, eight working days during Christmas, Martin Luther King, Jr Day, five working days during Spring Break, and Memorial Day which totals 20 days. Employees will be required to take two days paid leave on November 23 and 24, two days of paid leave on December 30 and 31, and two days of paid leave on March 11 and 12. Campus buildings will be closed for nine days during Thanksgiving week, 12 days during the Christmas break, and nine days during Spring Break, which will result in significant energy savings.

November 23-27  Thanksgiving Break
December 23-January 1  Christmas Break
January 18  Martin Luther King, Jr. Day
March 8-12  Spring Break
May 31  Memorial Day

Offices scheduled to be open: Admissions, Financial Aid, Registrar, Business, Housing, and UPD

Recommendation:

The administration recommends approval of the updated holiday schedule for 2020-2021 as presented.
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:

- Accessibility for Persons with Disabilities 2.2
- Concurrent and Dual Credit Enrollment Programs 6.9
- Information Security Management 14.1
- Staff Employment 11.5 (New)
- Student Organization Formation and Recognition 10.9
- Tuition Rebate 6.21
- University Logo and Seal 15.6
Policy Name: Accessibility for Persons with Disabilities

Policy Number: 2.2

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): Outlines university intent to comply with federal laws to provide reasonable accommodations to persons with disabilities.

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 major revisions. Responsible for policy implementation change from Vice President for University Affairs to Chief Diversity Officer due to divisional realignment.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Tiffany Rivers, Director of Disability Services
Michara Delaney-Fields, Chief Diversity Officer
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Accessibility for Persons with Disabilities

Original Implementation: Unpublished
Last Revision: October 23, 2020

Stephen F. Austin State University does not discriminate on the basis of disability in admission to, access to, or operations of its programs, services or activities, including hiring or employment practices.

The university is committed to providing equal opportunities in higher education to academically qualified students with disabilities who demonstrate a reasonable expectation of college success. Students with disabilities who attend SFA will be provided the same opportunity to actively engage in campus activities as all other students, to the extent reasonably possible. The university shares responsibility with the student for modifying campus facilities and programs to meet the individual needs of the student.

Compliance with Section 504 of the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act, as amended, is coordinated through the Office of Disability Services.

Department heads and directors, Unit heads have primary responsibility for providing access to programs and activities in their respective divisions and for seeking assistance to ensure physical access to the facilities in which those programs are offered. Disability services works directly with students with disabilities, individual faculty members, and academic departments in the provision of classroom accommodations, and assists other university departments in providing access and coordinating accommodations for programs, activities and services offered by the university outside the classroom.

SFA will make reasonable workplace accommodations for any employee having a known physical or mental impairment (policy 11.22). Requests for workplace accommodations are submitted to the director of human resources, who reviews and recommends reasonable workplace accommodations on a case-by-case basis.

Requests for housing accommodations for students with disabilities are submitted to the residence life department, which makes housing assignments based on individual need with assistance from disability services and a review committee if needed.

Requests for specific persons to provide academic accommodations will be given consideration based upon the requested person's employment qualifications and ability to satisfy uniform quality assurance standards. Persons who are involved in an ongoing relationship with, or are related within the second degree of affinity or the third degree of consanguinity to the student or employee with a disability, as defined by policy 11.16, may not receive compensation for providing services to that particular student or employee.
For specific information regarding provision of academic assistance, refer to policy 6.1, Academic Accommodation of Students with Disabilities.

For specific information regarding resolution of disagreements, refer to policy 6.6, Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities.

For specific information about workplace accommodations, refer to policy 11.22, Reasonable Workplace Accommodation for Disabilities.

For information regarding discrimination or harassment, refer to policy 2.11, Discrimination Complaints/Nondiscrimination.

For information on the use of service animals refer to policy 13.2, Animals on University Property.

Cross Reference: Discrimination Complaints/Nondiscrimination (2.11); Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities (6.6); Academic Accommodation of Students with Disabilities (6.1); Reasonable Workplace Accommodation for Disabilities (11.22); Animals on University Property (13.2); Nepotism (11.16); Compliance with the Americans with Disabilities Act and the ADA Amendments Act (2.5); Section 504 of the Rehabilitation Act of 1973, Pub. L. 93-112 (29 U.S.C. 701 et seq.); Americans with Disabilities Act of 1990, Pub. L. 101-336 (42 U.S.C. 12101 et seq.) as amended by the ADA Amendments Act of 2008, Pub. L. No. 110-325, 122 Stat. 3553.

Responsible for Implementation: Vice President for University Affairs, Chief Diversity Officer

Contact for Revision: Director of Disability Services

Forms: None

Board Committee Assignment: Academic and Student Affairs
Policy Name: Concurrent and Dual Credit Enrollment Programs

Policy Number: 6.9

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): Define enrollment programs with high schools.

Reason 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:

Updated wording.

Reviewers:

Erma Brecht, Executive Director of Enrollment Management
Damon Derrick, General Counsel
Concurrent and Dual Credit Enrollment Programs

Original Implementation: July 27, 1999
Last Revision: October 23, 2020

Students may enroll in concurrent and dual credit enrollment programs provided they meet the eligibility requirements as stated in the Texas Higher Education Coordinating Board rules and receive a recommendation by the student’s high school principal or high school counselor.

The dual credit enrollment program requires that the grade from the SFA course be used for completion of high school graduation requirements and college credit. The cost of the dual credit enrollment program will be established by the SFA Board of Regents. The concurrent enrollment program requires that the grade from the SFA course be used for college credit only. High school credit is not earned through this program. The cost of the concurrent enrollment program is full price for tuition and fees. Any The application fee for concurrent and dual credit enrollment programs is waived.


Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Executive Director of Enrollment Management

Forms: None

Board Committee Assignment: Academic and Student Affairs
Policy Name: Information Security Management

Policy Number: 14.1

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

Date of last revision, if applicable: 10/23/2017

Unit(s) Responsible for Policy Implementation: Information Technology Services

Purpose of Policy (what does it do): Texas Administration Code (TAC), §202.74 requires each institution of higher education to develop, document, and implement a university-wide information security program. To comply, ITS will maintain an ITS policy handbook, SFA Security Controls Catalog, and guidelines pertaining to data standards, data integrity, and security.

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:

Specific rationale for deletion of policy:

Additional Comments:

Wording clarification.

Reviewers:

Anthony Espinoza, Chief Information Officer
Brandon Stringfield, Chief Information Security Officer
Damon Derrick, General Counsel
Information Security Management

Original Implementation: October 23, 2017
Last Revision: October 23, 2020

Title 1 of the Texas Administration Code (TAC), §202.74 requires each institution of higher education to develop, document, and implement a university-wide information security program. To comply, the Department Division of Information Technology Services (ITS) will maintain an ITS policy handbook, SFA Security Controls Catalog, and guidelines pertaining to data standards, data integrity, and security. This information security program will apply to all information resources of the university to the extent required by applicable law, and the Chief Information Security Officer has the authority to apply and enforce this information security program to such information resources.

The ITS policy handbook establishes policies and procedures to align with the university’s mission, provide cost-effective protection of institutional data and information resources, respond to security-related issues associated with risks, and maintain consistency with federal, state, and local laws, policies, and procedures. The SFA Security Controls Catalog provides requirements for implementing policy and procedures that align with TAC 202. The Guidelines for Data Standards, Data Integrity and Security establish the proper measures for security, access, and integrity of university data managed electronically.

The chief information officer is designated as the president’s representative to comply with the responsibilities of TAC §202.70.


Responsible for Implementation: Chief Information Officer, President

Contact for Revision: Chief Information Officer, Chief Information Security Officer

Forms: None

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

Policy Name: Staff Employment

Policy Number: N/A

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): This policy establishes SFA’s employment process for staff, including those paid with grant and contract funds. It also establishes that the Department of Human Resources is responsible for developing staff employment policies and procedures. This policy does not include student or temporary staff employment.

Reason 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: Separate policies exist for temporary, faculty, and student employment. There is no policy for staff employment processes.

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

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

Original Implementation: October 26, 2020
Last Revision: None

Purpose

This policy establishes SFA’s employment process for staff, including those paid with grant and contract funds. It also establishes that the Department of Human Resources is responsible for developing staff employment policies and procedures. This policy does not include student or temporary staff employment.

Background

This policy describes employment practices and ensures that each employment action conforms to state statutes, university policies, fund availability, and university goals. All hiring decisions for vacant positions are made based on lawful, job-related, and non-discriminatory criteria and in keeping with Policy 2.11, Nondiscrimination, which prohibits unlawful discrimination on the basis of race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age, disability, genetic information, citizenship, and veteran status. Staff positions may be filled either by promoting or transferring a current employee or by hiring from outside the university.

The hiring process consists of identifying the vacancy and evaluating the need for the position; revising the job description as necessary; selecting a search committee; posting the vacant position; reviewing and screening applicants; conducting interviews; selecting a candidate; and finalizing the employment offer. For a general overview of the hiring process, see the human resources website.

Posting Vacant Positions

Vacant staff positions must be posted on the SFA careers website. Graduate assistant and casual (sporadic or short-term) positions do not have to be posted unless so desired. Positions are posted for at least the minimum number of days based on position and/or posting type as established by the Department of Human Resources. All staff postings that are posted externally are advertised on the jobs website hosted by the Texas Workforce Commission. Staff postings may be advertised on HigherEdJobs.com at the discretion of the hiring department. Advertisements in other locations are determined by the hiring department with the approval of human resources and university marketing communications.

Human resources maintains a bank of job posting templates that include each position’s description. Departments may request updates to job descriptions and posting templates prior to creating a posting, using a process determined by human resources. Hiring departments must provide position-specific information that is required by human resources before a position is approved to be posted. To help develop a viable candidate pool, the university may enter a contract with a hiring firm to fill positions, in which case applicants may be directed to apply for the position through other methods.
Training

Part of the posting creation process is the designation of a search committee to contribute to the hiring decision. Search committee training is required every two years for search committee members. Training information is contained in the learning management system.

Screening Candidates

A screening matrix is required for all staff positions. The hiring department is required to submit the screening matrix to human resources for approval prior to screening applicants. The matrix is designed to document justification for selecting applicants for an interview and all qualified applicants are to be included on the approved matrix. A sample screening matrix is available on the human resources website. If search committee members discover that a relationship with an applicant exists as defined by Policy 11.16, Nepotism, they must notify the search committee chair immediately.

Veteran’s Preference

In accordance with state law, an individual who qualifies for a veteran's employment preference is entitled to a preference in employment with or appointment to a state agency over other applicants for the same position who do not have a greater qualification.

Former Foster Child Preference

In accordance with state law, an individual who was under the permanent managing conservatorship of the Department of Family and Protective Services on the day preceding the individual’s 18th birthday is entitled to a preference in employment with a state agency over other applicants for the same position who do not have a greater qualification.

Interviewing

The hiring department is required to submit interview questions to human resources for approval prior to conducting interviews. Sample interview questions are available on the human resources website. All interview questions asked throughout the hiring process, to include phone and/or video interviews, must be job-related and approved by human resources.

Hiring of New Staff

The hiring department will submit a hiring proposal to hire the selected candidate through the SFA careers website. Information on completing the required steps to submit a hiring proposal is available on the human resources website. The hiring department has full discretion for placing a new employee's pay up to the midpoint of the salary grade. Hiring rates above the midpoint require approval by human resources before the verbal offer is extended to the candidate in accordance with Policy 12.2, Staff Compensation and Classification.

Accepted Employment Offer
Upon the candidate’s acceptance of an employment offer, human resources conducts a background check for all new staff employees and former employees with a break in service. After the background check is completed successfully, the hiring department should submit the appropriate electronic personnel action form (EPAF) to start the employee's job assignment. An EPAF submission is required before a new employee is permitted to start work.

Appointment of full-time exempt administrative/professional staff, changes in position status of full-time exempt administrative/professional staff, and temporary staff services are subject to the approval of the SFA Board of Regents as stated in Policy 1.4, Items Requiring Board of Regents Approval. Human resources provides new appointments and appointment changes to the coordinator of board affairs/compliance before each board meeting.

**Cross Reference:** Items Requiring Board of Regents Approval (1.4); Compliance with the Americans with Disabilities Act and the ADA Amendments Act (2.5); Nondiscrimination (2.11); Affirmative Action (11.1); Electronic Personnel Action Form (11.8); Employment of Persons with Criminal History (11.12); Fair Labor Standards (11.14); Nepotism (11.16); Reasonable Workplace Accommodation for Disabilities (11.22); Security-Sensitive Positions (11.25); Staff Compensation and Classification (12.2); Tex. Gov. Code Ch. 657

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

**Contact for Revision:** Human Resources

**Forms:** Departmental Checklist for Recruiting, Interviewing, and Hiring; Job Analysis Questionnaire (JAQ) form; Human Resources website

**Board Committee Assignment:** Academic and Student Affairs
Policy Name: Student Organization Formation and Recognition

Policy Number: 10.9

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

Date of last revision, if applicable: 10/1/2017

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

Purpose of Policy (what does it do): Recognizes the right of enrolled students to form voluntary organizations for purposes that are not forbidden by State or Federal law.

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: Update to department title and added dual credit students as eligible members to comply with the SACSCOC requirement that "all student support services are available to students enrolled in dual credit courses."

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Student Organization Formation and Recognition

Original Implementation: Unpublished
Last Revision: October 23, 2017, 2020

Stephen F. Austin State University recognizes the right of enrolled students to form voluntary organizations for purposes that are not forbidden by state or federal law.

Student organizations will be recognized with one of the following designations:

Temporary—designation given to proposed student organizations during their formation process. Temporary designations last no more than 90 days. Temporary organizations are not eligible for funding from the Student Organization Reserve Fund (SORF).

Probationary—newly formed student organizations are designated as probationary for a 12-month period. During this time, these groups may not use the name or registered marks of the university as a part of their name. Probationary organizations are not eligible for SORF Funding.

Recognized—organizations that have been in existence for at least 12 months and are in good standing with the Office of Student Engagement Programs. Recognized organizations are eligible for SORF Funding.

Sponsored—organizations sponsored by a university department and designated as such by the Office of Student Engagement Programs. Sponsored organizations are not eligible for SORF Funding.

In order to form a recognized student organization, a group must:

1. Have four (4) students (in good standing as defined by SFA General Bulletin) to act as incorporators who will be legally responsible for the formation of the organization. One of the four must be designated as the initial Registered Agent. The Registered Agent is the legal contact and spokesperson for the group. After an organization forms, the currently registered organizational president will be considered the organization’s Registered Agent.
2. Select an advisor from the faculty/administrative staff who is a benefits-eligible full-time university employee.
3. Complete required risk management training as administered by the Office of Student Engagement Programs with a minimum of four (4) officers participating.
4. Complete and submit all of the documents required in the Student Organization Formation Packet. This packet is available in the Office of Student Engagement Programs.
A group seeking recognition must not:

1. Be a commercial enterprise.
2. Be an unsolicited and/or unrecognized auxiliary of a larger organization.
3. Allow minors to become organizational members unless they are full-time enrolled students or dual credit students at Stephen F. Austin State University

Applications for recognition can be made at any time during the year. The Office of Student Engagement Programs may grant a group temporary recognition while they are finalizing their formation paperwork and securing an on-campus advisor. The length of temporary recognition shall be no more than 90 days.

The director of student engagement programs will review the application for recognition when it is complete and determine whether recognition is granted.

**REQUIREMENTS FOR MAINTAINING RECOGNITION**

The authority of an organization to function as a student organization may cease upon:

a. The removal or resignation of the advisor, unless a qualified replacement is registered within 90 days.

b. Violation by the organization of any rules or regulations of the university or state or federal law.

c. Failure by the organization, its officers or advisor(s) to adhere to the requirements set forth by the university.

d. The organization remaining in an inactive status for three or more long semesters.

e. Failure to provide acceptable documentation of affiliation with any parent organization when requested.

Students selected, elected, or appointed as a student organization officer (an officer is an individual in a leadership position as defined in the organization’s constitution) shall be in good standing with the university and:

For undergraduates, be enrolled for six (6) or more credit hours during their term of office.
For graduate students, be enrolled for four (4) or more credit hours during their term of office.

All meetings and activities of each student organization shall be subject to, and held under, all applicable university regulations and policies. Student organizations must abide by the policies and procedures set forth by the SFA Board of Regents including, but not limited to, the Student Code of Conduct.

Being recognized as a student organization is an awarded privilege, not a right, and requires responsibility on the part of the membership of the organization for meeting university requirements for student organizations.
All student organizations must register with the Office of Student Engagement Programs as often as is required. At the time of registration, all information requested on the registration documents must be supplied. A constitution that provides information on the structure, purpose and operation of the organization must be provided and kept on file in the Office of Student Engagement Programs, reaffirmed by the organization on an annual basis and updated whenever the document is revised.

A minimum of four (4) officers must complete the annual risk management training administered by the Office of Student Engagement Programs.

**RELATIONSHIP BETWEEN THE UNIVERSITY AND STUDENT ORGANIZATIONS**

Aside from the supervision exercised by university departments over the Student Activities Association, Student Government Association, Residence Hall Association, and certain other social and cultural activities conducted on the campus of Stephen F. Austin State University, the university recognizes registered student organizations as independent entities and assumes no responsibility or liability for their programs or activities. Some organizations, if closely connected with the activities of academic departments of the institution may, in some cases, receive special help and supervision from those departments.

To protect the student-led nature of student organizations, university employees may not serve in any officer role within the organization other than advisor without the written approval of the dean of student affairs. No employee of the university has the authority to open a bank account in the name of, or for the benefit of, any student organization nor should any employee be included as an allowable signatory on any off-campus bank account of any student organization. Student employees are exempted from these prohibitions.

The name of the university (including abbreviations) may not be used within the name or description of any off-campus banking account established and/or maintained by any student organization.

Responsibility for any views expressed in a meeting or activity of a student organization is solely that of the individuals concerned and the university is not to be held to approve or disapprove such views, whatever their nature. The university is to be concerned exclusively with the discharge of its educational obligation and to facilitate free discussion of all points of view to the extent constitutionally guaranteed.

**Cross Reference:** Stephen F. Austin State University Policy Manual; Student Handbook; U.S. Const. amend. I, XIV; Student Organization Risk Management Training (10.10)

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

**Contact for Revision:** Director of Student Engagement Programs
**Forms:** Student Organization Formation Packet

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

Policy Name: Tuition Rebate

Policy Number: 6.21

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): This policy affirms compliance with Texas Education Code requirements to rebate up to $1,000 of tuition for certain undergraduates.

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:

Formatting and minor wording changes.

Reviewers:

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

**Original Implementation:** January 30, 2001  
**Last Revision:** October 23, 2017

**Purpose**

This policy affirms compliance with Texas Education Code requirements to rebate up to $1,000 of tuition for certain undergraduates.

**General**

Section 54.0065 of the Texas Education Code authorizes a tuition rebate of up to $1,000 for certain undergraduates. The purpose of this program is to provide a financial incentive for students to complete their baccalaureate studies with as few courses outside the degree plan as possible. Minimizing the number of courses taken by students results in financial savings to students, parents, and the state.

To be eligible for a rebate under this program, a student must:

- have enrolled for the first time in an institution of higher education in the fall 1997 semester or later;
- request a rebate for coursework related to a first baccalaureate degree received from a general academic teaching institution;
- have been a resident of Texas as set forth under rules established by the Texas Higher Education Coordinating Board and have been entitled to pay resident tuition at all times while pursuing the degree;
- if enrolled for the first time in fall 2005 or later, graduate within four calendar years for a four-year degree program or within five calendar years for any program determined by the Texas Higher Education Coordinating Board to require more than four years to complete*; and
- have attempted no more than three hours in excess of the minimum number of semester credit hours required to complete the degree under the catalog under which the student graduated.

In addition to hours completed at SFA, hours attempted include:

- transfer credits
- course credit earned exclusively by examination (except the first nine semester credit hours are excluded)
- courses dropped after the official census date
- for-credit developmental courses
- optional internship and cooperative education courses
- repeated courses

Hours attempted exclude:
• course credit that is earned to satisfy requirements for a Reserve Officers’ Training Corps (ROTC) program but that is not required to complete the degree program for students graduating with a bachelor’s degree in December 2007 or later
• course credit, other than course credit earned exclusively by examination, that is earned before graduating from high school (i.e., dual credit hours earned in high school) (effective June 17, 2011)
• required teacher education courses to the extent that they are over and above the free electives allowed in the baccalaureate degree program (for students concurrently earning a baccalaureate degree and a Texas teaching certificate)
• courses dropped for reasons that are determined by the institution to be totally beyond the control of the student
• developmental or remedial education – pre-college, remedial courses if not taken for college credit

The amount of the tuition rebate is the lesser of $1,000 or the actual amount of undergraduate tuition paid by the student to SFA. If the amount paid to SFA is less than $1,000, the student may qualify for an increase in the amount of the rebate, not to exceed $1,000 by providing proof of tuition paid to other Texas institutions of higher education.

The rebate shall first be applied to any outstanding balance due to SFA, including outstanding charges on the student’s account, short-term loans or book loans owed to the university. Then, if the student has an outstanding student loan owed to or guaranteed by the state of Texas, the university shall apply the rebate to the student loan, and then pay the student any excess amount. If a student has more than one outstanding student loan owed to or guaranteed by the state of Texas, the university shall apply the amount of the rebate to the loans as directed by the student. If the student fails to provide timely instructions on the application of the amount, the university shall apply the amount of the rebate to retire the loans with the highest interest rates first.

Students wishing to apply for tuition rebates must do so at the time they apply for baccalaureate degrees by completing the information on the back of the graduation application form pertaining to the tuition rebate. Applications are available in the registrar's office.

The registrar's office will evaluate all applications and make a determination of rebate eligibility based on number of hours attempted as posted on the student's academic record. The registrar's office will provide the controller’s office with the names, addresses and social security numbers of all applicants eligible for tuition rebates. The controller’s office will review the list and make a determination of rebate eligibility based on amounts the student has paid the university for tuition. Within 60 days after graduation, the controller’s office will remit rebates to eligible students and the registrar's office will mail denial notices to ineligible students. Each notice will include the reason for denial. A student may appeal a denial decision to the Fiscal Appeals Panel in accordance with Student Fiscal Appeals (6.19). Information on the appeal process is available in the registrar's office. All appeals must be filed within 60 days of the university's written notification of denial.

* If enrolled for the first time in fall 2005 or later, a student may be eligible for a tuition rebate if the otherwise eligible student is awarded a baccalaureate degree but does not satisfy the time requirement solely as a result of a hardship or other good cause. The performance of active duty
military service by a student shall be recognized as “good cause.” Such student must follow the appeal procedures outlined in Student Fiscal Appeals (6.19) to be considered for the rebate.

**Cross Reference:** Tex Educ. Code § 54.0065; 19 Tex. Admin. Code §§ 13.80-.87; Student Fiscal Appeals (6.19)

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

**Contact For Revision:** Controller, Registrar

**Forms:** Graduation Application Form (available in the Registrar's Office)

**Board Committee Assignment:** Academic and Student Affairs
Policy Name: University Logo and Seal

Policy Number: 15.6

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): A clear and consistent identity system is vital to building and maintaining an entity's reputation, and the most commonly discussed element of a brand identity is the logo. Although the logo is not the only key to a strong brand – user experience and brand storytelling are equally important elements – the logo communicates the brand, even when it stands alone. This policy protects the SFA logo and seal, and its purpose is to ensure appropriate usage of both.

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Minor revisions for clarification.

Reviewers:

Shirley Luna, Executive Director of University Marketing Communications
Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel
University Logo and Seal

Original Implementation: Unpublished
Last Revision: October 23, 2026, 2020

Stephen F. Austin State University retains all rights to the use of its name and associated verbiages, as well as the university’s official seal, logo and other marks. Requests for the use of university logos and emblems on promotional items should be directed to the Department of Intercollegiate Athletics, where the request will be forwarded to the university’s contracted licensing agent. Licensing revenue is dedicated to support the university athletic department.

The official seal of Stephen F. Austin State University is reserved for use by the Office of the President and may be used by other SFA departments only with the permission of the Office of the President. It is used primarily on ceremonial and academic documents, such as commencement programs and diplomas.

The official university logo is the “spirit” logo with the letters SFA stacked diagonally across a graphic of the state of Texas. A star representing Nacogdoches is incorporated to the right of the letters.

The official seal of Stephen F. Austin State University is reserved for use by the Office of the President and may be used by other SFA departments only with the permission of the Office of the President. It is used primarily on ceremonial and academic documents, such as commencement programs and diplomas. A commercial seal is available for use for promotional purposes, but it should not be used in place of the official logo.

Official seal

Commercial seal

The official logo and seal of the university may be changed only by an official vote of the SFA Board of Regents. Guidelines regarding the use of SFA logos and wordmarks are available in the Identity Standards manual on the University Marketing Communications website.
This policy does not apply to the logos of student organizations.

**Cross Reference:** 15 U.S.C. § 1127; Tex. Bus. & Com. Code Ch. 16

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

**Contact for Revision:** Athletic Director, Executive Director of University Marketing Communications

**Forms:** SFA Art Approval Form

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

Former Student Regent – Zoe’ Smiley

Past Chair – Brigettee Henderson
SPECIAL RECOGNITION

Dr. Leslie Cecil

- Joined SFA 2007
- Received a BA from Baylor, MA from University of Montana and Ph.D. from Southern Illinois University.
- Served as chair of Anthropology, Geography & Sociology from 2015 – 2018
- Named Regents Scholar for 2020/2021
APPROVAL OF MINUTES OF JULY 19-21, 2020 (337) AND SEPTEMBER 11, 2020 (338) BOARD OF REGENTS MEETINGS

Explanation:

The minutes of the July 19, 20 and 21, 2020 regular videoconference meeting of the Board of Regents (Meeting 337) and September 11, 2020 special called videoconference meeting (Meeting 338) are included in this report.

Recommendation:

It is recommended by the administration that the minutes of the July 19, 20 and 21, 2020 (337) and September 11, 2020 (338) meetings be approved as presented.
Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS

Nacogdoches, Texas
July 19-21, 2020
Volume 337
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**BOARD OF REGENTS MEETING 337**

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Appendix 3 – Audit Plan for 2020-21

Appendix 4 – HEF Allocation

Appendix 5 – Summer 2020 Course Fee Deletions

Appendix 6 – Grant Awards
Sunday, July 19, 2020

The meeting of the Board of Regents was called to order in open session at 2:08 p.m. by Chair Alton Frailey.

PRESENT ON VIDEOCONFERENCE:

Board Members:  Mr. Alton Frailey, Chair
                 Mrs. Karen Gantt, Vice Chair – Joined at 2:23 p.m.
                 Mr. Tom Mason, Secretary
                 Mr. David Alders
                 Dr. Scott Coleman
                 Mr. Robert Flores
                 Mrs. Brigettee Henderson
                 Mrs. Judy Olson
                 Mrs. Jennifer Winston
                 Ms. Ireland Bramhall, Student Member

General Counsel:  Mr. Damon Derrick

President:       Dr. Scott Gordon

Cabinet:         Dr. Steve Bullard
                 Mr. Anthony Espinoza
                 Dr. Danny Gallant
                 Mr. Ryan Ivey
                 Mrs. Jill Still
                 Dr. Steve Westbrook

Other SFA administrators and staff were in attendance online.

Chair Frailey called the meeting into executive session at 2:15 p.m. to consider the following items:

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

Firewall Audit
Report from chief information officer

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints; EEOC charges; Marcella Cook v. SFASU et al; and Ann Wilder, Ph.D. 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, chief diversity officer, general counsel, chief audit executive, coordinator of board affairs/compliance, vice presidents and the president (Texas Government Code, Section 551.074)

Board Evaluations

The executive session ended at 5:50 p.m. The Board of Regents videoconference meeting returned to open session and recessed to Monday, July 20, at 8:00 a.m.
**Monday, July 20, 2020**

The annual meeting of the Board of Regents was called to order in open session via videoconferencing at 8:00 a.m. by Chair Alton Frailey.

**Board Members:**
- Mr. Alton Frailey, Chair
- Mrs. Karen Ganit, Vice Chair
- Mr. Tom Mason, Secretary
- Mr. David Alders – Joined at 8:09 a.m.
- Dr. Scott Coleman
- Mr. Robert Flores
- Mrs. Brigette Henderson
- Mrs. Judy Olson
- Mrs. Jennifer Winston
- Ms. Ireland Bramhall, Student Member

**General Counsel:**
- Mr. Damon Derrick

**President:**
- Dr. Scott Gordon

**Cabinet:**
- Mrs. Erma Brecht
- Dr. Steve Bullard
- Mr. Anthony Espinoza
- Dr. Danny Gallant
- Mr. Ryan Ivey
- Mrs. Jill Still
- Dr. Steve Westbrook

Other SFA administrators and staff were in attendance online.

Dr. Scott Gordon presented the update on the SFA Envisioned Strategic Plan and the New University Model. Dr. Gordon and cabinet members provided an update on the Open SFA/COVID-19 plan.

*The board recessed at 10:15 a.m. to committee meetings. The Building and Grounds Committee convened at 10:18 a.m.*

Dr. Danny Gallant provided the Construction Report to the board.

*The board recessed the Building and Grounds Committee meeting at 10:35 a.m. The Finance and Audit Committee convened at 10:36 a.m.*

Gallant presented the Contract Monitoring Report to the board.

*The board recessed the Finance and Audit Committee meeting at 11:36 a.m. for lunch. The Finance and Audit Committee reconvened at 12:59 p.m. via videoconference.*
The board recessed the Finance and Audit Committee meeting at 2:41 p.m. The Academic and Student Affairs Committee convened at 2:58 p.m.

Dr. Steve Westbrook and Police Chief John Fields presented the SFA University Police Department Racial Profiling Report to the board.

The board recessed the Academic and Student Affairs Committee at 3:25 p.m. and recessed committee meetings.

Chair Frailey called the meeting into executive session at 3:27 p.m. to consider the following items:

Deliberations Regarding the Deployment, or Specific Occasions for Implementation, of Security Personnel or Devices (Texas Government Code, Section 551.076)
   - Firewall Audit
   - Report from chief information officer

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints; EEOC charges; Marcella Cook v. SFASU et al; and Ann Wilder, Ph.D. 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, chief diversity officer, general counsel, chief audit executive, coordinator of board affairs/compliance, vice presidents and the president (Texas Government Code, Section 551.074)
   - Board Evaluations

The executive session ended at 4:41 p.m. The Board of Regents videoconference meeting returned to open session and recessed to Tuesday, July 21, at 9:00 a.m.
Tuesday, July 21, 2020

The annual meeting of the Board of Regents was called to order in open session via videoconferencing at 9:02 a.m. by Chair Alton Frailey.

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

General Counsel: Mr. Damon Derrick

President: Dr. Scott Gordon

Cabinet: Mrs. Erma Brecht
Dr. Steve Bullard
Mr. Anthony Espinoza
Dr. Danny Gallant
Mr. Ryan Ivey
Mrs. Jill Still
Dr. Steve Westbrook

Other SFA administrators and staff were in attendance online. The pledge was offered by ROTC Cadet Cody Abshire. Regent Mason offered the invocation.

APPROVAL OF MINUTES

BOARD ORDER 20-57
Upon motion by Regent Henderson, seconded by Regent Coleman, with all members voting aye, it was ordered that the minutes of Meeting 335, April 17-18, 2020, regular meeting of the Board of Regents and minutes of Meeting 336, June 23, 2020, special called meeting of the Board of Regents be approved as presented.

ADMINISTRATION

BOARD ORDER 20-58
Upon motion by Regent Winston, seconded by Regent Alders, with all members voting aye, it was ordered that the following item be approved.

ELECTION OF THE GENERAL COUNSEL FOR 2020-21
A performance evaluation was conducted, and Damon Derrick was re-elected general counsel for 2020-2021, effective September 1, 2020, under current employment terms.
BOARD ORDER 20-59
Upon motion by Regent Olson, seconded by Regent Mason, with all members voting aye, it was ordered that the following item be approved.

ELECTION OF THE CHIEF AUDIT EXECUTIVE FOR 2020-21
A performance evaluation was conducted, and Gina Oglesbee was re-elected chief audit executive for 2020-2021, effective September 1, 2020, under current employment terms.

BOARD ORDER 20-60
Upon motion by Regent Coleman, seconded by Regent Winston, with all members voting aye, it was ordered that the following item be approved.

ELECTION OF THE PRESIDENT FOR 2020-21
A performance evaluation was conducted, and Scott Gordon was re-elected president for 2020-2021, effective September 1, 2020, under current employment terms.

BOARD ORDER 20-61
Upon motion by Regent Coleman, seconded by Regent Alders, with all members voting aye, it was ordered that the following item be approved.

ELECTION OF THE COORDINATOR OF BOARD AFFAIRS/COMPLIANCE FOR 2020-21
A performance evaluation was conducted, and April Smith was re-elected coordinator of board affairs/compliance for 2020-2021, effective September 1, 2020, under current employment terms.

BOARD ORDER 20-62
Upon motion by Regent Alders, seconded by Regent Flores, with all members voting aye, it was ordered that the following item be approved.

ADOPTION OF BOARD EVALUATION

WHEREAS, the board members considered the following: The university’s accrediting body, the Southern Association of Colleges and Schools Commission on Colleges and the Board of Regents Rules and Regulations require that the Board of Regents conduct a self-evaluation of its responsibilities and expectations. This evaluation is to consider the principles of board governance, applicable state law, the Board rules, and the university’s mission statement and strategic plan.

THEREFORE, it was ordered that following discussion and evaluation, the Board of Regents adopt the completed Self-Evaluation as presented in Appendix 1.

PERSONNEL

BOARD ORDER 20-63
Upon motion by Regent Alders, seconded by Regent Coleman, with all members voting aye, it was ordered that the following personnel items be approved.

STAFF APPOINTMENTS
The following staff appointments were approved.
ATHLETICS
Marcus Walker, Assistant Football Coach at an annual salary of $40,000 for 100-percent time, effective 6/4/2020.

CHARTER SCHOOL
Ande Wallace, Teacher Charter School at a 10 month salary of $41,150 for 100-percent time, effective 9/1/2020.

GENERAL COUNSEL
Tanner Boyd, Assistant General Counsel at an annual salary of $70,000 for 100-percent time, effective 7/21/2020.

Colleen Gallagher, Assistant General Counsel at an annual salary of $90,000 for 100-percent time, effective 7/21/2020.

PHYSICAL PLANT
Deborah Rossler, Construction Project Manager, at an annual salary of $66,000 for 100-percent time, effective 6/16/2020.

FACULTY APPOINTMENTS
The following faculty appointments were approved.

JAMES I. PERKINS COLLEGE OF EDUCATION
Tonya Jeffery, EDD (University of Houston) Assistant Professor of Education Studies at an academic salary of $62,000 for 100-percent time, effective 9/1/2020.

Kevin Jones, PhD (Texas A&M University), Assistant Professor of Education Studies at an academic salary of $63,000 for 100-percent time, effective 9/1/2020.

Jill Pruett, MS (Stephen F. Austin State University), Clinical Instructor of Human Sciences at an academic salary of $58,000 for 100-percent time, effective 9/1/2020.

Elaine Turner, PhD (Stephen F. Austin State University), Assistant Professor of Human Services and Educational Leadership at an academic salary of $65,000 for 100-percent time, effective 9/1/2020.

Robyn Whitehead, PhD (University of the Rockies), Assistant Professor of Kinesiology at an academic salary of $60,000 for 100-percent time, effective 9/1/2020.

COLLEGE OF FINE ARTS
Margaret Fay, DMA (Indiana University), Visiting Assistant Professor of Music at an academic salary of $50,000 for 100-percent time, effective 9/1/2020.

James Taylor, MFA (Stephen F. Austin State University), Lecturer-Sound Recording Technology at an academic salary of $40,000 for 100-percent time, effective 9/1/2020.
COLLEGE OF LIBERAL AND APPLIED ARTS
Christine Bishop, MSW (Loyola University, Chicago), Assistant Professor of Social Work at an academic salary of $54,650 for 100-percent time, effective 9/1/2020.

Ronald Rush, PhD (Louisiana State University), Assistant Professor of Social Work at an academic salary of $54,425 for 100-percent time, effective 9/1/2020.

Gregory Smith, PhD (University of South Florida), Lecturer for Languages, Cultures and Communication at an academic salary of $40,000 for 100-percent time, effective 9/1/2020.

Spencer Willardson, PhD (University of Iowa), Assistant Professor of Government at an academic salary of $55,000 for 100-percent time, effective 9/1/2020.

COLLEGE OF SCIENCES AND MATHEMATICS
Jordan Baker, MN (Texas A&M University), Clinical Instructor of Nursing at an academic salary of $55,000 for 100-percent time, effective 9/1/2020.

Morgan Benton, BSN, (Stephen F. Austin State University), Clinical Instructor of Nursing at an academic salary of $45,000 for 100-percent time, effective 9/1/2020.

Sherry Cheever, MSN (University of Texas Health Science Center), Clinical Instructor of Nursing at an academic salary of $55,000 for 100-percent time, effective 9/1/2020.

Ashley Goar, MSN (University of Texas, Houston), Clinical Instructor of Nursing at an academic salary of $55,000 for 100-percent time, effective 9/1/2020.

Dipak Singh, B.Tech (National Institute of Technology, India), Assistant Professor of Computer Science at an academic salary of $87,450 for 100-percent time, effective 9/1/2020.

CHANGES OF STATUS
The following changes of status were approved.

ATHLETICS
Aidan Pool, from Athletic Training Medical, Graduate Assistant at a 9 month salary of $8,050, 50-percent time, to Athletic Trainer at an annual salary of $43,000 for 100-percent time, effective 6/1/2020.

Kyle Keller, Head Coach for Men’s Basketball Operations. 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.

JAMES I. PERKINS COLLEGE OF EDUCATION
Ginney Love Watkins, from Early Childhood Lab, Master Teacher at an annual salary of $50,703, 100-percent time, to Human Sciences, Visiting Assistant Professor at an annual salary of $55,000 for 100-percent time, effective 9/1/2020.

Chay Runnels, from Human Sciences, Associate Professor at a 9 month salary of $78,078, 100-percent time, to Interim Director at a 9 month salary of $78,078, 100-percent time with an additional
stipend of $1,000 per month for 3 months, effective 6/1/2020.

Kelly Finnerud, from Charter School, Teacher Aide/Substitute Teacher at a 10 month salary of $30,539, 100-percent time, to Teacher at a 10 month salary of $41,000, 100-percent time, effective 9/1/2020.

**Human Resources**

Lisa Balty, from Human Resources, Human Resources Representative at an annual salary of $43,217 100-percent time, to Senior Human Resources Representative at an annual salary of $50,000 for 100-percent time, effective 7/1/2020.

Kimberly Odoms, from Human Resources, Human Resources Specialist III at an annual salary of $40,417 100-percent time, to Senior Human Resources Representative at an annual salary of $47,500 for 100-percent time, effective 7/1/2020.

Deja Peterson, from Human Resources, Human Resources Representative at an annual salary of $43,217 100-percent time, to Senior Human Resources Representative at an annual salary of $50,000 for 100-percent time, effective 7/1/2020.

John Wyatt, from Human Resources, Assistant Director, at an annual salary of $81,902 100-percent time, to Associate Director at an annual salary of $85,000 for 100-percent time, effective 7/1/2020.

**College of Sciences and Mathematics**

James Langford, from Biology/Pre Professional Programs, Associate Professor/Director of Pre Professional Programs at a 9 month salary of $74,838, 100-percent time, to Interim Chair at a 9 month salary of $74,838, 100-percent time, with an additional stipend of $1,000 per month for 2 months, effective 7/1/2020.

Jeremy Becnel, from Mathematics and Statistics, Professor at a 9 month salary of $75,133, 100-percent time, to Computer Sciences, Professor at a 9 month salary of $100,000 for 100-percent time, effective 9/1/2020.

Matthew Beauregard, from Mathematics and Statistics, Professor at a 9 month salary of $78,424, 100-percent time, to Physics, Engineering and Astronomy, Interim Chair, at a 9 month salary of $78,424, 100-percent time, with an additional stipend of $1,000 per month for 3 months, effective 6/1/2020.

**Faculty Promotions**
The following faculty promotions were approved.

To Assistant Professor, effective fall semester 2020.
Elizabeth Gound Elementary Education

To Professor Emeritus, effective fall semester 2020.
Gary Kronrad Forestry and Environmental Science
FACULTY DEVELOPMENT LEAVE FOR 2020-21
The following faculty development leave for 2020-21 were approved.

Spring 2021  Jane Long  Mathematics and Statistics

RETIREMENTS
The following retirements were approved.

<table>
<thead>
<tr>
<th>Retiree Name</th>
<th>Department</th>
<th>Title</th>
<th>Retirement Date</th>
<th>Service to SFA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Neill Armstrong</td>
<td>Secondary Education</td>
<td>Associate Professor</td>
<td>8/31/2020</td>
<td>16 years</td>
</tr>
<tr>
<td>Larry Bishop</td>
<td>English and Creative Writing</td>
<td>Adjunct Faculty</td>
<td>5/31/2020</td>
<td>18 years</td>
</tr>
<tr>
<td>Regina Brown</td>
<td>School of Nursing</td>
<td>Clinical Instructor</td>
<td>8/31/2020</td>
<td>15 years</td>
</tr>
<tr>
<td>Deborah Cady</td>
<td>Human Services</td>
<td>Clinical Instructor</td>
<td>8/31/2020</td>
<td>9 years</td>
</tr>
<tr>
<td>Jere Jackson</td>
<td>Center for East Texas Studies</td>
<td>Director East TX Studies</td>
<td>8/31/2020</td>
<td>50 years</td>
</tr>
<tr>
<td>Gary Kronrad</td>
<td>Forestry</td>
<td>Professor</td>
<td>8/31/2020</td>
<td>31 years</td>
</tr>
<tr>
<td>Marcus Madden</td>
<td>University Police Department</td>
<td>Lieutenant</td>
<td>5/31/2020</td>
<td>12 years</td>
</tr>
<tr>
<td>Lynda Martin</td>
<td>Human Sciences</td>
<td>Chair/Professor</td>
<td>5/31/2020</td>
<td>17 years</td>
</tr>
<tr>
<td>Cynthia McCarley</td>
<td>School of Nursing</td>
<td>Associate Professor</td>
<td>8/31/2020</td>
<td>30 years</td>
</tr>
<tr>
<td>Karren Price</td>
<td>Government</td>
<td>Associate Professor</td>
<td>12/31/2020</td>
<td>13 years</td>
</tr>
<tr>
<td>Robbie Steward</td>
<td>Human Services</td>
<td>Chair/Professor</td>
<td>8/31/2020</td>
<td>10 years</td>
</tr>
</tbody>
</table>

ACADEMIC AND STUDENT AFFAIRS COMMITTEE

BOARD ORDER 20-64
Upon motion by Regent Henderson, seconded by Regent Mason, with all members voting aye, it was ordered that the following academic and student affairs item be approved.

APPROVAL OF CURRICULUM CHANGES FOR 2020-21

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

THEREFORE, it was ordered that the undergraduate and graduate curriculum changes as presented to be effective fall 2020.

<table>
<thead>
<tr>
<th>Change</th>
<th>College</th>
<th>Course/Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate Course Addition</td>
<td>Forestry and Agriculture</td>
<td>AGRI 5325 - Seminar on Wheels</td>
</tr>
<tr>
<td>Graduate Course Modifications</td>
<td>College of Education</td>
<td>EDLE 6350 - Synthesis Seminar I</td>
</tr>
<tr>
<td>Graduate Course Deletion</td>
<td>Education</td>
<td>ELE 560 - Technology and Curriculum</td>
</tr>
</tbody>
</table>
Graduate Program Addition | Education | Educational Leadership, Athletic Director, M.Ed.
---|---|---
Undergraduate Program Modification | Forestry and Agriculture | B.S. in Spatial Science (addition of new concentration in Cultural Resources)
Undergraduate Course Modification | Liberal and Applied Arts | GEOG 2021 - Introduction to Geographic Information Systems Lab
Undergraduate Course Modification | Liberal and Applied Arts | SUST 3330 - Fundamentals of Sustainability
Undergraduate Course Modification | Business | MGMT 3195 - Career Planning

**BOARD ORDER 20-65**
Upon motion by Regent Henderson, seconded by Regent Coleman, with all members voting aye, it was ordered that the following academic and student affairs item be approved.

**APPROVAL OF LOW PRODUCING PROGRAMS**

**WHEREAS,** the board members considered the following: The Texas Higher Education Coordinating Board, in accordance with Texas Education Code, Chapter 61, Subchapter C, Section 61.0512 (f), and pursuant to Texas Administrative Code Title 19, Chapter 4, Subchapter R, Rules 4.285 to 4.290, conducted the annual review of Low-Producing Degree Programs.

Standards for numbers of graduates of Low-Producing Degree Programs are:
- fewer than 25 graduates in a 5 years for undergraduate programs,
- fewer than 15 graduates in 5 years for master’s programs, and
- fewer than 10 graduates in 5 years for doctoral programs.

After the review of SFA programs, the Coordinating Board staff recommended the following programs for consolidation or closure:

<table>
<thead>
<tr>
<th>List of Low Producing Programs Three Years in a Row</th>
<th>Number of Graduates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Year 2020 Review</td>
<td>AY 13</td>
</tr>
<tr>
<td>Forestry, Ph.D.</td>
<td>1</td>
</tr>
<tr>
<td>School Mathematics Teaching, M.S.</td>
<td>0</td>
</tr>
<tr>
<td>Philosophy, B.A.</td>
<td>6</td>
</tr>
<tr>
<td>Economics, B.A.</td>
<td>2</td>
</tr>
</tbody>
</table>

If a governing board does not accept the recommendation, the institution must identify the programs recommended for consolidation or closure on its next Legislative Appropriation Request (LAR). An institution must develop a plan for the degree program to achieve the minimum standard for the degree awarded, or if the standard is not attainable, the institution needs to provide a rationale describing the merits of continuing the degree program.
THEREFORE, it was ordered that the following actions for SFA low producing programs:

<table>
<thead>
<tr>
<th>List of Low Producing Programs Three Years in a Row</th>
<th>Program Request</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Year 2020 Review</td>
<td></td>
</tr>
<tr>
<td>Forestry, Ph.D.*</td>
<td>Continue</td>
</tr>
<tr>
<td>School Mathematics Teaching, M.S.**</td>
<td>Continue</td>
</tr>
<tr>
<td>Philosophy, B.A.***</td>
<td>Continue</td>
</tr>
<tr>
<td>Economics, B.A.****</td>
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*The Forestry Ph.D. is the only program of its kind in the state, and thus merits unique consideration. It operates at minimal additional cost to the undergraduate and master’s degrees the Forestry program delivers. Finally, the program has been streamlined to reduce the number of dissertation hours necessary to complete it, and more assistantship funding has been created. There is not a similar program with which it can be consolidated.

**The M.S. in School Mathematics Teaching (MSSMT) has already been redesigned as a web-based program in order to increase enrollment, and the creation of the new undergraduate JacksTeach program for STEM disciplines will provide a recruitment pathway into the MSSMT. Eliminating the program would not reduce faculty lines in Mathematics, which are needed to teach core and foundational mathematics courses and staff the B.S. for Sciences and Mathematics and the M.S. in Mathematical Sciences. Therefore, no cost savings would be netted by closing the program. There is not a similar program with which it can be consolidated.

***The B.A. in Philosophy has recently been restructured to include a new track in religious studies. According to the Texas Workforce Commission, employment for religious activities and education directors is projected to increase by 14% in Texas over the coming years, and the new track will provide a pathway into religious professions. Also, the philosophy faculty launched a new degree, the B.A./B.S. in Medical Humanities, in the Fall 2019 term in order to increase the credit hour production of the unit. Finally, philosophy faculty teach valuable core curriculum courses (Introduction to Philosophy and Ethics) at relatively low cost. In fact, the salary cost per semester credit hour for philosophy faculty is $89, compared to $252 for nursing faculty, $206 for music faculty, and $146 for accounting faculty. There is not a similar program with which it can be consolidated.

****The B.A. in Economics provides students with the option of majoring in economics without having to obtain a business degree. As the same courses are necessary for the Business Economics major leading to a BBA, no cost savings would be realized by closing the B.A. in Economics.

BOARD ORDER 20-66
Upon motion by Regent Henderson, seconded by Regent Winston, with all members voting aye, it was ordered that the following academic and student affairs item be approved.

APPROVAL OF HOLIDAY SCHEDULE FOR 2020-21
WHEREAS, the board members considered the following: Fourteen holidays are allowed by the state for FY2021. The following schedule will allow SFA to be closed for five working days at Thanksgiving, eight working days during Christmas, Martin Luther King, Jr Day, five working days during Spring Break, and Memorial Day which totals 20 days. Employees will be required to take two days paid leave on November 26 and 27, two days of paid leave on December 30 and 31, and two days of paid leave on March 11 and 12. Campus buildings will be closed for nine days during Thanksgiving week, 12 days during the Christmas break, and nine days during Spring Break, which will result in significant energy savings.

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<tr>
<td>November 23-27</td>
<td>Thanksgiving Break</td>
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<tr>
<td>December 23-January 1</td>
<td>Christmas Break</td>
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<td>January 18</td>
<td>Martin Luther King, Jr. Day</td>
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<tr>
<td>March 8-12</td>
<td>Spring Break</td>
</tr>
<tr>
<td>May 31</td>
<td>Memorial Day</td>
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Offices scheduled to be open: Admissions, Financial Aid, Registrar, Business, Housing, and UPD

THEREFORE, it was ordered that the holiday schedule for FY2021 be approved as presented.

BOARD ORDER 20-67
Upon motion by Regent Henderson, seconded by Regent Flores, with all members voting aye, it was ordered that the following academic and student affairs items be approved.

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

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

- Academic Advising for Undergraduate Students 6.2.
- Course Fees 3.8
- Curriculum Reviews, Modifications and Approvals 5.7
- Developmental Education and the Texas Success Initiative 5.8.
- Discrimination Complaints 2.11
- Hazing 10.3.
- Parking and Traffic Regulations 13.14
- Part-time Faculty 7.21
- Public and Student Health 13.16.
- Records Management 2.9.
- Reduction in Force of Non-Academic Employees 11.23
- Sexual and Gender-Based Discrimination, Violence, Harassment, and Misconduct 2.13.
- Student Code of Conduct 10.4.
- Student Internships 11.29.
- Telecommuting 11.27
- Undergraduate Admission and Credits 6.20
- Volunteer Workers 11.32.
BUILDING AND GROUNDS COMMITTEE

BOARD ORDER 20-68
Upon motion by Regent Alders, seconded by Regent Olson, with all members voting aye, it was ordered that the following buildings and grounds item be approved.

APPROVAL OF MUSIC AND BOYNTON UTILITY SYSTEM UPGRADE

WHEREAS, the board members considered the following: At the July 23, 2019 meeting, the regents approved a $3.5 million piping system to link the Griffith Fine Arts Building and the new fine arts facilities with the current Power Plant 1 utility distribution system. To provide additional support for the fine arts facilities, it is necessary to upgrade the Power Plant 1 utility distribution system by adding chillers, cooling towers, and pumps and include the Wright Music Building and Boynton Building in the upgrades. To do so, an additional chiller, cooling tower, and pumps are required at Power Plant 1.

Additional hydronic piping to connect Music and Boynton is also required. This proposal will add an additional chiller to Power Plant 1, remove the old inefficient energy equipment in both Boynton and Music, and connect both buildings to the hydronic piping system. Site work, installation, and flood mitigation, will be included in the utility infrastructure upgrade. In total, two chillers, two cooling towers, and additional pumps will be added to Power Plant 1. The utility system upgrades will provide more efficient and effective utility equipment for the buildings, and add chiller back-up redundancy.

THEREFORE, it was ordered that HEF funding, at a cost not to exceed $2,000,000, be utilized to upgrade Power Plant 1 and associated utility infrastructure and distribution system.

BOARD ORDER 20-69
Upon motion by Regent Alders, seconded by Regent Henderson, with all members voting aye, it was ordered that the following buildings and grounds item be approved.

APPROVAL OF EDUCATION AND GENERAL Roof Replacement AND REPAIR

WHEREAS, the board members considered the following: The SFA Physical Plant Department maintains a condition inventory of campus education and general (E&G) roofs. The Lucille E. Norton Health and Physical Education (HPE) Building and complex contains the Kinesiology Department and serves as the hub for various university functions. The building contains 70,000 square feet, was last reroofed in 1985, its warranty is expired, and it is nearing the end of its useful life. The recommendation is to split the re-roofing in two phases to spread the cost over a period of years. Phase 1 of the HPE roof is estimated to cost $450,000. In addition, various E&G roofs require more than regular preventative maintenance to extend their lives. The estimated cost to maintain these roofs is $150,000.

THEREFORE, it was ordered that HEF funding, at a cost not to exceed $600,000, be utilized to fund HPE Phase 1 roof replacement as well as replace and/or repair education and general roofs.

BOARD ORDER 20-70
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 STRENGTH AND CONDITIONING ROOM RENOVATION AND EQUIPMENT PURCHASE

WHEREAS, the board members considered the following: At the April 24, 2018 meeting, in anticipation of a fitness and conditioning need for the basketball teams, the regents approved a $725,000 project to renovate and equip a fitness room in the coliseum, using designated fund balance. At the October 29, 2018 meeting, the regents approved a bond issue that included a basketball practice facility. The new facility will contain a fitness and workout space for the basketball teams. Therefore, the original space dedicated to fitness and condition is not needed.

Work completed on the initial conditioning facility included lead abatement and space preparation. Total expenditures for the original fitness room are $27,369. Since the new basketball performance facility will contain a fitness and conditioning space, the original fitness space is no longer needed for that purpose. The current balance in the project account is $724,387.28.

THEREFORE, it was ordered the closure of the Basketball Strength and Conditioning Room Renovation and Equipment Purchase Project, and the entire account balance be returned to the designated fund balance.

BOARD ORDER 20-71
Upon motion by Regent Alders, seconded by Regent Flores, 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 2:

Kennedy Auditorium 16.14
Use of Amplified Sound on Campus Grounds 16.31

BOARD ORDER 20-72
Upon motion by Regent Alders, seconded by Regent Winston, with all members voting aye, it was ordered that the following buildings and grounds items be approved.

APPROVAL OF NAMING OF RESOURCE ROOM (ROOM 203B) AND THE CORRECTION OF THE RESOURCE ROOM (ROOM 203A) ON THE SECOND FLOOR, ED AND GWEN COLE SCIENCE, TECHNOLOGY, ENGINEERING AND MATHEMATICS (STEM) BUILDING

WHEREAS, the board members considered the following: In accordance with Board Rules and Regulations and university policy 1.5, Naming Guidelines, buildings and other facilities may be named for persons, both living and deceased, who make a significant donation to the university. The board will consider the appropriate naming of a resource and common room located on the second floor of the Ed and Gwen Cole Science, Technology, Engineering and Mathematics (STEM) Building located at 1720 Clark Boulevard, which houses the College of Sciences and Mathematics
STEM programs on the campus of Stephen F. Austin State University.

The board members also considered that at the January 28, 2020 meeting, the board approved naming the resource room (Room 203A) the Harry D. Downing Physics Resource Room. At the request of Dr. Harry Downing, the board will consider changing the name of the room to the Harry and Carolyn Downing PRC (Physics Resource Commons).

THEREFORE, it was ordered that the resource room (Room 203A) located on the second floor of the Ed and Gwen Cole STEM Building on the campus of Stephen F. Austin State University be renamed the Harry and Carolyn Downing PRC (Physics Resource Commons).

It was also ordered that the Board of Regents name the resource and common room (Room 203B) located on the second floor of the Ed and Gwen Cole STEM Building on the campus of Stephen F. Austin State University in honor of Harry Downing and the late Carolyn Downing. It is further recommended that the following resolution be adopted:

WHEREAS, Harry Downing is a 45-year tenured faculty member and was a long-standing department chair of 31 years in the Department of Physics, Engineering and Astronomy at Stephen F. Austin State University. His wife of 54 years, the late Carolyn Downing, was a nurse for 26 years; 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. It is his desire to provide such a dedicated “cubby space” for engineering students at the university; and

WHEREAS, Harry and Carolyn Downing established the Carolyn and Harry Downing Nursing Scholarship and the Harry and Carolyn Downing Physics Scholarship; 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

WHEREAS, in their loyal dedication to SFA through generous gifts of support and standards of excellence, he is honoring Carolyn’s memory and 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 203B situated on the second floor of the Ed and Gwen Cole STEM Building the Harry and Carolyn Downing ERC (Engineering Resource Commons).

**BOARD ORDER 20-73**
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 NAMING OF THE MEN’S BASKETBALL PLAYER’S LOUNGE**

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

THEREFORE, it was ordered that the Board of Regents name the men’s basketball player lounge in the Loddie Naymola Basketball Performance Center as the Dr. Bill and Barbara Gandy Men’s Basketball Player Lounge contingent upon complete satisfaction of the executed agreement terms and conditions. It is further recommended that the following resolution be adopted:

WHEREAS, Bill Gandy is a graduate of SFA with a BS in Biology in 1968 and Barbara has developed a devotion for the university; and

WHEREAS, they were the chairpersons of the Share the Legacy Fundraising Campaign in the Nacogdoches area from 1998 to 2003; and

WHEREAS, Bill Gandy received the Nancy Speck Development Award in 2009; and

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

WHEREAS, they support many areas of the university including providing initial housing for coaches and the director of athletics, and have three endowed scholarships for students at SFA; and

WHEREAS, Barbara Gandy has served on the SFA Friends of Music committee ten years, served as board president, and as co-chairman of the committee, and raised funds for a variety of scholarships and programs. While Bill Gandy has served on the SFASU Foundation board of trustees since 2001 and served as vice president, as chair from 2006 to 2010, on the finance committee, and as membership chairman for several years; 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 Dr. Bill and Barbara Gandy by naming the men’s basketball player lounge in the Loddie Naymola Basketball Performance Center the Dr. Bill and Barbara Gandy Men’s Basketball Player Lounge.

FINANCE AND AUDIT COMMITTEE

BOARD ORDER 20-74
Upon motion by Regent Mason, seconded by Regent Gantt, 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:
Financial Aid Departmental Audit
Institutional Effectiveness Departmental Audit
Payroll Expenditures Audit
Contract Management Audit
Training Audit
SACS Financial Statement Review
Firewall Audit
Update on Audit Plan

APPROVAL OF ANNUAL AUDIT PLAN FOR 2020-21

WHEREAS, the board members considered the following: According to the Board Rules and Regulations, the chief audit executive shall annually submit information on the annual audit plan, work schedule and staffing plan to the president for review and to the Board of Regents for their approval.

THEREFORE, it was ordered that the annual audit plan be approved as presented in Appendix 3.

BOARD ORDER 20-75
Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the following financial affair item be approved.

APPROVAL OF THE 2022-23 LEGISLATIVE APPROPRIATIONS REQUEST – CAPITAL AND EXCEPTIONAL

WHEREAS, the board members considered the following: During each summer that precedes the State of Texas legislative session, state-funded entities prepare their respective legislative appropriations request (LAR). The LAR provides different types of institutional information as prescribed by the Legislative Budget Board, and in addition, acts as the funding request mechanism for state entities. Stephen F. Austin State University has developed two capital funding requests and an exceptional item request, effective with the fiscal year that begins on September 1, 2021.

The first capital request is to provide funding for the construction of a $45,000,000 Agriculture and Technology Complex, and the second is to provide funding to construct a $53,000,000 Interdisciplinary and Applied Sciences Building. As an operating complement to the capital request, the administration proposes to request an operating exceptional item to fund a Center for Applied Research and Rural Innovation.

THEREFORE, it was ordered to request capital funding in the 2022-23 Legislative Appropriations Request (LAR) to construct a $45,000,000 Agriculture and Technology Complex and a $53,000,000 Interdisciplinary and Applied Sciences Building. The administration also recommends approval to include an exceptional item request in the 2022-23 LAR to fund a Center for Applied Research and Rural innovation in the amount of $1,000,000 per year for a biennial total of $2,000,000.

BOARD ORDER 20-76
Upon motion by Regent Mason, seconded by Regent Gantt, with all members voting aye, it was ordered that the following financial affairs items be approved.
ADOPTION OF FISCAL YEAR 2020-21 INSTITUTIONAL OPERATING BUDGET

WHEREAS, the board members considered the following: In accordance with Article III of the State of Texas General Appropriations Act for the 2020-2021 biennium, the administration submits the proposed fiscal year 2020-21 institutional operating budget that totals $265,466,806. The proposed budget contains a five percent reduction in mandatory tuition and fee revenue from fiscal year 2020’s actual revenue. A detailed Higher Education Fund (HEF) allocation is included.

THEFORE, it was ordered that the 2020-21 annual operating budget that totals $265,466,806 and the HEF allocation be approved as presented in Appendix 4.

APPROVAL OF 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. Course delivery expenditures are re-evaluated annually in order to make necessary changes to fees.

THEFORE, it was ordered the acceptance of course and lab fee deletions, approved by the President, to be effective summer 2020. All deletions are listed in Appendix 5.

APPROVAL OF STUDENT ONLINE-ONLY FEE CHANGE

WHEREAS, the board members considered the following: At the January 28, 2020 meeting, the SFA Board of Regents approved an annual tuition/fee plan and a four-year fixed rate tuition/fee plan. The plans lock the twelve-semester credit hour tuition and fee charge at $5,300 for the annual plan and $5,675 for the four year guaranteed fixed-rate plan. The fixed twelve-semester credit hour costs for both plans include in-person instruction, online only instruction, or a combination of the two modalities.

There is some difference in the price structure for in-person instruction and online students. Currently, at a twelve-semester credit hour level, in-person instructed students pay $120 for the recreation center and $85 for the student center. Online-only students are currently exempted from these fees. Online-only students pay a distance education fee of $33 per semester credit hour, and in-person instructed students do not.

The different fee structures pose challenges in charging a combination of fees that result in a flat rate of $5,300 at a twelve-semester credit hour level. To provide flexibility to flatten or fix tuition and fees at a $5,300 or $5,675 twelve-semester credit hour level, the administration wishes to cap the $33 per semester credit hour distance education fee at twelve semester credit hours and remove the recreation and student centers exemptions for online-only students. The intention of the options is to charge a flat rate at a twelve-semester credit hour level without regard to specific tuition and fee fluctuation.

THEFORE, it was ordered to remove the online-only student recreation center and student center exemptions, and in addition, recommends the distance education fee charged to online students be capped at the twelve-semester credit hour level, beginning the fall 2020 semester.
APPROVAL OF INFORMATION TECHNOLOGY SERVICES CLOUD SOFTWARE PURCHASES

WHEREAS, the board members considered the following: Consistent with software applications in the broader environment, the university has many software applications that are cloud-based. For fiscal year 2021, there are a number of software packages that must be acquired and/or upgraded. These particular software application purchases are institutional in nature, and available for support from the Higher Education Fund (HEF). A detailed list of the software applications are provided.

THEREFORE, it was ordered that HEF funding in the amount of $1,592,178 be utilized for the cloud-based software applications.

APPROVAL OF COMPUTER PURCHASE AND REPLACEMENT

WHEREAS, the board members considered the following: Policy 17.4, Computer Purchase and Replacement, governs the university’s computer acquisition and replacement process. The policy stipulates that computer and workstation replacement evaluations will occur on a five-year cycle. Portable computer replacement evaluations will occur on a four-year cycle. Either evaluation may be deferred as a result of budget constraints or administrative discretion. The administration has determined that certain computer configurations need to be replaced.

THEREFORE, it was ordered that for fiscal year 2021, a $750,000 HEF allocation to replace computers as directed by the Computer Purchase and Replacement Policy.

APPROVAL OF CLASSROOM INSTRUCTIONAL DELIVERY UPGRADES

WHEREAS, the board members considered the following: In response to COVID-19, President Trump signed the federal CARES Act into law on March 27, 2020. Subsequently, the Secretary of Education provided guidelines that emphasized the use of CARES Act funding to expand remote learning programs and support institutional technology needed to deliver those programs. The CARES Act provided funds that are being used to obtain technology-related instructional delivery equipment and upgrade classrooms to expand remote instructional delivery.

THEREFORE, it was ordered to fund classroom updates, equipment and technology support, and IT capacity expansion using CARES Act funds, at a cost not to exceed $2.6 million. The administration further recommends presidential authorization to sign associated purchase orders and contracts of $500,000 or more.

BOARD ORDER 20-77
Upn 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 VOLUNTARY SEPARATION INCENTIVE PLAN

WHEREAS, the board members considered the following: The administration has developed a voluntary separation incentive plan (VSIP) that would provide an institutional early retirement option for faculty and staff who meet certain criteria:
• Be a regular full-time faculty or staff employee;
• Meet state retirement eligibility, typically based on the rule of 80 (age plus years of qualifying experience equals at least 80), or be age 65 on or before August 31, 2021;
• Have not already retired from the university prior to July 1, 2020;
• Have not already submitted retirement paperwork to Human Resources prior to July 1, 2020, or notified their department of retirement prior to September 1, 2020.

The plan begins on September 1, 2020 and ends August 31, 2021. The VSIP provides a one-time incentive payment of fifty percent (50%) of a participating employee’s annual base salary (excluding additional assignments, stipends, overtime, state longevity pay, or any other form of remuneration).

The purpose of the VSIP is to provide an incentive for those who are eligible to retire. The VSIP will require the use of institutional fund balance to fund the incentive payments. However, the institutional plan is to either not refill the position for those who retire or fill the vacated position at a lower salary. Based on participation projections, the VSIP could require over $2.5 million using institutional fund balance to fund the program for fiscal year 2021.

THEREFORE, it was ordered to utilize the institutional fund balance, not to exceed $2.5 million, to provide funding for the voluntary separation incentive plan developed for fiscal year 2021.

**BOARD ORDER 20-78**
Upon motion by Regent Mason, seconded by Regent Henderson, with all members voting aye, it was ordered that the following financial affairs item be approved.

**APPROVAL OF GRANT AWARDS**

**WHEREAS,** the board members considered the following: For fiscal year 2020, the multi-year grant award total is currently $26,188,779. Of this total, grant awards allocable to fiscal year 2020 are currently $17,046,428, an increase of $10,775,125 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 $10,775,125 be approved and ratified. The grant awards are detailed in Appendix 6.

**BOARD ORDER 20-79**
Upon motion by Regent Mason, seconded by Regent Henderson, with all members voting aye, it was ordered that the following financial affairs item be approved.

**APPROVAL OF UTILIZATION OF QUASI-ENDOWMENT FUND**

**WHEREAS,** the board members considered the following: The College of Liberal and Applied Arts (CLAA) engaged in a significant strategic planning exercise during the AY 19-20. The initiative involved a high proportion of the college’s faculty and the CLAA Advisory Board. The recommendations from this process align with university strategic directions, and their
implementation will lead to significant pilot projects (e.g., redesign of core curriculum courses, pedagogical innovation, and curriculum revision).

At its October 18, 2011 meeting, the Board of Regents established a CLAA quasi-endowment, consisting of an initial gift of $70,000, to support academic programs in the college. The CLAA desires to utilize a portion of this quasi-endowment to provide resources to implement the strategic planning recommendations. The quasi-endowment fund currently holds approximately $85,000, and CLAA requests $35,000 be withdrawn and designated for this effort.

THEREFORE, it was ordered that a withdrawal of $35,000 from the College of Liberal and Applied Arts quasi-endowment funds to maintain or increase the college’s momentum toward realizing strategic and transformative initiatives.

BOARD ORDER 20-80
Upon motion by Regent Mason, seconded by Regent Henderson, with all members voting aye, it was ordered that the following financial affairs item be approved.

APPROVAL OF CONTRACT RENEWAL FOR NAVIGATE PROGRAM

WHEREAS, the board members considered the following: The university participates in a Student Success Collaborative membership program with the EAB Global, Inc. This program is now referred to as the Navigate program which allows SFA access to a comprehensive student success management technology platform, best practice research and networking, change management, and implementation support including technical support. The university’s current membership expires on December 30, 2020. The administration is asking for approval to renew this contract for a total cost of $852,657 for a five year period that extends through December 30, 2025. The cost includes an annual program fee and annual travel and administrative fee.

THEREFORE, it was ordered to approve a five year contract through December 30, 2025 with EAB Global, Inc. for the Navigate program for an amount not to exceed $852,657. The administration further recommends that the president be authorized to sign the contract and associated purchase orders.

BOARD ORDER 20-81
Upon motion by Regent Mason, seconded by Regent Henderson, with all members voting aye, it was ordered that the following financial affairs item be approved.

APPROVAL OF CONTRACT REVIEW TEMPORARY SUSPENSION EXTENSION

WHEREAS, the board members considered the following: The Board of Regents Rules and Regulations and university policy, including but not limited to Contracting Authority (Policy 1.3), require that all contractual obligations of the university be reviewed by the Office of the General Counsel prior to execution. At the October 28, 2019 meeting of the Board of Regents, the board voted to temporarily suspend this requirement and authorize the General Counsel to issue procedures regarding categories of contractual obligations requiring legal review and exempt from legal review. This authority was effective January 1, 2020 through July 21, 2020. During this time period, COVID-19 resulted in a pivot of priorities for the university, and a vacancy occurred in the Office of the General Counsel. As a result, additional data is needed to accurately assess the impact
of this temporary suspension.

THEREFORE, it was ordered that the provision(s) in the Board of Regents Rules and Regulations and university policies requiring all contractual obligations of the university be reviewed by the Office of the General Counsel prior to execution be further suspended to January 26, 2021. It is further recommended that the General Counsel be authorized to issue procedures regarding categories of contractual obligations requiring legal review and exempt from legal review.

BOARD ORDER 20-82
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 2:

- Annual Budget Preparation 3.2.
- Fixed Rate Tuition Plan 3.4.
- Gifts, Prizes and Awards 3.18
- Procurement Card 17.11
- Property Inventory and Management 17.14
- Staff Compensation and Classification 12.2.
- Year-End Purchasing 17.24.

REPORTS
Dr. Scott Gordon, president, reported to the regents on the following topics:

- Suspended/Modified Policies since April Report
- COVID-19 – Continued Recovery Effort
- Post COVID-19 – The New Model for Higher Education
- Progress on Current Initiatives
- Looking ahead to Fall 2020

Dr. Andrew Lannen, faculty senate chair, gave a report on the following topics:

- Introduction
- Faculty Accomplishments
- COVID-19 and Uncertainty
- Opportunity for Question

Mr. Chris Moore, Student Government Association president, gave his first report to the board.

- Introduction
- COVID-19 and Student Organizations
- Fall 2020 Goals
Chair Frailey provided comments regarding the adjustments to the Board Committees with the recent appointments of Regent Flores and Student Regent Bramhall. The appointed Board Committees now consist of the following:

**EXECUTIVE AND LEGISLATIVE**
Alton Frailey, Chair  
Karen Gantt, Vice-Chair  
Tom Mason, Secretary

**ACADEMIC AND STUDENT AFFAIRS**
Brigetee Henderson, Chair  
David Alders  
Jennifer Winston  
Ireland Bramhall  
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  
Robert Flores  
Alton Frailey, ex-officio

The meeting was adjourned by Chair Alton Frailey at 10:35 a.m.
Stephen F. Austin State University  
Board of Regents  
Evaluation

The Board of Regents hereby conducts this self-evaluation of its responsibilities and expectations, with consideration given to 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 SFA strategic plan.

Orientation and Education

i. New members of the Board are provided an orientation session with university leadership and direct reports. This orientation provides an overview of each area of operations in advance of those members’ first meeting and introduces the legal obligations of members of the Board. The Texas Higher Education Coordinating Board further provides an orientation session regarding legal obligations and best governance practices.

Current orientation content and process meets the needs of new Board members, and new Board members understand the legal obligations and expectations.

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☐ Steps for Improvement: University orientation is sufficient and informative. THECB training should include more basic info on higher education funding, applicable laws, etc.

ii. At the request of the chair, the Board may be provided a refresher training regarding their duties and responsibilities, including those duties required by law, and best practices in board governance. This includes, but is not limited to, the policy-making role of the Board, its fiduciary responsibilities in the management of funds, proper influence of external stakeholders, essential responsibilities, and accountability.

The Board is aware of its legal obligations and expectations. Current process for refresher training meets the Board’s needs.

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☐ Steps for Improvement: Refresher training would be welcomed if relevant.

Legal Responsibilities

i. The Board is expected to preserve institutional independence and to defend its right to manage its own affairs through its chosen administrators and employees.

The Board effectively advocates for the university’s independence and ability to manage its own affairs.
The Board of Regents - Board Action Item 1: Approval of Minutes

Appendix 1

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Steps for Improvement:

The Board shall enhance the public image of each institution under its governance.

The Board actively and effectively enhances the public image of the university.

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Steps for Improvement: Some responsibility for the negative publicity related to the NCAA infractions and penalties ultimately must be borne by the Board. Clearly, there was a management and oversight failure, and ultimately the Board has to bear some responsibility.

The Board shall interpret the community to the campus and the campus to the community.

The Board actively and effectively manages and nurtures community-university relations.

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Steps for Improvement:

The Board shall nurture each institution under its governance to the end that each institution achieves its full potential within its role and mission.

The Board actively and effectively nurtures the university, enabling it to achieve its full potential within its stated role and mission.

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Steps for Improvement:

The Board shall insist on clarity of focus and mission of each institution under its governance.

The Board ensures the focus and mission of the university is clear to the university community.

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Steps for Improvement: The Board needs a stronger understanding, acceptance, alignment, and energy around the mission statement. Additionally, the focus and mission of the university should be made clearer and the Board needs to communicate more in that regard.

The Board shall provide the policy direction for each institution of higher education under its management and control.
The Board actively and effectively provides policy direction for the university.

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Steps for Improvement: Given that the budget process is the key ranking of the university’s priorities and strategic direction and given recent budget impacts, it might have been helpful for the board to engage in a budget workshop in advance of the budget-setting meeting.

Organization and Structure

i. Board Rules are reviewed and revised on an as-needed basis, usually due to a change in law or regulation.

The Board Rules are reviewed and revised in an appropriate manner.

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Steps for Improvement: _______________________

ii. Board Rules provide that regular quarterly meetings will take place, usually in January, April, July, and October. The annual meeting in April is required by law.

Current meeting structure meets the Board’s needs.

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Steps for Improvement: Such times of deep uncertainty might suggest a need for more meetings than have been scheduled.

iii. There are three elected officers of the Board: Chair, Vice Chair, and Secretary.

Current officer structure and duties meets the Board’s needs.

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Steps for Improvement: _______________________

iv. There are four standing committees of the Board: Executive, Academic and Student Affairs, Building and Grounds, and Finance and Audit. A nominating committee is selected by the Chair at the October meeting. Special committees may be appointed as necessary.

Current committee structure and duties meets the Board’s needs.

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v. The Board elects four positions directly: President, General Counsel, Chief Audit Executive, and Coordinator of Board Affairs/Compliance. The Board Rules briefly describe the duties and responsibilities of each position. These positions are appointed on an annual basis and serve at the pleasure of the Board.

*Current selection and evaluation process meets the Board’s needs.*

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vi. The Board Rules require the chair of the Board to ensure the Board is apprised of its duties and responsibilities provided under law, and assign which areas of the university each committee will oversee. University policy lists any items that require Board approval prior to the university taking action.

*Board Rules and university policy effectively clarify the role and limits of the Board.*

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vii. The Board Rules detail the authority, duties and responsibilities of the university president. The duties and responsibilities are also supplemented by university policy approved by the Board.

*Board Rules and university policy effectively clarify the role and authority of the president.*

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viii. By law, the Board must provide the policy direction for the university. The Board Rules state that the president “shall have discretionary powers broad enough to effectively administer the university within the policies and procedures as set forth” by the Board.

*Board Rules and university policy effectively distinguish the roles between the Board and the president.*

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□ *Steps for Improvement:*
ix. The format and content of the Board Report is described in the Board Rules. It must be submitted to all members of the Board and the secretary at least ten days in advance of a meeting.

Current board report structure and process meets the Board’s needs.

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□ Steps for Improvement: ____________________________________________

x. Most board action items must be first presented through one of the standing committees. Exceptions include personnel and gifts/donations. An item must have a majority vote of the committee to proceed to the full Board for consideration. A majority vote of the Board will result in the item passing. The Chair will vote in the event of a tie.

Current approval structure for action items meets the Board’s needs and is sufficient to prevent undue influence by a minority of members or by external forces.

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□ Steps for Improvement: Construction projects considered by the Buildings and Grounds committee should be discussed and deliberated prior to the meeting to select a contractor and/or architect.

xi. At each quarterly meeting, the Board approves the minutes from the prior meeting. These minutes are prepared by the coordinator of board affairs/compliance and organized by committee. They further contain a listing of any reports presented to the Board at the meeting, and any appendices accompanying each item.

Board minutes are clear and accurate, providing sufficient detail to capture the results of deliberations.

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□ Steps for Improvement: ____________________________________________

xii. Board rules and SFA policy prohibit the approval of any 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. Members are required to self-disclose any potential direct or indirect pecuniary or substantial interests in matters pending before the Board. Information regarding known potential conflicts is maintained by SFA’s procurement department.

Current safeguards and procedures are sufficient to identify and prevent conflicts of interest.

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Steps for Improvement: ________________________________

xiii. The Board serves in a fiduciary role. The board receives an update from its financial managers and approves SFA’s investment policy on an annual basis. A regent serves as an investment liaison officer to administration. The Board receives an update on outstanding construction projects and significant contracts every quarter.

Current practice keeps the Board informed of the financial health of SFA.

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Steps for Improvement: ________________________________

SFA Strategic Plan

i. SFA’s mission, as stated in SFA Envisioned, 2015-2023 Strategic Plan is as follows: “Stephen F. Austin State University is a comprehensive institution dedicated to excellence in teaching, research, scholarship, creative work, and service. Through the personal attention of our faculty and staff, we engage our students in a learner-centered environment and offer opportunities to prepare for the challenges of living in a global community.” The Board acts to uphold this mission through its approval of personnel and initiatives, and evaluation of leadership.

The Board supports and maintains its focus on the mission of SFA.

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Steps for Improvement: ________________________________

ii. SFA Envisioned has the overarching goal of “Transformative Experiences for SFA Students.” This goal states that SFA will be deeply committed to providing high impact, experiential learning for all SFA students; students will be engaged and empowered; and students will graduate with the marketable skills and qualities necessary to be leaders in their fields. The Board acts to support this overarching goal through its approval of personnel and initiatives, and evaluation of leadership.

The Board supports and maintains its focus on the overarching goal of SFA Envisioned.

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Steps for Improvement: ________________________________

iii. SFA Envisioned has the foundational goal of “Meaningful and Sustained Enrollment Growth.” This goal states that SFA will expand its reach and increase enrollment, not merely for the sake of growth, but because it is committed to its responsibility to Texans. It further adds this will
be accomplished through an appropriate mix of programs, delivery methods and locations. The Board acts to support this foundational goal through its approval of personnel and initiatives, and evaluation of leadership.

*The Board supports and maintains its focus on the foundational goal of SFA Envisioned.*

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- Steps for Improvement: Develop stronger partnerships with the community for its development and attractiveness to prospective students, faculty, and staff.

iv. SFA Envisioned has a supporting goal to “Attract and Support a High-Quality Faculty and Staff”. This goal contains two broad strategies: (1) provide salary support that reflects the importance of current faculty and staff and aids in recruitment of new faculty and staff; and (2) provide attractive quality-of-life support and incentives to current and new faculty and staff that reflect a professional environment. The Board acts to support this supporting goal through its approval of personnel and initiatives, and evaluation of leadership.

*The Board supports and maintains its focus on this supporting goal of SFA Envisioned.*

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- Steps for Improvement: Develop stronger partnerships with the community for its development and attractiveness to prospective students, faculty, and staff.

v. SFA Envisioned has a supporting goal to “Foster Academic and Co-Curricular Innovation.” This goal has already implemented several recommendations from working groups, including the Student Success Center, funds for classroom furniture and technology, re-branding of the Center for Career and Professional Development, introduction of the Lumberjack GROW program, and a marketing campaign aimed at the development of soft skills. Teams are currently reviewing recommendations regarding educator development opportunities and co-curricular programs. Other strategy teams include student mentoring and affordability. The Board acts to support this supporting goal through its approval of personnel and initiatives, and evaluation of leadership.

*The Board supports and maintains its focus on this supporting goal of SFA Envisioned.*

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- Steps for Improvement: 

vi. SFA Envisioned has a supporting goal to “Redefine University Culture.” The goal focuses on increasing employee engagement in three areas: (1) leadership enhancement programs; (2) paradigm change from a culture of compliance to one of goal/value based initiatives; and (3) cultural construction and communication. The Board acts to support this supporting goal through its approval of personnel and initiatives, and evaluation of leadership.
The Board supports and maintains its focus on this supporting goal of SFA Envisioned.

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☐ *Steps for Improvement:* More support and acceptance throughout the university is needed.

vii. SFA Envisioned has a supporting goal to “Increase Connections.” This goal includes building relationships with a variety of constituents, including K-12, two-year institutions, local government, alumni, and corporate partners. The Board acts to support this supporting goal through its approval of personnel and initiatives, and evaluation of leadership.

The Board supports and maintains its focus on this supporting goal of SFA Envisioned.

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☐ *Steps for Improvement:* __________________________________________________________

Evaluation

Considering the board self-evaluations are a SACSCOC requirement and a best practice, what improvements can be made to the self-evaluation processes?

Process works well and addresses all significant items of Board responsibility.

This evaluation of the Stephen F. Austin State University Board of Regents has been carefully considered and consisted of a critical assessment of Board structure and governance by all regents present on this, the 21st day of July, 2020.

__________________________
Chair, Board of Regents
<table>
<thead>
<tr>
<th>Policy Name</th>
<th>Policy Number</th>
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<tbody>
<tr>
<td>Academic Advising for Undergraduate Students</td>
<td>6.2.</td>
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<td>Academic Facilities for Non-Academic Activities</td>
<td>16.1.</td>
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<td>3.2.</td>
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<td>Course Fees</td>
<td>3.8.</td>
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<td>Curriculum Reviews, Modifications and Approvals</td>
<td>5.7.</td>
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<td>Developmental Education and the Texas Success Initiative</td>
<td>5.8.</td>
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<td>3.4.</td>
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<td>Gifts, Prizes and Awards</td>
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<td>Kennedy Auditorium</td>
<td>16.14.</td>
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<td>Part-time Faculty</td>
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<td>Procurement Card</td>
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<tr>
<td>Property Inventory and Management</td>
<td>17.14.</td>
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<td>Public and Student Health</td>
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<td>Sexual and Gender-Based Discrimination, Violence, Harassment, and Misconduct</td>
<td>2.13.</td>
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<td>Staff Compensation and Classification</td>
<td>12.2.</td>
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<td>Student Code of Conduct</td>
<td>10.4.</td>
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<td>Student Internships</td>
<td>11.29.</td>
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<td>Telecommuting</td>
<td>11.27.</td>
<td>168</td>
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<td>Undergraduate Admission and Credits</td>
<td>6.20.</td>
<td>173</td>
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<td>Use of Amplified Sound on Campus Grounds</td>
<td>16.31.</td>
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<td>Volunteer Workers</td>
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<td>Wellness Release Time</td>
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<tr>
<td>Year-End Purchasing</td>
<td>17.24.</td>
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POLICY SUMMARY FORM

Policy Name: Academic Advising for Undergraduate Students

Policy Number: 6.2

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): Guidelines and requirements regarding academic advising for undergraduate 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: Updated requirements for Undecided students to declare a major and file a degree plan.

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
Academic Advising for Undergraduate Students

Original Implementation: October 31, 2000
Last Revision: April 25, 2017 July 21, 2020

Each academic unit will provide systematic and effective advising for all its undergraduate students. An advising session is mandatory for undergraduate students prior to registration for courses in the following situations:

- Each semester for students with fewer than 60 earned hours of credit;
- Each semester for students on academic probation;
- Annually for students with 60 or more earned hours of credit.

Students retain the right may choose to be advised more frequently. Individual academic units may require students to participate in mandatory advising. Students who are listed as Undecided are required to declare a major and file an official degree plan no later than the end of the semester following the completion of 45 earned hours of credit. Students are required to file an official degree plan no later than the end of the semester following the completion of 30 earned hours of credit.

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

- Short- and long-term plans to accomplish educational objectives;
- Program options that match a student’s goals, interests, and abilities;
- Information about degree requirements, such as the core curriculum, major-specific courses, course sequencing, minimum grade-point averages, removal of withheld grades, and time limits for completion of degree programs;
- University requirements, such as minimum course load for full-time classification, repeat courses on grade-point average, timetable for dropping courses, and residency requirements;
- Deadlines to submit degree and graduation plans.

During each registration period, academic units must provide daily advising opportunities. Academic advising for undergraduate students must be annually evaluated as part of the unit assessment process.


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: Academic Facilities for Non-Academic Activities

Policy Number: 16.1

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; Vice President for University Affairs

Purpose of Policy (what does it do): Provides guidelines for using academic facilities for non-academic 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:

Specific rationale for each substantive revision: Added cross-reference policies: Class Meeting Times (4.12) and Course Space Scheduling (4.13); Kennedy Auditorium (16.14)

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Policy Committee
Steve Bullard, Provost and Vice President of Academic Affairs
Damon Derrick, General Counsel
Academic Facilities for Non-Academic Activities

Original Implementation: 1979
Last Revision: January 31, 2017, July 21, 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 academic facilities for non-academic activities.

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

Cross Reference: Class Meeting Times (4.12); Course Space Scheduling (4.13); Kennedy Auditorium (16.14); Use of University Facilities (16.33); Turner Auditorium (16.30)

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

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

Forms: None

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Annual Budget Preparation

Policy Number: 3.2

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

Date of last revision, if applicable: 11/07/16

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

Purpose of Policy (what does it do): This policy describes the guidelines and processes used to prepare the university's annual budget.

Reason 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 formatting changes

Reviewers:

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

Original Implementation: March 1, 1989
Last Revision: July 21, 2020
November 7, 2016

Purpose

This policy describes the guidelines and processes used to prepare the university’s annual budget.

General

Preparation of the annual operating budget is coordinated through the Office of the Vice President for Finance and Administration. Guidelines are established by the president based upon legislative appropriations, student tuition, fees and other local income, non-pledged and pledged auxiliary student fees and other income, the university’s allocation of the Higher Education Fund, and estimates of other fund revenues. Guidelines will reflect current legislative appropriation riders in effect and any other legal restrictions. Budgets will be prepared by operating department heads and submitted through the appropriate channels for review and approval. The schedule for preparation of the budget will be determined by the vice president for finance and administration in association with the president's cabinet. Approved budgets will be announced to the university departments through administrative channels following approval of the Board of Regents.

All budgets are based on available funds and no expenditures may be made except as provided for in the approved budget or in accordance with changes approved by the board or president in accordance with university policy.

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: Course Fees

Policy Number: 3.8

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): Guidelines for charging course fees

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:

Specific rationale for deletion of policy:

Additional Comments:

No changes. This policy is to remain active until August 31, 2021, at which time all carried over course fees must be spent.

Reviewers:

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

Original Implementation: April 30, 2001
Last Revision: July 25, 2017 July 21, 2020

Each course, other than a laboratory class, offered by the university may charge a course fee. Laboratory classes charge a fee for the purpose of providing materials and supplies in the laboratory (see policy 3.22, Laboratory Fees). Course Fees are governed by the Texas Education Code.

The course fee charged must reasonably reflect the actual cost to the university of the materials and services for which the fee is collected. These funds will be used to cover the cost of materials, supplies, and/or services that result in a direct educational benefit to the students currently enrolled, including such things as guest lecturers or travel expenses to off-campus locations.

Fees are normally considered to cover the cost of goods and services to be consumed within the course of one semester. Accounts used to handle fees for consumable goods and services are not intended to accumulate a balance. However, if a balance is accumulated in a course fee account, the balance will be spent for a similar purpose as outlined on the course fee request form to meet the academic needs of the course. Any changes or deletions will follow the standard approval process.

Fees may also be assessed to cover the value consumed by students of durable goods (or other equipment or software) in one semester, when the goods have a life span of more than one semester and are not intended or designed to be consumed in one semester. Accounts intended for this purpose may accumulate a balance. These accumulated balances may only be used to fund the purchase of the goods, equipment, or software specified on the original course fee request.

Course fees recommended by the academic unit head must be approved by the dean of the college and the provost and vice president for academic affairs. All fees will be reviewed annually at the academic unit level for appropriateness and accuracy. New and changed fees will be submitted to the Board of Regents for approval. The president is authorized to approve the deletion of course fees. Course fee deletions will be presented to the Board of Regents for acceptance at the next meeting. All course fees will be published in the appropriate media and will be collected by the controller's office through student billings. The lab and course fee request forms, with appropriate justification, will be retained in the Office of Academic Affairs as long as the fee exists plus three years.

Cross Reference: Tex. Educ. Code § 54.504; Laboratory Fees (3.22)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Lab and Course Fees

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: April 18, 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
- [X] Internal Review
- [ ] Response to audit finding
- [ ] Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Removed references to changes in mode of delivery.

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 Review: Modifications and Approvals

Original Implementation: October 17, 1978
Last Revision: April 18, 2020 July 21, 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); and
- 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.

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: Developmental Education and Texas Success Initiative

Policy Number: 5.8

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 regarding undergraduate student academic readiness

Reason 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: Changed monitoring responsibility from Academic Advising to Student Success Center

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
Developmental Education and Texas Success Initiative

Original Implementation: April 18, 2000
Last Revision: January 31, 2017 July 21, 2020

The Texas Success Initiative (TSI) is a program administered by the Division of P-16 Initiatives at the Texas Higher Education Coordinating Board (THECB). The objective of the program is to ensure that students are prepared academically to succeed in higher education.

The TSI program requires institutions of higher education to assess the academic skills of each entering undergraduate student to determine the student’s academic readiness before initial enrollment in freshman-level academic coursework. The TSI Assessment is the diagnostic instrument for non-exempt students. The Division of P-16 Initiatives publishes current exemption standards at its website: www.thecb.state.tx.us/.

TSI Advising Program
Individual advising will be provided to each student who has not yet demonstrated readiness in reading, writing, and/or math. The student’s TSI advisor will assist the student in developing an individual plan for achieving college readiness. This plan will include either traditional developmental course work or alternatives as approved by the THECB.

Documentation
Each student’s updated TSI status will be documented on the official university transcript as readiness standards are met. It is the student’s responsibility to ensure that applicable transcripts or test scores from other institutions are supplied to SFA.

Special Circumstances
TSI requirements may be waived for students enrolling on a temporary, non-degree-seeking basis. Students enrolling for dual or concurrent credit must meet eligibility requirements established by the Division of P-16 Initiatives.

Monitoring Readiness for College-Level Work
The Academic Advising Student Success Center will compile cumulative information about students’ TSI readiness during each long semester. This information will be provided to the provost and vice president for academic affairs and other academic administrators as appropriate.


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: Discrimination Complaints

Policy Number: 2.11

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: President

Purpose of Policy (what does it do): This policy prescribes the university's commitment to nondiscrimination; details the procedure for investigating and adjudicating a discrimination complaint

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: To reflect changes to policy 2.13, Title IX

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: This policy has been revised to reflect necessary changes as a result of the completely revised policy 2.13, Title IX. A section regarding scope has been added to define when this policy would apply, included the mandatory reporting requirements, and available supporting measures.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Damon Derrick, General Counsel
Discrimination Complaints

Nondiscrimination

Original Implementation: September 1990/February 2, 1982
Last Revision: January 29, 2019/July 21, 2020

I. Purpose

This Policy affirms Stephen F. Austin State University’s intent to provide a university community free of unlawful discrimination or harassment to all members of the University community. This Policy applies to visitors, applicants for admission to or employment with the University, students, and employees of the university who allege discrimination by University employees, students, visitors, or contractors.

II. Definitions

The following are categories of conduct that are prohibited by this Policy (“Prohibited Conduct”) and may result in disciplinary action when committed by University employees or students.

Complaint means a signed document or a communication submitted electronically from an account assigned to complainant Complainant alleging discrimination under this Policy.

Complainant Complainant means a person who submits a written complaint alleging discrimination under this Policy. As there may be more than one complainant Complainant in an unlawful discrimination case, the term “complainant Complainant” as used herein shall refer to one or more complainant Complainants. In the event of a third-party charge, the university may serve as the complainant Complainant.

Discrimination is defined as conduct directed at a specific individual or a group of identifiable individuals that subjects the individual or group to treatment that adversely affects their employment or education because of their race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age, disability, genetic information, citizenship, or veteran status.

Harassment as is a form of discrimination defined as verbal or physical conduct that is directed at an individual or group because of race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age, disability, genetic information, citizenship, or veteran status when such conduct is sufficiently severe, pervasive, or persistent so as to have the purpose or effect of interfering with an individual’s or group’s academic or work performance; or of creating a hostile academic or work environment.

The totality of the circumstances will be considered in determining whether a hostile environment exists. Relevant factors in determining whether the conduct has created a hostile environment include but are not limited to the type, frequency, and severity of the conduct, whether the conduct is physically threatening or humiliating, and the relationship between the individuals.

2.11 Nondiscrimination Complaints
Other Sexual Harassment as used in this Policy means unwelcome, sex-based verbal or physical conduct that:

1. in the employment context, unreasonably interferes with a person’s work performance or creates an intimidating, hostile, or offensive work environment; or

2. in the education context, is sufficiently severe, persistent, or pervasive that the conduct interferes with a student’s ability to participate in or benefit from the University’s educational programs or activities.

Other Sexual Harassment does not include allegations of sex discrimination or harassment which rise to the level of Sexual Harassment occurring within the University’s Education Programs and Activities as defined by the University’s policy 2.13, Title IX Policy.

Other Unprofessional/Inappropriate Conduct means behavior or conduct that is unprofessional and/or inappropriate for the educational and/or working environment, but does not rise to the level of Sexual Harassment or other form of Prohibited Conduct outlined above.

Respondent means the person alleged to be responsible for the prohibited discrimination or harassment alleged in a complaint. The term “respondent/Respondent” may be used to designate persons with direct responsibility for a particular action or those persons with administrative responsibility for the procedures and policies in those areas covered in a complaint.

Retaliation means any attempt to seek retribution against an individual or group of individuals involved in filing a complaint or report under this Policy, filing an external complaint, participating in a disciplinary process, or opposing in a reasonable manner an action believed to constitute a violation of this Policy. Retaliation can take many forms, including abuse or violence, threats, and intimidation. Actions in response to a good faith report or response under this Policy are considered retaliatory if they have a materially adverse effect on the working, academic or University-controlled living environment of an individual; or if they hinder or prevent the individual from effectively carrying out their University responsibilities. Any individual or group of individuals can engage in retaliation and will be held accountable under this Policy.

III. General

It is the policy of Stephen F. Austin State University, in accordance with federal and state law, to prohibit unlawful discrimination on the basis of race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age, disability, genetic information, citizenship, and veteran status. Unlawful discrimination based on sex includes discrimination defined as sexual harassment. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression. Stephen F. Austin State University is committed to the principles of Equal Employment Opportunity (EEO) law. An employee who violates this Policy is subject to disciplinary action up to and including termination. A student who violates this Policy is subject to disciplinary action up to and including expulsion.

The President or designee will be responsible for overseeing this Policy and procedures and
for ensuring compliance with EEO laws. The Human Resources Director or designee will annually review all personnel policies and procedures to ensure compliance with EEO laws and present any recommendations for changes to the president or designee. All employment-related documents will be maintained in accordance with the University’s Texas State Record Retention Schedule.

For employee-related complaints, the Human Resources Director or designee will be responsible for maintaining records of all formal complaints and the results of such complaints. For student-related complaints, the dean for student affairs or designee will be responsible for maintaining records of all formal complaints and the results of such complaints.

Instances of sex discrimination based on sexual harassment or hostile environment are governed by the Sexual Misconduct Title IX Policy (2.13).

IV. Scope

This Policy applies to Prohibited Conduct in all University education programs and activities and to all participants in such education programs and activities, including administrators, faculty, staff, students, volunteers, contractors, and guests. This Policy covers Prohibited Conduct that occurs on campus, in connection with an official University program or activity (regardless of location), and to off-campus conduct when the conduct could deny or limit a person’s ability to participate in or benefit from the University’s programs and activities or when the University, in its sole discretion, has an identifiable interest in the off-campus conduct.

All allegations of sex discrimination which rise to the level of Sexual Harassment occurring within the University’s Education Programs and Activities as defined by the University’s policy 2.13, Title IX Policy are handled exclusively pursuant to the procedures outlined in that Policy. All other acts of Discrimination—including acts of sex discrimination which do not rise to the level of Sexual Harassment occurring within the University’s Education Programs and Activities as defined by the University’s policy 2.13, Title IX Policy—are handled pursuant to this Policy.

V. Reporting

A person who believes that he or she has been subjected to any type of discrimination—Prohibited Conduct should report the incident to any University official, administrator, or supervisor. Students are encouraged to report such incidents to the Dean of Student Affairs. Employees and visitors are encouraged to report to the Director of Human Resources. Reports of sexual harassment or other forms of sexual misconduct should be reported in accordance with the Sexual Misconduct policy (2.13). Incidents should be reported as soon as possible after the time of their occurrence. No person is required to report discrimination to the alleged offender. Any allegations of sex-based discrimination may also be directed to the attention of the Title IX Coordinator, and any allegations of disability-based discrimination may also be directed to the ADA Coordinator but will be investigated in accordance with this Policy.

VI. Mandatory Reporting Requirement of Sexual Harassment for University Employees

Under Texas law, all University employees, with the exception of Confidential Employees, who:

2.11 Non-Discrimination Complaints.
1. in the course and scope of their employment\(^1\)

2. witnesses or receives information regarding an incident that the employee reasonably believes constitutes Sexual Harassment,\(^2\) Sexual Assault, Dating Violence, or Stalking, which

3. is alleged to have been committed by or against a person who was a student enrolled at or an employee of the University at the time of the incident

must promptly report the incident to the University’s Title IX Coordinator, within 48 hours.

**Writing required.** The University’s online reporting form Reporting by email to the Title IX Coordinator is the preferred method of communicating incidents promptly, so that a record is made of the time and all factual details disclosed in the initial report. A written memo is also acceptable if it can be delivered to a Coordinator promptly after the employee’s duty to report arises.

**Report Contents.** The employee’s report must include all information concerning the incident known to the employee which is relevant to an investigation under this Policy, including whether the subject of the report has expressed a desire for an institutional response to the incident or made a request for confidentiality in reporting the incident.

**Confidentiality.** Unless waived in writing by the affected individual, the identity of an alleged victim of an incident reported pursuant to this mandatory reporting requirement may be disclosed only to (a) employees of the University who are necessary to conduct an investigation of the report or any related hearings and (b) a law enforcement officer when appropriate.

**Exceptions.** The mandatory reporting requirement does not apply to:

1. Individuals who are themselves the victims of the Sexual Harassment, Sexual Assault, Dating Violence, or Stalking;

2. Instances when an employee receives information about Sexual Harassment, Sexual Assault, Dating Violence, or Stalking at a public awareness event sponsored by the University; or

3. Employees designated as Confidential Employees.

**Consequences of Non-Compliance.** An employee who fails to make a required report will be

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\(^1\) “Course and Scope of Employment” means an employee performing duties in the furtherance of the institution’s interests.

\(^2\) For the purposes of Texas’s mandatory reporting requirement only, “Sexual Harassment” means: unwelcome, sex-based verbal or physical conduct that (a) in the employment context, unreasonably interferes with a person’s work performance or creates an intimidating, hostile, or offensive work environment; or (b) in the education context, is sufficiently severe, persistent, or pervasive that the conduct interferes with a student’s ability to participate in or benefit from the University’s educational programs or activities.

2.11 Non-Discrimination Complaints
terminated following an investigation and any required process under the applicable personnel policy. 3

Immunity. An employee or student who, in good faith reports or assists in the investigation of a report under this Policy, or who testifies or otherwise participates in a disciplinary process or judicial proceeding arising from a report of such an incident, will not be subject to disciplinary action that are reasonably related to the incident. This immunity does not apply to a person who perpetrates or assists in the perpetration of the incident reported under this policy or who commits a criminal offense pursuant to Texas Education Code § 51.255(a).

VII. Referral Responsibility

Every supervisor, administrator, department head, and University official is responsible for promptly reporting incidents of Prohibited Conduct that come to his or her attention to the appropriate University official. Student-to-student complaints should be reported to the Dean of Student Affairs. All other complaints should be reported to the Director of Human Resources. Any allegations of sex-based discrimination may also be directed to the attention of the Title IX Coordinator and allegations of disability-based discrimination may also be referred to the ADA Coordinator but will be investigated in accordance with this Policy. Every attempt should be made to keep the information confidential and restricted to only those who have an absolute need to know.

VIII. Supportive Measures

The University will, to the extent practicable based on the circumstances and the University’s resources, provide the Complainant with support and resources to restore or preserve equal access to the University’s education programs and activities and/or employment. Such measures are designed to protect the safety of all parties implicated by a report or to deter Prohibited Conduct. Supportive measures may include, but are not limited to: counseling, extensions of academic or other deadlines, course-related adjustments, modifications to work or class schedules, campus escort services, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of campus, and other similar measures. Supportive Measures may also include mutual restrictions on contact between the parties implicated by a report.

IX. Complaint Procedures

A. Written Complaint

A complaint alleging discrimination or harassment must be submitted in writing. The complaint must contain the following information:

- Name of the Complainant;
- Contact information, including address, telephone number, email address;
- Name of person(s) directly responsible for alleged violation(s);
- Date(s) and place(s) of alleged violation(s);

1 Employees who fail to make a mandatory report under this provision may also be subject to criminal prosecution pursuant to Texas Education Code section 51.255(a).

2 11 Non-Discrimination Complaint
Nature of alleged violation(s) as defined in this policy;
Detailed description of the specific conduct that is the basis of alleged violation(s);
Copies of documents pertaining to the alleged violation(s);
Names and contact information (if known) of any witnesses to alleged violation(s);
Action requested to resolve the situation;
Complainant's signature and date of filing;
Any other relevant information.

In some cases, the Equal Employment Opportunity Commission (EEOC) requires that a written complaint should be filed within 180 calendar days of the occurrence of the alleged violation. Depending on the circumstances, the university may accept and investigate a complaint even if filed after 180 calendar days.

If a pattern of harassment appears to exist but no complainant files charges, the university may file a third-party charge against an individual. Such charges will be handled with as much care and control as any other complaint so as to avoid acting on rumor or unjustified accusation.

B. Investigative Process for Employee and Third-Party Related Complaints

An impartial administrator from within the division where the complaint was filed, but not within the unit involved, will investigate the Complaint, not as a representative of the complainant, but as an impartial party. Notwithstanding, the university reserves the right to appoint an external investigator or investigator from a different division in its sole discretion. The investigation shall normally be conducted within 20 business days from when the investigator is appointed. Case complexity will vary and the termination resolution of the investigation will depend on case circumstances; however, the investigation will conclude under normal circumstances within 20 business days or 60 business days for complaints of sexual harassment. It is incumbent upon the investigator to document a reasonable justification for extending an investigation beyond 20 business days, or 60 business days for complaints of sexual harassment.

The investigator will interview the complainant and persons who are considered to have pertinent factual information related to the complaint. The investigator will also gather and examine documents relevant to the complaint. Facts will be considered on the basis of what is reasonable to persons of ordinary sensitivity and not on the particular sensitivity or reaction of an individual. Findings will be based on the totality of circumstances surrounding the conduct complained of, including, but not limited to, the context of that conduct, its severity, its frequency, and whether it was physically threatening, humiliating, or simply offensive in nature. The investigator conducting the investigation may also consult with appropriate management personnel, including the Director of Human Resources, the ADA Coordinator, the Title IX Coordinator, and/or the general counsel for advice and guidance as applicable.

The University reserves the right to take such action as may be reasonably appropriate upon receipt of a complaint to protect the complainant or university community pending outcome of the investigation, including interim suspension with pay of an employee.

2.11 Non-Discrimination Complaints
1. **Notification of the Respondent:** After investigating the allegations, the investigator will meet with the Respondent, provide them with a copy of the complaint, and give them an opportunity to respond. The Respondent may, but is not required to, submit a written response to the allegations in the time prescribed by the investigator.

2. **Report of Findings and Recommendations:** The investigator is responsible for preparing a report responding to each allegation that the Complainant has made. This report should describe the investigator’s findings and conclusions to each allegation. The report should also include a brief overview of the investigative process including the category and number of individuals interviewed, timelines, and a summary of each allegation. Finally, the report should contain the investigator’s recommendations for resolution of the matter. This report should be addressed to the appropriate vice President (or President if the complaint concerns a unit reporting directly to the President, or Chair of the Board of Regents if the complaint concerns an employee reporting directly to the Board of Regents or a member of the Board of Regents) with copies provided to the general counsel, the Director of Human Resources, and the Title IX or ADA Coordinator, as applicable.

   The Vice President shall review the findings and recommendations of the investigator and take such action deemed appropriate. Such action shall be communicated in a letter to the Complainant and Respondent with copies to the general counsel, Director of Human Resources, and the Title IX or ADA Coordinator, as applicable, within five (5) business days of receipt from the investigator.

3. **Appeal Process:** If the decision of the Vice President is not satisfactory to the Complainant or Respondent, that individual has five (5) business days in which to request a formal hearing of the discrimination complaint review board (“review board”). The request must be put in writing to the Vice President issuing the decision. If the Vice President concludes that the charges are serious enough to require termination or suspension, the faculty or staff member may be placed on a leave of absence with pay, pending a hearing by the review board and final determination.

4. **Discrimination Review Board:** A review board of three individuals will be selected from a panel of 20 pre-selected faculty members and 20 pre-selected staff members to be appointed by the President. If the Respondent is a faculty member, the review board will be composed of at least two faculty members. If the Respondent is a staff member, the review board will be composed of at least two staff members. The Complainant will select one member and the Respondent will select one member from the applicable panel. The two selected members will choose the third person from the panel. None of the review board members shall be from the department of the Respondent or the Complainant (if applicable), and at least one member should be from a different department than the other two members. These three individuals will constitute the review board and will elect a chair from among them. The University President may remove any selected review board member if substantial proof of bias exists.

   The chair of the review board is responsible for coordinating the hearing. The
Complainant Complainant, the Respondent Respondent, and the University all have the right to be advised by counsel, but lawyers will not be allowed to conduct or participate in the hearing. At least five (5) business days prior to the scheduled review committee hearing, each side shall submit a list of its witnesses and four copies of its evidence to the chair. The list of witnesses should contain a short description of the testimony each witness is expected to provide. A list of witnesses and copy of the evidence will be provided to each party. All materials presented must be maintained in a confidential manner by all parties involved.

The investigator will appraise the review board of the charges and will present the investigation report, evidence and findings. The Complainant Complainant and Respondent Respondent will have an opportunity to respond to the charges and present evidence. Each party may make a five (5) minute opening statement prior to presentation of the evidence. The review board will determine whether a Policy violation has occurred burden will be on the complainant to prove by a preponderance of the evidence standard that the respondent has committed an act of unlawful discrimination. Cross examination of the witnesses is allowed by all parties. Each party may make a five (5) minute closing statement. The review board is permitted to question the parties and/or witnesses at any time during the proceeding.

The chair of the review board will conduct a fair hearing before the Complainant Complainant and the Respondent Respondent and shall allow relevant witnesses and evidence from both parties. The hearing shall be closed to the public. The General Counsel and/or the Director of Human Resources may be consulted in procedural matters and may be present at meetings. All information presented in the hearing is confidential to the extent allowed by law and restricted to only those who have an absolute need to know. The review board will normally have five (5) business days after the completion of the hearing to summarize its findings and make a written recommendation to the President.

5. Review by the President: The President may accept, reject, or modify the decision of the review board and will have access to all evidence, both parties, and witnesses as deemed appropriate. In all instances except those that involve the revocation of tenure or termination with an unexpired appointment extending beyond the date of the proposed dismissal, the decision of the President is final. In cases that involve the revocation of tenure or termination with an unexpired appointment extending beyond the date of the proposed dismissal, termination proceedings shall commence under University policy 7.29. Such termination proceedings shall not reconsider whether discrimination occurred, but rather determine if good cause exists for dismissal. Pending termination proceedings, a faculty member may be suspended and removed from the university or assigned to other duties with pay at the President’s discretion. Final disposition of the case will be communicated to the Respondent Respondent and the Complainant Complainant.

C. Sanctions for University Employees

1. University-imposed: University sanctions for violations of this Policy may include any disciplinary action, up to and including termination of employment for faculty or staff. Such activities may be viewed as constituting a violation of the Faculty Code of Conduct policy (7.11) and grounds for termination under the Tenure and Continued Employment policy (7.29), and a

2.11 Non-Discrimination Complaints
major work rule violation under the Discipline and Discharge policy (11.4).

2. **Civil:** Unlawful discrimination is illegal under state and federal law. Official governmental investigations by the Equal Employment Opportunity Commission, the Texas Commission on Human Rights, and/or the Office of Civil Rights of the Department of Education may result in civil lawsuits against any person guilty of unlawful discrimination.

3. **False Charges:** False charges may result in disciplinary action against the complainant \(Complainant\) by the university or civil charges against the complainant \(Complainant\) by the respondent \(Respondent\). An unsubstantiated charge is not considered “false” unless it is found to be made with the knowledge of it being false.

**D. Investigative Process for Student-to-Student Complaints**

The Dean for Student Affairs, or their appointee, shall investigate student to student complaints and follow the timeframes described in the preceding guidelines for employees. If student discipline is recommended, policy 10.4, Student Code of Conduct will guide the proceedings. Informal and formal disposition procedures are outlined within the policy; and it contains full due process procedures.

Disciplinary action for student-to-student related complaints may range from sensitivity counseling to suspension or expulsion. False charges may also result in disciplinary action. An unsubstantiated charge is not considered “false” unless it is found to be made with knowledge of it being false.

**X. Retaliation**

A supervisor or employee commits an unlawful employment practice if the supervisor or employee retaliates or discriminates against a person, who (a) opposes a discriminatory or harassing practice, (b) makes or files a complaint alleging employment discrimination or harassment, (c) testifies, assists, or participates in any manner in an investigation, proceeding, or hearing. Any employee who retaliates against another employee violates the University’s policies and procedures and may be subject to disciplinary action up to and including termination. Instances of alleged retaliation shall be investigated pursuant to the procedures of this Policy. A Student violates this Policy if the student retaliates or discriminates against a person. A student that violates this Policy is subject to disciplinary action up to and including expulsion.

The investigator will be responsible for monitoring the circumstances surrounding the complaint to insure the situation has been remedied.

**XI. Training**

The University is required by the Texas Labor Code 21.010 to provide EEO training to each new employee, including student employees on policies regarding discrimination, including sexual harassment, no later than 30 days after the date of hire. In addition, supplemental EEO training is required every two years. All employees will receive a copy of this Policy within 30 days of employment. A signed statement verifying training is required to be maintained in the employee’s
personnel file.

Additional training shall be provided in accordance with applicable law.


**Responsible for Implementation:** President

**Contact for Revision:** Title IX Coordinator, Director of Human Resources, and the General Counsel

**Forms:** None

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

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2.11 Non-Discrimination Complaints
POLICY SUMMARY FORM

Policy Name: Fixed Tuition Price Plan (formerly Fixed Rate Tuition Plan)

Policy Number: 3.4

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 compliance with Texas Education Code requirements to offer a fixed tuition price plan to certain undergraduate 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: N/A

Specific rationale for each substantive revision: Changed name of policy from Fixed Rate Tuition Plan to Fixed Tuition Price Plan to be consistent with the enabling legislation. Also removed specifics of the tuition plan offered by SFA, since there is now more than one plan that complies with the legislation. Instead, the revised policy states that SFA's fixed rate tuition plan(s) shall be posted on the controller's office website and communicated to eligible students.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Fixed Rate Tuition Price Plans

Original Implementation: April 15, 2014
Latest Revision: July 25, 2021, 2020

Purpose

This policy affirms compliance with Texas Education Code requirements to offer a fixed tuition price plan to certain undergraduate students and establishes related restrictions and qualifications relating to the plan.

General

Section 54.017 of the Texas Education Code requires governing boards of general academic teaching institutions to offer a fixed tuition price plan to entering undergraduate students, including undergraduate students who transfer to the institution. Eligible freshmen or transfer students must be offered the opportunity to participate in a fixed tuition price plan for 12 consecutive semesters from the point of initial enrollment at any public or private institution, regardless of whether the student enrolls at any institution in those semesters. For purposes of this policy, one or more summer terms occurring in the same summer is considered a semester. Fees charged to a participating student may not exceed fees charged to a non-participating student. The statute permits the Board of Regents to establish restrictions and qualifications. The plan adopted by

Stephen F. Austin State University (SFA) has adopted two plans to meet the legislative requirements: the Fixed Rate Tuition Plan (FRTP) and the Guaranteed Price Plan (GPP). The FRTP is effective beginning in the fall semester of 2014. Beginning with the fall semester of 2020, incoming students will be offered the GPP instead of the FRTP. Students already in the FRTP may remain in that plan if otherwise eligible. The restrictions and qualifications of the plans include the following provisions:

- The plans will apply to undergraduate students only.
- Only Texas resident students, or students defined under Texas Education Code Section 54.052 may participate in the FRTP or GPP.
- The FRTP or GPP is not available for applicable to any student who has previously enrolled at SFA, except for students that have only taken dual credit courses from SFA.
- An entering eligible student, either freshman or transfer, must accept or reject the FRTP or GPP prior to registering for the first semester. Students can change their decision any time prior to the first class day. Students eligible to make this election who enroll after the first class day must make their election prior to enrolling. That decision is non-revocable after they register.
- The fixed-rate FRTP applies to designated tuition only. The GPP freezes all mandatory tuition and fees.
- Entering students freshmen who participate in the FRTP will be eligible to have a fixed level of designated tuition for four consecutive academic years that include fall, spring, and summer. The GPP fixes all mandatory tuition and fees for up to 12 consecutive semesters for qualified students. The FRTP and GPP will be effective for participating students for 12 “semesters” from their date of initial enrollment at SFA or another institution.
• An academic year will be considered three consecutive “semesters,” with the summer considered as one semester, regardless of whether a student enrolls in any or all of the summer terms—Maymester, Summer I or Summer II.
• Students must enroll in a degree-seeking program.
• Students may voluntarily elect to opt out of the FRTP or GPP option and pay the prevailing designated tuition rate in the next subsequent semester, unless they opt out prior to the first class day of the semester. Once a student elects to opt out of the FRTP or GPP plan, they may not be reinstated.
• Students enrolled in the FRTP will be eligible for the same tuition cap as established by the Board of Regents for students enrolled outside the plan. If changes are made to the designated tuition cap, it will apply to all students.
• For purposes of planning and establishing cohorts, it is presumed that students will enroll in 30 hours a year for four years. Students may take more or less hours, as long as they do not exceed the allowable “consecutive semesters,” based on their assigned cohort.
• Each fiscal year will have tuition and fee rates assigned for that year based on an institutional needs assessment. Students entering the FRTP or GPP will be assigned a cohort based on the date of their initial enrollment at any institution. The rate for each cohort will be set by the Board of Regents.
• The FRTP and GPP will be effective for the participating students for 12 “semesters” from their date of initial enrollment at SFA or another institution.
• Each fiscal year will have a rate assigned for that year based on the projected increases in designated tuition. That rate will apply for that fiscal year’s cohort.
• Transfer students enrolling at other institutions prior to the fall semester of 2011 will not be eligible for the FRTP.
• The FRTP is non-renewable.
• The excessive undergraduate credit hours’ penalty and the three-peat tuition penalty for repeating classes will apply to FRTP and GPP students. These penalties will be charged in addition to the FRTP or GPP designated tuition rate if students meet the conditions for which these penalties apply.
• Students eligible for exemptions and/or waivers will not be allowed to register in the FRTP or GPP. If a student is determined to be eligible for an exemption or waiver after enrollment, the student will no longer be eligible for the FRTP or GPP and the annual plan rate will be assessed for the current semester. (No retroactive adjustments to the account will be made for prior semesters)
• Students attending under a contract paid by a third party are not eligible to enroll in the FRTP or GPP.
• Students participating in the Texas Guaranteed Tuition Plan (formerly the Texas Tomorrow Fund) or the Texas Tuition Promise Fund are eligible to enroll in the FRTP or GPP.
• If a student is determined to be eligible for an exemption or waiver after enrollment, the student will no longer be eligible and the non-FRTP rate will be assessed for the current semester. (No retroactive adjustments to the account will be made for prior semesters.)

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: Gifts, Prizes and Awards

Policy Number: 3.18

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): This policy provides guidance regarding gifts, prizes and awards that can be given, the manner in which they can be given, and reporting requirements.

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:

Specific rationale for each substantive revision: Increase of the nominal value from $50 to $100.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

**Original Implementation:** April 22, 2008  
**Last Revision:** July 21, 2020  October 23, 2017

**Purpose**

This policy provides guidance regarding gifts, prizes and awards that can be given, the manner in which they can be given, and reporting requirements.

**Definitions**

**Employee:** An individual receiving compensation as a full-time or part-time employee, including casual employees, student employees and graduate assistants.

**Non-Employee:** An individual receiving no employment compensation of any kind or in any amount, including students who are not employed by any department of the university.

**Gift:** A voluntary conveyance of something of value as a gesture of good will or appreciation. Marketing and promotional items are excluded as gifts as noted below. Plants and flowers sent as a gesture of sympathy or support are not considered gifts if they have a valid business purpose; however, they are subject to specific rules. See Guidelines for Expenditures from University Funds.

**Award:** Something of value conveyed as a result of competition, merit or in recognition of service to the university on the part of the recipient.

**Prize:** Something of value conveyed as a result of chance, generally for promotional purposes, to one or more participants in an event sponsored by a university department or organization.

**Nominal Value:** A prize, gift, or award valued at $100 or less.

**Organization:** Any university department or student group using university funds for a gift, prize, or award. Agency funds are not considered university funds.

**General**

State and federal regulations restrict the use of university funds to provide gifts, prizes, and awards to employees, students, and others in the university community. In addition, the Internal Revenue Service (IRS) has requirements for the federal reporting of gifts, prizes, and awards given to employees versus non-employees. All definitions and reporting requirements of this policy apply to any university funds, and remain the same even if the funds originate as a gift to the university from a third party.

No gifts, prizes, or awards of any kind should be charged to state appropriated funds, designated accounts funded by student fees, auxiliary funds associated with mandatory fees, or restricted funds.
Funds from federal and state grants, contracts, or other sponsored agreements cannot be used to pay for items that are or appear to be gifts or marketing or promotional items such as t-shirts, key chains, tote bags, caps, and other souvenirs or memorabilia, unless specifically provided for in a grant, contract, or sponsored agreement. Use of these funds to pay for awards for participation in grant-funded activities is generally allowable when both reasonable in cost and necessary to accomplish program objectives. Acceptable participation awards include plaques, small trophies, ribbons, certificates, pens/pencils, and similar items.

**Exclusions**

Financial aid awards and grants are not considered gifts, prizes, or awards for purposes of this policy. Most awards to students that are related to academic performance are considered financial aid, and as such, are not subject to the provisions of this policy. Prizes given in conjunction with raffles that include the purchase of a chance or ticket are not subject to this policy and are governed by university policy 16.25 Solicitation on Campus, and state law. Agency funds are not subject to this policy since they are not considered university funds.

**EMPLOYEE as the Recipient of a Gift**

Gifts of cash, including gift cards and gift certificates to employees, are not allowed. Gifts other than cash, gift cards, or gift certificates are allowed only when such gifts have a business purpose and are approved in advance by the president, vice president, dean, or the authorized approver for Board of Regents purchases (Board of Regents purchases only), and are within IRS guidelines. The gift must be of nominal value, as defined above, unless a larger amount is approved by the president or vice president, or the authorized approver for Board of Regents purchases (Board of Regents purchases only). For any gift greater than nominal value, the department must report the following information to the controller’s office for tax purposes: recipient name, social security number, address, and purpose and value of the gift.

With the exception of the Offices of the President and the Board of Regents, personal gifts using university funds for birthdays, weddings, showers, retirements, get well, funerals, and other personal occasions, are not allowed. These are considered personal expenses, to be paid by the person(s) giving the gift.

Non-cash gifts for employees of nominal value, such as t-shirts, cups, mugs, etc. can be purchased with discretionary funds. For limitations on purchases of clothing, see Guidelines for Expenditures from University Funds on the controller’s office website.

Marketing and promotional items bearing the SFA name or logo are not considered gifts when they are of nominal value. An example of a marketing or promotional item is a coffee cup with an SFA department name provided to an SFA employee or representative. In addition, tickets provided to a representative of SFA for sporting events, fine arts events, recognition banquets, etc. are not considered gifts when attendance at the event is to promote the university in the representative’s official capacity.

**EMPLOYEE as the Recipient of a Prize or Award**
Monetary awards may be given to employees for meritorious performance or other reasons connected with employment, but only as part of an established campus-wide program or a program within a college approved by the dean and the provost and vice president for academic affairs. See university policy 12.20 University Awards Programs. Such monetary awards cannot be given in the form of gift certificates or gifts cards, but must be paid through payroll and submitted on a stipend authorization form.

Non-cash awards given to employees as length of service awards are acceptable as long as they are valued at less than $400 per year per employee. These awards may only be administered by the Department of Human Resources or in a ceremony approved by the Department of Human Resources and the appropriate vice president.

Any non-cash award given for meritorious performance or other reasons connected with employment must be of nominal value, as defined above.

An employee may accept a monetary or non-cash prize or award of any amount where the individual’s employment is incidental to the basis on which the prize or award is given. For example, a university employee would be eligible to win a door prize given at random or an essay-writing contest.

For any prize or award greater than nominal value, the department or organization sponsoring the contest, game of chance, etc., without the purchase of a chance or ticket must report the following information to the controller’s office for tax purposes: recipient name, social security number, address, and purpose and value of the prize or award.

**NON-EMPLOYEE as the Recipient of a Gift**

Gifts of cash to non-employees are not allowed. Gift certificates, gift cards, or tangible commodities are allowed as long as the gift is given for a valid business reason.

For any gift greater than nominal value, as defined above, the department must report the following information to the controller’s office for tax purposes: recipient name, social security number, address, and purpose and value of the gift.

Development Gifts to individuals to promote development interests or alumni relations, using university funds, cannot exceed nominal value, as defined above, unless approved by the president. For any gift greater than nominal value, the department must report the following information to the controller’s office for tax purposes: recipient name, social security number, address, and purpose and value of the gift.

When university officials are hosting visitors, appropriate university funds may be used to give such visitors a gift of nominal value, as defined above, as a sign of appreciation or recognition. Any gift greater than nominal value must be approved by the president. Marketing and promotional items with the SFA name or logo are not considered gifts as discussed above. For any gift greater than nominal value, the department must report the following information to the
controller’s office for tax purposes: recipient name, social security number, address, and purpose and value of the gift.

Federal and state laws severely restrict the nature and value of gifts that may be made to public officials, and those restrictions may vary depending on the type of gift as well as the office held by the official. Gifts to municipal officials may also be restricted. In general, university policy prohibits all gifts to public officials, with the exception of token gifts of nominal value, as defined above, as long as they are not provided in exchange for his/her decision, opinion, recommendation, vote, or other exercise of discretion as a public official. Any exception to this limit must be discussed in advance with general counsel to ensure it is allowed under the specific governing conditions. There may be restrictions on paying honoraria to public officials and questions should be directed to the general counsel.

NON-EMPLOYEE as the Recipient of a Prize or Award

Cash, gift certificates, gift cards or non-cash items may be given as prizes and awards as long as they are reported as required herein. Prizes and awards to non-employees must be for a valid business reason, which may include a contest, door prize, etc. without the purchase of a chance or ticket.

Monetary prizes and awards must be processed using the online purchase requisition system and substitute Form W-9 must be submitted to accounts payable.

For any prize or award greater than nominal value, as defined above, the department must submit the following information to the controller’s office for tax purposes: recipient name, social security number, address, and purpose and value of the prize or award.

NON-RESIDENT ALIENS as the Recipient of a Gift, Prize, or Award

Cash and non-cash gifts, prizes and awards to non-resident aliens are generally subject to 30% withholding and reported on an IRS Form 1042-S. The department or organization must contact the controller’s office before making gifts, prizes and awards to person who are not US citizens or legal permanent residents, regardless of the value of the gift, prize or award.

Cross Reference: IRS Regulations; Tex. Penal Code Ch. 36; Solicitation on Campus (16.25); University Awards Programs (12.20); Guidelines for Expenditures from University Funds.

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Hazing

Policy Number: 10.3

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

Date of last revision, if applicable: 7/1/2017

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

Purpose of Policy (what does it do): Outlines hazing laws and penalties

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Updates based on requirements of SB 38 to be effective by Sept. 2020.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Hazing

Original Implementation: September, 1987
Last Revision: July 21, 2020

Stephen F. Austin State University is unequivocally opposed to any activity by an organization or individual(s) within the organization that is herein defined as hazing.

Definitions

Hazing: Any intentional, knowing or reckless act occurring on or off campus by one person alone or acting with others, that endangers the mental or physical health or safety of a currently-enrolled or prospective student for the purpose of new member intake, being initiated into, affiliating with, holding office in, or maintaining membership in that organization.

Hazing acts include, but are not limited to:

1. any type of physical brutality such as whipping, beating, striking, branding, electronic shocking, placing a harmful substance on the body, or similar activity;
2. any type of physical activity such as which involves sleep deprivation, exposure to the elements, confinement in a small space, calisthenics or other similar activity that subjects the student to an unreasonable risk of harm or that adversely affects the mental or physical health or safety of the student;
3. any activity involving which involves consumption of a food, liquid, alcoholic beverage, liquor, drug or other substance that subjects the student to an unreasonable risk of harm or that adversely affects the mental or physical health of the student;
4. any activity that intimidates or threatens the student with ostracism, that subjects the student to extreme mental stress, shame, humiliation, that adversely affects the mental health or dignity of the student or discourages the student from entering or remaining registered at the institution, or that may reasonably be expected to cause a student to leave the organization or the institution rather than submit to the acts described in this policy;
5. any activity that induces, causes, or requires the student to perform a duty or task which involves a violation of the Penal Code; or
6. involves coercing the student to consume drugs or alcoholic beverage or liquor in any amount that would lead a reasonable person to believe the student is intoxicated.

Organization: Any fraternity, sorority, association, corporation, order, society, corps, club, or student government, a band or musical group, or an academic, athletic, cheerleading, or dance team, including any group or team that participates in National Collegiate Athletic Association competition, or a service, social, or similar group, whose members are primarily students.
**Immunity:** Any person who voluntarily reports a specific hazing incident involving a student or prospective student to the dean of students affairs or appropriate university official may be immune from civil or criminal liability if the person:

1. Reporting of the incident is before being contacted by the institution or before the investigation of the incident is underway.
2. Student cooperates in good faith throughout the investigation, as determined by the dean of student affairs.

A person will not be granted immunity if reporting their own act of hazing, or reports in bad faith or with malice.

**Committing an Offense:** The organization and any individual involved in hazing commits an offense by:

1. engaging in hazing;
2. soliciting, encouraging, aiding or directing another engaging in hazing;
3. intentionally, recklessly or knowingly permitting hazing to occur;
4. having first-hand knowledge that a specific hazing incident is being planned or has occurred and failing to report said knowledge in writing to the university’s judicial officer—student conduct authority.

**Organization Hazing Offense:** An organization commits an offense if the organization condones or encourages hazing or if an officer or any combination of members, pledges, or alumni of the organization commits or assists in the commission of hazing.

**Consent:** It is not a defense to prosecution of an offense that the person against whom the hazing was directed consented to or acquiesced in the hazing activity.

**Penalties:**

**Penalties — University Student Code of Conduct Violation**

Individual: Each individual committing an offense is subject to university penalties ranging from probation to expulsion.

Organization: Student Organizations committing an offense may be placed on university probation and are subject to withdrawal of university recognition.

**Penalties — Criminal**

10.3 Hazing
Individual: Penalties relative to criminal prosecution range from a fine of $2,000 and/or 180 days in jail for failure to report a hazing incident to a fine of $10,000 and two years in jail for an incident which causes the death of a student.

Organization: The student organization may be penalized with a fine of up to $10,000 or double the expenses involved due to the injury, damages or loss.

Notice of Policy and Incident Reporting

To General Campus Community: This policy shall be published on the SFU website in the General Bulletin, and on the SFU website and Student Affairs website, and emailed to all students at least 14 days before the start of the fall and spring semesters. so as to cause all students to be aware of the provisions of this policy.

Of Offenders: A list of organizations that have been disciplined found responsible for hazing or convicted for hazing on or off campus during the previous three years shall be included each time this policy is published in the published. The three-year publication will begin as soon as an organization’s name can be placed in the first available printing of one of the above named publications can be updated online, and on the yearly revised publication of the General Bulletin. A date in parenthesis following an organization’s name will indicate the last year the organization is required to be listed will be included.

Reporting of Sanctioned Organizations

A report will be posted on the university’s website that includes information regarding each disciplinary action taken against an organization under this policy or related external convictions for hazing against the organization during the three years preceding the date on which the report is issued or updated.

This report will include:

- the name of the organization disciplined or convicted;
- the date on which the incident occurred;
- the date on which the university’s investigation into the incident, if any, was initiated;
- a general description of the incident,
- the violations of the university’s code of conduct or the criminal charges, as applicable;
- the findings of the institution or court; and
- any sanctions imposed by the institution, or any fines imposed by the court, on the organization; and
- the date on which the university’s disciplinary process was resolved or on which the conviction became final.
This report will be updated to include information regarding each disciplinary process or conviction not later than the 30th day after the date on which the disciplinary process was resolved or the conviction became final, as applicable.

Notice of Policy to Students
A summary of the provisions of this policy will be published in the General Bulletin section of the university’s website. Electronic links to this policy, and to the report outlined above, will be posted on the Student Affairs website and included in an e-mail to all enrolled students that will be distributed at least 14 days before the start of each fall and spring semester.

Cross Reference: Student Code of Conduct (10.4); Tex. Educ. Code §§ 37.151-.157, 51.936

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: Kennedy Auditorium

Policy Number: 16.14

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

Date of last revision, if applicable: October 29, 2018

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

Purpose of Policy (what does it do): Guidelines for use of Kennedy Auditorium

Reason 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: Major re-write changing administration of Kennedy Auditorium to College of Fine Arts.

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
Kennedy Auditorium

Original Implementation: September 1, 1975
Last Revision: October 29, 2018/July 21, 2020

Auditorium Operating Policy

Scheduling and use of Kennedy Auditorium is pursuant to Use of University Facilities (16.33). The dean of the College of Fine Arts, Sciences and Mathematics is the administrator of the facility and its operating policies. Nothing contained in this policy will be construed to prohibit or hinder the operation of Kennedy Auditorium in pursuing the university’s mission. All activities associated with that mission will have priority in the use of this facility.

Priority of Users

Because Kennedy Auditorium is an academic and a special events venue, its use will be restricted according to the following prioritized categories:

Category I – Events sponsored by the Schools of Art, Music, or Theatre; and other performance activities that are a necessary adjunct to academic programs in the College of Fine Arts.

Events sponsored by the College of Sciences and Mathematics and other activities that are a necessary adjunct to academic programs in the College of Sciences and Mathematics.

Category II - Events that are a part of the University Series or the Children's Performing Arts Series (CPAS).

Category III – Events sponsored by university administration, academic units or student organizations.

Category IV – Events sponsored by non-university groups, subject to the regulations described herein and university policy 16.33, Use of University Facilities.

Reservation Procedures

Reservations for all functions in Kennedy Auditorium are made through the office of the dean of the College of Fine Arts, Sciences and Mathematics. The dean may limit in advance, or reduce after receipt of reservations, the number of dates reserved by any entity, activity, or type of event. The dean may limit the duration and/or reject the date(s) of any reservation that is impractical for reasons such as safety, stage operations requirements, or excessive restriction of the auditorium’s availability. All reservations require the dean’s approval. The dean will act as arbitrator in circumstances where scheduling conflicts cannot be resolved. Scheduling priorities will be given in accordance with the following procedures:
**Category I - Events requiring the use of the auditorium for five days or longer have priority for reserving dates until October 1 of the previous academic year. Events requiring the use of the auditorium for fewer than five days have priority for reserving dates through October 31 of the previous academic year.**

**Category II - Events in this category have priority for reserving dates after November 1 and prior to January 1 of the previous academic year.**

**Categories III and IV - Events in these categories may reserve available dates after May 1 of the previous academic year.**

**Jointly Sponsored Events**

Jointly sponsored events (i.e., events where official university academic units and organizations jointly sponsor an event with a non-university group) may be scheduled only in accordance with the provisions of the policy on Use of University Facilities (16.33). Jointly sponsored events in Kennedy Auditorium are subject to the following regulations:

1. Only university entities (colleges, academic units, auxiliary offices) may jointly sponsor an event with a non-university group.
2. A jointly sponsored event must have approval from an academic unit chair/director, dean or vice president and have relevant educational objectives.
3. A written agreement between the university entity and the non-university group must be prepared in consultation with the dean of the College of Fine Arts and the Kennedy facilities manager. This agreement must be signed by the appropriate authorities.
4. The Kennedy staff will work directly with the university sponsor rather than the non-university group. The university sponsor will be considered the producer of the event.
5. The university sponsor will assume full responsibility for the event and all related charges, including costs for damages. All promotion of the event must include the name of the university, be approved by the university sponsor and conform to the policy on University Publications (15.8).
6. The university sponsor will assure the use of Kennedy Auditorium does not result in private gain for the non-university group.

A facility reservation agreement form must be completed and approved by the dean. Verification will be required that space is not available in the Baker Pattillo Student Center prior to a student organization being given permission to use Kennedy Auditorium. The dean will act as arbitrator in circumstances where scheduling conflicts cannot be resolved. No fee will be charge for the use of the auditorium.

**General Operating Regulations**

1. No signs, messages or other materials may be posted, displayed, distributed or announced in, on, or adjacent to Kennedy Auditorium by the user or sponsor without prior written approval by the dean of the College of Fine Arts - Sciences and Mathematics. Such materials may not be fastened
to any part of the facility except in spaces provided for that purpose and may not be permitted to
interfere with crowd movement and safety.

2. All news releases, handbills, advertisements, television and radio announcements or other
media utilized to inform the public of a non-university event to be held in Kennedy Auditorium
must be approved by University Marketing Communications and must carry a disclaimer,
approved by the university general counsel, stating that the use of Kennedy Auditorium does
not imply endorsement of the event by the sponsoring organization or the university.

3-4. Safety regulations, as determined by the Kennedy Auditorium facilities director and the
university safety officer, will govern all areas of Kennedy Auditorium.

4.5. A walk-through of the auditorium with the facilities director must take place prior to and at the
conclusion of the event. The sponsor of the organization must be present for the walk-through.

4.6. The user organization is responsible for the conduct of its representatives, members and guests
of the event while in Kennedy Auditorium. Organizations with a history of conduct violations
during previous use of Kennedy Auditorium may be denied subsequent use.

5-6. In accordance with Smoking, Vaping and Use of Tobacco Products (13.21), Kennedy
Auditorium is a non-smoking facility. Smoking, vaping and using tobacco products is
prohibited.

6.7. The user must specify hours of occupancy and may not have any activities in the facility other
than at those times. The Kennedy staff will be in attendance and will be paid by the users
during all specified hours, according to a schedule of fees kept in the dean’s office.

7.8. All university equipment will be operated by trained personnel employed by the university
and/or approved by the Kennedy Auditorium facilities manager.

8. Kennedy Auditorium will not provide any multimedia equipment.

9. Users must specify hours of occupancy and may not have activities in the facility other than at
those times.

10. Users may employ their own crews for tasks better understood by their personnel (music stand
and chair setup, prop arrangements, etc.). These arrangements must be approved in advance
by the dean of the College of Fine Arts and Kennedy facilities manager. Such arrangements do
not, however, release the users from the basic personnel charges identified in this policy as
stipulated by the schedule of fees.

11. Services provided by the Kennedy staff outside scheduled occupancy will be paid by the users.

12. All university equipment will be operated by trained personnel employed by the university
and/or approved by the Kennedy facilities manager.

13-12. The user must obtain approval from the Kennedy Auditorium facilities manager before placing
any equipment on the stage. All decorations will be installed without defacing the building
and will be subject to the supervision and approval of the Kennedy Auditorium facilities
manager.

The user organization will not allow beverages, food, gum or refreshments of any kind to be
sold, brought into, or served in Kennedy Auditorium. No refreshments will be taken onto the
stage, into the backstage areas, or into the auditorium at any time. Exceptions must be approved
by the Kennedy Auditorium facilities manager.

13. Stage work will be done at the users’ expense under the supervision of the Kennedy facilities
manager. Approval must be secured for organizations to employ their own personnel.

14. User organizations will leave the stage and stage areas, including dressing rooms and access
areas, clean and clear after the final performance. Any exception must be approved by the
Kennedy facilities manager. If the stage is not cleared within the designated period, the
Kennedy staff will employ a crew for which the users will pay. Users will be released from further clean-up responsibility only after inspection by the Kennedy facilities manager.

15. Additional charges will apply for custodial services required outside regularly scheduled housekeeping hours.

16. All users and sponsors will be responsible for payment for damages to the facility, its fixtures and equipment, whether caused by the user, sponsor or its patrons.

12. The user organization will leave the facility, including the stage area, backroom and access areas, clean and clear after the event.

13. A cancellation notice of at least 48 hours is required. Failure to do so may result in denial of any future use of the facility.

14. The university will not be responsible for items left in the auditorium

Cross Reference: Use of University Facilities (16.33); Smoking, Vaping and Use of Tobacco Products (13.21)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Dean of the College of Fine Arts, Sciences and Mathematics

Forms: Facility Reservation Form Agreement, Schedule of Fees, Walk Through Checklist

Board Committee Assignment: Building and Grounds Committee
POLICY SUMMARY FORM

Policy Name: Parking Regulations

Policy Number: 13.14

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

Date of last revision, if applicable:

Unit(s) Responsible for Policy Implementation: Parking Services / UPD

Purpose of Policy (what does it do): Parking Enforcement

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:

Specific rationale for deletion of policy:

Additional Comments:

Updated department name.

Reviewers:

John Fields, Chief of Police
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
**Parking and Traffic Services Regulations**

**Original Implementation:** September 1, 1961  
**Last Revision:** May 1, 2020/July 21, 2020/April 29, 2020

### SECTION I: GENERAL PROVISIONS

1. **General:** Pursuant to the authority granted by the Texas Education Code and as approved by the Board of Regents of Stephen F. Austin State University (SFA), these *Parking Regulations* are promulgated to regulate and control parking and traffic and the use of parking facilities, to provide for the issuance of parking permits, and to provide for jurisdiction over offenses. These rules and regulations are supplementary to applicable ordinances of the city of Nacogdoches and the statutes of the state of Texas that govern pedestrians and the use of motor vehicles and bicycles.

   A. The operation of a motor vehicle or bicycle on university property is a **PRIVILEGE** granted by the university and is not an inherent right of any faculty/staff member, student or visitor. All faculty, staff, students and visitors who park on university property must have a university parking permit or park in a short-term paid parking space. A parking permit signifies that an individual has been granted the privilege of parking a vehicle on university property and does not guarantee a parking place on campus.

   B. The university assumes no liability or responsibility for damage to or theft of any vehicle parked or driven on campus. The university assumes no responsibility or any duty to protect any vehicle or its contents at any time the vehicle is operated or parked on the campus. No bailment is created by granting any parking or operating privileges regarding a vehicle on any property owned, leased or otherwise controlled by the university.

   C. Each person operating a motor vehicle on university property is responsible for obeying all university parking services and traffic regulations as well as all city and state parking and traffic regulations. All vehicles operated on the university property must display a valid parking permit 24 hours a day, 365 days a year.

   D. These regulations are in effect at all times on university property including semester breaks, holidays, weekends, and intersessions.

2. **Administration and Enforcement of these Regulations:**

   A. **Parking:** The Parking Services division of the SFA University Police Department (UPD) is authorized to enforce these regulations and is responsible for the administrative functions relating to parking permits; establishing procedures and requirements for the issuance of...
parking permits; the collection of enforcement fees for parking and traffic services violations; establishing requirements for the submission of appeals; the processing of appeals from parking and traffic services citations; and for management of parking lots and garages. The Parking Services department supervises parking enforcement assistants who issue parking citations and provide other services such as lock-out and jump starts.

B. The Stephen F. Austin State University Police Department (UPD): The University Police division of UPD is also authorized to enforce these regulations at any time or under any circumstances deemed necessary. UPD officers may issue university citations or court appearance citations enforceable in justice of the peace or municipal court.

The Board of Regents of Stephen F. Austin State University is authorized to employ campus police personnel. Such officers are commissioned as Texas peace officers and are vested with all powers, privileges and immunities of peace officers in the performance of their duties. As Texas peace officers, Stephen F. Austin State University police officers have county-wide jurisdiction in all counties in which the university owns property.

All persons on university property are required to identify themselves to such officers when requested. Failure to produce identification upon request of an officer may result in arrest and appearance before a magistrate.

The university police shall be vested with the authority to refuse to allow persons having no legitimate business to enter upon any property under the control and jurisdiction of Stephen F. Austin State University and to eject any unauthorized persons from said property upon their refusal to leave peaceably upon request.

The university police are authorized to enforce the Texas Motor Vehicle Code, the Texas Penal Code, and applicable ordinances of the city of Nacogdoches, the parking and traffic services regulations of the university, and all other laws.

All accidents, thefts and other offenses that occur on university property or anywhere within the campus area should be reported to the university police immediately. Accident reports should be made prior to moving vehicles. One-vehicle accidents should also be reported. Vehicles should always remain locked.

C. Appeals: Any person receiving a citation may appeal. Appeals must be submitted online through mySFA and must be received within ten (10) calendar days of the date the citation was issued. Forms for submitting second appeals to the appropriate boards are available at the Parking and Traffic Services office during regular business hours and on-line at http://www.sfasu.edu/parking. Boots and impoundments may be appealed in this same manner.

The director of parking and traffic services, or designee, serves as the appeal officer and will review the appeal and any information/evidence relative to its application. The appeal
officer will render one of the following decisions:

**Warning** means the appeal was granted and the fine was waived.

**Voided** means the ticket issued was not valid.

**Denied** means that the ticket has been upheld and the fine must be paid.

The appellant will be notified of the decision via their SFA email account. Should the appellant disagree with the decision of the appeal officer, they may make a final appeal to the appropriate hearing board.

**Appeal Board Hearing:**

To appeal to a hearing board, the appellant must submit their appeal in writing to the Parking Services office within ten (10) days of the appeal officer’s decision. Parking Services will notify the appellant of the date and time of their hearing via email to the appellant’s SFA email address.

Student citation appeals are considered by the Student Government Association Supreme Court, which will for the purposes of this policy be referred to as the Student Appeals Board. Faculty/Staff citation appeals are considered by the Faculty/Staff Appeals Board.

While an appeal must be submitted in writing, an appellant may choose to present their appeal to the Board in person as well. It is the responsibility of the appellant wishing to appear in person to obtain the date and time of the appropriate Appeal Board meeting. The meeting dates for both of these boards are posted in the Parking Services office.

The board will review the appeal and render one of the following decisions:

**Excused** means the ticket and its resulting fine are excused.

**Upheld** means that the decision of the appeals officer was upheld and any resulting fine must be paid.

All decisions of these boards are final.

**Appellant’s Rights**

Appellants shall have the right:

1. to be present at the hearing
2. to be accompanied by an advisor of the appellant’s choice and to consult with such
advisor during the hearing (the advisor may only advise the appellant and may not actively participate in the hearing);  
3. to know the identity of the traffic officer or police officer who issued the citation;  
4. to hear or examine evidence presented;  
5. to make any statement of mitigation or explanation;  
6. to have and cross-examine witnesses;  
7. to be informed of the disposition of the appeal  
8. to inspect and copy the record of the hearing at his/her cost.  

Rules of Procedure  
1. The board may hear appeals for citations for which an application to appeal has been filed in accordance with these rules.  
2. Each citation shall be appealed separately; except in the instance of consecutive citations for the same violation.  
3. Each appeal shall be heard and decided on its own merit.  
4. The board may examine, cross-examine, call, recall, and dismiss any witness.  
5. The board may limit the number of witnesses whose testimony will be repetitious and establish time limits for testimony so long as all viewpoints are given a reasonable opportunity to be expressed.  
6. The board shall maintain an adequate record of each hearing. Summary notes shall be deemed an adequate record for this purpose.  
7. The chief of police, executive director of public safety, or designee, may represent the university in any hearing.  
8. The board may enter into closed session for deliberation at the conclusion of the presentation of evidence.  
9. The board's judgment must be rendered at the conclusion of deliberation.  
10. A board member must excuse himself/herself from any appeal in which he/she is involved, or in which a member of his/her family is involved.  

Findings and Sanctions  
The board shall decide only whether or not the defendant is guilty/responsible of the offense as charged in the citation.  
The citation charges for each offense are established by the Board of Regents and may not be reduced or eliminated by the Appeals Board if the individual is found guilty/responsible of the parking offense. Failure to appear at a hearing as requested by appellant shall result in a forfeiture of the personal appearance and the board’s decision will be based on the written appeal.  

3. Authority: Parking Services and UPD are authorized to enforce these regulations:  
13.14 Parking Services Regulations
A. Through the issuance of university citations and collection of enforcement fees, including the periodic billing of unpaid citations and the referral of individual cases pertaining to unpaid campus citations to a collection agency;

B. Through the impoundment of vehicles interfering with the movement of vehicular, bicycle, or pedestrian traffic, blocking a sidewalk or space for those with disabilities, loading dock, ramp, cross-walk, entrance, exit, fire lane, or aisle;

C. Through the impoundment or immobilization of vehicles for unpaid enforcement fees or display of a lost, altered, stolen or unauthorized parking permit;

D. By the suspension, revocation or denial of campus parking and driving privileges, parking permit and garage access privileges to those who have flagrantly violated these regulations;

E. By requiring either the vehicle owner or operator or the person who purchased the permit to appear in court for certain moving violations or at a university hearing for non-payment of outstanding charges or other violations of these regulations;

F. By barring re-admission and by withholding grades, degree, refunds and official transcript of any student for non-payment of outstanding charges in accordance with university standards;

G. By disciplinary action against employees or students who fail to abide by these regulations;

H. By such other methods as are commonly employed by city governments or state agencies in control of traffic regulation enforcement.

I. Violation of the university parking and traffic regulation is a misdemeanor punishable by a fine of up to $200.

J. With approval of the vice president for university affairs, UPD and Parking Services may authorize an alternative method for the payment of fines that is consistent with the university’s mission such as community service hours or the collection of food for area foodbanks.

4. **Proof:** The issuance of a citation reflecting the existence of any parking or traffic control device, sign, short-term spaces, signal or marking at any location on university property shall constitute prima facie evidence that the same was in existence and was official and installed under the authority of applicable law and these regulations. When any person is charged with having stopped, parked and left standing a motor vehicle on the campus, in
violation of any provision of these Parking Services Regulations, proof that said vehicle was, at the date of the offense, bearing a valid university parking permit shall constitute prima facie evidence that said vehicle was then and there stopped, parked, and left standing by the holder of the parking permit. If the vehicle does not bear a valid university parking permit, proof that the vehicle at the date of the offense alleged was owned by an individual is prima facie proof that said vehicle was then and there stopped, parked and left standing by the individual.

5. Responsibility:

A. The person to whom a university parking permit is issued is responsible for any citation issued with respect to a car displaying that permit or a vehicle registered through the Parking Services department by that person.

B. If the vehicle does not display a valid university parking permit and is not registered through Parking Services to any university permit holder, then the person to whom the vehicle is registered through the Texas Department of Transportation or other state agencies at the time of issuance of the citation and that individual’s university affiliate (faculty, staff or student) are responsible for the citation.

6. Collection Methods: The university may arrange for collection of debts due to the university pursuant to these regulations in the following manner and as specified elsewhere in these regulations:

A. Permit payments may be deducted from employee payroll checks with the employee’s permission. Deductions for all permit purchases will continue until the full price of the permit is paid or until the permit is returned. Employees are responsible for monitoring their paychecks to ensure that proper deductions are being made for their SFA parking permit.

B. A financial hold may be placed against students for past due debts.

C. Any charge not paid when due may be forwarded to a collection agency or an attorney for collection. The offender will be responsible for paying all costs of collection, including any agency fees and/or reasonable attorney’s fees, which will be added to the total amount due.

SECTION II: DEFINITIONS

COMMTTER: SFA students without a SFA housing assignment.

COMPACT CAR: Any vehicle that is less than 181 inches long (15 feet), and less than 60 inches (5 feet) tall.
CENTRAL CAMPUS: Central Campus is an area between the following border streets: northern border: East College; southern border: East Starr; western border: North Street (Business 59); eastern border: Wilson Drive.

DISABLED VEHICLE: Any vehicle that has mechanical failure that prevents it from being operated at all or impedes the vehicle's operation for a period of more than three (3) days.

DISABLED VETERAN: Any veteran that possesses or qualifies for disabled veteran license plates, or has a disabled placard issued by the Texas Department of Motor Vehicles and provides proof of service through Department of Defense or Department of Veterans Affairs paperwork.

EXTRAORDINARY SERVICE VETERAN: Any veteran that qualifies for or possesses specialty license plates issued by the Texas Department of Motor Vehicles indicating receipt of a Purple Heart, Congressional Medal of Honor, Distinguished Service Medal, Bronze Star Medal, Army Distinguished Service Cross, Air Force Cross, Distinguished Service Cross, Navy Cross, or indicating service as a Prisoner of War or Survivor of Pearl Harbor.

FACULTY/STAFF: Any person employed by the university, regardless of whether the person is employed with or without salary, including casual employees.

FLAGRANT VIOLATIONS: A clear and obvious violation of these rules and regulations, including but not limited to possession of a lost, stolen or altered permit; possession of a permit by someone other than the original purchaser; receipt of 10 or more citations within one academic year; or any violations that substantially impact the daily operations of the university or the health and safety of others.

IMMOBILIZATION: Impoundment of a vehicle in place until certain conditions are met for its release.

IMPOUND: securely hold a vehicle until certain conditions are met for its release.

MOTORCYCLE/MOPED/MOTOR SCOOTERS: A self-propelled device with at least two wheels in contact with the ground during operation; a braking system capable of stopping the device under typical operating conditions; a gas or electric motor; and a deck designed to allow a person to stand or sit while operating the device.

OFFICIAL UNIVERSITY HOLIDAY: Those days when the university is officially closed for business.

PARKING: Stephen F. Austin State University Office of Parking Services.

PARKING ENFORCEMENT OFFICER: Employee of Parking Services who controls the parking of motor vehicles; issues parking citations in parking lots, garages and along streets at SFA; provides guidance and directions to visitors; assists with special-event parking; provides
special services such as escort, vehicle unlocks and jump starts; and immobilizes vehicles in accordance with these regulations.

**PARKING PERMIT**: Permit issued by the Parking Services Department that authorizes parking on university property.

**PARKING SPACE**: An area designated for vehicle parking by pavement or curb markings or signs. Any area not so marked is not a valid parking space.

**PERMIT REQUIREMENTS**: a permit is required at all times on campus, with the exception of university sponsored or hosted events, and/or activities coordinated through Parking Services, and Traffic and official university holidays.

**PRIVATE CONTRACTOR**: Any person employed by a business, but not affiliated with SFA as faculty, staff or student, which has contracted to operate a business or service function of the university.

**RESIDENT**: SFA students who have a current SFA on-campus housing assignment.

**SEMESTER INTERSESSION**: the period between the day following published last day of SFA finals of one semester and the beginning of the next semester (first day of class) and SFA spring break.

**SFA**: Stephen F. Austin State University

**SHORT TERM PARKING SPACE**: Any parking space for which the payment of an hourly rate is required.

**STUDENT**: Any person who is or has been within the last six months registered and enrolled at the university (including but not limited to online students, special students, part-time students, auditing individuals, teaching assistant students, graduate and research assistants).

**UNAUTHORIZED PARKING PERMIT**: Use of a permit for which the individual is no longer eligible or use of a permit that was purchased/issued to another individual.

**UNIVERSITY**: Stephen F. Austin State University

**UNIVERSITY PROPERTY**: includes all properties under the control and jurisdiction of the Board of Regents of Stephen F. Austin State University.

**UPD**: Stephen F. Austin State University Police Department, which includes the University Police Department, Office of Parking Services; and Emergency Management.
VEHICLE: Includes, but is not limited to, automobiles, buses, trucks, trailers, motorcycles, motor scooters, motorbikes, mopeds, bicycles, golf carts, club cars and tractors.

VENDOR: An individual or company not affiliated with the university that provides goods or services to the university.

VISITOR: Any person who is not a faculty, staff or student member or official visitor of the university or otherwise eligible for an SFA parking permit.

SECTION III: TRAFFIC REGULATIONS

1. Compliance: Every vehicle operator shall comply with these regulations, state law and all traffic control devices at all times, unless otherwise specifically directed by Parking Services &T or UPD. State and local laws pertaining to operation of motor vehicles, bicycles and pedestrians on public streets apply on the campus and streets owned and operated by the university.

Vehicles are prohibited at all times from parking in reserved spaces without a proper permit, no-parking zones, tow-away zones, fire lanes, crosswalks, loading zones or service driveways, on lawns, curbs or sidewalks, barricaded areas or in any manner which obstructs the flow of vehicular or pedestrian traffic.

Street parking is prohibited except where signs indicate parking is permitted. The absence of “No Parking” signs does not imply that parking is allowed.

2. Special Instructions: No person shall fail to comply with any instruction related to traffic or parking given by a university police officer, or director of Parking Services, P&T or a Parking Services &T parking enforcement assistant.

3. Temporary Restrictions: The director of Parking Services, P&T or executive director of Public Safety, or their designee is authorized to temporarily implement restrictions that govern parking and traffic relating to construction, emergency situations or special events on campus, and by agreement with the city of Nacogdoches, on public streets. Notice of such restrictions may be given by the posting of temporary signs or barriers or in any other area deemed appropriate.

4. Speed Limits: 20 mph on campus roads, 10 mph in parking lots and service drives and 5 mph in parking garages is the maximum speed limit, at all times, unless otherwise posted.

5. Traffic Obstruction: No person shall park or bring to a halt on the campus any vehicle in such a manner as to interfere with normal vehicular or pedestrian traffic or jeopardize safety.
or university property.

6. **Vehicles in Buildings:** With the exception of wheelchairs, ADA scooters or other devices specifically authorized by the director of **Parking Services** or executive director of public safety, chief of police or their designee, no person shall place, use, park or otherwise leave a vehicle within any university building other than a parking garage at any time.

7. **Sidewalks, Grass or Shrubbery:** No person shall drive a vehicle on a sidewalk, walkway, patio, plaza, grass, shrubbery or any unmarked or unimproved ground area unless such areas are signed and marked for driving, except as specifically authorized by **Parking Services or UPD.**

8. **Passenger Pick-Up and Drop-Off:** No person shall stop a vehicle on any street, alley or driveway on the campus for the purpose of picking up or dropping off a pedestrian without first drawing up to the right-hand curb.

9. **Pedestrians:** Pedestrians have the right-of-way at marked crosswalks, in intersections and on sidewalks extending across a service drive, building entrance or driveway. Pedestrians crossing a street at any point other than within a marked crosswalk or within an unmarked crosswalk at an intersection shall yield the right-of-way to all vehicles on the street. No pedestrian shall stand on the traveled portion of any street, alley or driveway in such a manner as to obstruct or prevent the free flow of traffic.

10. **Reserved Spaces:** Several parking spaces, regardless of the area in which they are located, are reserved 24 hours a day, seven (7) days a week for service vehicles, residence hall directors, ADA, or as loading zones. This also includes spaces marked for **UPD Parking Services** business, compact cars only, police vehicles only, expectant mothers and visitors.

   Parking areas are generally reserved for the type of permit holder indicated by signs from 6 a.m. to 4 p.m., Monday through Friday, except as otherwise indicated. Parking lots 8W (north of McKibben Education Building), 15 (HPE Complex) and 55 (Social Work Building) are reserved Monday through Friday until 8 p.m.

   A. A portion of Lot 47 (Commuter Lot), as identified by metal signs, is reserved for band practice on Monday, Tuesday, Wednesday and Thursday beginning at 3:30 p.m. Vehicles will be towed or relocated, at owner’s expense, from this area during this designated time.

   B. Some lots may be reserved for tailgating events before, during and after each home football game. These reserved areas will be identified by signage placed out the day of the game. Vehicles inside this area after the specified time may be towed at the owner’s expense.

   C. Pecan Park (Lot 54): A portion of the spaces facing the pavilion are reserved for non-
SFA park patrons ONLY. SFA faculty, staff and students are not allowed to park vehicles in Pecan Park patron spaces.

11. **Motorcycle Spaces:** Parking spaces have been designated for motorcycles by curb markings. Spaces so marked are for two-wheeled motor vehicles only. Motorcycles may not park in no-parking zones, fire lanes, reserved spaces or any other space.

12. **Head-In Parking:** All vehicles, except motorcycles, must park head-in and within a defined space in lots and streets having angled or head-in parking.

13. **Parking Designations:** Parking areas are designated by signs and/or color coding on a map obtained online at the Parking Services website at http://www.sfasu.edu/parking/. These signs and maps indicate the type of permit for which the area is reserved. Parking along Aikman Drive is reserved for employees that are issued AA permits assigned to that lot.

Certain parking spaces have been designated as 20-minute parking spaces. These spaces are so designated to provide short-term parking for business access to the Stephen F. Austin State University Post Office, student center offices and other designated areas.

Parking more than 20 minutes is prohibited. Citations may be issued for each 21-minute segment of parking overtime.

**SECTION IV: PARKING REGULATIONS**

1. **General:** A vehicle operator shall park only in a parking space as authorized by the parking permit displayed or as otherwise specifically authorized by Parking Services or UPD. Each parking lot or garage shall be defined by appropriate signs and/or painted lines (when the parking area is paved). All spaces are designated, but not every space has a sign. It is the responsibility of the permit holder to park in the authorized area. Most lots are authorized for multiple types of permits. The various classes of parking permits and their eligibility requirements, privileges, and limitations are described in detail in this regulation. Parking in a garage requires either the appropriate SFA permit, or in the case of the Student Center Garage, payment by the hour.

A. A permit must be obtained for each academic year or portion thereof. Permits for the current academic year may be obtained at any time during the academic year. Permit purchase is through an online permit application for the next academic year beginning April 1. Permits will be mailed to the address provided by applicant on the first business day in August. All permits purchased after August 1 can be picked up at the Parking Services office. Only the permit purchaser, with a picture ID, may pick up a permit at the Parking Services office.
B. A permit must be displayed on the vehicle no later than the first business day that the vehicle is brought on campus.

C. Only the permit for the current academic year should be displayed.

D. Vehicles owned by students cannot normally be registered in the name of a faculty or staff member, unless approved by the executive director of public safety/chief of police or the director of Parking Services/P&T or their designee.

E. Anyone whose SFA status changes must update their permit to reflect that change no later than the first university business day after the change takes place. If the permit number of a returned permit is legible, then the replacement permit will be issued for $15. Otherwise, the regular fee will be charged. If the customer’s permit designation changes from Housing to Commuter, and the person has already purchased the Housing permit, there is no fee for changing the permit to a Commuter in the middle of the academic year.

F. A vehicle should not be sold with the parking permit still displayed.

G. Damaged parking permits should be replaced immediately through the Parking and Traffic office/Services office.

2. **Use of Parking Permits:** no person shall lend, sell or otherwise allow another person to use their permit, except as specifically authorized by these regulations. Misuse of a permit may result in confiscation of the permit without refund and a restriction on issuing permits for at least one year. Persons found displaying said permit in violation of this section will be subject to the appropriate fine, booting, and/or towing of their vehicle(s).

3. **Permit Requirements:** a permit is required at all times on campus, except if paying by the hour or day in the Student Center Garage or the short-term paid spaces in Lot 21 or as otherwise specified in this policy. Vehicles are eligible to park only as authorized by the class of permit issued. (Section V.2, Permits, “Classes of Permits and Eligibility,” sets forth the classes of permits and eligibility requirements).

All faculty, staff, students (full or part-time) or employees of private contractors or other government agencies assigned to Stephen F. Austin State University, who operate a vehicle on university property, regularly or occasionally, are required to obtain a parking permit.

4. **Manner of Parking:** No person shall:

A. Park without a current parking permit or payment of the designated short-term parking, except as specifically authorized by the director of Parking Services/P&T or the executive director of public safety/chief of police or their designee.
B. Park a vehicle such that it occupies portions of more than one parking space.

C. Park a vehicle with the left wheels to the curb unless parked on a one-way street.

D. Double park a vehicle.

E. Park a vehicle in a manner that obstructs “disabled” parking spaces, walkways, driveways, ramps, loading docks, or marked crosswalks.

F. Park any vehicle on a sidewalk, walkway, patio, plaza, grass, shrubbery or any unmarked or unimproved ground area.

G. Park a vehicle or permit a vehicle to stand in or block access to any area designated as a fire lane or 15 feet in either direction of a fire hydrant. Fire lanes are designated by posted signs and/or yellow or red painted curbs. Any emergency authorization for use of fire lanes must be obtained through UPDPS.

H. Park a vehicle in a no parking zone.

I. Park a vehicle in an area designated as a bus stop.

J. Park in a space with a barricade or remove a barricade, except as specifically authorized by Parking Services P&T or UPDPS.

K. Park a trailer, recreational vehicle or mobile home on university property unless specifically coordinated and approved by Parking Services P&T.

L. Park or store a vehicle during May and summer semesters I and II without explicit permission from the director of parking.

M. Park or store a bicycle except at designated bicycle parking areas.

5. **Loading Zones**: Loading zones/docks are intended for the delivery of bulky items that cannot be carried long distances. The operator of a vehicle making deliveries must be actively loading or unloading the vehicle with the flashers engaged, and may not be parked in the loading zone for longer than 15 minutes. When loading/unloading is completed, the vehicle must be relocated to the assigned lot. If the loading/unloading activity will take longer than 15 minutes, contact Parking Services P&T for assistance.

6. **ADA Parking**: No person shall park a vehicle in an ADA space without a university permit and appropriate state disabled placard or license plate. ADA parking is provided in all parking lots on campus. These spaces are reserved 24 hours a day, seven (7) days a week for the holders of state ADA parking placards or license plates. A current SFA permit is also required. Only the person to whom the ADA plate or placard is issued may use the permit for such
parking.

A. ADA permits and temporary handicapped permits are issued by the county tax assessor collector of any Texas county.

B. Only vehicles displaying an ADA permit or temporary handicapped permit or license plate may park in “Reserved for Handicapped” parking spaces or any other area designed for disabled persons such as an access ramp or curb cut. These vehicles must also display a valid Stephen F. Austin State University parking permit. The person for whom the ADA permit has been issued must be with the vehicle at the time it is parked.

C. A vehicle displaying a valid SFA parking permit and a valid ADA permit or license plate may park in any non-reserved parking space on campus or on Aikman Drive in Lot 7. Reserved parking spaces are reserved 24 hours a day/ seven (7) days a week for service vehicles, residence hall directors, visitors, and loading zones.

D. Faculty/staff members who have a valid ADA placard or license plate issued by the state of Texas may purchase a commuter permit in lieu of a faculty/staff permit.

7. **Expectant Mother, Temporarily Sick or Injured Permit:** A temporary permit or expectant mother permit may be obtained by a person who holds a current parking permit allowing them to park in specifically designated areas; areas designated will be based upon resources available and needs of the applicant.

A. **Temporarily Sick or Injured Permit:** Valid for up to one week allows parking in designated lots and must display dashboard permit. Application for this permit must be accompanied by a doctor’s statement. This permit may only be issued one time per semester. Those needing more than one week of time should obtain a state issued temporary ADA placard. Information is available at the parking and traffic website.

B. **Expectant Mother Permit:** Valid during the third trimester or when designated as high risk circumstances, this permit allows parking in spaces specifically designated by Parking Services— and Traffic. Application for this permit must be accompanied by a doctor’s statement indicating the need for closer parking and/or in the third trimester of pregnancy.

8. **Health Clinic Parking:**

Spaces designated as “Clinic Parking” in Lot 10 are for university health clinic patients only. Citations received in clinic spaces while a patient in the clinic should be turned in to the health clinic for validation.

9. **Visitor Parking:** Official visitors, not otherwise eligible for a university parking permit, may be offered visitor permits, not to exceed three days without the specific permission of the
director of Parking Services. Visitor parking is set aside for special interest areas of the university. These spaces may not be utilized by university personnel, students or employees of private contractors assigned to Stephen F. Austin State University. These spaces are reserved for bona fide visitors to the university. Visitors should obtain a visitor parking permit from the Parking and Traffic Services office or the Information Booth on Vista Drive. Griffith Blvd during normal business hours. Visitor permits can be obtained at the University Police Department after 5 pm and on weekends. Visitors are required to show a valid driver’s license to obtain a visitor permit.

10. Emergency Vehicle Parking: Emergency vehicles are exempt from the provisions of these regulations when being operated in response to an emergency situation.

11. Abandoned Vehicles: The university may deem a vehicle parked on university property for more than 48 hours without a valid permit to be abandoned and may remove such vehicle as provided in Ch. 683 of the Texas Transportation Code.

12. Disabled Vehicles: If a vehicle becomes temporarily disabled and cannot be parked in its assigned area, it must immediately be reported to the Department of Public Safety. The fact that the vehicle is temporarily disabled will be recorded, and an officer will either render assistance or authorize temporary parking. Temporary parking will only be authorized for 24 hours or less. If parking for a longer period is necessary, authorization must be renewed at 24-hour intervals and such authorization shall not exceed three (3) days. Temporary parking will not be authorized in areas that are not parking spaces (tow-away or no-parking zones, etc.) in disabled parking. A permit may not be purchased for display on a disabled vehicle. For these purposes, a disabled vehicle is a vehicle that has been disabled for more than three days.

13. Short-term Pay Parking (Student Center Parking Garage and designated spaces in Lot 21): Short-term pay parking is available in these locations for parking without a permit and paying the hourly rate.

14. Student Center Parking Garage Fees: The use of the Student Center Parking Garage is deemed Pay-Per-Use 24 hours a day, 7 days a week. Permit and hourly rates may be found on the Parking Fees Table located in Appendix A.

15. Special Events: Any university department hosting an event on campus may request event parking.

16. Student Center Parking Garage: The individual department is responsible for notifying Parking Services within 48 hours of the event with the number of permits/passes needed for the event. Passes for the Student Center Parking Garage will not be issued without a minimum of 48-hour notice. This is to allow for the parking arrangements to be made to
accommodate the visitors to campus. The fee for a department to utilize the parking garage for an event is $3 per day per permit. The amount will be charged to the requesting department via Inter-Departmental Transfers (IDTs).

17. **Camps:** Camps hosted on university property are required to purchase parking through the coordinator of university reservations and conferences. These passes will be provided, based upon minimizing impact upon normal university operations, for a specific lot and can be commuter, resident, or faculty/staff spaces at a cost of $3 per day. Permits must be ordered with a minimum of 48-hour notice.

**SECTION V: PARKING PERMITS**

1. **Issuance of Permits:** The director of Parking Services may issue a parking permit to any person or company desiring to park on university property. The director of Parking Services shall allocate permits, at the director’s discretion, among the faculty, staff, students and visitors of the university in a manner intended to serve the needs of the university.

A parking permit will be issued upon application online through the mySFA parking portal. All outstanding citations or parking fees must be paid before a permit may be issued. An individual may only use one parking permit at any time. Permits may be transferred to any vehicle registered on the parking account of the original permit purchaser. Ownership of all permits remains with the university and is not transferable.

The director of Parking Services may issue special permits for events to the host department. Parking areas are subject to closure by the director of Parking Services for special events, construction or other special circumstances. The director of Parking Services may establish fees for special circumstance parking, including event parking.

**Bicycles:** The university does not require the registration of bicycles; however, owners are encouraged to have bicycles marked for identification purposes at UPDTPS. Information is located on the UPDTPS section of the website at [http://www.sfasu.edu/upd/dw/dps](http://www.sfasu.edu/upd/dw/dps). UPDTPS will record bicycle serial number and description and make available an engraving tool to mark bicycles for identification. There is no charge for this service.

A. Every person operating a bicycle on university property must give the right-of-way to pedestrians at all times, keep to the right of the roadway and obey all traffic signals.

B. Bicycles may not be parked on sidewalks or in university buildings at any time. Bicycles are to be parked in bicycle racks. Bicycles may not be left on porches or walkways and may not be chained to trees, light poles, shrubs, art objects, handrails or stairways.

C. Bicycles parked in violation may be impounded and removed by the University Police Department and a $25 fee charged for release.
2. **Classes of Permits and Eligibility:**
   
   **A. Faculty/Staff:**
   
   **Class "AA"**
   Eligibility: SFA faculty and staff as designated by the president and vice presidents  
   Price: Refer to Appendix A for rates  
   Where: valid in any space on university property, except disabled spaces (unless a state disabled placard or license plate is displayed), or reserved spaces (service truck, hall director, visitor, etc.).

   **Class “F”**
   Eligibility: SFA faculty and staff, un-affiliated ARAMARK, unaffiliated programs, and Barnes & Noble employees  
   Price: Refer to Appendix A for rates  
   Where: valid in the faculty/staff lots except Aikman Drive, which requires an AA permit, disabled spaces (unless a state disabled placard or license plate is displayed), resident spaces or reserved spaces (service truck, hall director, visitor, etc.).

   **Class “PG” – Student Center Garage Permits**
   Eligibility: SFA faculty and staff  
   Price: Refer to Appendix A for rates  
   Where: valid for parking in the Student Center Parking Garage or in any Commuter space.

   **Class “M”**
   Eligibility: SFA faculty and staff  
   Price: Refer to Appendix A for rates  
   Where: valid in any area designated for motorcycle parking.

   **Class “B” – Faculty/Staff Class “B” Daily Surface Permit**
   Eligibility: SFA faculty and staff, SFA departments via IDT, contractors and vendors  
   Price: Refer to Appendix A for rates (minimum purchase of 5 permits)  
   Where: valid in the faculty/staff lots except Aikman Drive, which requires an AA permit, disabled spaces (unless a state disabled placard or license plate is displayed), resident spaces or reserved spaces (service truck, hall director, visitor, etc.). These permits may not be issued to SFA students.

   **B. Student**
   **Class “PG” – Student Center Garage Permits**
   Eligibility: SFA students  
   Price: Refer to Appendix A for rates  
   Where: valid for parking in the Student Center Parking Garage or any Commuter space.

   **Class “C” - Commuter Student Surface Permit**
   Eligibility: SFA students not living in university housing
Price: Refer to Appendix A for rates  
Where: valid for parking in any Commuter space.

**Class “H”** - Resident Student Permit  
Eligibility: SFA students with a current SFA housing assignment  
Price: Refer to Appendix A for rates  
Where: valid for parking in the Resident or Commuter spaces, except levels 1 and 2 of the Wilson Garage.

**Class “M”**  
Eligibility: SFA Students  
Price: Refer to Appendix A for rates  
Where: valid in any area designated for motorcycle parking.

**Class “S”** - Commuter Student Daily Surface Permit  
Eligibility: SFA students without an SFA housing assignment  
Price: Refer to Appendix A for rates (minimum purchase of five permits)  
Where: valid for parking in any Commuter space

**Class “K”** - Resident Housing Student Daily Surface Permit  
Eligibility: SFA students with an SFA housing assignment  
Price: Refer to Appendix A for rates (minimum purchase of five permits)  
Where: valid for parking in Resident or Commuter spaces on campus, except levels 1 and 2 of the Wilson Garage.

C. **Other**  
**Class “W”** – Activities Permit  
Eligibility: Any person not eligible for any other permit but utilizing campus resources or property. Those who are family members of faculty, staff, or students are eligible, provided the family member that is affiliated with the university has purchased a valid parking permit. Students, faculty, and staff are not eligible for an activities permit.  
Price: Refer to Appendix A for rates  
Where: valid for parking in Commuter spaces and Lot 14, Lot 53, or any space outside the central campus area.

**Class “CV”** – Contractor/Vendor Parking Permit  
Eligibility: Any non-affiliated vendor, salesperson, technical representative, other service personnel (such as copier repairers) or contractor. Students, faculty and staff are not eligible for vendor/service permits.  
Price: Refer to Appendix A for rates  
Where: valid for parking in Faculty/Staff spaces when conducting university business, except along Aikman Drive.
Class “RT” – Retired Faculty/Staff Parking Permit
Eligibility: Any SFA retiree who does not receive compensation for employment from SFA
Price: No charge
Where: valid for parking in Faculty/Staff spaces, except Aikman Drive.

Class “DV” – Qualifying Veterans Permit
Eligibility: Any person that meets or exceeds the requirements of the Texas Department of Motor Vehicles necessary to qualify for specialty license plates defined as Extraordinary Service Veterans or Disabled Veterans by the State of Texas Transportation Code. The qualifying veteran is eligible for one permit restricted for use of the veteran.
Price: No charge
Where: Valid for parking in any space the person would otherwise qualify for this permit only. This permit exempts fees only.

Graduate Assistant Upgrade:
Eligibility: SFA graduate assistants, approved by the dean of each college, not to exceed 30 per college, per semester or approved by the department head for non-academic areas.
Price: $10 per semester
Where: upgraded parking to Faculty/Staff spaces in assigned lots

Dual Credit Student Upgrade:
Eligibility: Dual credit high school students
Price: $5 per semester
Where: upgraded parking to Faculty/Staff spaces in assigned lots.

D. Display of Permits: Permits shall be displayed on the vehicle according to the instructions furnished on the permit. Each academic year a permit holder who fails to display their permit will be allowed three warnings for parking in an authorized area without displaying the permit.

E. Surrender or Removal of Permits: Termination of relationship with SFA: A permit holder shall return their permit to SFA when the permit holder’s relationship with the university terminates. Permits not returned to SFA remain active, and the permit holder is responsible for the permit fee.

   Permit holders are required to remove and surrender their permit:
   
   i. In the case of a decal permit when there is a change in ownership of the vehicle
   ii. When a replacement permit has been issued
   iii. Upon revocation of the permit

F. Expiration of Permits: Permits expire on the date listed on the face of the permit.
G. **Payment of Permit Fees:** When an application is made for a permit, the fee charged will be for the entire permit period or for the entire unexpired portion of the permit period. See Appendix A: Parking Fees Table for specific permit fees.

H. **Lost/Stolen Permits:** A permit holder shall immediately report to Parking Services& T any lost/stolen permit and complete the associated report. Lost/stolen permits may be replaced for a fee (see Appendix A: Parking Fees Table). Any permit recovered after such a report has been filed must be returned to Parking Services& T immediately. Use of a permit that has been reported as lost/stolen is subject to fines and penalties as described in these regulations.

I. **Permit Refunds:** A permit is non-refundable, unless returned within 10 days of the date of sale and is not transferable from the person to whom it is issued to another individual. Resale of parking permits is prohibited and will be considered a false or fictitious permit.

J. **Permit Misuse:** Misuse of any permit may result in confiscation of the permit, and no permit may be issued to that individual for at least one year thereafter. Parking Services& T is authorized to suspend campus parking and driving privileges on university property for any person whose vehicle is cited for displaying a lost, stolen or altered permit, or any SFA parking permit not issued in accordance with these regulations. Students will be referred to the Office of Student Rights and Responsibilities, and faculty/staff will have the matter forwarded to the appropriate dean, director or department head for disciplinary action. Violators who are found in possession of a lost, stolen or altered permit may also be required to pay the annual cost of the permit type they fraudulently used.

**SECTION VI: SPECIAL SERVICES**

1. **Escort Services:** The Department of Public Safety UPD and Office of Parking Services and Traffic offers escort service upon request between dusk and dawn to individuals requiring transportation to and from residence halls, academic buildings and/or vehicles. To receive an escort, either request in person at the Department of Public Safety UPD or by telephone at 936-468-2608. The Department of Public Safety UPD also provides escort 24 hours a day to local hospitals for emergencies when immediate medical care is not needed. Ambulance service may be requested for medical transport if the responding officer deems necessary. The expense for ambulance transfer is the responsibility of the person using the service. For further information on the escort service, call the Department of Public Safety UPD at 936-468-2608.

2. **Jump Starts and Vehicle Unlocks:** Services such as battery jump starts and vehicle unlocks are offered by the Department of Public Safety UPD as time permits. The Department of
3. **Special Events:** Parking Services\&T employees will assist SFA event sponsors with convenient and effective access while limiting the impact the event traffic will have on campus parking. Parking Services\&T offers services such as barricading spaces, placement and removal of cones, golf cart service, etc. Event parking management will be guided by:

- Available parking spaces
- Expected attendance
- Costs that may be incurred by department sponsoring event
- Expected/potential impact on regular users of the area
- Logistical ability of Parking Services\&T to manage event
- Whether or not the event is university or non-university sponsored

**SECTION VII: ENFORCEMENT**

1. **Parking and Traffic Citations:**

   A. Issuance: Any person violating these regulations may receive a citation.

   B. Parking Services\&T Authority: University Parking Services enforcement assistants officers are authorized to write university parking citations.

   C. UPD Authority: UPD officers are authorized to issue university citations and court appearance citations for violation of these regulations. It is the general policy of the university to issue court appearance citations only for moving violations and for any violation when the individual's driving or parking privileges have been suspended, although UPD may issue a court appearance for any appropriate violation. All vehicles driven on Stephen F. Austin State University property are subject to all university traffic regulations, state of Texas motor vehicle codes and city of Nacogdoches motor vehicle laws. Moving violations may be issued on a city of Nacogdoches traffic citation or filed in the office of the appropriate justice of the peace or with the city of Nacogdoches Municipal Court.

   D. Fees for parking violations may be paid in person at the university business office between 8 a.m. and 4:30 p.m. Monday through Friday, online through an eBill, or mailed to:
      
      Stephen F. Austin State University c/o Business Office
      P.O. Box 13053, SFA Station
      Nacogdoches, TX 75962-3053

2. **Failure to Discharge Court Appearance Citations:** Failure to discharge a court appearance citation may result in the issuance of an arrest warrant.

3. **University Citations:** University citations are issued for offenses listed in Section VIII:
Driving and Parking Offenses. Any person receiving a university citation must remit the amount of the charge or submit an appeal to Parking Services within ten (10) days after issuance of the citation. Any towing, booting and/or storage fees for removal of an impounded or immobilized vehicle or bicycle must be paid regardless of whether an appeal has been submitted.

4. **Appeals of University Citations:** Any person issued a university citation may appeal the citation within ten (10) days of the citation's issuance online through the mySFA portal. Any citation that is not a warning must be appealed as described in these regulations.

5. **Failure to Pay Citation Charges:** Unpaid citations can result in student financial holds preventing students from receiving grades, refunds, official transcripts or graduating. Additional collection efforts may also be utilized as described in these regulations. Ten (10) or 6.5 more violations within one academic year may result in suspension of driving and parking privileges on campus and/or disciplinary action.

7.6 **Vehicle Immobilization or Impoundment:** Parking Services or UPD may immobilize (boot) or impound (tow/relocate to a storage area) a person’s vehicle for the following reasons:

A. the person and/or vehicle has accumulated three (3) or more past due parking citations

All citations issued will contain a notice informing the violator that a consequence of three (3) or more outstanding citations is the potential that their vehicle may be booted or impounded.

If a violator has two or more outstanding citations when a third is issued, a notice will be sent to the violator’s SFA e-mail account notifying them that ten (10) days following the issuance of the third citation their vehicle will be eligible to be booted or impounded unless all of the outstanding citations are addressed by payment or by appeal if allowed within the time limits outlined in this policy.

Each notice, both physical and e-mail, will include information about how to pay or appeal the citation(s).

Violators who believe the Parking Services records are incorrect, or have any questions regarding any of the citations, should contact Parking Services within 10 days of the date of the notification at (936) 468-PARK (7275) Monday through Friday between the hours of 7:00 AM and 5:00 PM or by email to sfaparking@sfasu.edu.

B. the person and/or vehicle is parked in violation of the terms of a conditional release

C. the vehicle is parked in an ADA space without displaying a state ADA placard or license
D. the driver is illegally using an ADA permit assigned to another individual

E. the driver is in possession of a lost, stolen, altered or unauthorized permit

Once a vehicle is immobilized, all outstanding citations and the immobilization or impound fee must be paid in full and an appropriate permit must be purchased prior to the release of the vehicle.

The university is not responsible for any damage to the vehicle during booting, towing, relocation, or storage. After notice has been posted on the vehicle, vehicles booted for longer than three (3) days may be impounded (towed to a storage area). The owner and operator are jointly and severally responsible for any booting, towing or storage fees.

No vehicle may be towed without the express approval of the Chief of Police, the director of Parking Services, or their designee.

The immobilization device is the property of SFASU, Parking Services and UPD. Any attempt to tamper with or remove the immobilization device shall make the offender liable for destruction of state property and criminal charges may be filed with the University Police Department.

Section 2.C. of these regulations outlines the appeal process for citations, boots and impoundments.

8.7 Suspension of Parking Privileges:

Notices of parking violations may constitute a suspension of parking privileges, and any fee assessed is for reinstatement of parking privileges for operators of vehicles registered with the university.

All violations involving registration of vehicles operated on the properties of the university are violations of the law and SFA Parking and Traffic Services Regulations. Disposition of these citations at the university is a privilege extended by the university, which may be withdrawn at the university’s option.

Violation of suspension of parking privileges may result in removal of the vehicle by tow away.

Driving and parking privileges may be suspended by Parking Services, UPD or the Office of Student Rights and Responsibilities if the violator has displayed a lost, stolen or altered permit or other flagrant violations of these regulations. The loss of the privilege of driving or parking a vehicle on campus shall commence immediately following notification of
suspension. Such notification shall state the term of the suspension and consequences for violation of the stated terms. The violations of the suspension shall be reported to the Office of Student Rights and Responsibilities if the person is a student or to the appropriate dean, director or administrative official for possible disciplinary action if the person is a faculty or staff member.

If a person whose privilege of driving or parking on campus has been suspended receives a university citation by reason of having a vehicle on campus during the period of their suspension, the period of suspension may be extended and a referral to the appropriate university office may be made for further university disciplinary action.

A. A person receiving notice that their privilege of driving or parking on university property has been suspended shall return, without refund, the permit issued to the Parking Services office immediately.

9.8 No Excuse:
The absence of sufficient parking spaces on the university campus is not justification for violation of these regulations. Failure to enforce any regulation shall not constitute a waiver of the university’s authority to enforce these regulations. Other improperly parked vehicles do not constitute an excuse for improper parking.

SECTION VIII: DRIVING AND PARKING OFFENSES
2019-2020 Parking Violations

<table>
<thead>
<tr>
<th>Code</th>
<th>Violation Description</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>A1</td>
<td>Displaying a valid permit, but in violation of lot or area assignment (6a-4p M-F: Reserved lots are reserved until times indicated by signage)</td>
<td>$40</td>
</tr>
<tr>
<td>A2</td>
<td>Parking backward in a parking space</td>
<td>$30</td>
</tr>
<tr>
<td>A3</td>
<td>Failing to display a valid parking permit</td>
<td>$40</td>
</tr>
<tr>
<td>A4</td>
<td>Not parking properly within the lines of a parking space</td>
<td>$30</td>
</tr>
<tr>
<td>A5</td>
<td>Parking in a space designated &quot;20 minute only&quot; for more than 20 minutes</td>
<td>$30</td>
</tr>
<tr>
<td>A6</td>
<td>Displaying a permit assigned to another vehicle</td>
<td>$30</td>
</tr>
<tr>
<td>A7</td>
<td>Display two or more valid permits</td>
<td>$30</td>
</tr>
<tr>
<td></td>
<td>Description</td>
<td>Fine</td>
</tr>
<tr>
<td>---</td>
<td>-----------------------------------------------------------------------------</td>
<td>------------</td>
</tr>
<tr>
<td>A8</td>
<td>Failure to display proper permit on registered vehicle (three warnings per academic year, then $10 per incident)</td>
<td>$10</td>
</tr>
<tr>
<td>A9</td>
<td>Expired short-term parking</td>
<td>$30</td>
</tr>
</tbody>
</table>

Flagrant Violations

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>B1</td>
<td>Parking in a reserved parking space without displaying a proper permit (plus tow fee if applicable)</td>
<td>$40</td>
</tr>
<tr>
<td>B2</td>
<td>Parking a vehicle in a no-parking zone (plus tow fee if applicable)</td>
<td>$40</td>
</tr>
<tr>
<td>B3</td>
<td>Parking in any manner which obstructs vehicular traffic (plus tow fee if applicable)</td>
<td>$40</td>
</tr>
<tr>
<td>B4</td>
<td>Parking in a manner which obstructs a crosswalk (plus tow fee if applicable)</td>
<td>$40</td>
</tr>
<tr>
<td>B5</td>
<td>Parking in a fire lane (plus tow fee if applicable)</td>
<td>$75</td>
</tr>
<tr>
<td>B6</td>
<td>Parking in a tow-away zone (plus tow fee if applicable)</td>
<td>$40</td>
</tr>
<tr>
<td>B7</td>
<td>Parking in a loading zone or service driveway (plus tow fee if applicable)</td>
<td>$40</td>
</tr>
<tr>
<td>B8</td>
<td>Parking on a lawn, curb, sidewalk or other area not set aside for parking (plus tow fee if applicable)</td>
<td>$40</td>
</tr>
<tr>
<td>B9</td>
<td>Parking on campus while parking privileges are suspended (plus tow fee if applicable)</td>
<td>$150</td>
</tr>
<tr>
<td>C1</td>
<td>Moving a barricade or parking within any barricaded area (plus tow fee if applicable)</td>
<td>$40</td>
</tr>
<tr>
<td>C2</td>
<td>Using a forged, altered, false, fictitious or stolen permit (plus tow fee if applicable)</td>
<td>$150</td>
</tr>
<tr>
<td>C3</td>
<td>Falsifying or altering vehicle registration information (plus tow fee if applicable)</td>
<td>$100</td>
</tr>
<tr>
<td>C4</td>
<td>Parking in/blocking a handicapped space, ramp, or unloading zone w/o placard (plus tow fee if applicable)</td>
<td>$150</td>
</tr>
<tr>
<td>C5</td>
<td>Having a vehicle towed from campus</td>
<td>**</td>
</tr>
<tr>
<td>C6</td>
<td>Citation with move</td>
<td>$40</td>
</tr>
<tr>
<td>C7</td>
<td>Vehicle moved to another location on campus</td>
<td>**</td>
</tr>
<tr>
<td>C8</td>
<td>Vehicle has been wheel locked</td>
<td>$75</td>
</tr>
<tr>
<td>C9</td>
<td>Parking in violation of the direction of a traffic control officer</td>
<td>$40</td>
</tr>
</tbody>
</table>
C10 | Theft of property or damaging property by unauthorized boot removal or tampering/attempted removal of the boot (plus replacement cost of damaged property) | $150

C11 | Improper exit from a university parking garage (plus maximum daily fee due) | $75

C12 | Parking in a garage without payment (limited to once a semester) | $15

Flagrant violations are enforced 24 hours a day, 7 days a week and are subject to immobilization or impound.

** Rates will be posted in the Parking Services & T office after competitive bid process.

APPENDIX A: PARKING FEES TABLE

<table>
<thead>
<tr>
<th>2019-2020 SFA Parking Permits</th>
<th>Permit Sales Rate Chart</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Faculty and Staff</strong></td>
<td></td>
</tr>
<tr>
<td>Permit</td>
<td>Description</td>
</tr>
<tr>
<td>AA</td>
<td>Faculty/Staff AA Permit</td>
</tr>
<tr>
<td>F</td>
<td>Faculty/Staff Assigned Lot Permit</td>
</tr>
<tr>
<td>PG</td>
<td>Annual Student Center Garage Permit</td>
</tr>
</tbody>
</table>

| Semester Student Center Garage Permit | NA | $200 | $200 |
| M | Motorcycle Permit | $60 |
| B | Faculty/Staff Daily Permit | $3/Day | $3/Day | $3/Day |

**Student**

<table>
<thead>
<tr>
<th>Permit Type</th>
<th>Description</th>
<th>Sept 2019</th>
<th>Jan 2020</th>
<th>May 2020</th>
</tr>
</thead>
<tbody>
<tr>
<td>PG</td>
<td>Annual Student Center Garage Permit</td>
<td>$435</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>Permit Type</td>
<td>Description</td>
<td>Sept 2019</td>
<td>Jan 2020</td>
<td>May 2020</td>
</tr>
<tr>
<td>-------------</td>
<td>--------------------------------------</td>
<td>-----------</td>
<td>-----------</td>
<td>-----------</td>
</tr>
<tr>
<td>C</td>
<td>Commuter Permit</td>
<td>$112</td>
<td>$76</td>
<td>$37</td>
</tr>
<tr>
<td>H</td>
<td>Campus Resident Permit</td>
<td>$145</td>
<td>$99</td>
<td>$48</td>
</tr>
<tr>
<td></td>
<td>Campus Resident Second Vehicle</td>
<td>$106</td>
<td>$69</td>
<td>$34</td>
</tr>
<tr>
<td>M</td>
<td>Motorcycle Permit</td>
<td>$60</td>
<td>$43</td>
<td>$22</td>
</tr>
<tr>
<td><strong>Miscellaneous</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>W</td>
<td>Fitness Permit</td>
<td>$20</td>
<td>$20</td>
<td>$20</td>
</tr>
<tr>
<td>CV</td>
<td>Contractor/Vendor Permit</td>
<td>$170</td>
<td>$114</td>
<td>$58</td>
</tr>
<tr>
<td>T</td>
<td>Trailer Permit</td>
<td>$50</td>
<td>$33</td>
<td>$17</td>
</tr>
<tr>
<td>RV</td>
<td>Occupied Recreational Vehicle**</td>
<td>$40</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DV</td>
<td>Qualifying Veteran Permit</td>
<td>$0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Per night, after four (4) days**

### Student Center Garage Hourly Parking

<table>
<thead>
<tr>
<th>Time Duration</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-30 Minutes</td>
<td>No Charge</td>
</tr>
<tr>
<td>First Hour</td>
<td>$2.00</td>
</tr>
<tr>
<td>Each Hour Thereafter</td>
<td>$1.00</td>
</tr>
<tr>
<td>Maximum Daily Charge</td>
<td>$8</td>
</tr>
<tr>
<td>Lost Parking Ticket</td>
<td>$15</td>
</tr>
</tbody>
</table>

### Short-Term Paid Parking Lot 21

<table>
<thead>
<tr>
<th>Time Duration</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Hour</td>
<td>$2.00</td>
</tr>
<tr>
<td>Each Hour Thereafter</td>
<td>$1.00</td>
</tr>
</tbody>
</table>

### Fees

<table>
<thead>
<tr>
<th>Description</th>
<th>Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Replacement Permit</td>
<td>$15</td>
</tr>
<tr>
<td>Bicycle Release Fee</td>
<td>$25</td>
</tr>
<tr>
<td>Lost/Stolen Replacement Permit</td>
<td>$25</td>
</tr>
<tr>
<td>Grad Assistant Upgrade</td>
<td>$10</td>
</tr>
</tbody>
</table>
Dual Credit Upgrade   $ 5

<table>
<thead>
<tr>
<th>Salary</th>
<th>Salary</th>
<th>Salary</th>
<th>Salary</th>
<th>Salary</th>
<th>Salary</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>$19,999.99 and Less</td>
<td>$20,000 - $39,999.99</td>
<td>$40,000 - $59,999.99</td>
<td>$60,000 - $79,999.99</td>
<td>$80,000 - $99,999.99</td>
<td>$100,000 - $119,999.99</td>
<td>$120,000 and above</td>
</tr>
<tr>
<td>$36</td>
<td>$60</td>
<td>$84</td>
<td>$108</td>
<td>$132</td>
<td>$156</td>
<td>$180</td>
</tr>
</tbody>
</table>

*Faculty/Staff or Other Government Agencies Annual Permit Fees

FS permits are prorated monthly.


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 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):

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Deleted statement regarding former tenured full-time faculty to be in line with The Higher Education Coordinating Board and institutional procedures.

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  
**July 21, 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: Procurement Card

Policy Number: 17.11

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

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

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

Purpose of Policy (what does it do): This policy 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: Revise training requirements.

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:

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

**Original Implementation:** July 26, 1999  
**Last Revision:** April 18, 2020 July 21, 2020

**Purpose**

This policy establishes guidelines for university purchases using a procurement card (p-card) and related requirements and activities.

**Definition**

**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 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 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.

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 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 may be cancelled. To receive a new card, the cardholder will be required to submit a P-Card Application 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 Application, 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: 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: 4/18/2020

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

Purpose of Policy (what does it do): This policy affirms that Stephen F. Austin State University will comply with Texas Government Code §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: Requested revision.

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:

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 July 21, 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 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 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 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 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, training will also be required. After initial training, refresher training is required every two (2) years. All training is documented in the university’s myTraining.

17.14 Property Inventory and Management
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. Reference Major Rule Violations in Discipline and Discharge (11.4).

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 individuals identified by the property office will be required to complete a property training refresher course. The individuals 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 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 17.14 Property Inventory and Management
§ 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
STEPHEN F. AUSTIN STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Public Student Health

Policy Number: 13.16

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 Affairs

Purpose of Policy (what does it do): Outlines university's approach to dealing with public health issues.

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Added section relative to policy changes needed to address public health matters when required.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Public and Student Health

Original Implementation: February 29, 1988
Last Revision: July 25, 2017

Stephen F. Austin State University recognizes an obligation to promote public health on campus by taking action to protecting students, faculty, and staff from the spread of contagious and infectious diseases. An effective and responsible approach to safeguarding public health on campus requires that legitimate concerns about the potential for transmission of diseases in university settings neither be sensationalized nor minimized, but that university officials work closely with other interested parties to establish policies and procedures that inhibit the likelihood of contagion while promoting an educational environment characterized by safety, continuity, and calm.

When circumstances arise that require review, the vice president for university affairs will convene a Public/Student Health Committee, consisting of appropriate faculty and staff members. This committee will assist the vice president in coordinating the university’s efforts to fulfill its responsibility concerning public health. In carrying out its tasks, the committee shall will follow review the guidelines of recognized authorities including the National Centers for Disease Control, the United States Public Health Service and the Texas Department of Health Services, and the American College Health Association.

Based on the severity of the public health issue being addressed, the Public Health Committee may make recommendations to the president that certain policies be initiated, suspended or modified on an emergency basis as needed. Further, the committee shall conform its actions to the Texas Communicable Disease Prevention and Control Act and other law.

In the event of public inquiry concerning university policy on public health or health-related matters at SFA, the executive director of university marketing communications, or their designee, will serve as the official spokesperson for the university. Medical records of individuals shall remain confidential, but public information shall will be disclosed upon request in accordance with the Texas Public Information Act and the Family Educational Rights and Privacy Act. Requests for such information should be referred to the university's general counsel.

If a public health issue arises that could involve the continuity of business and academic functions of the university, other ad hoc committees may be impaneled as needed to address those particular issues.


Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Vice President for University Affairs
Forms: None

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Records Management

Policy Number: 2.9

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 management of university 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:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Updates to be in compliance with state guidelines. Minor editing 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
Records Management

Original Implementation: February, 1975
Last Revisions: January 31, 2017 July 21, 2020

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

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

Unit heads must manage university records according to the following guidelines:

1. University records are the property of the university.
2. University records must not be destroyed without the approval of the unit head in accordance with the retention schedule.
3. The Records Management Division of the Texas State Library and Archives Commission must approve the destruction of any record not listed in the retention schedule.
4. A record may be destroyed prior to its retention period on the retention schedule only with the special consent of the Records Management Division of the Texas State Library and Archives Commission and, if the record possesses fiscal or financial value, with the concurrent consent of the State Auditor.
5. Records with archival value listed on the retention schedule must be transferred to the East Texas Research Center. For records determined to have archival value, but not listed as such on the schedule, contact the university records management officer.
6. Administrative officers will consult with the general counsel on any question of compliance with the Texas Public Information Act.
7. SFA’s Records Management Program is overseen by the East Texas Research Center located in the R.W. Steen Library.
8. Each administrative office will designate an individual as the records management coordinator for their office and provide this person’s contact information to the university records manager. Each office’s records management coordinator will consult with the university records manager regarding implementation of the records management program to include the following:

   A. Evaluate and inventory files records at least once a year to ensure that records are retained in accordance with the SFA records retention schedule.

   A.B. Dispose of obsolete records with no archival value according to the retention
schedule.

B. Obtain permission from the state to dispose of records not listed on the retention schedule.

C. List all records on the SFA approved Records Disposition Log before destruction and forward the log to the university records manager.


Responsible for Implementation: President

Contact for Revision: SFA Records Management Officer; General Counsel

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

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Reduction in Force of Non-Faculty Employees

Policy Number: 11.23

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): Outline the process for implementing a reduction in workforce.

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

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

☐ Internal Review    ☒ Other, please explain: Policy enhancement and clarification.

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Change name to "Reduction in Force of Staff and Non-Tenure Track Employees". Update definition of RIF. Expand the authority to determine when a RIF is necessary to president, vice presidents or designee. Clarify steps of implementation.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Reduction in Force of Staff and Non-Academic Tenure Track Employees

Original Implementation: July 28, 1986
Last Revision: October 29, 2019 / July 21, 2020

Purpose

This policy establishes a process for effecting a reduction in force of staff and non-academic faculty employees. This policy applies to all staff positions and non-tenure track employees (as defined by policy 7.2, Academic Appointments and Titles) appointments. This policy does not apply to the modification to or the elimination of positions due to changes in funding of a grant or contract; such positions are subject to policy 11.2, At-Will Employment.

Definitions

A reduction in force (RIF) is defined as any action that results in loss of employment or reduction in percent of effort a layoff of a segment of the work force due to re-prioritization, a lack of work, reorganization of work, elimination or lack of work, changes in technology or research needs, budgetary needs, legislative enactments, or other business reasons factors that require some manner in reduction in the university’s investment in staff or non-tenure track employees. Terminated positions are presumed to have no likelihood or expectation to be reinstated. Reduction in funding, or reorganization. It is an involuntary termination of employment not involving delinquency or misconduct.

General

Stephen F. Austin State University (SFA) administration strives to provide a stable environment in which to work, but may occasionally be required to eliminate positions due to anticipated decrease in funding or other financial reasons, a lack of work, reorganization, or changes in needs or technologies. Decisions to implement a reduction in force may originate with the president, vice president, or designee. This policy establishes a process for the reduction of staff and non-tenure track appointments (as defined by policy 7.2, Academic Appointments and Titles) faculty, regular full-time and part-time, positions in these situations. This policy does not apply to temporary employees or students employed in positions which require student status as a condition of employment. The president of the university may implement a reduction in force in order to meet operating expenses and maintain sound reserves without diminishing capital or generating unwise or impermissible indebtedness.

The provisions of this policy are not to be used to dismiss an employee if the sole cause for dismissal is either misconduct or lack of satisfactory performance. Refer to SFA policy 11.4 Discipline and Discharge.

RIF decisions will be made without regard to the employee’s race, color, religion, national origin, sex,
sexual orientation, gender identity, gender expression, age, disability, genetic information, citizenship, or veteran status. An individual entitled to a veteran’s and/or former foster child’s employment preference in hiring under Texas Government Code, Chapters 657 and 672, is also entitled to a preference in retaining employment if a reduction in force occurs. However, this preference applies only to the extent that a reduction in workforce involves other employees of a similar type or classification.

The president will have final approval on all RIF actions. Authority may be designated to the appropriate vice president to approve the RIF actions.

Prior to the implementation, the president shall consult with the vice presidents and other administrators of the president’s choice. The consultation shall include a discussion of:

- anticipated income and expenditures;
- retrenchment measures which have been taken;
- reasonable alternatives to reduction in force; and
- other matters the president deems appropriate.

Regular, full-time employees will be given preference for retention over probationary, part-time, or temporary employees. Length of service with the university, ability to perform the remaining work in the affected department, and critical skills required for the remaining work shall be weighed equally in selecting employees for layoff. The university will make every effort to place potentially affected employees in vacant positions for which they qualify. Employees who are laid off as a result of a reduction in force will be given priority consideration for vacant positions for which they qualify. If there are no suitable job openings at the university, human resources will provide reasonable assistance to affected employees in finding positions outside the university.

Methodology

A director or other administrator who is instructed by the president to accomplish a reduction in force will prepare a work force profile on all employees in the affected department or program. The president, vice president, or designee will determine when a reduction in force is needed. When such determination has been made, the following steps will be taken to implement the RIF:

1) A written analysis will be performed to determine which areas, units, activities, programs or organizations (collectively, “affected areas”) reductions must be effected. If an entire unit, activity, program, or organization is to be eliminated or subject to a reduction in percent of effort, steps 2 and 3 are not applicable. This analysis should identify the need for implementing the RIF in the affected areas.
2) Within the affected area, the job functions that will need to be performed after the reductions will be identified; current business conditions and future needs should be included.
3) Current employees will be carefully evaluated as to their qualifications and ability to perform...
the job functions determined in step 2. -The evaluation of a current employee’s qualifications and ability to perform the job functions should include, for example, factors such as total relevant experience including specialized training, previous performance evaluations including recognition and documented disciplinary history, and length of service with the university.

4) After the job functions and the individual employees have been evaluated, the determination of which employees will be subject to the RIF will be made. -A report of all recommended actions resulting in a RIF will be compiled. This report should describe why particular positions recommended for elimination were selected and why individual employees in the affected area are recommended to be retained or subject to the RIF, using the evaluation conducted in Step 3.

5) The analysis and resulting report, including documentation used in the evaluation process, will be submitted to the university’s human resources department for review. -Once reviewed and approved by the human resources department, the proposed RIF must be submitted to the general counsel for review and approval as to legal sufficiency, and the appropriate vice president and/ or their designee for final approval.

6) Once the RIF is approved, the department head or equivalent administrative head will notify affected employee(s) of RIF actions in writing. -Unless otherwise approved in writing by the university’s human resources department, such notice will be provided at least sixty (60) days prior to the effective date of the reduction in force RIF. -The written notice of separation or reduction in percent effort shall include an explanation of the reasons for the RIF, and explanation of why an employee’s position is to be eliminated, subject to the RIF or why a particular employee has been selected for separation a RIF, and an explanation of the employee’s appeal rights.

7) An employee who has been notified of reduction in force may be removed from the worksite, with pay, immediately upon receipt of the notice of RIF, with the approval of the department of human resources. Any such employee will be given, in writing, a work assignment to be completed away from the worksite.

### Appeal

Each employee who is laid off as a result of a reduction in force subject to a RIF may appeal the decision in accordance with the procedure for category I grievances under the Grievance and Appeals (11.15) policy. The appeal shall begin at step three. The burden of proof is on the employee, and the scope of the review is limited to the opportunity for the employee to establish that the layoff/RIF was made on a constitutionally impermissible or unlawful basis or an arbitrary or capricious basis, or that this policy was substantially violated.

### Placement Efforts

If advance notice of the RIF is provided, employees designated for separation or reduction in effort will be given reasonable time off to interview for other jobs prior to the RIF effective date. Every reasonable effort will be made by human resources offices of the department of human resources
department to place dismissed employees in comparable vacant positions for which they are qualified. An employee who refuses to accept a comparable job may forfeit certain rights to unemployment compensation benefits. In addition, if an employee is offered other employment within the university in a comparable position for which the employee is qualified, and such offer is refused, the employee will be deemed to have waived all rights under this policy.

Reinstatement, Rehire, or Reemployment

The human resources department will maintain a list of individuals who have been separated under the RIF policy.

If an employee is offered other employment within the university in a comparable position for which the employee is qualified, and such offer is refused, the employee will be deemed to have waived all rights under this policy.

If a position is re-established within six (6) months of being eliminated the reduction in force, the university will send a notice of recall to each employee affected by the elimination of the position. The individual has the right to reinstatement into that position, barring circumstances occurring in the interim that would either render the individual unable to perform the essential functions of the position or that would have resulted in their ineligibility for or separation from employment. When determining the order of recall of affected employees, the department head should review the evaluation of the former employee’s qualifications and ability to perform the job functions, including factors such as total relevant experience including and specialized training, previous performance evaluations, including recognition and disciplinary history, and length of service with the university.

Notice of recall will be mailed to an employee’s last reported address as shown in official personnel records. It is the obligation of the employee to ensure that such records are correct. A reasonable period of time not to exceed seven (7) calendar days will be allowed for the affected employee to reply.

The right to recall shall cease six (6) months after layoff/separation. An employee on layoff/separated from the university who rejects a recall or job offer for a position for which he/she qualifies shall forfeit further rights to recall.

Reinstated employees will be paid within the salary range for the position at the time of reinstatement.

The work force profile shall indicate the number of positions to be abolished, discontinued or vacated, and the names, job titles, length of service and classification (temporary, probationary, or full-time, regular) of the affected employees. The director or other administrator shall list the employees recommended for separation on a reduction-in-force roster and forward the roster and the
work force profile through the appropriate vice president to the director of human resources.

The director of human resources shall review and certify that the reduction-in-force roster complies with the provisions of this policy. After certification, every affected department's roster shall be sent to the president for final approval.

Upon approval by the president, the director or other administrator of the department will meet with each affected employee, review the reason for the reduction in force, provide the employee with written notification of separation and refer the employee to human resources. Whenever possible, a written notification should be given at least sixty (60) days prior to the effective date of the reduction in force.

Each affected employee will either submit an updated resume or complete a new online application as directed by human resources. Human resources will review the resume or application prior to interviewing the employee. If there are suitable openings with the university, the employee will be referred to those job vacancies for which the employee is qualified.

If there are no suitable openings, the university may replace an employee in one department with an employee who has more seniority in the same or other department. The university may exercise this option in cases where both employees are in the same or similar job classification—according to the university's validated job descriptions, or the employee will be provided with placement assistance for positions outside the university. The affected employee who is transferred under this option shall receive the compensation budgeted for the position to which the employee has been transferred.

Human resources will provide each affected employee with information regarding unemployment benefits from the Texas Workforce Commission and other available assistance. Employees who are laid off as a result of a reduction in force will be recalled to the next available position for which they qualify. The right to recall shall be granted on a priority basis. Length of service with the university, ability to perform the work in the affected department and critical skills required for the work shall be weighed equally in selecting employees for recall.

A notice of recall shall be sent to affected employees at the last known address according to university records. A reasonable period of time not to exceed seven (7) days will be allowed for the affected employee to reply. The university may grant written extension when there are extenuating circumstances.
The right to recall shall cease six (6) months after layoff. An employee on layoff from the university who rejects a recall or job offer for a position for which he/she qualifies shall forfeit further rights to recall.

Each employee who is laid off as a result of a reduction in force may appeal the decision in accordance with the procedure for category I grievances under the Grievance and Appeals policy. The appeal shall begin at step three. The burden of proof is on the employee, and the scope of the review is limited to the opportunity for the employee to establish that the layoff was made on a constitutionally impermissible or unlawful basis or an arbitrary or capricious basis, or that this policy was substantially violated.

Cross Reference: Worker Adjustment and Retraining Notification Act (29 U.S.C. 2101, et seq.); Tex. Gov’t Code §§ 657.007, 672.004; Financial Exigency (3.15); Discontinuance of Program or Academic Unit (5.9); Academic Appointments and Titles (7.2); Grievance and Appeals (11.15).

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 Name: Sex and Gender-Based Discrimination, Violence, Harassment, and Misconduct

Policy Number: 2.13

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

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

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy prescribes the university's commitment to Title IX and its implementing regulations; details the procedure for investigating and adjudicating a Title IX complaint

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

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

☐ Internal Review  ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: This is a complete re-write of the policy, necessary to comply with the new federal regulations implementing Title IX.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Damon Derrick, General Counsel
Sex and Gender-Based Discrimination, Violence, Harassment, and Misconduct: Title IX

Original Implementation: July 27, 2015
Last Revision: July 23, 2019 / July 21, 2020

I. Policy Statement

A. Statement of Nondiscrimination

Stephen F. Austin State University (the “University”) is committed to providing an educational and employment environment free of unlawful sex discrimination. Consistent with Stephen F. Austin State University’s Non-Discrimination Notice and the U.S. Department of Education’s implementing regulations for Title IX of the Education Amendments of 1972 (“Title IX”), the University prohibits Sexual Harassment that occurs within its Education Programs and Activities.

As further defined below, for purposes of this Policy, Sexual Harassment includes Quid Pro Quo Sexual Harassment, Hostile Environment Sexual Harassment, Sexual Assault, Domestic Violence, Dating Violence, and Stalking.

Administrators, faculty members, staff, students, contractors, guests, and other members of the University community who commit Sexual Harassment are subject to the full range of University discipline.

II. Scope

This Policy applies to Sexual Harassment, as defined below, that occurs within the University’s Education Programs and Activities and that is committed by an administrator, faculty member, staff, student, contractor, guest, or other member of the University Community.

III. Definitions

A. “Sexual Harassment” for purposes of this Policy is conduct on the basis of sex that constitutes Quid Pro Quo Sexual Harassment, Hostile Environment Sexual Harassment, Sexual Assault, Domestic Violence, Dating Violence, or Stalking.

B. “Quid Pro Quo Sexual Harassment” occurs when an employee or student of the University conditions the provision of aid, benefit, or service of the University on an individual’s participation in unwelcome sexual contact.

C. “Hostile Environment Sexual Harassment” is unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person access to the University’s education programs and activities.
D. “Sexual Assault” includes the sex offenses of Rape, Sodomy, Sexual Assault with an Object, Fondling, Incest, and Statutory Rape.¹

1. “Rape” is the carnal knowledge of a person, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity. There is “carnal knowledge” if there is the slightest penetration of the vagina or penis by the sexual organ of the other person. Attempted Rape is included.

2. “Sodomy” is oral or anal sexual intercourse with another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity.

3. “Sexual Assault with an Object” is using an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity. An “object” or “instrument” is anything used by the offender other than the offender’s genitalia.

4. “Fondling” is the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity.

5. “Incest” is sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by Texas law.

6. “Statutory Rape” is sexual intercourse with a person who is under the statutory age of consent as defined by Texas law.

E. “Domestic (Family) Violence” is felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabited with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws

¹ The University’s definition of “Sexual Assault” is mandated by federal regulations implementing Title IX of the Education Amendments of 1972. Those regulations require the University to adopt a definition of “Sexual Assault” that incorporates various forcible and non-forcible sex crimes as defined by the FBI’s Uniform Crime Reporting System. See 34 C.F.R. § 106.30(a). When applicable, we have included the state law definition. In any criminal action brought by law enforcement, the state law definition will apply.
of Texas\textsuperscript{2}, or by any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of Texas.

F. \textbf{“Dating Violence”}\textsuperscript{3} is violence committed by a person:

1. Who is or has been in a social relationship of a romantic or intimate nature with the victim; and

2. Where the existence of such a relationship will be determined based on a consideration of the following factors:
   
   \begin{itemize}
   \item The length of the relationship;
   \item The type of relationship; and
   \item The frequency of interaction between the persons involved in the relationship.
   \end{itemize}

G. \textbf{“Stalking”} is engaging in a course of conduct directed at a specific person that would cause a reasonable person to:

\begin{itemize}
\item Fear for their safety or the safety of others; or
\item Suffer substantial emotional distress.
\end{itemize}

For the purposes of this definition—

1. \textit{Course of Conduct} means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action,

\textsuperscript{2} Family Violence is defined by the Texas Family Code Section 71.004 as:

\begin{enumerate}
\item an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or Sexual Assault or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or Sexual Assault, but does not include defensive measures to protect oneself;
\item abuse, as that term is defined by Sections 261.001(1)(C), (E), and (G), by a member of a family or household toward a child of the family or household; or
\item Dating violence, as that term is defined by Section 71.0021.
\end{enumerate}

\textsuperscript{3} Dating violence is defined by the Family Code, Section 71.0021 as:

(a) an act, other than a defensive measure to protect oneself, by an actor that:

\begin{enumerate}
\item is committed against a victim:
    \begin{enumerate}
    \item with whom the actor has or has had a dating relationship; or
    \item because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage;
    \end{enumerate}
\item is intended to result in physical harm, bodily injury, assault, or Sexual Assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or Sexual Assault.
\end{enumerate}

(b) For purposes of this title, “dating relationship” means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of:

\begin{enumerate}
\item the length of the relationship;
\item the nature of the relationship; and
\item the frequency and type of interaction between the persons involved in the relationship.
\end{enumerate}

(c) A casual acquaintance or ordinary fraternization in a business or social context does not constitute a “dating relationship” under Subsection (b).
method, device, or means, follows, monitors, observes, surveils, or communicates to or about a person threats, that a reasonable person would regard as threatening bodily injury or death of that person, their family members including someone with whom the person is dating or interferes with that person’s property.

2. *Reasonable Person* means a person under similar circumstances and with similar identities to the person subjected to the stalking behavior would fear for their safety or the safety of others, or suffer substantial emotional distress.

3. *Substantial Emotional Distress*: Significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

H. “Consent” is a voluntary, ongoing, mutual understanding among all participants that clearly indicates a willingness, through words or clear unambiguous actions, and demonstrates a knowing, intentional agreement to engage in each instance and stage of sexual activity. Knowledge of consent is the responsibility of each person involved in every instance of sexual activity and consent can be withdrawn at any time. A person who is Incapacitated is not capable of giving Consent.

The following list provides examples of when Consent has not been obtained or is not effective:

- Consent is not effective when any participant in the sexual activity is unsure if a knowing, intentional, voluntary agreement to engage in each act of sexual activity has been demonstrated.

- Consent is not effective if one person knew or reasonably should have known that another person involved was incapacitated.

- Consent to one act does not imply consent to another; past consent does not imply future consent.

- Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another.

- Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

- Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) Intimidation,4 (d) Coercion, (e) Incapacitation or (f) any other factor that would eliminate an individual’s ability to exercise their own free will to choose whether or not to have sexual activity.

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4 *Intimidation* means intentional behavior that would cause a reasonable person to fear injury or harm.

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• A current or previous dating or sexual relationship or manner of dress does not, by itself, constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly demonstrates a willingness to engage in each instance of sexual activity.

I. **“Incapacitated”** refers to a state of being that prevents an individual from having the mental ability, emotional stability, or maturity to provide consent at the time the alleged behavior occurs. Incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability or medical condition.

Alcohol and drugs can impair judgment and decision-making capacity, including the ability to rationally consider the consequences of one’s actions. The effects of alcohol and drug consumption often occur along a continuum. For example, inhibition to euphoria and memory impairment, and to disorientation and incapacitation. Incapacitation due to alcohol or drug use is a state beyond “mere” intoxication or even being drunk. Indicators of incapacitation may include inability to communicate, lack of control over physical movements, and/or lack of awareness of circumstances. An incapacitated person can also experience a blackout state during which they appear to give consent but do not have conscious awareness or the capacity to consent.

J. **“Coercion”** is the use of pressure and/or other oppressive behavior, including expressed or implied threats of physical harm, or severe and/or pervasive emotional intimidation which places an individual in fear of immediate or future harm or physical injury or causes a person to engage in unwelcome sexual activity. A person’s words or conduct amounts to coercion if they wrongfully limit the other’s ability to freely choose whether or not to engage in sexual activity. Coercion also includes administering a drug, intoxicant, or other substance that impairs the person’s ability to give consent.

K. **“Retaliation”** is intimidation, threats, coercion, or discrimination against any individual for the purpose of interfering with any right or privilege secured by Title IX and its implementing regulations or because an individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing under this policy. Retaliation is prohibited and is considered a stand-alone policy violation without regard to any finding of responsibility for violation of this policy.

L. **“Complainant”** means the individual(s) who is alleged to have been impacted by a violation of this Policy.\(^5\)

M. **“Respondent”** means the individual(s) who is alleged to have violated this Policy.

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\(^5\) A Complainant and Respondent are each individually a “Party” and collectively the “Parties” with respect to a Formal Complaint filed under this Policy.
N. **Formal Complaint** means a document filed by a Complainant or signed by the Title IX Coordinator alleging Sexual Harassment against a Respondent and requesting that the University investigate the allegation of Sexual Harassment in accordance with this Policy. At the time of filing a Formal Complaint, a Complainant must be participating in or attempting to participate in the University’s education programs and activities. A “document filed by a Complainant” means a document or electronic submission (such as the reporting form) that contains the Complainant’s physical or electronic signature or otherwise indicates that the Complainant is the person filing the Complaint.

O. **Supportive Measures** are non-disciplinary, non-punitive individualized services offered, as appropriate, and reasonably available, and without fee or charge, that are designed to restore or preserve equal access to the University’s Education Programs and Activities without unreasonably burdening another Party, including measures designed to protect the safety of all parties implicated by a report or the University’s education environment, or to deter Sexual Harassment. Supportive measures may include: counseling, extensions of academic or other deadlines, course-related adjustments, modifications to work or class schedules, campus escort services, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of campus, and other similar measures. Supportive Measures may also include mutual restrictions on contact between the parties implicated by a report.

P. **Education Programs and Activities** refers to all the operations of the University, including, but not limited to, in-person and online educational instruction, employment, research activities, extracurricular activities, athletics, residence life, dining services, performances, and community engagement and outreach programs. Additionally, the term applies to all activity that occurs on campus or on other property owned or occupied by the University. It also includes off-campus locations, events, or circumstances over which the University exercises substantial control over the Respondent and the context in which the Sexual Harassment occurs, including Sexual Harassment occurring in any building owned or controlled by a student organization that is officially recognized by the University. It also includes off-campus conduct when the conduct could deny or limit a person’s ability to participate in or benefit from the University’s programs and activities or when the University, in its sole discretion, has an identifiable interest in the off-campus conduct.

IV. **Understanding Hostile Environment Sexual Harassment**

In determining whether a Hostile Environment exists, the University will consider the totality of circumstances, including factors such as the actual impact the conduct has had on the Complainant; the nature and severity of the conduct at issue; the frequency and duration of the conduct; the relationship between the parties (including accounting for whether one individual has power or authority over the other); the respective ages of the parties; the context in which the conduct occurred; and the number of persons affected. The University will evaluate the totality of circumstances from the perspective of a reasonable person in the Complainant’s position. A person’s adverse subjective
reaction to conduct is not sufficient, in and of itself, to establish the existence of a hostile environment.

The University encourages members of the University Community to report any and all instances of Sexual Harassment, even if they are unsure whether the conduct rises to the level of a policy violation.

Sexual Harassment also includes gender-based harassment, which may include acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on gender or gender stereotyping, even if those acts do not involve conduct of a sexual nature.

Some specific examples of conduct that may constitute Sexual Harassment if unwelcome include, but are not limited to:

- Unreasonable pressure for a dating, romantic, or intimate relationship or sexual contact;
- Unwelcome kissing, hugging, or massaging;
- Sexual innuendos, jokes, or humor;
- Displaying sexual graffiti, pictures, videos, or posters;
- Using sexually explicit profanity;
- Asking about, or telling about, sexual fantasies, sexual preferences, or sexual activities;
- E-mail and Internet use that violates this policy;
- Leering or staring at someone in a sexual way, such as staring at a person’s breasts or groin;
- Sending sexually explicit emails, text messages, or social media posts;
- Commenting on a person’s dress in a sexual manner;
- Giving unwelcome personal gifts such as lingerie that suggest the desire for a romantic relationship; or
- Insulting, demeaning, or degrading another person based on gender or gender stereotypes.

V. Reporting Sexual Harassment

A. Title IX Coordinator

Any person may report Sexual Harassment to the Title IX Coordinator. Reports may be made in person, by regular mail, telephone, electronic mail, or by any other means that results in the Title IX Coordinator receiving the person’s verbal or written report. In-person reports must be made during normal business hours, but reports can be made by regular mail, telephone, or electronic mail at any time, including outside normal business hours, to the following individuals:

Reporting options and online reporting forms can be found at the following website: www.sfasu.edu/lumberjacks-care. In addition, a link to reporting information will be maintained on the university home page.

Contact information for the Title IX Coordinator and Deputy Title IX coordinators is outlined below. This information is subject to change and the most updated contact information for the Title IX coordinator and deputy coordinators can be found at www.sfasu.edu/lumberjacks-care.
B. **Mandatory Reporting Requirement for University Employees**

Under Texas law, all University employees, with the exception of Confidential Employees, who:

1. in the course and scope of their employment\(^6\)

2. witnesses or receives information regarding an incident that the employee reasonably believes constitutes Sexual Harassment,\(^7\) Sexual Assault, Dating Violence, or Stalking, which

3. is alleged to have been committed by or against a person who was a student enrolled at or an employee of the University at the time of the incident

must promptly report within 48 hours the incident to the University’s Title IX Coordinator or a Deputy Title IX Coordinator.

**Writing required.** The University’s online reporting form is the preferred method of communicating incidents promptly, so that a record is made of the time and all factual details disclosed in the initial report. A written memo is also acceptable if it can be delivered to a Coordinator promptly after the employee’s duty to report arises.

**Report Contents.** The employee’s report must include all information concerning the incident known to the employee which is relevant to an investigation under this Policy, including whether the subject of the report has expressed a desire for an institutional response to the incident or made a request for confidentiality in reporting the incident.

**Confidentiality.** Unless waived in writing by the affected individual, the identity of an alleged victim of an incident reported pursuant to this mandatory reporting requirement may be disclosed only to

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\(^6\) “Course and Scope of Employment” means an employee performing duties in the furtherance of the institution’s interests.

\(^7\) For the purposes of Texas’s mandatory reporting requirement only, “Sexual Harassment” means: means unwelcome, sex-based verbal or physical conduct that (a) in the employment context, unreasonably interferes with a person’s work performance or creates an intimidating, hostile, or offensive work environment; or (b) in the education context, is sufficiently severe, persistent, or pervasive that the conduct interferes with a student’s ability to participate in or benefit from the University’s educational programs or activities.

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(a) employees of the University who are necessary to conduct an investigation of the report or any related hearings and (b) a law enforcement officer.

**Exceptions.** The mandatory reporting requirement does not apply to:

1. Individuals who are themselves the victims of the Sexual Harassment, Sexual Assault, Dating Violence, or Stalking incident that is being reported;

2. Instances when an employee receives information about Sexual Harassment, Sexual Assault, Dating Violence, or Stalking at a public awareness event sponsored by the University; or

3. Employees designated as Confidential Employees.

**Consequences of Non-Compliance.** An employee who fails to make a required report will be terminated following an investigation and any required process under the applicable personnel policy.\(^8\)

**Immunity.** An employee who, in good faith reports or assists in the investigation of a report under this Policy, or who testifies or otherwise participates in a disciplinary process or judicial proceeding arising from a report of such an incident, will not be subject to disciplinary action for violations of the administrative policies of Stephen F. Austin State University that are reasonably related to the incident. This immunity does not apply to a person who perpetrates or assists in the perpetration of the incident reported under this policy or who commits a criminal offense pursuant to Texas Education Code § 51.255(a).

C. **Confidential Employees**

The University believes it is critical to provide community members who may be experiencing Sexual Harassment information about available institutional resources to empower those individuals to make informed decisions about their rights and options. Members of the University community may speak to officially designated Confidential Employees\(^9\) about Sexual Harassment, Sexual Assault, Dating Violence, or Stalking without the conversation triggering a mandatory report of incident details.

The University has designated the following Confidential Resources:

SFA Counseling Services  
(936) 468-2401 | counseling@sfasu.edu

SFA Human Services Counseling Clinic

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\(^8\) Employees who fail to make a mandatory report under this provision may also be subject to criminal prosecution pursuant to Texas Education Code section 51.255(a).

\(^9\) Under Texas law, a “Confidential Employee” is an employee (1) designated by the University as a person with whom students may speak confidentially concerning Sexual Harassment, Sexual Assault, Dating Violence, or Stalking or (2) receives information regarding such an incident under circumstances that render the employee’s communications confidential or privileged under other law.
(936) 468-1041 | SFACounselingClinic@sfasu.edu

SFA Student Health Clinic
(936) 468-4008 | healthservices@sfasu.edu

Family Crisis Center of East Texas
(936) 468-7233 Campus Office
(800) 828-7233 (24 hour crisis line)

SFA University Police
(936) 468-2608 | updemail@sfasu.edu

A Confidential Employee is not required to report any information that would violate an individual’s expectation of privacy, such as the name or other identifying information of an individual who has experienced or allegedly engaged in Sexual Harassment.

This provision does not affect any employee’s duty to report incidents of sexual misconduct as required by other law.

D. Reports to Law Enforcement

Victims of a crime have the right to choose whether to report the crime to law enforcement, to be assisted by the University in reporting the crime to law enforcement, or to decline to report the crime to law enforcement. The University encourages anyone who believes they experienced or witnessed a crime to make a report to the Stephen F. Austin State University Police Department (“UPD”), if the assault occurred on campus, or to local law enforcement, for crimes occurring off campus.

Reports of criminal offenses occurring on campus, including but not limited to sexual assault, dating violence, domestic violence, and stalking may also be made to UPD at 936-468-2608 (non-emergency) or 911 (emergency) or to the City of Nacogdoches Police Department 936-559-2607 (non-emergency) or 911 (emergency) or to other local law enforcement authorities. Regardless of where the incident occurred, UPD can assist in making a report to the appropriate law enforcement agency. Individuals are not required to report all criminal violations to law enforcement, but the University strongly encourages reporting criminal violations to the police. The Title IX Coordinator and deputy Title IX coordinators can assist individuals in contacting these law enforcement agencies as well as the confidential resources outlined in Section 6.1 C of this policy. Employees and students with protective or restraining orders relevant to a report are encouraged to provide a copy to the University Police Department.

If a report of a policy violation is made to UPD, officers will advise the complainant or reporting party of their right to file a report under this policy. To the extent allowed by law and university policy, UPD shall also notify the Title IX Coordinator of the report, and provide the Title IX Coordinator, or the individual investigating the reported policy violation, access to any related university law enforcement records, so long as doing so does not compromise any criminal investigation.
E. **Medical Treatment and Preservation of Evidence**

In cases of sexual assault, and for one’s safety and well-being, immediate medical attention is encouraged to evaluate for physical injury, sexually transmitted diseases, and pregnancy. Being examined as soon as possible, ideally within 120 hours, is important for evidence collection, which may be used to support prosecution should the Complainant decide to pursue criminal charges.

F. **Anonymous Reports**

Anyone, not designated as a responsible employee, can make an anonymous report by submitting information through the Online Reporting Form found at [http://www.sfasu.edu/lumberjacks-care](http://www.sfasu.edu/lumberjacks-care)

VI. **Preliminary Assessment**

Upon receipt of a report, the Title IX Coordinator will conduct a preliminary assessment to determine whether the conduct, as reported, constitutes or could constitute Sexual Harassment.

If the Title IX Coordinator determines that the conduct reported could not fall within the scope of this Policy, and/or could not constitute Sexual Harassment, even if investigated, the Title IX Coordinator will close the matter and may notify the reporting party if doing so is consistent with the Family Educational Rights and Privacy Act (“FERPA”). The Title IX Coordinator may refer the report to other University offices, as appropriate.

If the Title IX Coordinator determines that the conduct reported could fall within the scope of this Policy, and/or could constitute Sexual Harassment, if investigated, the Title IX Coordinator will proceed to contact the Complainant.

As part of the preliminary assessment, the Title IX Coordinator may take investigative steps to determine the identity of the Complainant, if such identity is not apparent from the report.

VII. **Contacting the Complainant**

If a report is not closed as a result of the preliminary assessment and the Complainant’s identity is known, the Title IX Coordinator or their designee will promptly contact the Complainant to discuss the following:

- the availability of Supportive Measures with or without filing a Formal Complaint;
- the Complainant’s wishes with respect to such Supportive Measures;
- the process for filing and pursuing a Formal Complaint;
- the importance of going to a hospital for treatment and preservation of evidence as soon as practicable after the incident, if applicable;
- the right to report the incident to the institution and to receive a prompt and equitable resolution of the report;
- the right of a victim of a crime to choose whether to report the crime to law enforcement, to be assisted by the institution in reporting the crime to law enforcement, or to decline to report the crime to law enforcement; and
- information about resources that are available on campus and in the community.
VIII. Supportive Measures

Generally. Any individual affected by or accused of Sexual Harassment will have equal access to support and counseling services offered through the University. The University encourages any individual who has questions or concerns to seek support of University-identified resources. The Title IX Coordinator or their designee is available to provide information about the University’s policy and procedure and to provide assistance. A list of University identified resources is located at the following link: http://www.sfasu.edu/lumberjacks-care

Complainant. The Title IX Coordinator or their designee will offer and make available Supportive Measures to the Complainant upon receipt of a report of Sexual Harassment regardless of whether the Complainant elects to file a Formal Complaint.

Respondent. The Title IX Coordinator or their designee will notify the Respondent of the availability of Supportive Measures contemporaneously with the Respondent being notified of a Formal Complaint. Once a Formal Complaint has been initiated, the University will offer and make available Supportive Measures to the Respondent in the same manner in which it offers and makes them available to the Complainant. The University will also offer and make available Supportive Measures to the Respondent prior to the Respondent being notified of a Formal Complaint, if the Respondent requests such measures.

All Parties. The University will, to the greatest extent practicable, ensure that each Party or other person who reports an incident of Sexual Harassment is offered counseling provided by a counselor who does not provide counseling to any other person involved in the incident. In addition, all Parties are allowed to drop a course in which both Parties are enrolled without any academic penalty.

Confidentiality. The University will maintain the confidentiality of Supportive Measures provided to either a Complainant or Respondent, to the extent that maintaining such confidentiality does not impair the University’s ability to provide the Supportive Measures in question.

IX. Interim Removal

At any time after receiving a report of Sexual Harassment, the Title IX Coordinator may remove a student Respondent from the University’s education programs and activities on an temporary basis if an individualized safety and risk analysis determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of Sexual Harassment justifies removal. In the event the Title IX Coordinator imposes an interim removal, the Title IX Coordinator must offer to meet with the Respondent within twenty-four hours and provide the Respondent an opportunity to challenge the interim removal.

In the case of a Respondent who is a non-student employee (administrator, faculty, or staff), and in its discretion, the University may place the Respondent on administrative leave at any time after receiving a report of Sexual Harassment, including during the pendency of the investigation and adjudication process.
For all other Respondents, including independent contractors and guests, the University retains broad discretion to prohibit such persons from entering onto its campus and other properties at any time, and for any reason, whether after receiving a report of Sexual Harassment or otherwise.

X. Formal Complaint

A. Filing a Formal Complaint

A Complainant may file a Formal Complaint with the Title IX Coordinator requesting that the University investigate and adjudicate a report of Sexual Harassment in accordance with this Policy. Provided, however, that at the time the Complainant submits a Formal Complaint, the Complainant must be participating in, or attempting to participate in, one or more of the University’s Education Programs or Activities.

A Complainant may file a Formal Complaint with the Title IX Coordinator in person, by regular mail, or by email using the contact information specified above. No person may submit a Formal Complaint on the Complainant’s behalf.

In any case, including a case where a Complainant elects not to file a Formal Complaint, the Title IX Coordinator may file a Formal Complaint on behalf of the University if doing so is not clearly unreasonable. Such action will normally be taken in limited circumstances involving serious or repeated conduct or where the alleged perpetrator may pose a continuing threat to the University Community. Factors the Title IX Coordinator may consider include (but are not limited to):

1. the seriousness of the alleged incident, including (a) whether a weapon was involved in the incident, (b) whether multiple assailants were involved in the incident, and (c) whether the incident is poses a risk of recurrence;

2. whether the institution has received other reports of Sexual Harassment committed by the Respondent;

3. whether the alleged incident poses a risk of harm to others; and

4. any other factors the University determines relevant.

If the Complainant or the Title IX Coordinator files a Formal Complaint, then the University will commence an investigation and proceed to adjudicate the matter. If the University elects to proceed as a Complainant, the University will inform the alleged victim of the incident of that decision. In all cases where a Formal Complaint is filed, the Complainant will be treated as a Party, irrespective of the Party’s level of participation.

B. Consolidation of Formal Complaints

The University may consolidate Formal Complaints as to allegations of Sexual Harassment against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one Party against the other Party, where the allegations of Sexual Harassment arise out of the same facts or circumstances. Where the investigation and adjudication process involve more than
one Complainant or more than one Respondent, references in this policy to the singular “Party,” “Complainant,” or “Respondent” include the plural, as applicable.

C. Dismissal Prior to Commencement of Investigation

In a case where the Complainant files a Formal Complaint, the Title IX Coordinator will evaluate the Formal Complaint and must dismiss it if the Title IX Coordinator determines:

- The conduct alleged in the Formal Complaint would not constitute Sexual Harassment, even if proved; or
- The conduct alleged in the Formal Complaint falls outside the scope of this Policy (i.e., because the alleged conduct did not occur in the University’s Education Programs and Activities).

In the event the Title IX Coordinator determines the Formal Complaint should be dismissed pursuant to this Section, the Title IX Coordinator will provide written notice of dismissal to the parties and advise them of their right to appeal. The Title IX Coordinator may refer the subject matter of the Formal Complaint to other University offices, as appropriate. A dismissal pursuant to this Section is presumptively a final determination for purposes of this policy, unless otherwise specified in writing by the Title IX Coordinator in the written notice of dismissal.

D. Notice of Formal Complaint

Within five days of the Title IX Coordinator receiving a Formal Complaint, the Title IX Coordinator will transmit a written notice to the Complainant and Respondent that includes:

- A physical copy of or hyperlink to this Policy;
- Sufficient details known at the time so that the Parties may prepare for an initial interview with the investigator, to include the identities of the parties involved in the incident (if known), the conduct allegedly constituting Sexual Harassment, and the date and location of the alleged incident (if known);
- A statement that the Respondent is presumed not responsible for the alleged Sexual Harassment and that a determination of responsibility will not be made until the conclusion of the adjudication and any appeal;
- Notifying the Complainant and Respondent of their right to be accompanied by an advisor of their choice;
- Notifying the Complainant and Respondent of their right to inspect and review evidence;
- Notifying the Complainant and Respondent of the University’s prohibitions on retaliation and false statements; and
- Information about resources that are available on campus and in the community.

Should the University elect, at any point, to investigate allegations that are materially beyond the scope of the initial written notice, the University will provide a supplemental written notice describing the additional allegations to be investigated.

E. Presumption of Non-Responsibility
From the time a report or Formal Complaint is made, a Respondent is presumed not responsible for the alleged misconduct until a determination regarding responsibility is made final.

XI. Investigation

A. Commencement and Timing

After the written notice of Formal Complaint is transmitted to the Parties, an investigator selected by the Title IX Coordinator will undertake an investigation to gather evidence relevant to the alleged misconduct, including inculpatory and exculpatory evidence. The burden of gathering evidence sufficient to reach a determination in the adjudication lies with the University and not with the Parties. The investigation will culminate in a written investigation report that will be submitted to the adjudicator during the selected adjudication process. Although the length of each investigation may vary depending on the totality of the circumstances, the University strives to complete each investigation within 60 calendar days of the transmittal of the written notice of Formal Complaint.

B. Equal Opportunity

During the investigation, the investigator will provide an equal opportunity for the Parties to be interviewed, to present witnesses (including fact and expert witnesses), and to present other inculpatory and exculpatory evidence. Notwithstanding the foregoing, the investigator retains discretion to limit the number of witness interviews the investigator conducts if the investigator finds that testimony would be unreasonably cumulative, if the witnesses are offered solely as character references and do not have information relevant to the allegations at issue, or if the witnesses are offered to render testimony that is categorically inadmissible, such as testimony concerning sexual history of the Complainant. The investigator will not restrict the ability of the parties to gather and present relevant evidence on their own.

The investigation is a Party’s opportunity to present testimonial and other evidence that the Party believes is relevant to resolution of the allegations in the Formal Complaint. A Party that is aware of and has a reasonable opportunity to present particular evidence and/or identify particular witnesses during the investigation, and elects not to, will be prohibited from introducing any such evidence during the adjudication absent a showing of mistake, inadvertence, surprise, or excusable neglect.

C. Documentation of Investigation

The investigator will take reasonable steps to ensure the investigation is documented. Interviews of the parties and witnesses may be documented by the investigator’s notes, audio recorded, video recorded, or transcribed. The particular method utilized to record the interviews of parties and witnesses will determined by the investigator in the investigator’s sole discretion, although whatever method is chosen shall be used consistently throughout a particular investigation.

D. Access to the Evidence

At the conclusion of the evidence-gathering phase of the investigation, but prior to the completion of the investigation report, the investigator will transmit to each Party and their advisor, in either electronic or hard copy form, all evidence obtained as part of the investigation that is directly related to the allegations raised in the Formal Complaint, including evidence the University may choose not to include.
to rely on at any hearing and inculpatory or exculpatory evidence whether obtained from a Party or some other source. The parties will have ten calendar days in which to submit to the investigator a written response, which the investigator will consider prior to completing the investigation report.

The parties and their advisors are permitted to review the evidence solely for the purposes of this grievance process and may not duplicate or disseminate the evidence to the public.

E. Investigation Report

After the period for the parties to provide any written response has expired, the investigator will complete a written investigation report that fairly summarizes the various steps taken during the investigation, summarizes the relevant evidence collected, lists material facts on which the parties agree, and lists material facts on which the parties do not agree. When the investigation report is complete, the investigator will transmit a copy to the Title IX Coordinator. The investigator will also transmit the investigation report to each Party and their advisor, in either electronic or hard copy form.

XII. Adjudication Process Selection

After the investigator has sent the investigation report to the parties, the Title IX Coordinator will transmit to each Party a notice advising the Party of the two different adjudication processes specified below. The notice will explain that the hearing process is the default process for adjudicating all Formal Complaints and will be utilized unless both parties voluntarily consent to administrative adjudication as a form of informal resolution. The notice will be accompanied by a written consent to administrative adjudication and will advise each Party that, if both parties execute the written consent to administrative adjudication, then the administrative adjudication process will be used in lieu of the hearing process. Parties are urged to carefully review this Policy, consult with their advisor, and consult with other persons as they deem appropriate (including an attorney) prior to consenting to administrative adjudication.

Each Party will have three calendar days from transmittal of the notice specified below to return the signed written consent form to the Title IX Coordinator. If either Party does not timely return the signed written consent, that Party will be deemed not to have consented to administrative adjudication and the Formal Complaint will be adjudicated pursuant to the hearing process.

XIII. Adjudication

A. Hearing Process

The process for adjudicating Formal Complaints is the hearing process specified in this Section. The hearing process will be used to adjudicate all Formal Complaints unless both parties timely consent to Informal Resolution.

1. Hearing Panel

After selection of the hearing process as the form of administrative adjudication, the Title IX Coordinator will promptly appoint a hearing panel which will oversee the hearing process and render a determination of responsibility for the allegations in the Formal Complaint, at the conclusion of the
hearing process. The Title IX Coordinator will see that the hearing panel is provided a copy of the investigation report and a copy of all evidence transmitted to the parties by the investigator. The hearing panel is composed of three people selected from a pool of trained panelists, one of whom will serve as the hearing panel chair. Neither the investigator nor the Title IX Coordinator may serve on the hearing panel. Panelists whose relationship with a party in an investigation causes a conflict of interest shall be excluded from the panel. The hearing panel is responsible for conducting a live hearing for alleged violations of this policy and for making a determination of responsibility and, when appropriate, apply sanctions. Hearing panelists shall complete ongoing training regarding the issues contained in this policy.

2. **Hearing Notice and Response to the Investigation Report**

After the hearing panel is appointed by the Title IX Coordinator, the hearing panel chair will promptly transmit written notice to the parties notifying the parties of the hearing panel’s appointment; setting a deadline for the parties to submit any written response to the investigation report; setting a date for the pre-hearing conference; and setting a date and time for the hearing. Neither the pre-hearing conference, nor the hearing itself, may be held any earlier than ten calendar days from the date of transmittal of the written notice.

A Party’s written response to the investigation report must include:

- To the extent the Party disagrees with the investigation report, any argument or commentary regarding such disagreement;
- Any argument that evidence should be categorically excluded from consideration at the hearing based on privilege, relevancy, the prohibition on the use of sexual history, or for any other reason;
- A list of any witnesses that the Party contends should be requested to attend the hearing pursuant to an attendance notice issued by the hearing panel chair;
- A list of any witnesses that the Party intends to bring to the hearing without an attendance notice issued by the hearing officer;
- Any request that the parties be separated physically during the pre-hearing conference and/or hearing;
- Any other accommodations that the Party seeks with respect to the pre-hearing conference and/or hearing;
- The name and contact information of the advisor who will accompany the Party at the pre-hearing conference and hearing;
- If the Party does not have an advisor who will accompany the Party at the hearing, a request that the University provide an advisor for purposes of conducting questioning.

A Party’s written response to the investigation report may also include:

- Argument regarding whether any of the allegations in the Formal Complaint are supported by a preponderance of the evidence; and
- Argument regarding whether any of the allegations in the Formal Complaint constitute Sexual Harassment.
3. **Pre-Hearing Conference**

Prior to the hearing, the hearing chair will conduct a pre-hearing conference with the parties and their advisors. The pre-hearing conference will be conducted live, with simultaneous and contemporaneous participation by the parties and their advisors. By default, the pre-hearing conference will be conducted with the hearing officer, the parties, the advisors, and other necessary University personnel, if any, together in the same physical location. However, upon request of either Party, the parties will be separated into different rooms with technology enabling the parties to participate simultaneously and contemporaneously by video and audio.

In the hearing chair’s discretion, the pre-hearing conference may be conducted virtually, by use of video and audio technology, where all participants participate simultaneously and contemporaneously by use of such technology.

During the pre-hearing conference, the hearing chair will discuss the hearing procedures with the parties; address matters raised in the parties’ written responses to the investigation report, as the hearing officer deems appropriate; discuss whether any stipulations may be made to expedite the hearing; discuss the witnesses the parties have requested be served with notices of attendance and/or witnesses the parties plan to bring to the hearing without a notice of attendance; and resolve any other matters that the hearing officer determines, in the hearing chair’s discretion, should be resolved before the hearing.

4. **Issuance of Notices of Attendance**

After the pre-hearing conference, the hearing chair will transmit notices of attendance to any University employee (including administrator, faculty, or staff) or student whose attendance is requested at the hearing as a witness. The notice will advise the subject of the specified date and time of the hearing and advise the subject to contact the hearing chair immediately if there is a material and unavoidable conflict.

The subject of an attendance notice should notify any manager, faculty member, coach, or other supervisor, as necessary, if attendance at the hearing will conflict with job duties, classes, or other obligations. All such managers, faculty members, coaches, and other supervisors are required to excuse the subject of the obligation, or provide some other accommodation, so that the subject may attend the hearing as specified in the notice.

The University will not issue a notice of attendance to any witness who is not an employee or a student.

5. **Hearing**

After the pre-hearing conference, the hearing panel will convene and conduct a hearing. The hearing will be audio recorded. The audio recording will be made available to the parties for inspection and review on reasonable notice, including for use in preparing any subsequent appeal.

The hearing will be conducted live, with simultaneous and contemporaneous participation by the parties and their advisors. By default, the hearing will be conducted with the hearing panel, the parties, the advisors, witnesses, and other necessary University personnel together in the same
physical location. However, upon request of either Party, the parties will be separated into different rooms with technology enabling the parties to participate simultaneously and contemporaneously by video and audio. The hearing may, in the hearing chair’s discretion, be conducted virtually, by use of video and audio technology, where all participants participate simultaneously and contemporaneously by use of such technology.

While the rulings from the hearing chair will govern the particulars of the hearing, each hearing will include, at a minimum:

- Opportunity for each Party to address the hearing panel directly and to respond to questions posed by the hearing chair;
- Opportunity for each Party’s advisor to ask directly, orally, and in real time, relevant questions, and follow up questions, of the other Party and any witnesses, including questions that support or challenge credibility;
- Opportunity for each Party to raise contemporaneous objections to testimonial or non-testimonial evidence and to have such objections ruled on by the hearing chair and a reason for the ruling provided;
- Opportunity for each Party to submit evidence that the Party did not present during the investigation due to mistake, inadvertence, surprise, or excusable neglect;
- Opportunity for each Party to make a brief closing argument.

Except as otherwise permitted by the hearing chair, the hearing will be closed to all persons except the parties, their advisors, the investigator, the hearing panel, the Title IX Coordinator, and other necessary University personnel. With the exception of the investigator and the parties, witnesses will be sequestered until such time as their testimony is complete.

During the hearing, the parties and their advisors will have access to the investigation report and evidence that was transmitted to them.

While a Party has the right to attend and participate in the hearing with an advisor, a Party and/or advisor who materially and repeatedly violates the rules of the hearing in such a way as to be materially disruptive, may be barred from further participation and/or have their participation limited, as the case may be, in the discretion of the hearing officer.

Subject to the minimum requirements specified in this Section, the hearing chair will have sole discretion to determine the manner and particulars of any given hearing, including with respect to the length of the hearing, the order of the hearing, and questions of admissibility. The hearing chair will independently and contemporaneously screen questions for relevance in addition to resolving any contemporaneous objections raised by the parties and will explain the rational for any evidentiary rulings.

The hearing is not a formal judicial proceeding and strict rules of evidence do not apply.

6. **Subject to Questioning**

In the event that any Party or witness refuses to attend the hearing, or attends but refuses to submit to questioning by the Parties’ advisors, the statements of that Party or witness, as the case may be,
whether given during the investigation or during the hearing, will not be considered by the hearing panel in reaching a determination of responsibility.

Notwithstanding the foregoing, the hearing panel may consider the testimony of any Party or witness, whether given during the investigation or during the hearing, if the parties jointly stipulate that the testimony may be considered or in the case where neither Party requested attendance of the witness at the hearing.

In applying this Section, the hearing panel will not draw an inference about the determination regarding responsibility based solely on a Party or a witness’s absence from the live hearing and/or refusal to submit to questioning by the parties’ advisors.

7. Deliberation and Determination

After the hearing is complete, the hearing panel will objectively evaluate all relevant evidence collected during the investigation, including both inculpatory and exculpatory evidence, together with testimony and non-testimony evidence received at the hearing, and ensure that any credibility determinations made are not based on a person’s status as a Complainant, Respondent, or witness. The hearing panel will take care to exclude from consideration any evidence that was ruled inadmissible at the pre-hearing conference, during the hearing, or otherwise. The hearing panel will resolve disputed facts using a preponderance of the evidence (i.e., “more likely than not”) standard and reach a determination regarding whether the facts that are supported by a preponderance of the evidence constitute one or more violations of the policy as alleged in the Formal Complaint.

8. Discipline and Remedies

In the event the hearing panel determines that the Respondent is responsible for violating this policy, the hearing chair will, prior to issuing a written decision, consult with an appropriate University official with disciplinary authority over the Respondent and such official will determine any discipline to be imposed. The hearing chair will also, prior to issuing a written decision, consult with the Title IX Coordinator who will determine whether and to what extent ongoing support measures or other remedies will be provided to the Complainant.

If a student is found responsible for Sexual Harassment and the sanction imposed makes the student ineligible to reenroll in the University (i.e., suspension or expulsion), the University will include a notation on the student’s transcript. The student may request the removal of a transcript notation imposed under this Policy if:

- the student becomes eligible to reenroll at the University; or
- the University determines that good cause exists to remove the notation.

If the University receives an appropriate request by another postsecondary educational institution, the University will provide to the requesting institution information relating to the University’s determination that the student violated this Policy.
9. **Written Decision**

After reaching a determination and consulting with the appropriate University official and Title IX Coordinator as required above, the hearing chair will prepare a written decision that will include:

- Identification of the allegations potentially constituting Sexual Harassment made in the Formal Complaint;
- A description of the procedural steps taken by the University upon receipt of the Formal Complaint, through issuance of the written decision, including notification to the parties, interviews with the parties and witnesses, site visits, methods used to gather non-testimonial evidence, and the date, location, and people who were present at or presented testimony at the hearing.
- Articulate findings of fact, made under a preponderance of the evidence standard, that support the determination;
- A statement of, and rationale for, each allegation that constitutes a separate potential incident of Sexual Harassment, including a determination regarding responsibility for each separate potential incident;
- The discipline determined by the appropriate University official;
- Whether the Complainant will receive any ongoing support measures or other remedies as determined by the Title IX Coordinator; and
- A description of the University’s process and grounds for appeal.

The hearing chair’s written determination will be transmitted to the parties. Transmittal of the written determination to the parties concludes the hearing process, subject to any right of appeal.

Although the length of each adjudication by hearing will vary depending on the totality of the circumstances, the University strives to issue the hearing chair’s written determination within 15 business days of the conclusion of the hearing.

**B. Administrative Adjudication**

In lieu of the hearing process, the Parties may consent to have a Formal Complaint resolved by administrative adjudication as a form of informal resolution. Administrative adjudication is voluntary and must be consented to in writing by both parties and approved by the Title IX Coordinator. At any time prior to the issuance of the administrative officer’s determination, a Party has the right to withdraw from administrative adjudication and request a live hearing.

If administrative adjudication is selected, the Title IX Coordinator will appoint an administrative officer who does not need to be an employee of the University. The Title IX Coordinator will see that the administrative adjudicator is provided a copy of the investigation report and a copy of all the evidence transmitted to the parties by the investigator.

The administrative officer will promptly send written notice to the Parties notifying the parties of the administrative officer’s appointment; setting a deadline for the parties to submit any written response to the investigation report; and setting a date and time for each party to meet with the administrative officer separately. The administrative officer’s meetings with the parties will not be held any earlier than ten calendar days from the date of transmittal of the written notice specified in this paragraph.
A Party’s written response to the investigation report must include:

- To the extent the party disagrees with the investigation report, any argument or commentary regarding such disagreement;
- Any argument that a particular piece or class of evidence should be categorically excluded from consideration at the hearing based on privilege, relevancy, the prohibition on the use of sexual history, or for any other reason;
- Argument regarding whether any of the allegations in the Formal Complaint are supported by a preponderance of the evidence;
- Argument regarding whether any of the allegations in the Formal Complaint constitute Sexual Harassment.

After reviewing the Parties’ written responses, the administrative officer will meet separately with each party to provide the Party with an opportunity make any oral argument or commentary the Party wishes to make and for the administrative officer to ask questions concerning the Party’s written response, the investigative report, and/or the evidence collected during the investigation.

After meeting with each Party, the administrative officer will objectively reevaluate all relevant evidence, including both inculpatory and exculpatory evidence and ensure that any credibility determinations made are not based on a person’s status as a Complainant, Respondent, or witness. The administrative officer will take care to exclude from consideration any evidence that the administrative officer determines should be ruled inadmissible based on the objections and arguments raised by the Parties in their respective written responses to the investigation report. The administrative officer will resolve disputed facts using a preponderance of the evidence (i.e., “more likely than not”) standard and reach a determination regarding whether the facts that are supported by a preponderance of the evidence constitute one or more violations of the policy as alleged in the Formal Complaint.

Thereafter, the administrative officer will consult with any University official and the Title IX Coordinator and will prepare and transmit a written decision which shall serve as a resolution for purposes of informal resolution.

Transmittal of the administrative officer’s written determination concludes the administrative adjudication, subject to any right of appeal.

Although the length of each administrative adjudication will vary depending on the totality of the circumstances, the University strives to issue the administrative officer’s written determination within twenty-one calendar days of the transmittal of the initiating written notice.

XIV. Dismissal During Investigation or Adjudication

The University may dismiss a Formal Complaint at any point during the investigation or adjudication process if the Title IX Coordinator determines that any one or more of the following is true:

- The Complainant provides the Title IX Coordinator written notice that the Complainant wishes to withdraw the Formal Complaint or any discrete allegations therein (in which case those discrete allegations may be dismissed);
• The Respondent is no longer enrolled or employed by the University; or
• Specific circumstances prevent the University from gathering evidence sufficient to reach a determination as to the Formal Complaint, or any discrete allegations therein (in which case those discrete allegations may be dismissed).

In the event the Title IX Coordinator determines that a Formal Complaint should be dismissed pursuant to this Section, the Title IX Coordinator will provide written notice of dismissal to the parties and advise them of their right to appeal. The Title IX Coordinator may refer the subject matter of the Formal Complaint to other University offices, as appropriate. A dismissal pursuant to this Section is presumptively a final determination as it pertains to this policy, unless otherwise specified in writing by the Title IX Coordinator in the written notice of dismissal.

XV. Appeal

A. Grounds for Appeal

Either Party may appeal the determination of an adjudication, or a dismissal of a Formal Complaint, on one or more of the following grounds:

1. A procedural irregularity affected the outcome;

2. There is new evidence that was not reasonably available at the time the determination or dismissal was made, that could have affected the outcome;

3. The Title IX Coordinator, investigator, hearing panel, or administrative officer had a conflict of interest or bias for or against complainants or respondents generally, or against the individual Complainant or Respondent, that affected the outcome.

No other grounds for appeal are permitted.

B. Deadline to File Appeal

A Party must file an appeal within seven calendar days of the date they receive notice of dismissal or determination appealed from or, if the other Party appeals, within three calendar days of the other Party appealing, whichever is later. All parties will be provided a link to the appeal form upon notification of the findings in their case. The appeal must be submitted in writing by the online appeal form found at the following link: https://cm.maxient.com/reportingform.php?SFAStateUniv&layout_id=81.

The appeal must specifically identify the determination and/or dismissal appealed from, articulate which one or more of the three grounds for appeal are being asserted, explain in detail why the appealing Party believes the appeal should be granted, and articulate what specific relief the appealing Party seeks.

C. Resolution of Appeal

Promptly upon receipt of an appeal, the appeal officer will conduct an initial evaluation to confirm that the appeal is timely filed and that it invokes at least one of the permitted grounds for appeal. If the appeal officer determines that the appeal is not timely, or that it fails to invoke a permitted ground
for appeal, the appeal officer will dismiss the appeal and provide written notice of the same to the parties.

If the appeal officer confirms that the appeal is timely and invokes at least one permitted ground for appeal, the appeal officer will provide written notice to the other Party that an appeal has been filed and that the other Party may submit a written opposition to the appeal within seven calendar days. The appeal officer shall also promptly obtain from the Title IX Coordinator any records from the investigation and adjudication necessary to resolve the grounds raised in the appeal.

Upon receipt of any opposition, or after the time period for submission of an opposition has passed without one being filed, the appeal officer will promptly decide the appeal and transmit a written decision to the parties that explains the outcome of the appeal and the rationale. The determination of a Formal Complaint, including any discipline, becomes final when the time for appeal has passed with no Party filing an appeal or, if any appeal is filed, at the point when the appeal officer has resolved all appeals, either by dismissal or by transmittal of a written decision. No further review beyond the appeal is permitted.

Although the length of each appeal will vary depending on the totality of the circumstances, the University strives to issue the appeal officer’s written decision within 21 calendar days of an appeal being filed.

XVI. Informal Resolution

The University may, in the Title IX Coordinator's discretion, facilitate an Informal Resolution in accordance with the protocol outlined below.

A. Guiding Principles

Generally, informal resolution involves a structured, supervised interaction between the Parties and/or other affected community members that seeks to identify and meet the needs of the Complainant while providing an opportunity for the Respondent and/or other affected community members to accept responsibility and repair harm (to the extent possible). Informal resolution may not include an investigation, hearing, or disciplinary action against a Respondent (including transcript notations), but may include imposing appropriate and reasonable remedies as agreed to by the Parties. All informal resolutions are facilitated by a trained administrator or outside expert.

B. Availability of Informal Resolution

Informal resolution is available in matters in which the Title IX Coordinator, in the Title IX Coordinator’s discretion, determines it is appropriate. Factors the University will consider when determining whether a report of Prohibited Conduct is suitable for Alternative Resolution include, but are not limited to:

- the nature and severity of the conduct, including whether the use of force or a weapon was involved;
- the Respondent’s prior known disciplinary or criminal conduct, including whether the University has received other reports of Prohibited Conduct committed by the Respondent;
- whether the alleged incident poses a risk of harm to other individuals or the community;
• the dynamics of power or control commonly associated with the alleged conduct or the nature of the parties’ relationship;
• whether multiple parties are affected or involved;
• any admissions of responsibility by the Respondent; and
• any other factor deemed relevant by the Title IX Coordinator or their designee in the interest of overall campus safety or safety of the parties involved.

Informal resolution will not be permitted if the Respondent is a non-student employee accused of committing Sexual Harassment against a student.

C. Informal Resolution Process

At any time after the parties are provided written notice of the Formal Complaint, and before the completion of any appeal, the parties may voluntarily consent, with the Title IX Coordinator’s approval, to engage in mediation, facilitated resolution, or other form of dispute resolution the goal of which is to enter into a final resolution resolving the allegations raised in the Formal Complaint by agreement of the parties. Administrative Adjudication is a form of informal resolution.

The specific manner of any informal resolution process will be determined by the Parties and the Title IX Coordinator, in consultation together. Prior to commencing the informal resolution process agreed upon, the Title IX Coordinator will transmit a written notice to the Parties that:

• Describes the parameters and requirements of the informal resolution process to be utilized;
• Identifies the individual responsible for facilitating the informal resolution (who may be the Title IX Coordinator, another University official, or a suitable third-Party);
• Explains the effect of participating in informal resolution and/or reaching a final resolution will have on a Party’s ability to resume the investigation and adjudication of the allegations at issue in the Formal Complaint; and
• Explains any other consequence resulting from participation in the informal resolution process, including a description of records that will be generated, maintained, and/or shared.

After receiving the written notice specified in this paragraph, each Party must voluntarily provide written consent to the Title IX Coordinator, before the informal resolution may commence. The University will not pressure or compel any individual to engage in mediation, to directly confront the other, or to participate in any particular form of informal resolution. Individuals may be accompanied by an adviser or support person at any meetings related to the informal resolution process.

If the Parties reach a resolution through the informal resolution process, and the Title IX Coordinator agrees that the resolution is not clearly unreasonable, the Title IX Coordinator will reduce the terms of the agreed resolution to writing and present the resolution to the parties for their written signature. Once both parties and the Title IX Coordinator sign the resolution, the resolution is final, and the allegations addressed by the resolution are considered resolved and will not be subject to further investigation, adjudication, remediation, or discipline by the University, except as otherwise provided in the resolution itself, absent a showing that a Party induced the resolution by fraud.
misrepresentation, or other misconduct or where required to avoid a manifest injustice to either Party or to the University. Notwithstanding the forgoing if the form of informal resolution is Administrative Adjudication, there shall not be an agreed resolution requiring the parties’ signatures; instead, the determination issued by the administrative officer shall serve as the resolution and conclude the informal resolution process, subject only to any right of appeal. With the exception of a resolution resulting from the Administrative Adjudication process, all other forms of informal resolution pursuant to this Section are not subject to appeal.

D. **Termination of Informal Resolution**

A Party may withdraw their consent to participate in informal resolution at any time before a resolution has been finalized.

E. **Deadlines for Informal Resolution**

Absent extension by the Title IX Coordinator, any informal resolution process must be completed within 21 calendar days. If an informal resolution process does not result in a resolution within 21 calendar days, and absent an extension, abeyance, or other contrary ruling by the Title IX Coordinator, the informal resolution process will be deemed terminated, and the Formal Complaint will be resolved pursuant to the investigation and adjudication procedures. The Title IX Coordinator may adjust any time periods or deadlines in the investigation and/or adjudication process that were suspended due to the informal resolution.

During the pendency of the informal resolution process, the investigation and adjudication processes that would otherwise occur are stayed and all related deadlines are suspended.

**XVII. Other Investigation and Adjudication Considerations**

A. **Advisor of Choice**

From the point a Formal Complaint is made, and until an investigation, adjudication, and appeal are complete, the Complainant and Respondent will have the right to be accompanied by an advisor of their choice to all meetings, interviews, and hearings that are part of the investigation, adjudication, and appeal process. The advisor may be, but is not required to be, an attorney.

Except for the questioning of witnesses during the hearing, the advisor will play a passive role and is not permitted to communicate on behalf of a Party, insist that communication flow through the advisor, or communicate with the University about the matter without the Party being included in the communication. In the event a Party’s advisor of choice engages in material violation of the parameters specified in this policy, the University may preclude the advisor from further participation, in which case the Party may select a new advisor of their choice.

In the event a Party is not able to secure an advisor to attend the and requests the University to provide an advisor, the University will provide the Party an advisor, without fee or charge, who will conduct questioning on behalf of the Party at the hearing. The University will have sole discretion to select the advisor it provides. The advisor the University provides may be, but is not required to be, an attorney.
The University will provide an advisor to any Party upon receipt of a request to the Title IX Coordinator or their designee. The University will provide an advisor for any Party at a hearing for the purpose of cross-examining a Party or witness.

B. **Conflicts of Interest, Bias, and Procedural Complaints**

The Title IX Coordinator, investigator, hearing officer, administrative officer, appeals officer, and informal resolution facilitator will be free of any material conflicts of interest or material bias. Any Party who believes one or more of these University officials has a material conflict of interest or material bias must raise the concern promptly so that the University may evaluate the concern and find a substitute, if appropriate. The failure of a Party to timely raise a concern of a conflict of interest or bias may result in a waiver of the issue for purposes of any appeal.

C. **Objections Generally**

Parties are expected to raise any objections, concerns, or complaints about the investigation, adjudication, and appeals process in a prompt and timely manner so that the University may evaluate the matter and address it, if appropriate.

D. **Treatment Records and Other Privileged Information**

During the investigation and adjudication processes, the investigator and adjudicator are not permitted to access, consider, disclose, permit questioning concerning, or otherwise use:

- a Party’s records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional or paraprofessional’s capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the Party; or
- information or records protected from disclosure by any other legally-recognized privilege, such as the attorney-client privilege

unless the University has obtained the Party’s voluntary, written consent to do so for the purposes of the investigation and adjudication process.

Notwithstanding the foregoing, the investigator and/or adjudicator, may consider any such records or information otherwise covered by this Policy if the Party holding the privilege affirmatively discloses the records or information to support their allegation or defense.

E. **Sexual History**

During the investigation and adjudication processes, questioning regarding a Complainant’s sexual predisposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant’s prior sexual behavior are offered to prove that someone other than the Respondent committed the conduct alleged, or if the questions and evidence concern specific incidents of the Complainant’s prior sexual behavior with respect to the Respondent and are offered to prove consent. Notwithstanding the foregoing, a Complainant who affirmatively uses information otherwise
considered irrelevant by this Section for the purpose of supporting the Complainant’s allegations, may be deemed to have waived the protections of this Section.

F.   Student Withdrawal or Graduation Pending Disciplinary Charges

If a student withdraws or graduates from the University pending an investigation of a complaint of Sexual Misconduct under this Policy, the University will expedite the disciplinary process as necessary to accommodate both the Complainant and the Respondent’s interest in a speedy resolution and continue the investigation with or without the participation of the Respondent.

G.   Academic Freedom

The University will construe and apply this Policy consistent with the principles of academic freedom specified in policy 7.3, Academic Freedom and Responsibility. In no case will a Respondent be found to have committed Sexual Harassment based on expressive conduct that is protected by the principles of academic freedom specified in university policy.

XVIII.   Other Policy Violations

A.   Bad Faith Complaints and False Information

It is a violation of this policy for any person to submit a report or Formal Complaint that the person knows, at the time the report or Formal Complaint is submitted, to be false or frivolous. It is also a violation of this policy for any person to knowingly make a materially false statement during the course of an investigation, adjudication, or appeal under this policy. Violations of this Section are not subject to the investigation and adjudication processes in this policy; instead, they will be addressed under the Student Code of Conduct in the case of students and other University policies and standards, as applicable, for other persons.

B.   Other Sex-Based Misconduct

This policy applies only to Sexual Harassment as defined in this Policy. Complaints of other forms of sex discrimination are governed by policy 2.11, Nondiscrimination Policy.

XIX.   Discretion in Application

A.   Interpretation

The University retains discretion to interpret and apply this Policy in a manner that is not clearly unreasonable, even if the University’s interpretation or application differs from the interpretation of the Parties.

The provisions of this Policy and the Hearing Procedures are not contractual in nature, whether in their own right, or as part of any other express or implied contract. Accordingly, the University retains discretion to revise this Policy and the Hearing Procedures at any time, and for any reason. The University may apply Policy revisions to an active case provided that doing so is not clearly unreasonable.
B. **Outside Appointments, Dual Appointments, and Delegations**

The University retains discretion to retain and appoint suitably qualified persons who are not University employees to fulfill any function of the University under this policy, including, but not limited to, the investigator, hearing officer, administrative officer, informal resolution officer, and/or appeals officer. The University also retains discretion to appoint two or more persons to jointly fulfill the role of investigator, hearing officer, administrative officer, informal resolution officer, and/or appeals officer.

The functions assigned to a given University official under this policy, including but not limited to the functions assigned to the Title IX Coordinator, investigator, hearing officer, administrative officer, informal resolution officer, and appeals officer, may, in the University’s discretion, be delegated by such University official to any suitably qualified individual and such delegation may be recalled by the University at any time.

C. **Vendors, Contractors and Third Parties**

The University does business with various vendors, contractors, and other third-parties who are not students or employees of the University. Notwithstanding any rights that a given vendor, contractor, or third-party Respondent may have under this policy, the University retains its right to limit any vendor, contractor, or third-party’s access to campus for any reason. And the University retains all rights it enjoys by contract or law to terminate its relationship with any vendor, contractor, or third-party irrespective of any process or outcome under this policy.

D. **Recordings**

Wherever this policy specifies that an audio or video recording will be made, the recording will be made only by the University and is considered property of the University, subject to any right of access that a Party may have under this policy, FERPA, and other applicable federal, state, or local laws. Only the University is permitted to make audio or video recordings under this policy. The surreptitious recording of any meeting, interview, hearing, or other interaction contemplated under this policy is strictly prohibited. Any Party who wishes to transcribe a hearing by use of a transcriptionist must seek pre-approval from the hearing officer.

E. **Relationship With Criminal Process**

This policy sets forth the University’s processes for responding to reports and Formal Complaints of Sexual Harassment. The University’s processes are separate, distinct, and independent of any criminal processes. While the University may temporarily delay its processes under this policy to avoid interfering with law enforcement efforts if requested by law enforcement, the University will otherwise apply this policy and its processes without regard to the status or outcome of any criminal process.

**Cross Reference:** Nondiscrimination (2.11); Academic Freedom and Responsibility (7.3); Faculty Code of Conduct (7.11); Tenure and Continued Employment (7.29); Student Code of Conduct (10.4); Discipline and Discharge (11.4); Title IX of the Education Amendments Act of 1972, 20 U.S.C. §§2.13 Title IX

**Responsible for Implementation:** President

**Contact for Revision:** Title IX Coordinator

**Forms:** Sexual Misconduct Reporting Form, Sexual Misconduct Appeal of Investigation Findings Form, Responsible Employee - Title IX Reporting Form

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

Policy Name: Staff Compensation and Classification

Policy Number: 12.2

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

Date of last revision, if applicable: 1/31/17

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

Purpose of Policy (what does it do): This policy establishes that the Department of Human Resources is responsible for developing and administering the SFA compensation plan and job classification system. This policy does not include faculty or student compensation and classification.

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:

Clarifications, wording and formatting changes.

Reviewers:

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

Original Implementation: February 3, 2005
Last Revision: January 31, 2017 July 21, 2020

Purpose

This policy establishes that the Department of Human Resources is responsible for developing and administering the SFA compensation plan and job classification system. This policy does not include faculty or student compensation and classification.

Definitions

Restructuring occurs when a position changes from one classification to another because of changes to job duties and responsibilities and institutional funds are not available for position changes.

Reclassification occurs when a position changes from one classification to another because of changes to job duties and responsibilities and institutional funds are available for position changes.

A promotion is a voluntary or involuntary move to a position in a higher salary grade or a higher level position in the same salary grade.

A lateral transfer is a transfer from a position within a salary grade to another position within the same salary grade.

An interim assignment occurs when an employee is compensated for assuming duties performed by a former employee in a different position.

A demotion is a voluntary or involuntary move to a position in a lower salary grade.

General

To effectively manage compensation and classification of its employees, Stephen F. Austin State University (SFA) maintains a system of compensation and classification that:

1. considers the external market, while focusing primarily on ensuring internal equity and emphasizing the advantages of a collegial work environment;
2. rewards and retains those individuals who exceed defined performance expectations;
3. provides flexibility in implementation and process to meet the needs of the university;
4. sets a system for progression and mobility through job enrichment, promotions, merits and equity adjustments;
5. identifies the required education, experience, knowledge, skills and abilities required for all SFA positions; excluding casual (short-term or sporadic temporary) positions; and
6. encourages and rewards the acquisition of skills.
Compensation Plan Development

The Human Resources Department is responsible for developing the SFA compensation plan. Development of the plan shall include extensive studies of compensation studies of nationwide competitive comparable universities to ensure that the salary structure is competitive. Comparable universities include those with characteristics similar to SFA. The competitive comparable salary survey data and benchmark jobs are used to determine appropriate salary ranges for SFA positions. Benchmark jobs are those with characteristics similar enough to jobs performed in other organizations.

The SFA compensation plan includes job descriptions, salary grade structures and requirements for distributing compensation to employees.

A. Job Descriptions

Job descriptions will contain the SFA job title, a general job summary, a list of essential (major) job duties and responsibilities, and job requirements (i.e. minimum education, experience, exemption status under the Fair Labor Standards Act (FLSA) and other qualification requirements that an individual should have to fill the position). The Department of Human Resources may develop job descriptions for individual jobs or for entire job families. Job descriptions are used to:

1. evaluate and classify jobs to determine appropriate internal position relationships;
2. communicate to new or existing employees the fundamental duties— and responsibilities/functions of their jobs;
3. provide job information that can be used to determine competitive pay relationships in the labor market;
4. provide job information which can be used in the recruitment and selection process;
5. provide job information which can be used in employee relations matters, such as performance appraisal, employee orientation, grievance resolution, and identification of training and development needs; and
6. ensure compliance with government legislation.

Changes in the duties of a job may require re-analysis and re-evaluation of a job. Where changes are judged significant by the supervisor and/or manager, he/she should complete a Job Analysis Questionnaire (JAQ), located on the Department of Human Resources website. Job description updates occur when job responsibilities have changed. The salary grade will remain the same because the classifications are similar in scope and responsibilities. Minor job description updates can occur anytime an update is appropriate.

Where updates are judged significant by human resources, a Job Analysis Questionnaire (JAQ), located on the human resources website, will be requested form the supervisor and/or manager.

Requests for a JAQ may also be prompted by the creation of a proposed new job title or by a substantial and permanent change in duties or requirements of an individual position or in the majority of individual positions within a job title. For a change in duties or requirements to merit
 qualify for re-evaluation, it should meet one or more of these criteria:

1. It is a permanent change in duties; not a special project or short-term assignment;
2. The addition, deletion, or change affects a duty that constitutes a significant portion of the job (at least 15%);
3. The duty which is added, deleted, or changed is substantially different in level and type from the balance of the job duties so that it seems reasonable that the change in that one duty would affect the evaluation of the job on one or more job evaluation factors; or
4. The levels of education or experience required for the job noticeably change. These requirements should reflect minimum standards for satisfactory job performance, not an incumbent's qualifications.

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

B. Pay Salary Grade Structures

Salary grade structures are used to identify the minimum and maximum salary range of pay for each position. SFA uses one combined grade structure to establish compensation limits for jobs. The structure is based on competitive practices and internal equity considerations, and provides the possibility for progression to more responsible jobs with higher and broader pay salary grades-ranges. As part the budget process each year, the director of human resources or designee will review the competitiveness of its pay-grade structures. The review will include (1) comparisons of the competitive status of SFA's midpoints to the relevant external market; (2) a review of anticipated average movement of pay structures by peer and comparison organizations.

Based on findings of the review, a recommendation will be prepared for consideration by the director of human resources concerning adjustments to the pay structures. The recommendation will include detailed cost analyses and will be provided to senior management for consideration. Hiring employees below the minimum of the salary range-grade is contrary to university policy and is not permitted. Conversely, the maximum of the pay range-salary grade is the upper limit of pay for a job. An employee's rate of pay may not normally exceed the respective maximum for the job. Request for payment-a rate of pay above pay range-the salary grade maximum must be approved by director of human resources or designee.

C. Requirements for distributing—Distributing compensation—Compensation to employees

The Human Resources—Department of Human Resources is responsible for ensuring that compensation is distributed in a fair, equitable manner that supports the needs of the university. Directors are responsible for initiating the following salary actions for review and approval by the Human Resources—Department of Human Resources.
Initial Hire Salary Offer

Employee pay rates must meet or exceed the minimum of the pay range, salary grade, the FLSA salary threshold, and any institutionally established equity threshold. The hiring department has full discretion for placing a new employee's pay up to midpoint of the salary grade. Hiring rates above the midpoint require prior approval by the director of human resources before the verbal offer is extended to the candidate.

Merit Increases

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

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

Restructuring and Reclassification

Restructuring occurs when a position changes from one classification to another because of changes to job duties and responsibilities and institutional funds are not available for position changes. The department or the division will be required to reallocate funds to cover the cost of restructuring. Departments may submit a Request for Position Restructure form to the appropriate vice president or administrator and to the budget office within the annual budget process. Human resources will determine whether the changes being requested qualify for restructuring. Restructuring of filled positions approved within the annual budget process will be effective September 1.

Reclassification occurs when a position changes from one classification to another because of changes to job duties and responsibilities and institutional funds are available for position changes. Departments may submit a JAQ to human resources within the annual budget process to request a reclassification of a filled position within their department. Human resources will determine whether the changes being requested qualify for a reclassification. Reclassification of filled positions approved within the annual budget process will be effective September 1.

Reclassification can also occur when there is a vacancy in a department and the department requests to reclassify the vacant position to one that better suits the needs of the department. Reclassification of a vacant position can occur anytime within the fiscal year.

Lateral reclassifications occur when job responsibilities have changed but the new classification has the same pay salary grade because the classifications are similar in scope and responsibilities. The overall job requirements are comparable in the new job with the same pay salary grade as the old job.
Lateral reclassifications can occur at any time that a reclassification is appropriate, as defined by this policy.

Restructuring or reclassifications that results from a departmental reorganization typically occurs when one or more positions within a department become vacant. The department re-evaluates its organizational structure and redistributes job duties and responsibilities, resulting in classification changes. Restructuring or reclassifications resulting from reorganizations can occur anytime within the fiscal year. All other reclassifications must occur within the annual budget process unless approved by the director of human resources and the budget office.

In isolated situations, the university may restructure or reclassify positions in order to satisfy institutional budgetary considerations or in response to external factors including but not limits to compliance, legislative, or accreditation requirements.

Promotions

Promotion can occur through the posting process (voluntary), through restructuring to the same or a higher salary grade (involuntary), through reclassification to the same or a higher salary grade (involuntary), or through achievement of professional licensure (voluntary). When an individual employee is promoted, his or her pay will normally be adjusted to reflect the new level of responsibility. In isolated situations, when an individual's base pay rate is at a higher level than rates paid to incumbents, an individual may be granted a promotion with no change in pay. An employee may be granted a promotion with no change in pay when their pay rate is at a higher level than rates paid to comparable positions. Human resources will use factors including but not limited to position title, position group, essential functions, and salary grade. Any promotional increase should raise the employee's pay rate to at least the minimum of the pay range salary grade. Conversely, a promotional increase may not increase the employee's pay rate above the maximum of the new pay range salary grade.

If an employee is promoted through the posting process, the hiring department has full discretion for placing the salary base pay rate of an employee up to the midpoint of the salary grade. Recommended promotional increases which fall outside of these parameters are governed by normal university hiring procedures and approval processes. For promotional restructuring or reclassification, human resources will use internal and external salary data in determining recommended promotional increase amounts. In instances where an employee's salary grade does not change, but there are substantial changes in responsibility and duties as a result of the restructure or reclassification, human resources may place an employee's new base pay rate between the minimum and maximum promotional increase range. All promotional actions must be reviewed by the director of human resources.

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

Rates paid to incumbents in the new position, both within hiring college or division and in other colleges and divisions throughout the university;

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

**Lateral Transfer**

Lateral transfer can occur through the posting process, through restructuring, through reclassification, or through an approved reduction-in-force process. The director of human resources, or designee, must approve all lateral transfers that are not associated with the posting process.

Each classification is assigned to a specific position group by human resources. A lateral transfer may or may not result in a change to the employee’s base pay rate. If an employee is laterally transferred through the posting process, the hiring department has full discretion for placing the base pay rate up to the midpoint of the salary grade. Pay rates above the midpoint require approval by human resources before the verbal offer is extended to the employee. For all other lateral transfers, human resources will use the position group in determining recommended increase amounts as appropriate.

**Interim Assignment**

In the event of a vacancy in a key position, a department or division head may designate an employee to serve in an interim assignment. At the department’s discretion, an interim assignment may not remove an employee’s responsibility to fulfill their current job duties.

**Exempt Employees**

Exempt employees serving in an interim assignment remain in their current exempt position number and are paid via a supplemental electronic personnel action form (EPAF) on a monthly basis. In extremely rare situations, human resources may move an exempt employee to another exempt position number which will reflect the title and pay for the period they serve in an interim assignment.

**Non-exempt Employees**

Human resources will perform the FLSA exemption test for non-exempt employees serving in an interim assignment for exempt positions. Non-exempt employees may:

1. Remain in their non-exempt position number if their interim assignment duties do not pass the FLSA exemption test (non-exempt employees paid monthly will be paid via a supplemental EPAF on a monthly basis); or

2. Be moved from their current non-exempt position number to an exempt position number if their interim assignment duties pass the FLSA exemption test; or
3. Be moved from their current non-exempt position number to another non-exempt position number if their interim assignment duties do not pass the FLSA exemption test and they are hourly, semi-monthly paid employees (the new non-exempt position number will reflect the change in title and pay for the period they serve in an interim assignment).

Demotions

New base pay rates of employees who are demoted to jobs assigned to lower pay grades will be determined by considering the rates paid to incumbents in the same job title. Demotions can occur through the posting process (voluntary), through restructuring (involuntary), through reclassification (involuntary), or through the disciplinary process (involuntary). If an employee is demoted through the posting process, the hiring department has full discretion for placing the base pay rate up to the midpoint of the salary grade. Pay rates above the midpoint require approval by human resources before the verbal offer is extended to the employee. Base pay rates of employees who are involuntary demoted will be determined by considering the rates paid to comparable positions. Human resources will use factors including but not limited to position title, position group, essential functions, and salary grade. A demotion may or may not result in a reduction in the employee's base pay rate. The new base pay rate, however, must fall within the pay range of the new job. The employee's pay falls above the maximum of the new pay range, the employee's pay must be reduced to at least the maximum of the pay range. All involuntary demotions require prior approval by the director of human resources or designee.

Reclassifications

A reclassification occurs when a position changes from one classification to another because of changes to job duties and responsibilities. Lateral reclassifications occur when job responsibilities have changed but the new classification has the same pay grade because the classifications are similar in scope and responsibilities. The overall job requirements are comparable in the new job with the same pay grade as the old job. Lateral reclassifications can occur at any time that a reclassification is appropriate.

Reclassifications that result from a departmental reorganization typically occur when one or more positions within a department become vacant, the department re-evaluates its organizational structure and redistributes job duties and responsibilities resulting in classification changes. Reclassifications resulting from reorganizations can occur anytime within the fiscal year. All other reclassifications must occur within the annual budget process unless approved by the director of human resources and the budget office.

Transfers

Normally, there will be no change to the base pay rate of an employee who is laterally transferred. Under extraordinary circumstances and in extremely rare situations, an employee may receive a salary increase on a lateral move. Any increase granted on a lateral move requires the approval of the director of human resources. Transfers can occur through the posting process or through an approved reduction-in-force process. The director of human resources must approve all employee transfers that are not associated with the posting process.
Equity Adjustments

The Department of Human Resources periodically audits pay rates within classifications to identify potential pay problems. It is also the responsibility of the department head to bring to the attention of the director of human resources or designee any significant pay problems that may exist in their department. A department head may initiate a pay equity adjustment when an equity pool is funded as part of the budget process. A request is appropriate if the department head determines the present level of compensation of an employee or group of employees is at a level where:

1. It results in an unusual level of turnover of employees in the group; or,
2. It results in the affected department experiencing significant difficulty in recruiting candidates to fill vacant positions; or,
3. It results in a disparity in current paid rates for similarly classified employees in that unit; or,
4. The level of compensation is substantially below the comparable level of compensation for similar employment outside SFA; and, or
5. The present level of compensation has substantially reduced the university's ability to deliver services.
6. Individual equity increases shall be based on one or more of the following:
   a. Internal equity
   b. External competitiveness
   c. Longevity

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


Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

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

Board Committee Assignment: Finance and Audit
Policy Name: Student Code of Conduct

Policy Number: 10.4

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

Date of last revision, if applicable: 7/1/2019

Unit(s) Responsible for Policy Implementation: Office of Community Standards

Purpose of Policy (what does it do): The Student Code of Conduct details what conduct is prohibited on campus and what procedures will be used for adjudicating alleged violations of the code.

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: This policy has been substantially revised and streamlined.

Specific rationale for each substantive revision: Major revision include eliminating the differentiation between violations with a complainant and those without. A new provision on "Animal Cruelty" has been added to address issues associated with an increase in comfort animals on campus. The process of appealing a determination of responsibility or the severity of the sanctions applied have been streamlined to make them easier for students to navigate.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Student Code of Conduct

Original Implementation: January, 1998
Last Revision: July 23, 2021, 2020

Choosing to join the SFA community obligates one to adhere to a code of civilized behavior that embraces academic and personal integrity; respect for the dignity, rights and property of others; and an intolerance of bigotry. In keeping with this obligation, students and student organizations are expected to conform to the standards outlined in the Student Code of Conduct.

Additionally, at SFA, the community holds itself to a standard called The SFA Way. At its basis, The SFA Way encourages the entire university community to “strive for personal excellence in everything we do.” While the Student Code of Conduct articulates the minimum expectations of those in the community, the university encourages students to “hold themselves and others accountable” to the higher standards of The SFA Way root principles: Respect, Caring, Responsibility, Unity, and Integrity.

This document is organized into the following sections:

Article I: Definitions
Article II: Proscribed Conduct
Article III: Procedures
Article IV: Non-Discrimination, Interpretation and Revision

ARTICLE I: DEFINITIONS

1. The term “university” means Stephen F. Austin State University.
2. The term “student” includes all persons enrolled at the university. Persons who withdraw after allegedly violating the Student Code of Conduct, who are not officially enrolled for a particular term but have a continuing relationship with the university, or participate in university sponsored activities prior to enrollment, are considered “students;” as are persons who are living in university residence halls, although not enrolled.
3. The “vice president for university affairs” is the person designated by the university president to be responsible for the administration of the Student Code of Conduct.
4. The term “student conduct administrator” means a university official authorized by the vice president for university affairs or his/her designee to impose sanctions upon any student(s) found to have violated the Student Code of Conduct.
5. The term “student conduct authority” means any person or persons authorized by the vice president for university affairs or designee to determine whether a student has violated the Student Code of Conduct and to recommend or impose sanctions when a violation has been committed.
6. The term “complainant” means any individual(s) who are alleged to have been impacted by a violation of this policy.
7. The term “respondent” means any student accused of violating this Student Code of Conduct.
8. The term “reporting party” means any individual who submits a report alleging a violation of this Student Code of Conduct. The reporting party and complainant may or may not be the same
person.

8.9. The term “responding party” means a student against whom an allegation of prohibited behavior is directed.

9.10. The term “due process” means a respondent has or will be given notice of the accusation and an opportunity for a hearing. In a case involving a complainant, the complainant will have the same access to due process as the respondent. The term, “university-recognized medium” refers to means of communicating with students. In most cases, this will mean the a student’s official SFA email address.

10.11. The term “student conduct hearing” means a meeting between the student conduct authority and a respondent(s) to determine, through a sharing of information, whether the student(s) has violated the Student Code of Conduct as well as the need for any sanction.

11.12. The term “administrative disposition hearing” means a hearing with a student conduct authority to determine whether a student has violated the Student Code of Conduct and imposing sanctions on students found responsible for violations.

13. The term “advisor” means an individual accompanying a respondent or a complainant in a student conduct hearing. An advisor may not participate in the hearing in any capacity other than providing advice and support to the student they are accompanying. The student may select anyone to serve as their advisor but may only have one advisor present during the course of any meeting a hearing (informal or formal). If the chosen advisor is an attorney, the student must inform the student conduct official administrator in advance to allow for the university's attorney to also be present during any meeting or hearing where the advisor attorney will also be present.

14.14. The term “outcome” means the end result after a hearing (informal or formal).

15.15. The term “appeal” means the review by the designated appellate authority of the full record of a disciplinary hearing and the sanction imposed by a student conduct administrator or student conduct hearing board to determine the adequacy of the procedures used and the fairness of the sanctioning. The appeal may or may not include a meeting with the respondent and/or complainant.

16.16. The term “appellate authority” means any person or persons authorized by the vice president for university affairs or designee to consider an appeal regarding a student conduct authority’s determination outcome as to whether a student has violated the Student Code of Conduct or regarding the sanctions imposed by the student conduct administrator.

17.17. The term “faculty member” means any person hired by the university to conduct classroom or teaching activities or who is otherwise considered by the university to be a member of its faculty.

18.18. The term “university official” includes any person employed by the university while in the act of performing assigned responsibilities.

19.19. The term “member of the university community” includes any person who is a student, faculty member, university official or other person employed by the university. A person’s status in a particular situation shall be determined by the student conduct administrator.

20.20. The term “university premises” includes all land, buildings, facilities, and other property in the possession of or owned, used, or controlled by the university (including adjacent streets and sidewalks).

21.21. The term “organization” means any number of students who have met as a group,
whether as a registered student organization or as an unaffiliated student organization, while on campus or at a recognized university event.

20. The term “policy” means the written regulations of the university as found in, but not limited to, the Student Code of Conduct, the student handbook, residence life handbook and/or community guidelines, the university web page and online policy manual, computer use policies, graduate and undergraduate general bulletins and the schedule of classes.

21. The term “complicity” means being present during the planning or commission of any violation of the Student Code of Conduct in such a way as to condone, support, or encourage that violation. Students who anticipate or observe a violation of the Student Code of Conduct are expected to remove themselves from association or participation and are encouraged to report the violation immediately.

22. The term “interim suspension” refers to the suspension of a student after notice but prior to a student conduct hearing when necessary to ensure the safety and well-being of members of the university community. Examples of when an interim suspension may be appropriate include but are not limited to the following: the preservation of university property or programs; to ensure the student’s own physical or emotional safety and well-being; and/or if the student poses an ongoing threat of disruption of, or interference with, the normal operations of the university.

23. The term “shall” is used in the imperative sense.

24. The term “may” is used in the permissive sense.

**ARTICLE II: PROSCRIBED CONDUCT**

**A. Jurisdiction of the Student Code of Conduct**

This Student Code of Conduct shall apply to conduct that occurs on university premises, at university sponsored activities, in electronic communities/instructional sites that exist because of or are associated with the university and to off-campus conduct that adversely affects the university community and/or the pursuit of its objectives. The Student Code of Conduct shall apply to a student’s conduct even if the student withdraws from school while a disciplinary matter is pending. The vice president for university affairs or designee shall decide whether the Student Code of Conduct shall be applied to conduct occurring off campus, on a case-by-case basis, in his/her sole discretion. Student conduct which may be the result of psychological issues may be reviewed under policy 10.13 (Students Displaying Serious Psychological Problems). Student conduct that may be defined as sex-based misconduct may be reviewed under university policy 2.13 (Sex and Gender-Based Discrimination, Violence, Harassment, and Misconduct).

Student conduct which may defined as sexual misconduct will be reviewed under policy 2.13 (Sexual Misconduct).

**B. Conduct—Rules and Regulations**

Any student found to have committed or to have attempted to commit the following misconduct is subject to disciplinary sanctions:

1. **Dishonesty** - Acts of dishonesty, including but not limited to, the following:
   a. Cheating or plagiarism as defined in university policy 4.1 (Student Academic
Dishonesty), or other forms of academic dishonesty or breach of integrity such as but not limited to the distribution or selling of lecture notes, handouts, readers or other instructor-provided materials without permission.

b. Furnishing false information to any university official, faculty member, or office.

c. Forgery, alteration, or misuse of any university document, record, or instrument of identification.

d. Fraud as defined in university policy 2.7 (Fraud).

2. Alcohol - Alcohol use, possession, manufacturing, or distribution of alcoholic beverages (except as expressly authorized by university policies 13.7, Alcohol Service, and 13.11, Illicit Drugs and Alcohol Abuse), is prohibited on university premises and university-sponsored events. Students are expected to comply with all state and local laws, as well as all Residence Life regulations regarding the presence of alcohol in the residence halls (see also, Residence Life Community Guidelines) including, but not limited to: Disorderly conduct, disruption or obstruction of teaching, research, administration, living environments, disciplinary proceedings, other university activities, including public service functions on or off campus, or of other authorized non-university activities when the conduct occurs on university premises. These acts include, but are not limited to:

a. Possession or consumption of alcohol by anyone under the age of 21 is prohibited. Making or causing any false report, warning, or threat of fire, explosion, or other emergency.

b. Providing alcohol or access to alcohol to anyone under the age of 21 is prohibited. Interfering with police, fire or emergency service.

c. Being found in a state of public intoxication or drunkenness is prohibited. Failure to evacuate a building or area when directed.

d. Possession of common containers (e.g. kegs, trash cans, etc.) on campus is prohibited. Willfully disregarding any emergency or fire alarm signal.

e. Operating a motor vehicle or another form of transportation while intoxicated or while under the influence of alcohol is prohibited. Disorderly conduct or disruptions in classrooms, other instructional areas and university events. This includes unduly interfering with expressive activities or infringing upon the constitutionally protected speech of students, employees, visitors or invited guest.

f. Violating any provision of the Code of Student Conduct while under the influence of alcohol is prohibited. Violation of rules set forth in the Residence Life Community Guidelines.

3. Illegal Drugs - The act of using, possessing, being under the influence of, manufacturing, or distributing illegal drugs or illegally obtained/possessed controlled substances is prohibited. Abusing legally obtained drugs by failing to take the drug as directed. Except as expressly permitted by law, use, possession, manufacturing, or distribution or being a party thereto of marijuana, heroin, narcotics, or other controlled substances, drug paraphernalia or dangerous drug is also prohibited. (See also, policy 13.11, Illicit Drugs and Alcohol Abuse.) Physical abuse, fighting, assault, verbal abuse, threats, intimidation, harassment, bullying, coercion, stalking, or other conduct defined in university policies 13.3 (Annual Disclosure of Crime Statistics) or 2.13 (Sexual Misconduct), which threatens or endangers the health or safety of any person that is not an exercise of constitutional rights.

4—Harassment - Any conduct (physical, verbal, graphic, written, or electronic) that is
sufficiently severe, pervasive, or persistent to create an objectively hostile environment that interferes with or diminishes the ability of an individual to participate in or benefit from the services, activities, or privileges provided by the university. This provision shall not be used to discipline students for speech protected by the First Amendment. Discrimination, as defined in university policy 2.11 (Discrimination Complaints), sexual assault, sexual abuse, and other sexual misconduct defined in university policies.

5.4.13.3 (Annual Disclosure of Crime Statistics) or 2.13 (Sexual Misconduct).

6. **Harm to Person** - Actions which cause or may cause injury, create conditions that cause injury, or which cause a reasonable apprehension of physical injury is prohibited. Attempted or actual theft of and/or damage to property of the university or property of a member of the university community or other personal or public property, on or off campus. This includes possession of stolen property and other related conduct defined in university policy 13.3 (Annual Disclosure of Crime Statistics).

7.5. **Hazing**, as defined in university policy 10.3 (Hazing).

8.6. **Disruptive Behavior** - Interference or disruption of students, faculty, administration, staff, the educational mission, or routine operations of the university is prohibited. Such activity includes, but is not limited to, behavior in a classroom or instructional program that interferes with the instructor or presenter’s ability to conduct the class or program, or the ability of others to profit from the class or program. To remain in the vicinity of activity that is disrupting normal university functions when requested to leave by a university official is prohibited. Bystanders, if their presence incites or adds to the disruption, as well as more active participants in the disruptive activity, may be in violation of this policy as well. Engaging in physical violence of any nature against any person. This includes fighting; assaulting; battering; using a knife, gun, or other weapon; or acting in a manner that threatens or endangers the physical health or safety of any person or causes a reasonable apprehension of such harm. Failure to comply with directions of university officials or law enforcement officers acting in performance of their duties and/or failure to identify oneself to these persons when requested to do so.

9.7. **Animal Cruelty** - Prohibited conduct includes: Wrongful use of university goods, services or information including but not limited to:

   a. Intentionally, knowingly, or recklessly torturing, causing serious bodily injury to an animal, or killing an animal. Unauthorized possession, duplication or use of keys to any university premises or unauthorized entry to or use of university premises.

   b. Failing to provide necessary food, water or care for an animal in the person’s custody. Unauthorized possession or use of security codes, long distance access codes or calling cards, or cable service.

   c. Abandoning an animal in the person’s custody. Sale or use of university property for personal gain.

   d. Transporting or confining an animal in a manner that may cause seriously bodily injury to any animal without the owner’s consent. Misuse of proctoring, tutoring, testing or student accommodation services.

   d-e. Causing one animal to fight with another animal or overworking an animal in a manner that may cause serious bodily injury is prohibited.

10.8. **Damage to Property** - Intentionally, knowingly, or recklessly causing damage to
property or actions that may cause such damage is prohibited. Examples include removal of window restrictors or security screens; dropping, throwing, or causing objects or substances to fall from windows, doors, ledges, balconies, or roofs; and/or unauthorized application of graffiti to property. Violation of any university policy, rule, or regulation published in hard copy or available electronically on the university website.

11.9. **Damage to Fire Safety Equipment** - Any tampering, removal, and/or damage to fire and safety equipment on university property (e.g., residence halls, student center, campus recreation center and all academic buildings, etc.). Tampering includes pulling false fire alarms, discharging fire extinguishers, removing exit signs, and interfering with smoke detectors and sprinklers. (See also, Texas Penal Code Section 42.06) Violation of any federal, state or local law including, but not limited to:

a. Arson,
b. Robbery,
c. Burglary,
d. Forgery,
e. Gambling, and
f. Trespassing.

11.10. **Complicity** – being present during the planning or commission of any violation of the Student Code of Conduct in such a way as to condone, support, or encourage that misconduct is prohibited. Use, possession, manufacturing, or distribution of any illegal substance as delineated in university policy 12.11 (Illicit Drugs and Alcohol Abuse), or a simulated illegal substance, or drug paraphernalia.

12. **Guest Responsibility** - Students are accountable for violations their guests may commit while visiting them or the university community. Use, possession, manufacturing, or distribution of alcoholic beverages or products (except as expressly permitted by university policy 13.11 regarding Illicit Drugs and Alcohol Abuse), or public intoxication or other alcohol related crime. Alcoholic beverages or products may not, in any circumstance, be used by, possessed by or distributed to any person under twenty-one (21) years of age.

14.11. Illegal or unauthorized possession of firearms, ammunition, explosives, fireworks, other weapons, or dangerous chemicals, as outlined in university policy 13.9 (Firearms Explosives and Ammunition) or use of any item, such as a weapon replica, even if legally possessed, in a manner that harms, threatens or causes fear to others. Possession of weapon replicas will be determined on a case-by-case basis.

12. **Abuse of the Student Conduct Process** - Interfering in any manner with the student conduct process is prohibited. Examples of violating this policy include, but are not limited to:

a. Failing to participate in a hearing or investigation.
b. Colluding with or intimidating witnesses.
c. Providing false or incomplete information that may mislead an investigation/hearing or intentionally omitting relevant information from an investigation or hearing.

15.13. **Failure to Comply** - Students and student organizations are expected to comply with reasonable and lawful requests of university officials in the performance of their duties. University officials include, but are not limited to, faculty, staff, and university police.
officers. Students are expected to appear at conduct hearings to respond to allegations or testify as a witness upon reasonable notice. A failure to comply with or complete a sanction or obligation resulting from a conduct hearing or adjudication may constitute failure to comply. Theft, destruction or other abuse of computer facilities and resources, as delineated in university policies including, but not limited to: university policies 14.2 (Acceptable Use of Information Resources), 9.3 (Digital Millennium Copyright), or 9.2 (Reproduction of Copyrighted Works by Educators and Librarians). Examples of prohibited acts in these policies include but not limited to:

- Unauthorized entry into a file or account, to use, read, or change the contents, or for any other purpose.
- Unauthorized transfer, copying or download of a file or software.
- Use of another individual’s identification and/or password.
- Use of computing facilities and resources to interfere with the work of another student, faculty member or university official.
- Use of computing facilities and resources to send obscene or abusive messages.
- Use of computing facilities and resources to interfere with normal operation of the university computing system.
- Use of computing facilities and resources in violation of copyright laws.
- Violation of any departmental or lab policy.
- Use of any device that interferes with the normal operations of the university computing system.

16.14. Misuse of Computing Resources - Failure to comply with university regulations and policies, license agreements, and contracts governing network, software and hardware use; abuse of communal resources; use of computing resources for unauthorized commercial purposes or personal gain; failure to protect your password or use of your account; breach of computer security, harmful access, or invasion of privacy are prohibited. Misuse and/or other abuse of computer facilities and resources are also prohibited (See also, policy 9.3, Digital Millennium Copyright and policy 9.2, Reproduction of Copyrighted Works by Educators and Librarians). Interfering with the freedom of expression of others on university property or at university-sponsored events.

17. Misuse of Keys/Access Cards - No person may use or possess any university key or access card without proper authorization. No student is allowed to have a university key duplicated without prior permission from faculty or staff with authority to provide that permission. Abuse of the student conduct system, including but not limited to:

- Failure to obey the notice from a student conduct administrator or hearing board or university official to appear for a meeting or hearing as part of the student conduct system.
- Falsification, distortion, or misrepresentation of information before a student conduct administrator or hearing board.
- Disruption or interference with the orderly conduct of a student conduct hearing board proceeding.
- Institution of a student conduct code proceeding in bad faith.
- Attempting to discourage an individual’s proper participating in, or use of, the student conduct system.
- Attempting to influence the impartiality of a member of a student conduct hearing board prior to, and/or during the course of, the student conduct hearing board proceeding.
- Harassment (verbal or physical) and/or intimidation of a student conduct administrator or
18.15. Violating any rule, regulation, or law for which the university could be penalized including but not limited to fire, safety or environmental codes.

16. **Retaliation** - Retaliation against any individual for filing a complaint or alleging misconduct. Failure to complete required student trainings/assessments within the timeframe determined by university officials.

17. **Theft** - Theft of any kind, including seizing, receiving, or concealing property with knowledge that it has been stolen, is prohibited. Sale, possession, or misappropriation of any property or services without the owner's permission is also prohibited.

18. **Gambling** - Conducting, organizing, or participating in any activity involving games of chance or gambling except as permitted by law and university policy.

19. **Unauthorized Entry or Use** - Unauthorized entry into, presence in, or use of university facilities equipment or property is prohibited.

20. **Traffic Obstruction** - Obstruction of the free flow of pedestrian or vehicular traffic on university premises or at university-sponsored or supervised activities.

21. **Reckless Operation** - Driving in a manner that recklessly endangers the health and/or safety of oneself or others on campus. Driving includes, but is not limited to, vehicles, bicycles, skateboards, scooters, and other mobile devices.

22. **Weapons** - No illegal weapons are allowed on the premise or at university-sponsored events. (see also, policy 13.9 Firearms, Explosives and Ammunition)

23. **Sex-Based Misconduct** - Due to the intersectionality of misconduct between potential violations of policy 10.4, Student Code of Conduct and the Sex- and Gender-Based Discrimination, Violence, Harassment, and Misconduct policy 2.13, all incidents that allege sex-based discrimination must first undergo assessment, and potential investigation, by the university’s Title IX office. If the potential violation is determined not to rise to the level of a policy 2.13 violation, or when deemed appropriate, information may be sent to investigation or sanctioning under policy 10.4, Student Code of Conduct. Misconduct under policy 2.13 includes, but is not limited to: program inequity, domestic/dating violence, sexual assault, stalking, and sexual harassment.

24. **Violation of University Policies** - Violation of any official university policy, rule, or regulation is prohibited. Such rules include, but are not limited to, Residence Life Community Guidelines, Athletics Student Athlete Handbook, Campus Recreation Center Policies and Procedures, Greek Life policies and procedures, and university Parking Services Regulations.

25. **Off-Campus** - The university reserves the right to investigate and adjudicate violations that may occur off university premises. The university may take action in situations occurring off university premises involving:

   a. Student misconduct demonstrating flagrant disregard for any person or persons.

   b. When a student or student organization behavior is judged to threaten the health, safety, and/or property of any individual or group.

   c. Any other activity which adversely affects the university community and/or the
pursuit of its objectives. This action may be taken for either affiliated or non-affiliated activities.

26. Violation of Law - Violation(s) of any federal, state, or local law including, but not limited to:
   a. Arson
   b. Robbery
   c. Burglary, and
   d. Trespassing

C. Violation of Law and University Discipline

University disciplinary proceedings may be instituted against a student charged with conduct that potentially violates both the criminal law and this Student Code of Conduct (that is, if both possible violations result from the same factual situation) without regard to the pendency of civil or criminal litigation in court or criminal arrest and prosecution. Proceedings under this Student Code of Conduct may be carried out prior to, simultaneously with, or following civil or criminal proceedings off campus at the discretion of the vice president for university affairs or designee.

Determinations made or Findings and sanctions imposed under this Student Code of Conduct shall not be subject to change because criminal charges arising out of the same facts giving rise to violation of university rules were dismissed, reduced, or resolved in favor of or against the criminal law defendant.

When a student is charged by federal, state, or local authorities with a violation of law:
   a. The university will not request or agree to special consideration for that individual because of his or her status as a student.
   b. The university may advise off-campus authorities of the existence of the Student Code of Conduct and of how such matters are typically handled within the university community.
   c. The university will attempt to cooperate with law enforcement and other agencies in the enforcement of criminal law on campus and in the conditions imposed by criminal courts for the rehabilitation of student violators provided that the conditions do not conflict with campus rules or sanctions.

ARTICLE III: PROCEDURES

A. Introduction

The following rules of procedure in student disciplinary matters are adopted to ensure that the university will fulfill the requirements of procedural due process in student disciplinary proceedings, outlined in the Student Code of Conduct (10.4) and Residence Life Community Guidelines, both of which are updated annually. Disciplinary procedures within the university shall be definite and determinable as outlined in the Student Code of Conduct (10.4) and the Residence Life Community Guidelines.

These rules of procedure shall be followed in any disciplinary proceeding, subject to the authority of the Board of Regents and the authority delegated to the president of the university to exercise jurisdiction over disciplinary matters of the university. Cases involving sex-based misconduct,
including, but not limited to, sexual violence, domestic/dating violence, and/or stalking may be investigated according to university policy 2.13 (Sex and Gender-Based Discrimination, Violence, Harassment, and Misconduct). Sexual misconduct will be investigated according to university policy 2.13 (Sexual Misconduct). Sanctioning and appeals of sanctions in cases involving sexual misconduct will be conducted under this policy.

B. Overview of the Process
When a complaint is received in the Office of Student Rights and Responsibilities, the respondent will be contacted through a university-recognized medium or personal delivery. The student will be provided with a notice to appear for an administrative disposition hearing (informal or formal) with the student conduct authority. Details of administrative disposition procedures are provided below. Once a decision has been made/ rendered, either the respondent, complainant or both shall have the right to request a hearing under the hearing procedures after the conclusion of an administrative disposition. Details of hearing procedures are provided below. A student/the student desires, they may appeal the finding of the hearing/decision rendered to the dean of student affairs or his/her designee. If a student desires, they may waive their right to a hearing in favor of a hearing with the dean of student affairs or designee so long as they are appealing the sanction received and not the findings of the student conduct authority. The ruling/decision of the dean of student affairs or designee shall be final. Procedures governing appeals are provided below.

C. Filing the Complaint
Any member of the university community may file a complaint against a student alleging a violation of violations of the Student Code of Conduct. Complaints may be submitted in writing to the Office of Student Rights and Responsibilities. Anonymous complaints may be made; however, electing to remain anonymous may significantly limit the university’s ability to investigate, collect evidence, or take effective action against individuals or organizations accused of violating the policy.

D. Filing a False or Frivolous Complaint
Knowingly filing a false or frivolous complaint or knowingly providing false information to intentionally mislead a university official who are investigating or reviewing a complaint is expressly forbidden. A frivolous complaint is one that is made in retribution for another student filing a complaint and that can be clearly demonstrated as lacking merit. Violators may face charges up to and including suspension or expulsion. The university is the sole party who may file charges of a false or frivolous complaint.

E. Notice of Allegations/Charges
Upon receiving a report of an alleged violation of the Student Code of Conduct, the student conduct administrator will review the report and, if needed, conduct an initial investigation. If there is sufficient evidence to indicate that a violation may have occurred, a notice of allegations/charges will be sent to the respondent, including the alleged incident date and the nature of the charges, with instructions to appear in person at a designated location within five (5) business days to begin the student conduct process. The official means of contacting the student will be through university email or postal mail. If the student does not respond as instructed, another notice will be sent allowing another five (5) business days to respond. Failure to respond to the second notice may lead to the case being heard in absentia (without the student being
present) and holds placed on the student’s account. Holds will remain in place at least until the student contacts the student conduct administrator to receive case resolution information or until any sanction has been completed. Appeals to student conduct findings and/or sanctions heard in absentia must be filed within five (5) business days of the student conduct authority or student conduct hearing board’s decision outcome.

Where an incident has or can be reasonably expected determined to greatly disrupt the university environment, falls within the category of a suspendable offense, or occurs at the beginning or very near the end of a semester, the student may be contacted to come in immediately to begin the process immediately. In addition to notices by email and postal mail, attempts will be made to contact the student by phone or by-in-person contact by a university employee. This expedited contact is intended to preserve the university living/learning environment and can offer a student found responsible of an infraction options that may be time-limited or time-based, such as withdrawing prior to financial penalties or beginning a suspension period in a timely manner.

Failure by a student to have current contact information on file will not invalidate the notices.

F. Immediate Response
The university reserves the right to take any action as may be reasonably appropriate, upon receipt of a complaint, to protect the complainant or university community pending the final outcome of these procedures. These actions may include, but not limited to, housing reassignments, class schedule changes, and/or restrictions from entering certain buildings and/or participation in certain events. These actions will be handled on a case-by-case basis.

G. Investigation
The student conduct administrator, or designee, will begin an investigation of the case as an impartial party, not as a representative of the complainant. The investigator will interview the reporting party, complainant, the respondent, and any other persons who may have pertinent factual information about the case. The process and the potential outcomes will be explained to both the complainant and the accused, especially the use of the investigatory results in the student conduct process. All persons interviewed will be advised that this is a confidential investigation.

The investigator will meet with the respondent and provide the student access to the written complaint. The respondent may choose to respond verbally in the interview or in writing within a specified time. If the respondent accepts responsibility for the complaint allegations, the case shall be resolved at that time through an administrative disposition hearing or other remediation and as deemed appropriate. The complainant will be contacted with the outcome to the extent allowed by law, as well as the Title IX and ADA coordinators as appropriate. Both students have the right to request a hearing under the hearing procedures after the conclusion of an administrative disposition or to appeal the outcome as outlined in the appeals section of this policy.

The investigator may also gather and examine documents and other evidence relevant to the complaint and may consult with appropriate personnel for advice and guidance as applicable. The investigation should be completed within 20 business days. The investigator will document any reasons for an investigation taking longer than 20 business days. The investigation includes the
preparation of the report of findings and recommendations (if appropriate).

H. Burden of Proof
The burden of proof is by a preponderance of the evidence, defined as evidence which leads a reasonable person to conclude something is more probable than not. The rules of evidence do not apply in any hearing nor are the proceedings to be conducted as judicial trials; however, care shall be taken to comply with the intent of the procedural safeguards provided by these guidelines.

I. Administrative Disposition Hearing (Informal)
Administrative dispositions will be hearings are conducted with a single-member student conduct authority who will review the initial report, allow the student to respond or offer additional evidence, meet with the respondent, render a decision, and determine sanctions as deemed appropriate. The ability to present witnesses to the alleged incident may be limited in this format. If the student conduct authority is unable to render a decision, or if the details of the case make a formal hearing more advisable, suitable, the case may be referred to the student conduct hearing board for a hearing. Otherwise, a student must request a hearing under the hearing procedures after the conclusion of an administrative disposition or can appeal the sanction to the dean of student affairs or designee within five (5) business days of the decision or the decision outcome becomes final.

J. Hearing Board (Formal)
A multi-member board composed of at least three individuals university members (typically two faculty/staff and one student) who will conduct hearings serve as the student conduct authority upon request to adjudicate alleged violations. The faculty/staff members will be selected from a pool of appointees from the vice president for university affairs or designee. The students will be selected from and a representative of the general student population with input from the student government association president. The respondent will be advised of the board members in the hearing notification described below and have one business day to challenge a board member’s participation based on known facts that would impact impartiality or conflict of interest. The university may replace the student member of the board for certain cases that require additional training or involve sensitive student information. Any alterations to the typical board composition will follow the same notification procedure.

K. Notice of Hearing
The hearing board chair student conduct administrator will provide notice of the hearing, transmitted either through a university-recognized medium or personal delivery to the respondent. The notice will set forth the date, time and place of the alleged violation, the conduct in question, and the date, time, and place of the hearing before the student conduct hearing board. The respondent will be informed that an advisor may accompany the respondent to be present during the hearing. The student must notify the student conduct hearing board chair administrator if an attorney is chosen will serve as an advisor to allow the university’s attorney to also be present. Failure by the respondent to have a current local address on record with the university or to access notifications transmitted through a university-recognized medium shall not invalidate the notice. The notice shall be given at least five (5) business consecutive calendar days prior to the hearing, unless a shorter or longer time is fixed by the chair granted for good cause. Any request for
continuance shall be made in writing to the chair, student conduct administrator, who has the authority to reschedule the hearing if it is determined the request is timely and for good cause.

If a new hearing must be set for either the failure of the respondent to show or for a continuance, the chair will notify the student conduct administrator and the respondent of the new date for the hearing. Failure to appear for the newly scheduled hearing will lead to the case being heard in absentia (without the student being present) and held on the student’s account. Holds will remain in place at least until the student contacts the student conduct administrator to receive case resolution information or until any sanction has been completed.

Appeals to student conduct findings and/or sanctions must be filed within five (5) business days of the student conduct authority’s decision as outlined in the appeal section of these procedures.

I. Role of the Chair in Hearings During Formal Hearing
The chair manages the hearing according to the procedures outlined in this document, boards and ensures it is conducted in a manner consistent with the ascertainment of the truth and the orderly process of justice. Each person in attendance is expected to exhibit proper dignity, courtesy, and respect. The chair may dismiss any person from the hearing who interferes, with or obstructs, the hearing or fails to abide by the rulings of the chair.

Procedural questions which arise during the hearing not covered by these general rules shall be determined by the chair, whose ruling shall be final unless the chair presents the question to the committee at their request, in which event the ruling of the committee by majority vote shall be final. The chair may also seek guidance from the general counsel prior to or during the hearing on procedural issues.

M. Role of the Student Conduct Administrator During Formal Hearing
In serving both the student conduct hearing board and the respondent, the role of the student conduct administrator is impartial and supportive in nature and there is no involvement in the final determination deliberations of the board. The student conduct administrator shall provide a summary of the case and initial investigations and can may also be called to testify about the outcomes of previous similar cases. and the conduct background of the respondent for consideration by the student conduct hearing board for sanctioning if the student is found responsible for a violation of the student code of conduct.

N. Order of Proceedings During Formal Hearing
The student conduct hearing board chair will preside at the hearing, determine the presence or absence of the respondent, verify the receipt of notices of charges by the respondent the alleged misconduct, call for or report any continuances (rescheduling) requested or granted, determine the presence of any advisor, of the respondent and explain any special or extraordinary additional procedures to be employed during the hearing. The hearing will be recorded in either voice or video format.

The student conduct administrator will begin the process by presenting a general overview of the case to the board outlining the basic nature of the case, the types of evidence to be used, and the findings of any investigation prior to the hearing. However, This information is prepared at the
direction of the student conduct hearing board chair after a review of the initial report of the alleged incident. The student conduct administrator is not a part of the student conduct hearing board and serves to provide the board and the respondent with assistance in obtaining the information necessary for as full a hearing of the facts as possible until the hearing has been concluded.

The respondent can may choose to make opening remarks after the student conduct administrator gives the overview or wait until the any defense witnesses or evidence are conduct in question is presented. The respondent's advisor may advise the respondent, but may not participate in the hearing, for example by questioning witnesses or addressing the board.

The student conduct hearing board and the respondent may call and cross-examine witnesses and present evidence. The respondent may address the board and inspect and copy the board's findings and determinations. The respondent can may, but cannot be is not required to, testify. Any person testifying, including the respondent, shall be subject to cross-examination, subject to other provisions specified in this policy.

The respondent will be afforded an opportunity to obtain necessary witnesses and/or documentary or other provide additional evidence. The student conduct administrator will assist in securing the cooperation of witnesses. The student conduct administrator cannot compel other students to appear at a hearing but can may assist students being called as witnesses with class absence notifications when necessary.

The student conduct administrator will make available any necessary documents and other evidence within the university’s control, to the extent allowed by law. Depending on the nature of the evidence, it may be made available to the respondent during normal university business hours but not released to the respondent and/or in an alternate format such as a photograph or recording.

The hearing is meant to be an exchange of information and a presentation of facts and evidence by witnesses having direct knowledge of the alleged infraction. The student conduct hearing board chair may limit the number of, or disallow completely, character witnesses that have no knowledge of the alleged incident. Witnesses are called beginning with those who the student conduct hearing board requested. The board members and the respondent may both ask questions.

The board chair may direct the respondent to direct questions to the chair to be asked on the respondent’s behalf at the chair’s discretion. When this process is completed Following, the respondent may call any witnesses or present any additional evidence or information relevant to the current complaint conduct in question.

After all witnesses and evidence has been presented, the respondent may make a closing statement, if desired. The chair may then call on the student conduct administrator for a range of sanctions for the alleged infraction. At this time, the student conduct administrator, the respondent, and any advisor are is excused and the recording stopped, and for deliberations. The student conduct hearing board analyzes the all information gathered provided, determines what it believes are the facts of the case, and renders a finding of responsible or not responsible, and an and/or appropriate sanction, if necessary. These findings are to The outcome shall be delivered to the student conduct administrator within 3 business days where an outcome letter will be
prepared for the respondent. The respondent may appeal the decision within five (5) business days of the date of the letter of findings as outlined in the appeal section of these procedures.

Hearings are closed to the public. The general counsel may be consulted in procedural matters of the student conduct hearing board and may be present at hearings. All information presented in the hearing is confidential and restricted to only those who have an absolute need to know.

O. Hearing Procedures with a Complainant

When a hearing is held with a complainant, the process will follow the general pattern of the regular hearing in this manner:

a. Summary of the case and initial investigations by the student conduct administrator
b. Opening statement by the complainant (five minutes)
c. Opening statement by the respondent if the respondent chooses (five minutes)
d. Presentation of witnesses and evidence by complainant
e. Presentation of witnesses and evidence by respondent
f. Closing statement by the complainant (five minutes)
g. Closing statement by the respondent if the respondent chooses (five minutes)

The burden of proof is by a preponderance of the evidence. Cross-examination of the witnesses is allowed by both parties. In cases of alleged victimization, the parties shall not be permitted to directly question each other. The student conduct hearing board is permitted to question the parties and/or witnesses at any time during the proceeding. At the conclusion of the complainant’s closing statement, the student conduct administrator, the complainant, the respondent, and any advisors are excused, the recording stopped, and the student conduct hearing board analyzes the information gathered, determines what it believes are the facts of the case, renders a finding of responsible or not responsible, and an appropriate sanction, if necessary. These findings are to be delivered to the student conduct administrator within three (3) business days where an outcome letter will be prepared and sent to the respondent and the complainant to the extent allowed by law and to the Title IX and/or ADA coordinator as appropriate. Any appeal to the board’s decision must be made within five (5) business days of the date of the letter of findings as outlined in the appeal section of these procedures.

Hearings are closed to the public. The general counsel may be consulted in procedural matters of the student conduct hearing board and may be present at meetings. All information presented in the hearing is confidential and restricted to only those who have an absolute need to know.

In addition to the procedures outlined elsewhere, the following will also apply:

a. Both the respondent and the complainant will receive the notice of the hearing.
b. Both the respondent and the complainant will have the right to challenge a board member’s participation based on known facts that would impact impartiality or conflict of interest. This selection must be made prior to the hearing, within one day of receiving the notice.
c. Both the respondent and the complainant have the right to have an advisor present.
d. Both the respondent and the complainant may ask for a continuance.
e. Both the respondent and the complainant will have the same opportunity to obtain witnesses and evidence and have the assistance of the university as described.
f. Both the respondent and the complainant will have the right to testify or refuse to testify.
g. Both the respondent and the complainant will have opportunity to cross-examine all witnesses and are subject to cross-examination if choosing to give testimony. An intercom or other remote audio or video device may be used in hearings to allow a complainant to testify and respond to questions and cross examinations without face-to-face contact with the respondent.
h. Both the respondent and the complainant will have the ability to submit a written response to the charges.

P.O. Appeal Procedures
Students have one level of appeal for every student conduct case. The final appellate authority shall be the vice president for university affairs or his/her designee. There shall be two grounds for appeal. The first is appealing the findings of responsibility and the second is an appeal of the sanction received. Respondents sanctioned under this policy for violation of the Sexual Misconduct policy (2.13) may only appeal the sanction(s) administered under this policy.

Appeal of the Findings of Responsibility
The respondent may appeal the finding of responsibility to the dean of student affairs or designee. The student must file a signed and dated written appeal into the Office of the Dean of Student Affairs no later than 5 p.m. the day of the deadline. The written appeal must contain: the respondent's university identification number, date of the disciplinary action being appealed, the nature of the charges, the grounds which merit an appeal, and any extenuating circumstances the respondent wishes to have considered. The appeal(s) to continue to reside on campus and/or attend classes during the appeal process.

Appeal of the Sanction
The respondent may accept the finding of responsibility and appeal the sanction to the vice president for university affairs or his/her designee. The signed and dated written appeal must be filed into the Office of the Dean of Student Affairs no later than 5 p.m. the day of the deadline. The written appeal must contain: the respondent’s university identification number, date of the disciplinary action being appealed, the nature of the charges, the grounds which merit an appeal, and any extenuating circumstances the respondent wishes to have considered. The appeal(s) to continue to reside on campus and/or attend classes during the appeal process.

Q.P. Confidentiality and Records
All hearings and records (written, electronic, audio or video recording, etc.) pertaining to hearings will be considered education records and will be treated as designated by current law. Student conduct records are kept for two years beyond a student’s final enrollment at the university. Records for cases where a student has been suspended or expelled are held permanently.

Disciplinary actions which result in extended separation from the university and prevent enrollment will be noted on the academic transcript. Information will include the specific sanction (suspension, expulsion, or debarment) along with the effective dates of the sanction. Students may request in writing that the notation be removed upon completion of the
sanction. Written requests must include the student’s name and student identification number, and may be submitted to the Office of Student Rights and Responsibilities. The Office of Student Rights and Responsibilities will verify a student’s eligibility for the transcript notation to be removed and will notify the Registrar’s Office for removal of the transcript notation.

There will be no disclosure of file contents outside of the university without the written permission of the student, unless required or allowed by law. Disclosure within the university is limited to those employees having legitimate need of the information to conduct university business. Incident reports are generally not released to students to protect the privacy rights of other students involved in the incident and all involved parties. A student may make a written request for a personal copy of their incident report and receive a redacted copy. Disclosure to victims of violent crimes, nonforcible sex offenses or other offenses with reporting requirements will be handled according to current law.

Hearings are audio and/or video recorded. All hearings are closed to the public.

R.O. Rights of Students in Disciplinary Proceedings
The rights outlined below will be accorded to any student in an administrative disposition or hearing for an alleged violation of the student code of conduct. Both the respondent and complainant shall have the same rights under this Student Code of Conduct unless additional rights are provided to either party under the law.

a. to be present at the hearing;
b. to meet with the student conduct administrator to discuss the disciplinary process;
c. to submit a written account of the alleged incident;
d. to be advised of the date, time and location of the disciplinary hearing, and to request rescheduling (a continuance) for good cause;
e. to be present at the hearing and to be accompanied by an advisor of the student’s choosing during the hearing process, although the advisor will not be permitted to speak for the student during the hearing;
f. to testify at the hearing;
g. to decline to testify, with knowledge that all relevant evidence will be considered and the alleged violation adjudicated;
h. to hear or examine evidence presented against the respondent;
i. to have and cross-examine witnesses, as specified in this policy;
j. to make any statement in mitigation or explanation of the conduct in question;
k. to be informed in writing of the finding and any sanction imposed to the extent allowed by law;
l. to appeal the finding and/or sanction to the proper authority;
m. to waive hearing deadlines rights to a hearing as outlined in these procedures.

Additional Rights of Complainant in Disciplinary Proceedings Involving Victimization
Some actions that violate university policy involve victimization of one or more students by another student(s). This behavior may include physical violence and other acts that endanger the safety of others in the university community. Individuals initiating a complaint involving victimization or respondents in these cases are entitled to certain rights during the disciplinary process. Cases involving victimization defined as: 
sexual misconduct will be investigated according to university policy 2.13 (Sexual Misconduct).

If a complaint is filed with the student conduct administrator, it is important to remember that the respondent is being charged with violating a university rule or regulation; therefore, the university is ultimately responsible for investigating, initiating charges, imposing sanctions if the respondent chooses to admit the violation, implementing the hearing process, and determining sanctions following a finding of responsibility. Although a complainant’s input may be sought during the disciplinary process, the ultimate disposition of the case rests with the university. If a complainant withdraws a complaint during the course of the disciplinary proceeding, the university reserves the right to proceed with the case on the basis of evidence other than the testimony of the complainant.

During the course of a disciplinary proceeding, a complainant in cases involving victimization has the following rights:

- to meet with the student conduct administrator to discuss the disciplinary process;
- to have reasonable assistance from the university in remediating any situation where the victim must be in contact with the respondent, such as a change in residence hall or course section assignment or restrictions on entering specific buildings or attending certain events;
- to make an impact statement, either in person or in writing, to the student conduct hearing board for consideration during the sanctioning phase;
- to know the outcome of the process as allowed by laws related to the particular incident.

S.R. Sanctions

Penalties—Admonition: is a written warning.

Conduct Probation: is for a specified period of time and requires that a second offense will may result in disciplinary probation or suspension.

Disciplinary Probation: is for a specified period of time and may carry with it other conditions to be met (e.g., restriction of participation in extracurricular activities, holding student office, pledging or joining campus organizations).

Special Action: is a sanction designed to enhance the educational intent of the disciplinary process. Examples of sanctions include, but are not limited to, the requirement of a special program or class (the cost of this program will be paid by the student), removal from university housing, payment of damages, extracurricular activity restrictions, restitution, community service, educational sanctions, counseling referrals, removal from any class or program, or restrictions on enrollment in any class or program and restrictions or removal from academic courses, university housing, or extracurricular activities.

Suspension of an Individual: is a bar from attending the university for a specific period of time and begins at the date and time specified by the student conduct authority considering the case. A suspension also carries with it the following conditions:

- The respondent student must remain off the campus during the period of suspension, except when summoned by a university official or when an appointment with an
official has been arranged in advance.

b. A student under suspension. Student may not live or board in university facilities.

**Suspension of a Student Organization:** is loss of a bar from university recognition for a specified period of time as outlined in university policy 10.9 (Student Organization Formation and Recognition).

Student organizations are required to cease all activities during the specified period. Student organizations that continue to function during the suspension will be considered in violation of their suspension. Special Actions may also be attached to the suspension to enhance the educational intent of the disciplinary process. Suspended student organizations must submit a new application as an organization at the end of the suspension period.

**Expulsion:** is a permanent bar from attending the university whereby the student is not eligible for readmission to the university and begins at the date and time specified by the student conduct authority considering the case. An expelled student's status will also carry the following conditions:

a. The expelled student must remain off the campus, except when summoned by a university official or when an appointment with an official has been arranged in advance.

b. A student under expulsion. Student may not live or board in university facilities.

**Debarment:** is equivalent to suspension from the university applied to persons not currently registered at the time the penalty-sanction is imposed.

**Interim Suspension:** The student conduct authority may, with the approval of the vice president for university affairs or designee, suspend a student for an interim period pending disciplinary proceedings when there is evidence that the continued presence of the student on the university campus poses a substantial threat of harm or bodily injury, damage to property, or threat to the stability and continuance of normal university functions. The student conduct authority may provide for the interim suspension to become immediately effective, may take effect immediately without prior notice to the student. However, the student conduct authority shall provide notice to the student at the first reasonable opportunity.

The student conduct authority shall inform the student that he/she is entitled of their right to a hearing to be held within five (5) university business days from the effective date of the interim suspension. If the student desires, a preliminary hearing shall then be held on the following issues only:

A. the reliability of the information concerning the student's conduct, including the matter of his/her identity;

B. whether the conduct and surrounding circumstances reasonably indicate that the continued presence of the student on the university campus poses a substantial threat of harm or bodily injury, damage to property, or threat to the stability and continuance of normal university functions.

If the student conduct authority finds the information concerning the respondent's conduct that the
alleged violation is unreliable or that the respondent has been misidentified, charges the case may be dismissed. If the student conduct authority finds that allowing the respondent to remain on campus poses no threat or disruption, the student may be allowed to remain on campus pending the completion of the hearing process.

3.5 Status during Appeal
In cases of suspension or expulsion when an appeal is filed within the required time, a respondent may petition the Office of the Dean of Student Affairs in writing for permission to continue to reside on campus and/or attend classes pending the final determination of the appeal. The student conduct authority may permit either of these requests, provided such continuance will not seriously disrupt the university or constitute a danger to the health, safety or welfare of the university community.

ARTICLE IV: NON-DISCRIMINATION, INTERPRETATION AND REVISION

Decisions rendered according to this policy will be made based on observations of a student’s conduct, actions and statements and not on the basis of a student’s race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, or gender expression.

Any question of interpretation or application of the Student Code of Conduct shall be referred to the vice president for university affairs or designee for final determination.

The Student Code of Conduct shall be reviewed annually under the direction of the vice president for university affairs or designee.

Cross Reference: Tex. Educ. Code §§ 51.9315, .9364; Fraud (2.7); Discrimination Complaints (2.11); Sex and Gender-Based Discrimination, Violence, Harassment, and Misconduct (2.13); Student Academic Dishonesty (4.1); Reproduction of Copyrighted Works by Educators and Librarians (9.2); Digital Millennium Copyright (9.3); Hazing (10.3); Student Organization Formation and Recognition (10.9); Students Displaying Serious Psychological Problems (10.13); Annual Disclosure of Crime Statistics (13.3); Illicit Drugs and Alcohol Abuse (13.11); Firearms Explosives and Ammunition (13.9); Acceptable Use of Information Resources (14.2); Residence Life Community Guidelines

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 Internships

Policy Number: 11.29

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 describes the process to place or employ a student intern at SFA and to determine whether the internship must be paid or unpaid.

Reason for the addition, revision, or deletion (check all that apply):
miş Scheduled Review
miş 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
Student Internships

Original Implementation: July 29, 2014
Last Revision: July 21, 25, 20172020

Purpose

This policy describes the process to place or employ a student intern at SFA and to determine whether the internship must be paid or unpaid.

General

The Fair Labor Standards Act (FLSA) defines the term “employ” very broadly as “to suffer or permit to work.” When it is determined that SFA employees meet that broad FLSA definition, those employees must be compensated for the services they perform.

Volunteer (Unpaid) Internships

There are some circumstances whereby a student who participates in an internship or training program may do so without compensation. The determination of whether an internship or training program meets this exemption from pay depends upon all the facts and circumstances of each such program. The following six criteria seven factors must be applied when making this determination:

The student internship, even though it includes actual operation of the facilities, is similar to training which would be given in an educational environment (This often occurs where a college or university exercises oversight over the internship program and provides educational credit); The internship experience is for the benefit of the intern; The intern does not displace regular employees, but works under close supervision of existing staff; The employer that provides the training derives no immediate advantage from the activities of the intern and on occasion its operations may actually be impeded; The intern is not necessarily entitled to a job at the conclusion of the internship; and The employer and the intern understand that the intern is not entitled to wages for the time spent in the internship.

- The extent to which the intern and the employer clearly understand that there is no expectation of compensation; any promise of compensation, express or implied, suggests that the internship is an employee—and vice versa;
- The extent to which the internship provides training that would be similar to that which would be given in an educational environment, including the clinical and other hands-on training provided by educational institutions;
- The extent to which the internship is tied to the intern’s formal education program by integrated coursework or the receipt of academic credit;
- The extent to which the internship accommodates the intern’s academic commitments by corresponding to the academic calendar;
- The extent to which the intern’s duration is limited to the period in which the internship provides the intern with beneficial learning.
• The extent to which the intern’s work complements, rather than displaces, the work of
paid employees while providing significant educational benefits to the intern;
• The extent to which the intern and the employer understand that the internship is
conducted without entitlement to a paid job at the conclusion of the internship.

If all the factors listed above are met, an employment relationship does not exist under the FLSA,
and the minimum wage and overtime rules do not apply to the intern. The intern may be unpaid.

Liability and Indemnification

Volunteer interns are required to execute the intern release form or other form approved by the
general counsel prior to the start of their internship. If the university intern is a minor, the form must
be signed by a parent or legal guardian.

Volunteer interns at SFA are not covered under the university’s workers’ compensation insurance
program and are encouraged to secure a personal health insurance policy.

Volunteer interns are prohibited from performing any of the following activities in the course and
scope of their authorized activities:

• Operating heavy equipment;
• Operating university or state-owned vehicles (including golf carts) except with the express
written permission of a university official;
• Working with hazardous materials, including stored energy (e.g. steam, electricity, hydraulics) prior to completing appropriate training from the Department of Environmental
Health, Safety, and Risk Management; and
• Acting as a representative of the university, including but not limited to entering into any
contract on behalf of the university, making public statements on behalf of the university, or
incurring financial obligations.

Safety Evaluations

Any volunteer intern placement at SFA that requires services to be performed in a lab, health care
facility, or any other setting where the intern may be exposed to hazardous materials, machinery, or
health-related situations must be evaluated and approved by the director of environmental health,
safety, and risk management, or their designee, prior to the commencement of the intern services.
In such cases, safety training must be completed prior to the initiation of any activities with potential
for hazardous materials exposure. Any plan or guidelines developed by the Department of
Environmental Health, Safety, and Risk Management must be implemented and followed or the
intern situation must terminate.

Paid Internships

There are advantages for providing compensation to the interns, such as:

• Being able to attract skilled interns;
• Increasing intern commitment and reward for contribution;
• Reducing financial burdens that may require a student to work a second job during their internship;
• Providing flexibility for departments to allow intern to support duties and responsibilities of regular workers during peak periods.

A department that offers paid internships must fund or secure funding for those paid student internships. The hiring process must follow the same procedural and approval process used for other student assistant positions.

**Placements**

Departments wishing to place a student intern whether paid or unpaid must follow the procedures provided by the Department of Human Resources. Departments are allowed to partner with university schools and colleges to provide internships in fields of study applicable to the department.

**Policy Compliance**

Consistent with SFA’s policy on non-discrimination, university employees shall not illegally unlawfully discriminate against interns on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, or gender expression.

Those who are selected for a student internship are required to submit to a criminal history check and complete any position specific training. All paid interns will complete appropriate new employee paperwork, and comply with appropriate procedures required by the Department of Human Resources.

**Placement of Relatives**

Neither a paid or unpaid intern can be supervised by a relative, nor can a family member make decisions about an internship placement or the terms and conditions of the placement (See policy 11.16, Nepotism).

**Issues for International Students**

International students seeking an internship need to obtain work authorization for paid internships, as well as any unpaid internships that do not qualify under the U.S. Department of Labor guidelines. Failure to do so could jeopardize a student’s visa status. Departments selecting an international student should check with the Department Office of International Programs before pursuing any internship for an international student to be sure of what authorization will be required.

**Responsibilities and Rights**

Interns shall abide by all university policies and external laws and regulations that govern their actions including, but not limited to, those relating to ethical behavior, safety, confidentiality,
protected health and student information, computer use, financial responsibility, and drug use.

**Termination**

An intern’s service may be terminated at any time and without prior notice whether the service is as a volunteer or paid.

**Cross Reference:** Discrimination Complaints (2.11); Nepotism (11.16); U.S. Department of Labor Wage and Hour Division Fact Sheet #71: Internship programs Under the Fair Labor Standards Act; Fair Labor Standards Act, 29 U.S.C. § 203(g)

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

**Contact for Revision:** Human Resources

**Forms:** Student Internship Release Form

**Board Committee Assignment:** Academic and Student Affairs
Policy Name: Telecommuting - Renamed Telecommuting Arrangements for Staff Employees

Policy Number: 11.27

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: Human Resources

Purpose of Policy (what does it do): Establish guidelines and expectation for utilizing remote working arrangements.

Reason for the addition, revision, or deletion (check all that apply):
☑ Scheduled Review ☑ Change in law ☑ Response to audit finding
☑ Internal Review ☒ Other, please explain: As a result of the COVID-19 pandemic, remote working arrangements have become more commonplace.

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The substantive revisions: Acknowledge the difference between occasional, non-routine remote work instances vs. routine teleworking arrangements. Reassign approval for teleworking agreements from the president to divisional vice presidents. Defines steps for termination of telecommuting agreement.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Telecommuting *Arrangements for Staff Employees*

**Original Implementation**: January 29, 2019  
**Last Revision**: July 21, 2020

**Purpose**

The purpose of this policy is to establish guidelines and expectations for utilizing short-term and long-term remote working and telecommuting options for staff employees at Stephen F. Austin State University (SFA) that optimizes costs, increases effectiveness and allows for efficient use of SFA resources and time.

**Definitions**

Telecommuting is an authorized work arrangement that involves an employee routinely working one or more days per week at a location that is not the regularly assigned work location. Telecommuting requires a formal agreement approved by the department head and division president or designee. It is an option for performing the employee’s job duties and tasks at a remote work location rather than traveling to SFA facilities. The employee performs their job duties and interacts with other SFA employees using advanced technology.

Remote Working is the occasional, non-routine, short-term (up to five consecutive business days) performance of an employee’s job duties at a location away from the employee’s regular work location, most often the employee’s home. Verbal or written approval by department head is required. Remote workplace is a location other than SFA premises, where telecommuting employees utilize technology to perform their job duties and communicate with other employees.

Regularly Assigned Work Location is a worksite on the university campus or on property under control of the university where an employee usually and customarily reports to work.

**General**

The university normally requires that work be performed on university property or property controlled by the university. In order to promote general work efficiencies, the university may permit or direct employees to work at alternate work locations when doing so serves the best interest of the university and is approved in advance as outlined in this policy. Remote working or telecommuting arrangements may be implemented as a means of supporting business continuity plans and supporting the hiring and retention of a highly competent workforce.

A remote working or telecommuting arrangement is considered a privilege and not an entitlement. All remote working arrangements must be approved by the department head, and telecommuting arrangements require a formal agreement approved by the department head and president or designee/division. Telecommuting is not an SFA job entitlement. It is an option that must be requested by an employee, reviewed and approved by the department head, human resources, vice president and
Telecommuting agreements are subject to termination at any time due to performance concerns, employee discipline, a change in policy, law, or the needs of the university as interpreted by the department head, division head, or president. Telecommuting agreements do not constitute an employment contract and end upon the employee’s separation of employment.

Telecommuting does not alter a staff employee’s relationship with the university, including responsibilities, salary, benefits, leave, nor expected hours of work.

Employees must complete and submit a Telecommuting Request form and, if approved, a Telecommuting Agreement. The criteria used by the approvers to determine if the position is appropriate for telecommuting includes but is not limited to the following considerations: Eligibility

To be eligible for remote working or telecommuting, an employee must:

a. Hold a position that, in the judgement of the department head and the division head, may be performed effectively from a remote location.
b. Be able to maintain confidentiality of information at a remote location.
c. Provide a remote workplace at which SFA equipment and work related materials will be safe and where required job duties can be performed.
d. Utilize appropriate secure equipment and software as prescribed by university information technology services, utilizing VPN to access category 2 or higher data.
e. Have the ability to perform job responsibilities with minimal supervision.
f. Have and maintain satisfactory performance in the judgement of the department head, as reflected in performance reviews or evaluations.

Positions ineligible for telecommuting are those that:

a. Require regular face-to-face contact with members of the SFA community or the public; or
b. Require routine access to information or materials only available at the regular work location.

1. The job duties of the position can be performed at a remote site without diminishing the quality of the work or disrupting the productivity of the department.
2. The confidentiality of information connected to the position and the ability to maintain confidentiality at a remote location will not be compromised.
3. A supervisor must have the ability to establish work expectations and a method to measure employee productivity.
4. A supervisor must establish the amount of time the employee is required to physically interact with other SFA staff.
5. A justification that provides a benefit to SFA, its customers, and other department employees.

The criteria used by approvers to evaluate an employee requesting consideration for a telecommuting
option include but is not limited to whether the employee:

1. Consistently demonstrates satisfactory performance as noted on their last performance evaluation.
2. Demonstrates the ability to work with minimal supervision, ability to establish priorities and manage time effectively, and thorough knowledge of telecommuting work tasks.

Work Schedule and Hours

Telecommuting employees will work hours that comply with SFA policy 4224 Working Hours and Holidays. Nonexempt telecommuting employees must maintain a 40-hour work week and will not be allowed to work in excess of 40 hours without prior approval from the department head. Exempt telecommuting employees must work the number of hours necessary to complete the requirements of the job, but no less than 40 hours per week. Telecommuting employees are not eligible to claim or earn state compensatory time unless it is approved in compliance with Texas Government Code, 659.018(b). Telecommuting employees must comply with all SFA policies and procedures.

Telecommuting employees must travel to campus to attend meetings and events as assigned by the department head.

Agreement and Approvals Required

A Staff Telecommuting Request and Agreement must be completed and signed by the employee, the department head, human resources, and the president or designee.division.

Termination of Agreement

The university reserves the right to terminate the agreement with ten (10) business days’ notice if the university determines that the telecommuting arrangement no longer is in the best interest of the university. The university also reserves the right to terminate without a notice period for any violations of university policy, a violation of the conditions of the agreement, or when there is a relevant change in university policy or law.

When the agreement is terminated, the employee must promptly return all notes, data, reference materials, sketches, drawings, memoranda, reports, records, equipment, software, supplies, and any other university property in the employee’s possession or control.

The university shall not be held responsible for costs, damages, or losses associated with this agreement.

Provides a remote workplace at which SFA equipment and work-related materials will be safe and where required job duties can be performed.
3. Complies with the university’s policy on Ethics (2.6).
4. The employee’s supervisor must ensure that the appropriate type of secure equipment and software necessary to perform the job is used. When SFA equipment, software, and supplies are used, personal use is restricted. If the telecommuting employee will be working with or dealing with category 2 or higher data, the employee must utilize the SFA VPN to work with the data.

The following constraints apply to the employee’s telecommuting work hours:

1. Telecommuting employees will work hours that comply with the work hours established by policy for all SFA employees as stated in Working Hours and Holidays policy (12.24). The employee’s schedule must be approved by his or her supervisor and must meet the operational needs of SFA.
2. Telecommuting employees are not eligible to claim or earn state compensatory time unless it is approved by the president in compliance with Texas Government Code, 659.018b.

A telecommuting agreement can be terminated at any time at the discretion of the supervisor for unsatisfactory performance, failure to adhere to SFA policies and procedures, disciplinary action, when no longer beneficial to SFA, and any other relevant reason.

**Cross Reference:** Tex. Gov’t Code §§ 658.010, 659.018(b); Ethics (2.6); Overtime and Compensatory Time (12.14); Working Hours and Holidays (12.24); Acceptable Use of Information Resources (14.2).

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

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

**Forms:** The Request for Approval of Telecommuting form and Telecommuting Agreement form, Staff Telecommuting Request and Agreement form are available on the human resources website-Employee tab of mySFA.

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

Policy Name: undergraduate admissions and credits

Policy Number: 6.20

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

Date of last revision, if applicable: 7/26/2016

Unit(s) Responsible for Policy Implementation: Enrollment Management

Purpose of Policy (what does it do): Defines undergraduate admission requirements and process.

Reason 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: 1) Update ApplyTexas language 2) Update language about student in top 10% admission 3) Added language about freshman applicants ranked in the top 25% of their class without a test score 4) adjusted language for TSI requirement for transient students 5) removed language about summer provisional transfer students eligibilty eligible for financial aid 6) provided overall language and organizational updates.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Erma Brecht, Executive Director of Enrollment Management
Scott Gordon, President
Damin Derrick, General Counsel
**Undergraduate Admission and Credits**

**Original Implementation:** September 8, 1978  
**Last Revision:** July 26, 2016/21, 2020

Stephen F. Austin State University (SFA) encourages qualified students to apply for admission. Students seeking admission should make every effort to complete the appropriate procedures as soon as possible. Undergraduate application for admission, preliminary academic counseling and evaluation of previous college course work are available on campus in the Office of Admissions.

**Application**

Applicants wishing to apply for admission to the university must complete the Texas Common Application. It is strongly recommended that applicants apply by completing the electronic version of the Texas Common Application, which is available at www.applytexas.org.

All new and returning undergraduate applicants for admission are required to submit a non-refundable application fee of $45. The application fee for international students is $50.

**FIRST-SEMESTER FRESHMEN**

First-semester freshmen applicants are those who have graduated from high school and have not attended a college or university since high school graduation. Students who have earned college credits by way of Advanced Placement, International Baccalaureate, College Level Examination Program, dual credit or early college high school program while in high school are considered first semester freshmen. Freshmen applicants must submit Depending upon a freshman applicant’s high school rank, official test results from the ACT or SAT exam may be required for admission review. Freshman applicants are required to submit ACT or SAT test results from either the ACT or the SAT results for scholarship review.

**High School Preparation**

SFA requires first time freshman applicants to have completed the Recommended High School Program, the Distinguished Achievement Program, and Endorsement Program with Algebra II or Distinguished with Endorsement Program to ensure they have received adequate preparation for college-level work. Applicants who have not completed one of these programs will need to demonstrate that they have completed a high school curriculum more rigorous than what is required of the Minimum Graduation Plan, Basic Plan or Foundation Plan. Applicants from accredited private high schools and out-of-state high schools will be required to complete a curriculum similar to the Recommended High School Program, Distinguished Achievement Program, Endorsement Program with Algebra II or Distinguished with Endorsement Program.
Admission Requirements

Applicants for admission to SFA will be required to meet the following class rank and minimum test scores:

<table>
<thead>
<tr>
<th>High School Rank</th>
<th>SAT Reasoning Score</th>
<th>ACT Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st quarter</td>
<td>(Not including writing)</td>
<td>(Not including writing)</td>
</tr>
<tr>
<td>Top 10%</td>
<td>No minimum score</td>
<td>No minimum score</td>
</tr>
<tr>
<td>11th-25th Top 25%</td>
<td>850 No minimum score</td>
<td>17 No minimum score</td>
</tr>
<tr>
<td>2nd quarter</td>
<td>950 1030</td>
<td>20</td>
</tr>
<tr>
<td>3rd quarter</td>
<td>1100 1170</td>
<td>24</td>
</tr>
<tr>
<td>4th quarter</td>
<td>File review</td>
<td>File review</td>
</tr>
</tbody>
</table>

Students are required to submit the SAT Reasoning Test with writing scores or the ACT with writing scores. At this time, admission requirements do not include writing scores.

Review Process

The admission files of applicants who do not have a minimum of the Recommended High School Program, Distinguished Achievement Program, Endorsement Program with Algebra II, or distinguished with Endorsement Program and those who do not meet the rank-in-class and test score requirements will be individually reviewed. Admission will be offered to those applicants who demonstrate potential for academic success. It is recommended that applicants complete Part II of the Texas Common Apply Texas Application, as this information will assist with the review process. Factors used in the review process include an applicant’s high school record, high school preparation, class rank, curriculum rigor, and standardized test score on the SAT or ACT. Additional factors such as high school activities, responsibilities while attending high school, bilingual proficiency and region of residence will also be taken into consideration. Admission will be granted to students who have been awarded a competitive scholarship of $500 or more by an official SFA scholarship committee or a designated representative charged with identifying the eligible student(s) that best fit the criteria for a particular competitive scholarship.

Graduates of Home School and GED Recipients

In compliance with Texas Senate Bill 1543, those applicants who graduate from home school or receive a General Education Development certificate will be assigned a class rank comparable to the average class rank of other applicants who have equivalent ACT or SAT scores. Home-schooled applicants must submit official SAT or ACT scores and an official notarized academic transcript. The Office of Admissions has a notary on staff who can notarize transcripts free of charge. GED applicants must submit official GED scores and SAT or ACT scores. Applicants who meet rank and score requirements will be admitted. Like all other applicants, if rank and score requirements are
not met, a holistic review will be performed. Those applicants who exhibit probability of success may be admitted based on the review.

**Graduates of Non-Ranking and Non-Accredited High Schools**

Those applicants who graduate from non-ranking high schools and non-accredited high schools will be assessed on an individual basis. Any student attending a non-accredited high school must submit an official high school transcript and official SAT or ACT scores. Applicants whose academic background indicates probability of success may be admitted.

Freshman applicants who have attempted college-level courses while in high school must earn a 2.0 minimum GPA on all attempted transferable college course work. Failure to do so may result in the imposition of academic probation during the first semester of enrollment or the withdrawal of the SFA admission offer.

Other than the Dual Credit Program, SFA does not admit any applicant for any semester that begins prior to the graduation of her/his high school class.

**GRADUATES OF NON-RANKING AND NON-ACCREDITED HIGH SCHOOLS, HOMESCHOoled STUDENTS AND GED RECIPIENTS**

Those applicants who graduate from non-ranking high schools, non-accredited high schools, or who are home schooled or received a General Education Development (GED) certificate, will be assessed on an individual basis. Any student attending a non-accredited high school must submit an official high school transcript and official SAT or ACT scores. Home-schooled applicants must submit official SAT or ACT scores and academic records of their high school curriculum. GED applicants must submit official GED scores and SAT or ACT scores. Applicants whose academic background indicates probability of success may be admitted.

Freshman applicants who have attempted college-level courses while in high school must earn a 2.0 minimum GPA on all attempted transferable college course work. Failure to do so may result in the imposition of academic probation during the first semester of enrollment or the withdrawal of the SFA admission offer.

Other than the Concurrent Enrollment Program, SFA does not admit any applicant for any semester that begins prior to the graduation of his/her high school class.

**NON-TRADITIONAL/MATURE STUDENTS**

Applicants who have not attended high school in the previous five years or who have not attended college for an extended period of time may apply for mature student admission. Eligibility for admission will be based on the ability to succeed at SFA utilizing individual educational, work and
personal life experiences. Military service veterans with honorable or general discharges are eligible to apply for mature student admission. Applicants who did not graduate from high school are required to submit official GED scores.

TRANSFER STUDENTS

Students applying to Stephen F. Austin State University (SFA) who have attended accredited institutions of higher education must apply as transfer students.

Transfer applicants must have a cumulative 2.0 grade point average (GPA) (using a 4.0 scale) on all transferable work attempted [see Course Grades (5.5)]. Transfer applicants who have completed fewer than 15 semester hours of transferable college credit must have the required — cumulative 2.00 GPA and must also satisfy eligibility requirements for first-semester freshmen. Transfer applicants who have completed attempted 15 or more semester hours must have the required 2.00 GPA and must not be on academic suspension.

Although transfer students with less than a 2.0 grade point average are not eligible for admission into the fall or spring semesters, those who are not currently on academic suspension at another institution are eligible for provisional admission to a summer term. Summer provisional students may be eligible to enroll for subsequent semesters if they complete nine semester hours of non-developmental coursework as approved by their academic dean and earn at least a 2.0 grade point average on all work attempted.

Applicants who are denied admission as transfer students may appeal the admission decision through the Transfer Appeals Program in the Office of Admissions. Appeals are reviewed by the Admission Appeals Committee. Following the review of an appeal, the committee submits a recommendation to the executive director of enrollment management for final decision.

Students admitted through this procedure are assigned to the Academic Advising Center for advisement.

Transfer Credits

The university accepts transfer credit from accredited institutions and online course programs on a course-by-course basis as determined by the Office of Admissions. All courses are examined in terms of content, level, and credit hours awarded, and are subject to the following conditions:

- An SFA course prefix and number are assigned when the content of the transfer course is equivalent, and when the course was taught on the same level.
- General en bloc credit is assigned to a course that is transferable but is not an exact equivalent by level or by description. In this case, the credit is awarded on the same level as was attempted at the transferring institution, and the student’s academic dean will determine its acceptability into applicability toward the intended degree programs.
• Most academic credit is transferable with the exception of remedial or developmental courses. Some departments may limit the number of credit hours that may be applied toward a degree.
• A maximum of 66 academic hours plus four hours of kinesiology activity from junior or community colleges may apply toward a degree, unless an exception has been granted by the provost and vice president for academic affairs.
• Courses transferred from a community college may be transferred only as a lower-level course and may not be considered as advanced upper-level credit.

There is no limit for undergraduate credits transferred from four-year institutions. At the graduate level, no more than 12 credit hours may be transferred; however, the total number of transferable hours may vary by program.

• All undergraduate students must complete a minimum of 42 semester hours including 36 hours of advanced credit at SFA in order to earn a bachelor’s degree. The Registered Nurse–Bachelor of Science in Nursing (RN–BSN) degree requires 30 semester hours in residence, all of which must be advanced (300-400 level). Graduate students must complete a minimum of 18 course credits at SFA that apply to their graduate degree.
• Course work earned from educational experience obtained in the armed forces is accepted in transfer on a limited basis. The "Guide to the Evaluation of Educational Experience in the Armed Services" is used by the Office of Admissions for evaluating military credit. Military transcripts such as the AARTS, SMART, Community College of the Air Force and the Coast Guard Institute, and the joint services transcript are used in the evaluation review process.
• Credit for vocational/technical courses, experiential learning and professional certification programs can be used in the Bachelor of Applied Arts and Sciences degree program or programs articulation agreements approved by the provost and vice president for academic affairs.

Students may repeat courses taken at SFA at other accredited institutions. Transfer hours will, however, be governed by the following rules:

1. The grades earned at SFA will remain on the transcript.
2. The hours attempted at SFA will not be changed as a result of course work completed elsewhere.
3. Transfer credit for a course originally taken at SFA has no effect on the grade point average for work attempted at SFA. Only credit hours transfer; grades for courses do not transfer.
4. Transfer hours of repeated work may be used to satisfy degree requirements other than those related to grade point average.

FORMER STUDENTS

Students who have previously attended SFA and who have not enrolled for the previous fall or spring semester must satisfy the following re-enrollment requirements:

1. Submit a completed Texas CommonApply Texas Application for Former Students with a $45 non-refundable application fee.
2. Submit official transcripts from all post-secondary educational institutions attended since last enrolled at SFA.

Former students must have earned a 2.0 GPA on all transferable coursework completed at other institutions since their last enrollment at SFA. Students currently on academic suspension from other institutions are not admissible.

**PROVISIONAL ADMISSION PROGRAMS**

First-semester freshman applicants not meeting the admission requirements may become eligible for regular admission by enrolling in the Summer Pathways JacksPASS Program. More information about the program may be obtained from the Office of Admissions.

Transfer students with less than a 2.0 GPA who are not currently on academic suspension at another institution are eligible for provisional admission to the Summer Provisional Program. Students who complete nine semester hours (excluding developmental courses) of work in Summer I and Summer II semesters combined and earn at least a 2.0 GPA on all work attempted may be eligible to enroll for the fall semester. The nine hours taken must be approved by the appropriate academic dean before courses begin. **Summer Provisional students are not eligible for financial aid.**

Students returning to SFA with transfer coursework with less than a 2.0 GPA and are not currently on suspension from SFA or another institution also are eligible for the Summer Provisional Program.

Students who do not successfully complete the Summer Provisional Program as specified by their academic dean may only be re-admitted to SFA upon presentation of academic credits transferred from all post-secondary institutions attended for which the overall GPA is 2.0 or higher. Calculation of this GPA will be based on all non-SFA academic credits earned; it will include credit earned both before and after participation in the SFA Summer Provisional Program.

**TRANSIENT STUDENTS**

Transient **(or visiting)** students planning to attend fall, spring, summer I or summer II are required to submit a completed undergraduate application, the $45 application fee for new students and official transcripts from all educational **their current or last** institutions attended. Students must be in good academic standing at the last institution attended in order to be eligible for admission as transient students. Student currently on suspension from another educational institution are not eligible for admission as transient students. Transient students are subject to all applicable SFA probation/suspension policies. Transient students from other Texas state supported schools must submit official THEA scores and are subject to the provisions of the Texas Success Initiative. **The cost of the TSI assessment may be waived from TSI requirements while non-degree seeking:** Transient students who later decide to continue their academic studies at SFA must apply and meet the admission requirements as a transfer student. Beginning freshman students cannot apply as transient students.
Policies and procedures of the Texas Higher Education Coordinating Board and other applicable accreditation bodies will be followed regarding transfer of core curriculum courses, fields of study courses, and any transfer credit disputes.

**Cross Reference:** General Bulletin; Graduate Bulletin; Course Grades (5.5); In-Residence Requirement (6.15); Tex. Educ. Code § 51.9241

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

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

**Forms:** None

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

Policy Name: Use of Amplified Sound on Campus Grounds

Policy Number: 16.31

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

Date of last revision, if applicable: 7/1/2017

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

Purpose of Policy (what does it do): Outlines practices for application of amplified sound.

Reason 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:

No Changes.

Reviewers:

Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Use of Amplified Sound on Campus Grounds

Original Implementation: September 17, 1982
Last Revision: July 21$, 202047

Application to use amplified sound on campus shall be made to the Office of Student Engagement at least 48 hours in advance of the proposed use. In general, amplified sound equipment will not be approved for use on campus grounds if such use would be disruptive to the learning and work environment. Amplified sound will not be approved before 8:00 p.m. or after 11:00 p.m., Monday through Friday, or anytime classes are in session, unless approved by the dean of student affairs, or designee.

This rule does not apply to the university and its agents, servants, or employees, acting in the course and scope of their agency or employment; nor does it apply to the Stephen F. Austin State University Alumni Association or the Stephen F. Austin State University Foundation.

Cross Reference: SFA Web pagesNone

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Dean of Student Affairs

Forms: Reservation for Campus Grounds

Board Committee Assignment: Building and Grounds
POLICY SUMMARY FORM

Policy Name: Volunteer Workers

Policy Number: 11.32

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 is designed to provide guidance and conditions on the university’s use of volunteers, reduce volunteer risk and protect the interest of the university, its volunteers, and the community.

Reason 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 formatting changes

Reviewers:

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

Original Implementation: July 29, 2014
Last Revision: July 21, 2020

Purpose

This policy is designed to provide guidance and conditions on the university's use of volunteers, reduce volunteer risk, and protect the interest of the university, its volunteers, and the community it serves.

Definition

A volunteer, according to the U.S. Department of Labor, is an individual who performs services for a public agency for civic, charitable, or humanitarian reasons, without promise, expectation, or receipt of compensation for services rendered. The individuals shall be considered volunteers only where their services are offered freely and without pressure or coercion, direct or implied, from an employer.

For SFA, a “university volunteer” is defined as any uncompensated individual who is authorized by a university department to perform humanitarian, charitable or public services on behalf of the university.

General

Any individual is eligible to serve as a university volunteer, subject to the following eligibility requirements:

- The individual must have adequate experience, qualifications, and training for the task(s) he or she will be asked to perform as a university volunteer.
- Mandatory cash and receipts training is required of all volunteers whose job duties include the acceptance, record keeping, and deposit of university receipts.
- All required training for volunteer positions must be current at the time volunteer work is performed.
- A current employee of SFA may not serve as a university volunteer in any capacity in which he or she is employed at the university, or which is essentially similar to or related to the individual’s regular work at the university. A current employee may volunteer for special events, such as United Way events, commencement, Showcase Saturdays, and other similar events.
- An individual who is under the age of eighteen (18) may only become a university volunteer with the written consent of a parent or legal guardian. Volunteer opportunities for minors are limited to only non-hazardous environments and activities. The sponsoring department must contact human resources for approval prior to the minor being permitted to volunteer.
- An individual who will be working with sensitive populations or who will have access to cash, checks, or other forms of liquid assets for the university may only become a university volunteer after the completion of a satisfactory background check. Human resources will
initiate the background check upon request of the sponsoring department and after receipt of a consent form signed by the potential volunteer. The sponsoring department is responsible for the cost of the background check.

- “Sensitive populations” are individuals under 18 years of age and other individuals entitled to enhanced supervision or protection based on university practice or state or federal law.
- Those volunteers who are authorized to accept funds for university business must have written approval from the bursar and follow the Receipts and Deposits policy.

Responsibilities and Rights

University volunteers shall abide by all university policies and external laws and regulations that govern their actions including, but not limited to, those relating to ethical behavior, safety, confidentiality, protected health and student information, computer use, financial responsibility, and drug use.

University volunteers are not covered by the Fair Labor Standards Act and are not considered SFA employees for any purpose. Therefore, university volunteers are not eligible for compensation or any university benefits as a result of their volunteer association with SFA.

Prohibited Activities

University volunteers are prohibited from performing any of the following activities in the course and scope of their authorized activities:

- Operating heavy equipment;
- Operating university or state-owned vehicles (including golf carts) except with the express written permission of a university official;
- Working with hazardous materials, including stored energy (e.g. steam, electricity, hydraulics); and
- Acting as a representative of the university, including but not limited to entering into any contract on behalf of the university, making public statements on behalf of the university, or incurring financial obligations.

Liability and Indemnification

University volunteers are required to execute the volunteer release form or other form approved by the general counsel, prior to the start of their volunteer service. If the university volunteer is a minor, the form must be signed by a parent or legal guardian.

University volunteers are not covered under the university’s workers’ compensation insurance program and are encouraged to secure a personal health insurance policy.

Sponsorship, Supervision, and Documentation

All university volunteers must be sponsored, supervised, and documented by their sponsoring
university department.

When engaging the services of an eligible university volunteer, it is the department’s responsibility to make sure the volunteer meets all of the eligibility requirements, as stated above, and to adhere to any procedures developed by human resources implementing this policy.

All documentation related to a university volunteer’s service, including the volunteer release form, must be maintained for the applicable retention period as specified in the university retention schedule.

Consistent with SFA’s policy on non-discrimination university employees shall not unlawfully discriminate against volunteers on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, or gender expression.

**Termination**

A university volunteer’s service may be terminated at any time and without prior notice.

**Cross Reference:** Fair Labor Standards Act (FLSA), 29 U.S.C. § 203(e)(4)(a); 29 C.F.R. § 553.101, .103; 29 C.F.R. Part 570; Tex. Educ. Code § 51.937; Tex. Gov’t Code Ch. 2109; Discrimination Complaints (2.11); Receipts and Deposits (3.26)

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

**Contact for Revision:** Human Resources

**Forms:** Release and Indemnification Agreement for Volunteers; Background Check – Disclosure Consent Form

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

Policy Name: Wellness Release Time

Policy Number: 13.25

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): The policy establishes wellness release time and the requirements to participate.

Reason 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
**Wellness Time**

**Original Implementation:** July 29, 2014  
**Last Revision:** July 21, 2020

**Purpose**

The Stephen F. Austin State University employee wellness program is designed to benefit full-time employees who have completed at least six (6) months with the university and is a voluntary program of physical exercise and wellness activities designed to improve the health and well-being of employees.

**General**

As part of the employee wellness program, the university will provide wellness release time which provides full-time, benefits-eligible employees 30 minutes of release time during normal work hours up to three (3) times a week for participation in physical exercise and wellness activities offered at the campus recreation center, employee wellness program locations, or walking on campus. Off-campus activities are not included unless sponsored by the employee wellness program.

Prior to participation in release time, the employee must complete the employee wellness participant profile, including the waiver of liability and hold harmless agreement in full. Employees should consult with a physician before undertaking any physical activity program.

Wellness release time is paid time, does not have to be made up, cannot be accrued, and may not be split or carried over from one day to another. Those employees using the time-clock system will be required to enter the appropriate task code for their release time. Wellness release time will not be counted toward Fair Labor Standards Act (FLSA) overtime.

Each fiscal year (no later than September 30), or when transferring to a new position, employees must secure approval from their immediate supervisors and/or department heads prior to participation.

Immediate supervisors and department heads are expected to make reasonable efforts to accommodate requests for wellness release time. However, it must be recognized that participation may be disapproved if it is determined that the workflow and operation of the employee’s department will be negatively impacted by the employee’s absence due to participation in release time. If an application is denied, the supervisor or department head will indicate the reason(s) for the denial.

Abuse of the privilege to participate in release time will subject the employee to revocation of the privilege and/or disciplinary action. Supervisors have the right to review records of employees’ utilization of the campus recreation center and the employee wellness program to verify hours of involvement.
**Cross Reference:** Tex. Gov’t Code § 664.061

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

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

**Forms:** Wellness Release Time Approval Form

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

Policy Name: Year-end Purchasing

Policy Number: 17.24

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 establishes rules and regulations that apply to Procurement and Property Services year-end processing of transactions.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording changes to policy.

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Year-end Purchasing

Original Implementation: April 5, 1984
Last Revision: July 21, 2020 25, 2017

Purpose

This policy establishes rules and regulations that apply to *Procurement and Property Services* year-end processing of transactions.

General

The state fiscal year is September 1 through August 31 and the following rules and regulations apply to year-end transaction processing.

**Consumables/expendable supply items** are to be charged to the fiscal year in which they are delivered. The cost of consumable supplies ordered in one fiscal year and delivered in the next fiscal year may be charged to the prior year only if the following conditions exist:

1. delay causing delivery in the later fiscal period was beyond the university’s reasonable control;
2. delivery could have reasonably been expected to occur during the fiscal year in which the order was placed; and
3. the quantity ordered could have been consumed during the fiscal year in which it was ordered had delivery occurred as originally anticipated.

**Services** are to be charged to the fiscal year in which they are provided.

**Capital equipment purchases (non-consumable with a useful life of more than one year)** are to be charged to the fiscal year in which they are ordered, except that capital purchases may be charged to the year of delivery as long as the appropriation for the year in which delivery will occur exists, (General Appropriations Act has been signed by the governor) and payment is not made prior to September 1 of the new fiscal year. Payments under a lease-purchase agreement are to be charged to the fiscal year in which the payment is made.

**Subscriptions, maintenance contracts, post office box rentals, insurance, internet connections and surety or honesty bonds** are chargeable to the fiscal year in which they begin and may be paid in full from that fiscal year regardless of whether the purchase covers more than one fiscal year. This rule supersedes other rules relating to consumable items, services, or capital equipment.

**Seminar and conference expenses** related to conducting or attending the same are to be paid from the fiscal year in which the seminar or conference occurs, unless it is determined to be cost-effective to use current fiscal year funds to pay for conducting or attending a seminar or conference that will occur partly or entirely during a different fiscal year. This rule supersedes other rules relating to consumable items, services, or capital equipment.
Utility services are to be charged to the fiscal year in which the service is provided except that a prior fiscal year may be used to pay for September services of the next fiscal year. This rule supersedes other rules relating to consumable items, services, or capital equipment. Utility service is defined in the Texas State Comptroller's eXpendit website.

A combined purchase of at least two consumable items, services and capital assets should follow the year-end rules according to the dominant purpose of the contract.

A purchase option that is contractually exercised to purchase a consumable item, service, or capital equipment should follow the year-end rules according to the good or service for which the option is exercised.

Department Notification

The purchasing department establishes and notifies departments of deadlines for receipt of approved requisitions for the current fiscal year to comply with state guidelines and allow adequate order processing time for current year orders.

Requisitions received prior to the established deadline dates will be processed on current fiscal year funds unless properly identified as a next fiscal year requisition following the instructions provided by Procurement and Property Services. Requisitions received after the established deadline dates will be processed on next fiscal year funds.

Exceptions

Exceptions to the established deadline dates will be made if necessary to comply with year-end guidelines established by the state comptroller or for emergency reasons. The director of procurement may use discretion in the best interest of the university when applying or exempting the established deadlines or above rules when using non-appropriated funds.

Cross Reference: 34 Tex. Admin. Code § 5.56; Texas State Comptroller eXpendit website

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Finance and Audit
SFASU DEPARTMENT OF AUDIT SERVICES
FIVE YEAR AUDIT PLAN

For fiscal year 2021, allocable time after consideration of leave time is 7,663 audit hours.

Audit Services resources are divided among risk-based audits, information technology audits, required audits, special projects, investigations, meetings, committee service, department activities, and audit administration. Audits are scheduled below in a five year audit plan. These audits are a combination of financial, compliance, operational, efficiency, effectiveness, and fraud audits.

<table>
<thead>
<tr>
<th>Audit Projects</th>
<th>2021</th>
<th>2022</th>
<th>2023</th>
<th>2024</th>
<th>2025</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit Assistance to Oversight Agencies</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Public Funds Investment Act (biennial)</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Texas Administrative Code 202 (biennial)</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Charter School (annual)</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>National Collegiate Athletic Association (annual)</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Follow-Up</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Contract Management and Procurement (annual)</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Benefits Proportionality by Fund *</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Safety and Security Audit (triennial)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Southern Association of Colleges and Schools</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facilities Audit (every five years)</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Departmental Audits</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Risk Based and Other Audits</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

* Higher education institutions must consider audits of benefit proportionality when developing their annual internal audit plans for fiscal years 2020 and 2021.

Details are included in the fiscal year 2021 audit plan. Any changes to the 2021 audit plan will be made in accordance with the Audit Charter.
<table>
<thead>
<tr>
<th>PROJECT</th>
<th>HIGH LEVEL DESCRIPTION</th>
<th>HOURS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Financial, Compliance, Efficiency &amp; Effectiveness Audits</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Construction Audit</td>
<td>Review compliance with regulations, contract provisions, and perform fraud assessment</td>
<td>400</td>
</tr>
<tr>
<td>Contract Management and Procurement Audit</td>
<td>Review compliance with contracting requirements</td>
<td>120</td>
</tr>
<tr>
<td>Departmental Audits</td>
<td>Review for compliance with various regulations</td>
<td>557</td>
</tr>
<tr>
<td>Expenditure Audit</td>
<td>Review controls, compliance with policies and regulations, and perform fraud assessment procedures</td>
<td>400</td>
</tr>
<tr>
<td>External Audit Assistance</td>
<td>Provide assistance to external firms performing audit services for NCAA, SFASU Charter School, Perkins Close-Out, SACS Review, and other external audits</td>
<td>145</td>
</tr>
<tr>
<td>Facilities Audit</td>
<td>Review and test compliance with THECB requirements</td>
<td>100</td>
</tr>
<tr>
<td>Investment Audit</td>
<td>Verify compliance with PFIA for operating investments</td>
<td>150</td>
</tr>
<tr>
<td>Payroll Audit</td>
<td>Review controls, compliance with policies and regulations, and perform fraud assessment</td>
<td>500</td>
</tr>
<tr>
<td><strong>Information Technology Audits and Projects</strong></td>
<td>Perform Texas Administrative Code Section 202 audits and other IT audits and projects.</td>
<td>600</td>
</tr>
<tr>
<td><strong>Follow-Up Audits</strong></td>
<td>Obtain representations from management regarding status and perform verification as necessary</td>
<td>750</td>
</tr>
<tr>
<td><strong>Other Activities</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Continuous Auditing</td>
<td>Perform regular auditing procedures</td>
<td>500</td>
</tr>
<tr>
<td>Fraud &amp; Ethics Program Projects and Investigations</td>
<td>Facilitate university anonymous reporting system; Perform investigations and projects</td>
<td>350</td>
</tr>
<tr>
<td>Special Projects</td>
<td>Perform special projects based on requests from the Board of Regents, Administration, or others; Provide audit assistance to state and federal oversight agencies such as Texas State Auditor's Office, The Higher Education Coordinating Board, Texas State Comptroller's Office, and grant agencies</td>
<td>300</td>
</tr>
<tr>
<td><strong>Meetings and Committee Service</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other University Meetings/Events</td>
<td>Attend other meetings and events</td>
<td>80</td>
</tr>
<tr>
<td>Administrative Meetings, Regent Meetings, and Events</td>
<td>Preparation and attendance of meetings and events</td>
<td>250</td>
</tr>
<tr>
<td>University Committees, Meetings, and Service</td>
<td>Serve as advisory member of Compliance and other committees</td>
<td>80</td>
</tr>
<tr>
<td><strong>Department Activities</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Annual Audit Plan and Report</td>
<td>Prepare annual audit plan and report</td>
<td>40</td>
</tr>
<tr>
<td>Annual Risk Assessment</td>
<td>Facilitate annual university risk assessment</td>
<td>80</td>
</tr>
<tr>
<td>Quality Assurance</td>
<td>Perform internal quality procedures and assessments, participate on assessment teams, and update audit manual</td>
<td>100</td>
</tr>
<tr>
<td>Records Management</td>
<td>Maintain file system and records for department</td>
<td>80</td>
</tr>
<tr>
<td>Software Maintenance and Training</td>
<td>Teammate, ACL and other software</td>
<td>250</td>
</tr>
<tr>
<td>Professional Development and Travel</td>
<td>Professional development, training, and travel</td>
<td>320</td>
</tr>
<tr>
<td>Staff Meetings</td>
<td>Regular staff meetings</td>
<td>489</td>
</tr>
<tr>
<td>General and Administrative</td>
<td>Administration (planning, purchasing, payroll, scheduling, reporting, etc.)</td>
<td>672</td>
</tr>
<tr>
<td>General and Administrative GA</td>
<td>Graduate Assistant help with administrative work</td>
<td>350</td>
</tr>
<tr>
<td><strong>Total Allocated Hours</strong></td>
<td></td>
<td>7,663</td>
</tr>
<tr>
<td>PROJECT</td>
<td>HIGH LEVEL DESCRIPTION</td>
<td>HOURS</td>
</tr>
<tr>
<td>------------------------------</td>
<td>-----------------------------------------------</td>
<td>-------</td>
</tr>
<tr>
<td>Total Hours Per Year</td>
<td>Total 2021 Budgeted positions: 4.5</td>
<td>9,116</td>
</tr>
<tr>
<td>Less estimated leave:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sick</td>
<td></td>
<td>(320)</td>
</tr>
<tr>
<td>Vacation</td>
<td></td>
<td>(413)</td>
</tr>
<tr>
<td>Holidays</td>
<td></td>
<td>(480)</td>
</tr>
<tr>
<td>Wellness</td>
<td></td>
<td>(240)</td>
</tr>
<tr>
<td>Total Available Hours</td>
<td></td>
<td>7,683</td>
</tr>
</tbody>
</table>
Stephen F. Austin State University  
Higher Education Funds  
Fiscal Year 2020-21

<table>
<thead>
<tr>
<th>HEF Appropriation</th>
<th>Fund Balance</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 2021 Higher Education Fund (HEF) Appropriation</td>
<td>11,277,793</td>
<td></td>
</tr>
<tr>
<td>HEF Fund Balance</td>
<td>940,277</td>
<td></td>
</tr>
<tr>
<td>Total Funds Available</td>
<td>12,218,070</td>
<td></td>
</tr>
</tbody>
</table>

Higher Education Fund Allocation

**Debt Service**
- Debt Service Welcome Center: 691,021
- Debt Service Fine Arts: 1,966,752
- Debt Service Energy Conservation Plan Phase 1: 421,477
- Debt Service Energy Conservation Plan Phase 2: 331,741
- Debt Service Energy Conservation Plan Phase 3: 765,390
- Total Debt Service: 4,176,381

**Capital Outlay**
- Music/Boynton Building Chiller and Hydroponic Piping: 1,059,723
- Education & General Roofing Replacement: 600,000
- Library Materials: 1,111,302
- Anatomy & Physiology Science and Lab Equipment: 75,000
- School of Music Instruments: 66,578
- Mass Communication Newsroom System: 35,000
- University Police Department Dispatch Equipment: 244,811
- Campus Safety Camera Equipment: 181,000
- University Police Department Vehicles: 46,820
- Enterprise Resource Planning (ERP) System Hardware: 454,000
- Cloud-Based Software: 1,592,178
- Log Rhythm Server: 135,000
- Annual Server Infrastructure Refresh: 250,000
- Annual Computer Refresh: 750,000
- Network Access Control: 250,000
- Workload and File Disk Storage: 250,000
- Total Capital Outlay: 7,101,412

Total Higher Education Fund Allocation: 11,277,793
### Summer 2020 Course Fee Deletions

<table>
<thead>
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Grant Report to the Board of Regents – July 2020  
Grants awarded between April 1, 2020 and June 30, 2020  
Prepared by the Office of Research & Graduate Studies

Fiscal Year 2020 – as of June 30, 2020

Amounts allocable to FY20 (detailed in this report)  
Federal Funds (direct and pass-through) $10,638,942  
State Funds (direct and pass-through) $ 54,095  
Private, Local Government, Other $ 82,088  
TOTAL $10,775,125

New awards, FY20 (detailed in this report, all project years) $11,195,091  
Cumulative amount allocable to FY20 $17,046,428  
Cumulative award total FY20, all project years $26,188,779

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 * CARES Act: Stephen F. Austin State University Higher Education Emergency Relief-Students  
Sponsor: US Department of Education, CFDA 84.425  
Award Term: April 25, 2020 to April 24, 2021  
PI/PD: Dr. Erma Nieto-Breth, Admissions  
Total Award: $5,262,539  
Amount allocable to FY20: $5,000,000

The CARES Act Higher Education Emergency Relief Fund-Student Aid provides funding to institutions to provide emergency financial aid grants to students whose lives have been disrupted from the coronavirus.

Title * CARES Act: Stephen F. Austin State University Higher Education Emergency Relief-Institutional Aid  
Sponsor: US Department of Education, CFDA 84.425  
Award Term: May 7, 2020 to May 6, 2021  
PI/PD: Dr. Danny Gallant, Finance and Administration  
Total Award: $5,262,539  
Amount allocable to FY20: $5,000,000

The CARES Act Higher Education Emergency Relief Fund- Institutional provides funding to institutions to provide assistance in covering costs associated with significant changes to the delivery of instruction due to the coronavirus.

*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 – July 2020
Grants awarded between April 1, 2020 and June 30, 2020
Prepared by the Office of Research & Graduate Studies

Title: *CARES Act: Higher Education Emergency Relief Fund-Strengthening Institutions Program (SIP)*
Sponsor: US Department of Education, CFDA 84.425
Award Term: May 29, 2020 to May 29, 2021
PI/PD: Dr. Danny Gallant, Finance and Administration
Total Award: $513,425

Amount allocable to FY20: $513,425

The CARES Act Higher Education Emergency Relief Fund-Strengthening Institutions provides additional funding to institutions to provide assistance due to disruptions from the coronavirus.

Previously Described Awards:

**Talented Teachers in Training for Texas (T4) Phase II**
Dr. Lesa Beverly, Mathematics & Statistics
Award Total: $1,049,936

Amount allocable to FY20: $138,371

Previously Described Awards with modifications

**Special Education Consolidated Grant FY20 (IDEA-B)**
Award Total: $67,830

Amount allocable to FY20: *$571

Subtotal amounts allocable to FY20 (this report) = $10,638,942
Subtotal new federal funds = $11,039,074

State Funds (direct and pass-through)

Title: *2020-2021 edTPA Regional Support*
Sponsor: Texas Education Agency
Award Term: January 30, 2020 to August 31, 2021
PI/PD: Dr. Brandon Fox, Elementary Education
Total Award: $28,500

Amount allocable to FY20: $4,500

The sponsor is providing funding for SFA to work with a regional group of edTPA Educator Preparation Program (EPP) coordinators. SFA was one of 26 EPP pilot programs.

Title: *School Safety and Security Grant 2019-2021*
Sponsor: Texas Education Agency
Award Term: December 19, 2019 to May 31, 2021
PI/PD: Lysa Hagan, Elementary Education
Total Award: $25,000

Amount allocable to FY20: $25,000

Funding to provide funding to SFA Charter School to purchase additional safety and security equipment.

*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 – July 2020
Grants awarded between April 1, 2020 and June 30, 2020
Prepared by the Office of Research & Graduate Studies

Previously Described Awards

Disability Services – Interpreter Services 16-18
Tiffany Rivers, Disability Services
Award Total: $195,791
Amount allocable to FY20: $23,596

*Peers Against Tobacco Program – FY20
Jessica Waguespack, Campus Recreation
Award Total: $1,000
Amount allocable to FY20: $1,000

Subtotal amounts allocable to FY20 (this report) = $54,095
Subtotal new state funds = $78,095

Private Entity, Local Government, and Other Awards

Title: *LI-COR Program Application -LI-6800 Photosynthesis Package
Sponsor: LI-COR, Inc.
Award Term: May 26, 2020 to August 31, 2021
PIs/PDs: Dr. Jeremy Stovall, Forestry
Total Award $77,088
Amount allocable to FY20: $77,088
(non-cash; matching equipment award)

Through the LI-COR Environmental Educational Fund (LEEF) program, the sponsor provides
Primarily Undergraduate Institutions (PUIs) with matching funds to purchase equipment to be
used to assist with undergraduate research.

Title: *Archaeology and Education of Freedom Colonies in Deep East Texas:
A Beginning
Sponsor: Summerlee Foundation
Award Term: June 9, 2020 to June 9, 2021
PI/PD: Dr. George Avery, Anthropology, Geography, & Sociology
Total Award: $25,000
Amount allocable to FY20: $5,000

This archaeological research study will include oral history interviews and an analysis of
several Freedom Colonies of Texas with the Odom Family Sites in the Shankleville area of
Newton County.

*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 – July 2020
Grants awarded between April 1, 2020 and June 30, 2020
Prepared by the Office of Research & Graduate Studies

Title: *Establishment of Genetic Lines for Feather Sexable Heritage Poultry Within Hoover’s Hatchery Breeding Program
Sponsor: Hoover’s Hatchery
Award Term: March 5, 2020 to March 31, 2021
PIs/PDs: Dr. Joey Bray, Agriculture
Total Award: sponsor providing chicks – value to be determined

This research project provides chicks for a mating study to identify males that provide chicks that are solely slow feathering.

Subtotal amounts allocable to FY20 (this report) = $82,088
Subtotal new private and local fund = $102,088

*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.
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**APPENDICES**

Appendix 1 – Bond Refunding-Series 2010 - Resolution
Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
September 11, 2020
Videoconference
Meeting 338

Friday, September 11, 2020

The meeting of the Board of Regents was called to order in open session at 1:32 p.m. by Chair Alton Frailey.

PRESENT ON VIDEOCONFERENCE:

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

General Counsel: Mr. Damon Derrick
Chief Audit Exec.: Mrs. Gina Oglesbee
President: Dr. Scott Gordon
Cabinet: Dr. Steve Bullard
Dr. Michara Delaney-Fields
Mr. Anthony Espinoza
Dr. Danny Gallant
Mr. Ryan Ivey
Mrs. Jill Still
Dr. Charlotte Sullivan
Dr. Steve Westbrook

Other SFA administrators and staff were in attendance online.

Presentations and Board Action was taken on the following items.

BOARD ORDER 21-01
Upon motion by Regent Gantt, seconded by Regent Coleman, with all members voting aye, it was ordered that the following item be approved.

VOLUNTARY SEPARATION INCENTIVE PLAN INCREASE

WHEREAS, the board member considered the following: On July 21, 2020 the board of regents
approved a voluntary separation incentive plan (VSIP) as a retirement incentive for university employees. Based on estimated employee participation, the university projected a $2.5 million need to fund the program. However, employee responses exceeded projections, and 107 eligible employees requested to participate in the program. Consequently, the retirement payout incentive exceeded the $2.5 million approved program funding by approximately $1.5 million. The total amount of funds needed to fully fund the plan is not to exceed $4.0 million.

**Therefore**, it was ordered that the Voluntary Separation Incentive Plan be funded at a total payout level of $4 million, a $1.5 million dollar increase, from the institutional fund balance.

**Board Order 21-02**

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

**Bond Refunding - Series 2010**

**Whereas**, the board member considered the following: The university has an opportunity to refund for debt service savings its Series 2010 bonds. This particular bond issue funded the construction of the Lumberjack Landing Residence Hall and Wilson Parking Garage. The bonds are callable on October 15, 2020, or any date thereafter, with current outstanding amounts: principal, $20,840,000, interest, $4,971,112.51, for a total outstanding obligation of $25,811,112.51. The university is working with its financial advisor, Hilltop Securities, and bond counsel, McCall, Parkhurst, and Horton, LLP to prepare all documents necessary to accomplish the refunding if the Board wishes to proceed.

In that regard, administration presents the following Bond Resolution for consideration that provides for a one year period whereby the university is authorized to price and issue one or more series of refunding bonds, in an aggregate principal amount not to exceed $19,920,000, to refund the Series 2010 Bonds. The Bond Resolution requires a minimum 3% net present value savings threshold, a maximum maturity date on the refunding bonds not to exceed October 15, 2029 (which is consistent with the maturity date of the Series 2010 bonds) and delegates finalizing pricing of the refunding bonds and issuance responsibility to a designated financial officer. The Bond Resolution also authorizes the refunding bonds to be issued as tax-exempt and/or taxable in accordance with federal tax law and authorizes such bonds to be sold in the public market using competitive or negotiated method of sale or sold in a private placement.

**Therefore**, the Bond Resolution to refund for debt service savings the Series 2010 Bonds is approved as presented in Appendix I. The administration further recommends that the vice president for finance and administration is authorized to finalize pricing terms of the refunding bonds and serve as the designated financial officer for the functions described in the Bond Resolution.

**Board Order 21-03**

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

**Dual Credit Student Web-Based Distance Education Fee Exemption**
WHEREAS, the board member considered the following: At the July 23, 2019 meeting, the regents approved the exemption of the $33 per semester credit hour distance education fee for dual credit students who take interactive video (ITV) courses. ITV course delivery is a two-way interactive video process involving a faculty instructor and students.

A second distance education delivery is a web-based process whereby a faculty member and students interact in an exclusive electronic environment. Dual credit students who took web-based distance education courses were not approved for the exemption. For fall 2020, dual credit students who took distance education courses using a web-based modality were inadvertently not charged the $33 per semester credit hour distance education fee.

THEREFORE, it was ordered that dual credit students who took web-based distance education courses in the fall 2020 semester be exempted from paying the $33 per semester credit hour charge. In addition, the administration recommends the dual credit distance education fee be exempted for the spring 2021 and summer 2021 semesters. Dual credit course delivery costs will be reevaluated, and fiscal year 2022 tuition and fee recommendations will be submitted to the regents at a later date.

Chair Frailey called the meeting into executive session at 2:55 p.m. to consider the following items:

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, chief diversity officer, general counsel, chief audit executive, coordinator of board affairs/compliance, vice presidents and the president (Texas Government Code, Section 551.074)

The executive session ended at 3:06 p.m. and the Board of Regents videoconference meeting returned to open session.

The meeting was adjourned by Chair Alton Frailey at 3:08 p.m.
RESOLUTION
AUTHORIZING THE ISSUANCE, SALE AND DELIVERY OF BOARD OF REGENTS OF STEPHEN F. AUSTIN STATE UNIVERSITY REVENUE FINANCING SYSTEM REVENUE REFUNDING BONDS; PROVIDING FOR THE SECURITY FOR AND PAYMENT OF THE BONDS; ESTABLISHING PROCEDURES FOR SELLING AND DELIVERING THE BONDS; AND APPROVING AND AUTHORIZING OTHER MATTERS RELATING THERETO

ADOPTED SEPTEMBER 11, 2020
RESOLUTION AUTHORIZING THE ISSUANCE, SALE AND DELIVERY OF
BOARD OF REGENTS OF STEPHEN F. AUSTIN STATE UNIVERSITY REVENUE
FINANCING SYSTEM REVENUE REFUNDING BONDS; PROVIDING FOR THE
SECURITY FOR AND PAYMENT OF THE BONDS; ESTABLISHING PROCEDURES
FOR SELLING AND DELIVERING THE BONDS; AND APPROVING OTHER
MATTERS RELATING THERETO

WHEREAS, in order to reduce costs, increase borrowing capacity, provide additional
security to the credit markets, and provide the Board of Regents (the "Board") of Stephen F. Austin
State University (the "University") with greater financial flexibility, the Board deemed it necessary
and desirable to establish a revenue financing program for revenue supported indebtedness to
provide funds to acquire, purchase, construct, improve, renovate, enlarge or equip property,
buildings, structures, facilities, roads, or related infrastructure at the University, as well as any
institution, branch or entity hereafter placed under the control and governance of the Board, to the
extent permitted by Chapter 55, Texas Education Code, including specifically, but not by way of
limitation, Section 55.02 thereof; and

WHEREAS, pursuant to the terms of resolutions adopted by the Board (the "Prior
Resolutions"), the Board has outstanding certain Previously Issued Parity Obligations (as defined
herein) that are secured by a lien on and pledge of the "Pledged Revenues" (as defined herein),
which lien and pledge is subject to the lien on and pledge of the "Prior Encumbered Revenues" (as
defined herein); and

WHEREAS, the Prior Resolutions established and confirmed the Stephen F. Austin State
University Revenue Financing System for the purpose of providing a financing structure for
revenue supported indebtedness at the University; and

WHEREAS, the Prior Resolutions permit the Board, to issue "Parity Obligations" secured
by a lien on and pledge of the Pledged Revenues on a parity with the Previously Issued Parity
Obligations; and

WHEREAS, the Board has determined that it is in the best interest of the University to
authorize the issuance of bonds in one or more series to refund all or a portion of the Potential
Refunded Bonds (as defined herein); and

WHEREAS, the bonds authorized to be issued in one or more series by this Resolution
are to be issued and delivered pursuant to laws of the State of Texas, including Chapters 54 and
55 of the Texas Education Code, Chapter 1371, Texas Government Code, as amended, and other
applicable laws, including Chapter 1207, Texas Government Code, as amended, insofar as it may
be required in connection with the objectives of this Resolution and the refunding of any of the
Potential Refunded Bonds, and constitute Parity Obligations in accordance with the Prior
Resolutions; and
WHEREAS, the Board finds it necessary and advisable to adopt this Resolution, and further acknowledges that by adopting this Resolution it will be bound by and agrees to follow the covenants set forth in this Resolution; and

WHEREAS, the terms used in this Resolution and not otherwise defined shall have the meaning given in Exhibit "A" to this Resolution attached hereto and made a part hereof;

NOW THEREFORE, BE IT RESOLVED BY THE BOARD OF REGENTS OF STEPHEN F. AUSTIN STATE UNIVERSITY:

Section 1. REVENUE FINANCING SYSTEM AND ISSUANCE OF PARITY OBLIGATIONS. In the Prior Resolutions, the Stephen F. Austin State University Revenue Financing System (the "Financing System") has been established and confirmed, for the purpose of providing a financing structure for revenue supported indebtedness to provide funds to refund outstanding indebtedness and to acquire, purchase, construct, improve, renovate, enlarge or equip property, buildings, structures, facilities, roads or related infrastructure at the University, as well as at any institution, branch or entity hereafter placed under the control and governance of the Board, under authority of the pertinent provisions of the Texas Education Code.

Section 2. SECURITY AND PLEDGE. (a) Pledge. Subject to the provisions of the resolutions authorizing Prior Encumbered Obligations, Parity Obligations shall be secured by and payable from a lien on the Pledged Revenues, and the Board hereby assigns and pledges the Pledged Revenues to the payment of the principal of, premium, if any, and interest on Parity Obligations, and the Pledged Revenues are further pledged to the establishment and maintenance of any funds which may be provided to secure the repayment of Parity Obligations in accordance with this Resolution. The Board may execute and deliver one or more Credit Agreements to additionally secure Parity Obligations. Credit Agreements may also be secured by a pledge of Pledged Revenues on a parity with or subordinate to Parity Obligations.

(b) Additional Participants. As provided in Section 7 of this Resolution, institutions which may hereafter come under the control and governance of the Board may become Participants in the Financing System and such institutions may, at such time, have outstanding obligations secured by the Prior Encumbered Revenues and that, therefore, the lien on and pledge of the Pledged Revenues established pursuant to this Resolution and effective when such institutions become Participants in the Financing System will be subject and subordinate only to such institutions' outstanding Prior Encumbered Obligations.

(c) Restriction on Issuance of Additional Debt on a Parity with Prior Encumbered Obligations. Except as provided in Section 4(g) and for so long as any Parity Obligations are Outstanding, no additional bonds, notes, or other obligations may be issued or incurred by the Board on a parity with any Prior Encumbered Obligations.

(d) Parity Obligations are Special Obligations. All Parity Obligations and the premium, if any, and the interest thereon shall constitute special obligations of the Board payable from the Pledged Revenues, and the owners thereof shall never have the right to demand payment
out of funds raised or to be raised by taxation, or from any source other than the source specified in this Resolution. The obligation of the Board to pay or cause to be paid the amounts payable under this Resolution out of the Pledged Revenues shall be absolute, irrevocable, complete, and unconditional, and the amount, manner, and time of payment of such amounts shall not be decreased, abated, rebated, set-off, reduced, abrogated, waived, diminished, or otherwise modified in any manner or to any extent whatsoever, regardless of any right of setoff, recoupment, or counterclaim that the Board might otherwise have against any owner or any other party and regardless of any contingency, force majeure, event, or cause whatsoever and notwithstanding any circumstance or occurrence that may arise or take place before, during, or after the issuance of Parity Obligations while any Parity Obligations are Outstanding.

Section 3. COVENANTS RELATING TO PLEDGED REVENUES. (a) Rate Covenant. In each Fiscal Year, the Board shall establish, charge, and use its reasonable efforts to collect at each Participant the Pledged Revenues which, if collected, would be sufficient to meet all financial obligations of the Board for such Fiscal Year relating to the Financing System including all deposits or payments due on or with respect to (i) the Prior Encumbered Obligations, if any, and (ii) all Outstanding Parity Obligations.

(b) Tuition. Subject to the provisions of the resolutions authorizing Prior Encumbered Obligations and to the other provisions of this Resolution, the Board covenants and agrees to fix, levy, charge and collect at each Participant student tuition charges required or authorized by law to be imposed on students enrolled at each Participant (excepting, with respect to each series or issue of Parity Obligations, any student in a category which, at the time of adoption of a resolution relating to such Parity Obligations, is exempt by law or by the Board from paying such tuition charges). Each student (excluding those exempt from payment as provided above), enrolled at each Participant, respectively, at each regular fall and spring semester and at each term of each summer session, shall pay tuition charges in such amounts, without any limitation whatsoever, as will be sufficient at all times, together with other legally available funds, including other Pledged Revenues, to provide the money to make or pay the principal of, interest on, and other payments or deposits with respect to Outstanding Parity Obligations when and as required. All changes in the tuition charged students at each Participant shall be made by resolution of the Board, but such procedure shall not constitute or be regarded as an amendment of this Resolution, but merely the carrying out of the provisions and requirements hereof.

(c) Student Center Fees. Subject to the provisions of the resolution authorizing the Series 2004 Bonds, the Board covenants and agrees to fix, levy, charge and collect student center fees required or authorized by law to be imposed on students pursuant to Section 54.520 of the Texas Education Code for the purpose of paying debt service on the Series 2004 Bonds; provided however, that such student center fees shall be used only for the purpose of acquiring, constructing, renovating, operating, maintaining, improving, equipping and financing a university center or additions to the center. All references to Series 2004 Bonds in this subsection shall include any applicable Parity Obligations issued to refund such Series 2004 Bonds (i.e., the Board's Revenue Financing System Revenue Refunding Bonds, Series 2013 which mature October 15, 2024).
(d) **Student Recreational Sport Fees.** Subject to the provisions of the resolution authorizing the Series 2005A Bonds, the Board covenants and agrees to fix, levy, charge and collect student recreational sport fees required or authorized by law to be imposed on students pursuant to Section 54.5201 of the Texas Education Code for the purpose of paying debt service on the Series 2005A Bonds; provided however, that such student recreational sport fees shall be used only to purchase equipment for and to construct, operate and maintain recreational sports facilities and programs. All references to Series 2005A Bonds in this subsection shall include any applicable Parity Obligations issued to refund such Series 2005A Bonds (i.e., the Board's Revenue Financing System Revenue Refunding Bonds, Series 2015 which mature October 15, 2025).

(e) **Anticipated Deficit.** If the Board determines, for any reason whatsoever, that there are not anticipated to be legally available funds, including Pledged Revenues, sufficient to meet all financial obligations of the Board relating to the Financing System including the deposits and payments due on or with respect to Outstanding Parity Obligations as the same mature or come due, or that any Participant in the Financing System will be unable to pay its Annual Direct Obligation in full, then the Board shall fix, levy, charge, and collect such rentals, rates, fees, tuition, or other charges at each Participant in the Financing System with enrolled students, effective at the next succeeding regular semester or semesters or summer term or terms, in such amounts, without any limitation whatsoever (other than as provided in subsection (f) below), as will be at least sufficient to provide, together with other legally available funds, including Pledged Revenues, the money for making when due all financial obligations of the Board relating to the Financing System including all payments and deposits due on or with respect to Outstanding Parity Obligations when and as required by this Resolution.

(f) **Economic Effect of Adjustments.** Any adjustments in the rate or manner of charging for any rentals, rates, fees, tuition, or other charges included in Pledged Revenues at any Participant in the Financing System resulting from an event described in subsection (e) above will be based upon a certificate and recommendation of the Designated Financial Officer, delivered to the Board, as to the rates and anticipated collection of the Pledged Revenues at each Participant in the Financing System (after taking into account the anticipated effect the proposed adjustments in such rentals, rates, fees, tuition, or other charges would have on enrollment and the receipt of Pledged Revenues and other funds at each Participant in the Financing System) which will be anticipated to result in (i) Pledged Revenues attributable to each Participant being sufficient (to the extent possible) to satisfy the Annual Obligation of such Participant and (ii) Pledged Revenues being sufficient, together with other legally available funds, to meet all financial obligations of the Board relating to the Financing System including all deposits and payments due on or with respect to (A) the Prior Encumbered Obligations, if any, and (B) all Outstanding Parity Obligations, when and as required by this Resolution.

(g) **Annual Obligation.** If, in the judgment of the Board, any Participant in the Financing System has been or will be unable to satisfy its Annual Obligation, the Board shall fix, levy, charge, and collect rentals, rates, fees, and charges for goods and services furnished by such Participant and, with respect to Participants with enrolled students, tuition, effective at the next succeeding regular semester or semesters or summer term or terms, in amounts sufficient, without limit (subject to the provisions of (c) and (d) above, respectively), together with other legally
available funds, including other Pledged Revenues attributable thereto, to enable it to make its Annual Obligation payments.

(h) **Additional Participants.** The Board hereby agrees to apply the covenants hereinabove made to any institution, branch or entity hereinafter placed under the control and governance of the Board and added as a Participant in the Financing System in accordance with the provisions of Section 7 hereof.

**Section 4. GENERAL COVENANTS.** The Board further represents, covenants, and agrees that while any Parity Obligations or interest thereon is Outstanding:

(a) **Payment of Parity Obligations.** On or before each payment date it shall make available to the Paying Agent for such Parity Obligations or to such other party as required by the resolution authorizing the sale of such Parity Obligations, money sufficient to pay the interest on, principal of, and premium, if any, on the Parity Obligations as will accrue or otherwise come due or mature, or be subject to mandatory redemption prior to maturity, on such date and the fees and expenses related to the Parity Obligations, including the fees and expenses of the Paying Agent and any Registrar, trustee, remarketing agent, tender agent, or Credit Provider.

(b) **Performance.** It will faithfully perform at all times any and all covenants, undertakings, stipulations, and provisions contained in this Resolution, and in each and every Parity Obligation or evidence thereof.

(c) **Redemption.** It will duly cause to be called for redemption prior to maturity, and will cause to be redeemed prior to maturity, all Parity Obligations which by their terms are mandatorily required to be redeemed prior to maturity, when and as so required.

(d) **Lawful Title.** It lawfully owns, has title to, or is lawfully possessed of the lands, buildings, and facilities now constituting the University, and it will defend said title and title to any lands, buildings, and facilities which may hereafter become part of the Financing System, for the benefit of the owners of Parity Obligations against the claims and demands of all persons whomsoever.

(e) **Lawful Authority.** It is lawfully qualified to pledge the Pledged Revenues herein pledged in the manner prescribed herein and has lawfully exercised such right.

(f) **Preservation of Lien.** Subject to the conditions set forth in Sections 5, 6, and 7 of this Resolution, it will not do or suffer any act or thing whereby the Financing System might or could be impaired, and that it will at all times maintain, preserve, and keep the real and tangible property of the Financing System and every part thereof in good condition, repair, and working order and operate, maintain, preserve, and keep the facilities, buildings, structures, and equipment pertaining thereto in good condition, repair, and working order.

(g) **No Additional Encumbrance.** It shall not incur additional Debt secured by the Pledged Revenues in any manner, except as permitted by this Resolution in connection with Parity
Obligations, unless said Debt is made junior and subordinate in all respects to the liens, pledges, covenants, and agreements of this Resolution. Notwithstanding anything to the contrary contained herein, and in addition to the right hereunder to refund any Prior Encumbered Obligations with Parity Obligations, the Board reserves the right to issue obligations to refund any Prior Encumbered Obligations and to secure the refunding obligations with the same source or sources securing the Prior Encumbered Obligations being refunded. Upon the defeasance of the refunded Prior Encumbered Obligations, the refunding obligations will be Prior Encumbered Obligations (unless the refunding obligations are made Parity Obligations in accordance with the terms of this Resolution and the resolution authorizing their issuance) under this Resolution for all purposes.

(h) **Investments and Security.** It will invest and secure money in all accounts and funds established pursuant to this Resolution in the manner prescribed by law for such funds, including, but not by way of limitation, the Public Funds Investment Act (Chapter 2256, Texas Government Code), Chapter 163, Texas Property Code, and Section 51.0031, Texas Education Code, and in accordance with written policies adopted by the Board.

(i) **Records.** It will keep proper books of record and account in which full, true, and correct entries will be made of all dealings, activities, and transactions relating to the University. Each year while Parity Obligations are Outstanding, the Board will cause to be prepared from such books of record and account an annual financial report of the University and shall furnish such report to the principal municipal bond rating agencies and to any owner of Parity Obligations who shall request same. In addition, the Board shall submit such financial report and other information required by law for examination in connection with financial compliance and other audits required to be conducted by the office of the Auditor of the State of Texas.

(j) **Inspection of Books.** It will permit any owner or owners of twenty-five percent (25%) or more of the then Outstanding Principal Amount at all reasonable times to inspect all records, accounts, and data of the Board relating to the University and the Financing System.

(k) **Annual and Direct Obligations.** In establishing the annual budget for each Participant in the Financing System, it shall provide for the satisfaction by each Participant in the Financing System of its Annual Obligation. The Direct Obligation shall represent the financial responsibility of each Participant in the Financing System with respect to Outstanding Parity Obligations. Each such Participant's Direct Obligation and Annual Obligation shall be evidenced by a financing agreement between the Board and each Participant.

(l) **Determination of Outstanding Parity Obligations.** For all purposes of this Resolution, the judgment of the chief financial officer of the University, presently the Vice President for Finance and Administration, shall be deemed final in the determination of which obligations of the Board constitute Parity Obligations; provided, however, such judgment is subject to confirmation by the Auditor of the State of Texas in connection with the annual audit of the records of the University.

(m) **Execution of Credit Agreements.** (i) Should the Board determine that it is in the best interests of the University to obtain a Credit Agreement to enhance the security for or provide
for the payment, redemption or remarketing of Parity Obligations, the Board, upon approval of the Attorney General, may from time to time and at any time execute and deliver a Credit Agreement to which the Pledged Revenues are to be pledged. Prior to the Board adopting any resolution authorizing the execution and delivery of any such Credit Agreement, it shall receive from the University an Officer's Certificate to the effect that (i) the Board has determined that the Participant for whom the Credit Agreement is to be executed and delivered possesses the financial capability to satisfy its Direct Obligation after taking into account the payment obligations under the proposed Credit Agreement, and (ii) to the best of his or her knowledge, the Board is in compliance with all covenants contained in this Resolution and any resolution adopted authorizing the issuance of Parity Obligations, and is not in default in the performance and observance of any of the terms, provisions, and conditions hereof or thereof.

(ii) The lien on and pledge of Pledged Revenues to pay the cost of any such credit agreement may be on a parity with, but not superior to, the lien on and pledge of the Pledged Revenues securing the Parity Obligations.

Section 5. ISSUANCE OF ADDITIONAL OBLIGATIONS. (a) Parity Obligations. The Board reserves and shall have the right and power to issue or incur, Parity Obligations for any purpose authorized by law pursuant to the provisions of this Resolution and the applicable laws of the State of Texas governing the issuance of bonds for the benefit of each Participant (currently the University) in the Financing System. The Board may incur, assume, guarantee, or otherwise become liable in respect of any Parity Obligations if the Board shall have determined that it will have sufficient funds to meet the financial obligations of each Participant (currently the University) in the Financing System, including sufficient Pledged Revenues to satisfy the Annual Debt Service Requirements of the Financing System and to meet all financial obligations of the Board relating to the Financing System. In addition, the Board shall not issue or incur Parity Obligations unless (i) the Board shall determine that the Participant for whom the Parity Obligations are being issued or incurred possesses the financial capability to satisfy its Direct Obligation after taking into account the then proposed Parity Obligations, and (ii) a Designated Financial Officer shall deliver to the Board a certificate stating that, to the best of his or her knowledge, the Board is in compliance with all covenants contained in this Resolution and any resolution adopted authorizing the issuance of Parity Obligations, and is not in default in the performance and observance of any of the terms, provisions, and conditions hereof or thereof.

(b) Non–Recourse Debt and Subordinated Debt. Non-Recourse Debt and Subordinated Debt may be incurred by the Board without limitation, subject to the applicable laws of the State of Texas.

Section 6. DISPOSITION OF ASSETS ATTRIBUTABLE TO FINANCING SYSTEM PARTICIPANTS. The Board may convey, sell, or otherwise dispose of any properties of each Participant (currently the University) in the Financing System provided:

(a) Ordinary Course. Such conveyance, sale, or disposition shall be in the ordinary course of business of such Participant which uses, operates, owns, or is otherwise responsible for such properties; or
(b) **Disposition Upon Board Determination.** The Board shall determine that after the conveyance, sale, or other disposition of such properties, the Board shall have sufficient funds during each Fiscal Year during which Parity Obligations are to be Outstanding to meet the financial obligations of each Participant in the Financing System, including sufficient Pledged Revenues to satisfy the Annual Debt Service Requirements of the Financing System and to meet all financial obligations of the Board relating to the Financing System.

**Section 7. COMBINATION, DIVISION, RELEASE AND ADMISSION OF NEW INSTITUTIONS UNDER THE FINANCING SYSTEM.**

(a) **Combination and Division.** Notwithstanding anything to the contrary contained herein, it is recognized that certain institutions which may become Participants in the Financing System may be combined or divided and that so long as such combined or divided institutions continue to be governed by the Board such action shall not be in violation of the provisions of this Resolution or require any amendments of the provisions hereof.

(b) **Release.** Subject to the conditions set forth below, any Participant in the Financing System or portion thereof may be closed and abandoned by law or may be removed from the Financing System (thus deleting the revenues, income, funds and balances attributable to said Participant or portion thereof from Pledged Revenues) without violating the terms of this Resolution provided:

(1) the Board approves and delivers an Officers' Certificate to the effect that, to the knowledge thereof, after the release of such Participant or portion thereof, the Board will have sufficient funds during each Fiscal Year in which Parity Obligations shall thereafter be Outstanding to meet the financial obligations of the Board, including sufficient Pledged Revenues to satisfy the Annual Debt Service Requirements of the Financing System and to meet all financial obligations of the Board relating to the Financing System; and

(2) the Board receives an Opinion of Counsel which shall state that such release will not affect the status for federal income tax purposes of interest on any Outstanding Parity Obligations and that all conditions precedent provided in this Resolution or any resolution hereafter adopted governing the issuance of Parity Obligations relating to such release have been complied with; and

(3) (A) if the Participant or portion thereof to be released from the Financing System is to remain under the governance and control of the Board, the Board must either (i) provide, from lawfully available funds, including Pledged Revenues attributable to said withdrawing Participant, for the payment or discharge of said Participant's Direct Obligation or (ii) pledge to the payment of Parity Obligation, additional resources not then pledged in an amount sufficient to satisfy such withdrawing Participant's Direct Obligation; or
(B) if the Participant or portion thereof to be released from the Financing System is to no longer be under the governance and control of the Board and remains in operation independent of the Board, the Board must enter into a binding obligation with the new governing body of the withdrawing institution or the portion thereof being withdrawn, obligating said governing body to make payments to the Board at the times and in the amounts equal to said Participant's Annual Obligation or to pay or discharge said Participant's Direct Obligation, or, in the case of a portion of a Participant being withdrawn, the proportion of the Participant's Annual Obligation or Direct Obligation, as the case may be, attributable to the withdrawing portion of the Participant.

(c) If, after the date of the adoption of this Resolution, the Board desires for an institution or agency governed by the Board to become a Participant of the Financing System, or if the Board is required by law to assume the governance of an institution or agency, it may include said institution or agency in the Financing System with the effect set forth in this Resolution by the adoption of a resolution amending this Resolution.

Section 8. WAIVER OF CERTAIN COVENANTS. The Board may omit in any particular instance to comply with any covenant or condition set forth in Sections 3 through 7 hereof if before or after the time for such compliance the Owners of the same percentage in principal amount of all Parity Obligations then Outstanding, the consent of which would be required to amend the provisions hereof to permit such noncompliance, shall either waive such compliance in such instance or generally waive compliance with such covenant or condition, but no such waiver shall extend to or affect such covenant or condition except to the extent so expressly waived and, until such waiver shall become effective, the obligations of the Board and the duties of the Board in respect to any such covenant or condition shall remain in full force and effect. For purposes of this Section, if a municipal bond insurance policy has been issued insuring the payment of any Outstanding Parity Obligations, the term Owner shall mean the company that has issued any such insurance policy or policies.

Section 9. AMOUNT, PURPOSE, AND DESIGNATION OF THE BONDS. (a) Amount and Designation. The Board's bonds each entitled "BOARD OF REGENTS OF STEPHEN F. AUSTIN STATE UNIVERSITY REVENUE FINANCING SYSTEM REVENUE REFUNDING BOND," are hereby authorized to be issued in one or more series and delivered in an aggregate maximum principal amount (determined without regard to premium or discount affecting the sale price) of $19,920,000. The title of the Bonds shall be designated by the year in which each Series is awarded pursuant to Section 10 below and in the event that another series of bonds is issued by the Board within a calendar year each Series within that year shall have a letter designation following the year. Any Series of Bonds which is issued for the purpose of refunding all or a portion of the Potential Refunded Bonds may include the refunding designation in the title as set forth in the applicable Award Certificate. The authority of the Designated Financial Officer to execute and deliver an Award Certificate for each Series shall expire at 5:00 p.m. Central Time on September 10, 2021, such date being one year from the date of adoption of this Resolution. Bonds priced on or before September 10, 2021 may close after such date.
(b) **Purpose.** The Bonds of each Series are to be issued for the following purposes: (i) REFUNDING ALL OR A PORTION OF THE POTENTIAL REFUNDED BONDS and (ii) PAYING THE COSTS OF ISSUANCE OF THE BONDS.

**Section 10. DATE, DENOMINATIONS, NUMBERS, MATURITIES AND TERMS OF BONDS.** (a) **Terms of Each Series of Bonds.** The Bonds of each Series shall initially be issued, sold, and delivered hereunder as fully registered bonds, without interest coupons, numbered consecutively from R-1 upward (except the initial Bond of each Series delivered to the Attorney General of the State of Texas which shall be numbered T-1), payable to the respective initial registered owners thereof, or to the registered assignee or assignees of said bonds or any portion or portions thereof (in each case, the "Registered Owner"), in the denomination of $5,000 or any integral multiple thereof (an "Authorized Denomination"), each Series maturing not later than October 15, 2029, serially or otherwise on the dates, in the years and in the principal amounts, respectively, dated and be either Taxable Bonds or Tax-Exempt, all as set forth in each Award Certificate of the Designated Financial Officer.

(b) **Award Certificate.** As authorized by Chapters 1207 and 1371, Government Code, as amended, the Designated Financial Officer is hereby authorized, appointed, and designated to act on behalf of the Board in selling and delivering the Bonds of each Series and carrying out the other procedures specified in this Resolution, including determining and fixing the date of each Series of the Bonds, any additional or different designation or title by which each Series of the Bonds shall be known, the price at which each Series of the Bonds will be sold, the years in which each Series of the Bonds will mature, the principal amount to mature in each of such years, the aggregate principal amount of each Series of the Bonds, whether the Bonds are designated as Tax-Exempt Bonds or Taxable Bonds, the rate or rates of interest to be borne by each maturity, the interest payment periods, the dates, price, and terms upon and at which the Bonds shall be subject to redemption prior to maturity at the option of the Board, as well as any mandatory sinking fund redemption provisions, the amount of capitalized interest, if any, for each Series of Bonds, establishing a reserve fund for the Bonds, if any, and all other matters relating to the issuance, sale, and delivery of the Bonds, all of which shall be specified in a certificate of the Designated Financial Officer delivered to the Secretary of the Board (the "Award Certificate"); provided that (i) the price to be paid for each Series of the Bonds shall not be less than 90% of the aggregate original principal amount thereof plus accrued interest, if any, thereon from its date to its delivery, (ii) Bonds shall be issued to refund all or a portion of the Potential Refunded Bonds only if such refunding, assuming that each Series sold and delivered at the same time constitutes one Series, results in a present value savings on the Annual Debt Service Requirements not less than an amount equal to 3% of the principal amount of such Refunded Bonds being refunded, and (iii) each Series of the Bonds shall not bear interest at a rate in excess of the maximum rate allowed by law.

In establishing the aggregate principal amount of a Series of Bonds to be issued to refund Refunded Bonds, the Designated Financial Officer shall establish an amount, not to exceed the amount authorized in Section 9, sufficient to provide for the refunding of the Refunded Bonds that will result in a reduction in the Annual Debt Service Requirements that otherwise would be payable from the Pledged Revenues with respect to the Refunded Bonds, on a net present value basis of at least 3%. The amount of savings to be realized from the refunding shall be shown in each Award
Certificate. The Award Certificate of each Series shall also identify the Refunded Bonds being refunded by that Series.

It is further provided, however, that, notwithstanding the foregoing provisions, the Bonds shall not be delivered unless prior to delivery of each Series the Award Certificate has been executed and delivered as required by this Resolution.

Each Award Certificate is hereby incorporated in and made a part of this Resolution.

(c) **Sale of Each Series of Bonds.** To achieve advantageous borrowing costs for each Participant (currently the University) in the Financing System, each Series of the Bonds shall be sold on a negotiated, placement or competitive basis as determined by the Designated Financial Officer in the Award Certificate. In determining whether to sell each Series of the Bonds by negotiated, placement or competitive sale, the Designated Financial Officer shall take into account the financial condition of the State, the University and the Financing System, any material disclosure issues which might exist at the time, the market conditions expected at the time of the sale, the achievement of the HUB goals of the Board, and any other matters which, in the judgment of the Designated Financial Officer, might affect the net borrowing costs on each Series of the Bonds.

If the Designated Financial Officer determines that a Series of the Bonds should be sold at a competitive sale, the Designated Financial Officer shall cause to be prepared a notice of sale and official statement in such manner as the Designated Financial Officer deems appropriate, to make the notice of sale and official statement available to those institutions and firms wishing to submit a bid for the Bonds, to receive such bids, and to award the sale of the Bonds to the bidder submitting the best bid in accordance with the provisions of the notice of sale.

If the Designated Financial Officer determines that a Series of the Bonds should be sold by a negotiated sale or placement, the Designated Financial Officer shall designate the placement purchaser or the senior managing underwriter for the Bonds and such additional investment banking firms as the Designated Financial Officer deems appropriate to assure that the Bonds are sold on the most advantageous terms to the Financing System. The Designated Financial Officer, acting for and on behalf of the Board, is authorized to enter into and carry out a Bond Purchase Contract or other agreement for the Bonds to be sold by negotiated sale or placement, with the Underwriter or placement purchaser at such price, with and subject to such terms as determined by the Designated Financial Officer pursuant to Section 10(b) above. Each Bond Purchase Contract or other agreement shall be substantially in the form and substance previously approved by the Board in connection with the authorization of Previously Issued Parity Obligations with such changes as are acceptable to the Designated Financial Officer, including those covered by Section 24 or Section 33 and any provisions determined to be necessary by the Designated Financial Officer and Bond Counsel in the event that such Series of Bonds is being sold in a forward delivery transaction.

(d) **In General.** Each Series of the Bonds (i) may and shall be redeemed prior to the respective scheduled maturity dates, (ii) may be assigned and transferred, (iii) may be exchanged
for other Bonds, (iv) shall have the characteristics, (v) shall be Tax-Exempt Bonds or Taxable Bonds and (vi) shall be signed and sealed, and the principal of and interest on the Bonds shall be payable, all as provided, and in the manner required or indicated, in the FORM OF BOND set forth in Exhibit "B" to this Resolution and as determined by the Designated Financial Officer as provided herein, with such changes and additions as are required to be consistent with the terms and provisions shown in the Award Certificate.

Section 11. INTEREST. Each Series of the Bonds shall bear interest, calculated on the basis of a 360-day year composed of twelve 30-day months, from their date, until maturity or redemption, at the rates set forth in the Award Certificate. Each Series of Bonds shall be designated as Tax–Exempt Bonds or Taxable Bonds as set forth in the Award Certificate. Interest shall be payable to the registered owner of any such Bond in the manner provided and on the dates stated in the FORM OF BOND set forth in this Resolution and the Award Certificate.

Section 12. REGISTRATION, TRANSFER, AND EXCHANGE; AUTHENTICATION; BOOK-ENTRY-ONLY SYSTEM. (a) Paying Agent/Registrar. The Designated Financial Officer is authorized to select a Paying Agent/Registrar for the Bonds. The Designated Financial Officer is also authorized to enter into and carry out a Paying Agent/Registrar Agreement with the Paying Agent/Registrar with respect to the Bonds in substantially the form previously approved by the Board in connection with the authorization of Previously Issued Parity Obligations with such changes as are acceptable to the Designated Financial Officer.

(b) Registration Books. The Board shall cause to be kept at a corporate trust office of the Paying Agent/Registrar designated in the Paying Agent/Registrar Agreement (the "Designated Trust Office") books or records for the registration of the transfer, exchange, and replacement of the Bonds (the "Registration Books"), and the Paying Agent/Registrar is hereby appointed to serve as registrar and transfer agent to keep such books or records and make such registrations of transfers, exchanges, and replacements under such reasonable regulations as the Board and Paying Agent/Registrar may prescribe; and the Paying Agent/Registrar shall make such registrations, transfers, exchanges, and replacements as herein provided. The Paying Agent/Registrar shall obtain and record in the Registration Books the address of the registered owner of each Bond to which payments with respect to the Bonds shall be mailed, as herein provided; but it shall be the duty of each registered owner to notify the Paying Agent/Registrar in writing of the address to which payments shall be mailed, and such interest payments shall not be mailed unless such notice has been given. The Board shall have the right to inspect the Registration Books at the Designated Trust Office of the Paying Agent/Registrar during regular business hours, but otherwise the Paying Agent/Registrar shall keep the Registration Books confidential and, unless otherwise required by law, shall not permit their inspection by any other entity.

(c) Ownership of Bonds. The entity in whose name any Bond shall be registered in the Registration Books at any time shall be deemed and treated as the absolute owner thereof for all purposes of this Resolution, whether such Bond shall be overdue, and, to the extent permitted by law, the Board and the Paying Agent/Registrar shall not be affected by any notice to the contrary; and payment of, or on account of, the principal of, premium, if any, and interest on any such Bond shall be made only to such registered owner. All such payments shall be valid and
effectual to satisfy and discharge the liability upon such Bond to the extent of the sum or sums so paid.

(d) **Payment of Bonds and Interest.** The Paying Agent/Registrar shall further act as the paying agent for paying the principal of, premium, if any, and interest on the Bonds, all as provided in this Resolution. The Paying Agent/Registrar shall keep proper records of all payments made by the University and the Paying Agent/Registrar with respect to the Bonds.

(e) **Authentication.** The Bonds initially issued and delivered pursuant to this Resolution shall be authenticated by the Paying Agent/Registrar by execution of the Paying Agent/Registrar's Authentication Certificate unless they have been approved by the Attorney General of the State of Texas and registered by the Comptroller of Public Accounts of the State of Texas, and on each substitute Bond issued in exchange for any Bond or Bonds issued under this Resolution the Paying Agent/Registrar shall execute the PAYING AGENT/REGISTRAR'S AUTHENTICATION CERTIFICATE (the "Authentication Certificate"). The Authentication Certificate shall be in the form set forth in the FORM OF BONDS.

(f) **Transfer, Exchange, or Replacement.** Each Bond issued and delivered pursuant to this Resolution, to the extent of the unpaid or unredeemed principal amount thereof, may, upon surrender of such Bond at the Designated Trust Office of the Paying Agent/Registrar, together with a written request therefor duly executed by the registered owner or the assignee or assignees thereof, or its or their duly authorized attorneys or representatives, with guarantee of signatures satisfactory to the Paying Agent/Registrar, may, at the option of the registered owner or such assignee or assignees, as appropriate, be exchanged for fully registered bonds, without interest coupons, in the appropriate form prescribed in the FORM OF BONDS set forth in this Resolution, in any Authorized Denomination (subject to the requirement hereinafter stated that each substitute Bond shall be of the same series and have a single stated maturity date), as requested in writing by such registered owner or such assignee or assignees, in an aggregate principal amount equal to the unpaid or unredeemed principal amount of any Bond or Bonds so surrendered, and payable to the appropriate registered owner, assignee, or assignees, as the case may be. If a portion of any Bond shall be redeemed prior to its scheduled maturity as provided herein, a substitute Bond or Bonds having the same series designation and maturity date, bearing interest at the same rate, and payable in the same manner, in Authorized Denominations at the request of the registered owner, and in an aggregate principal amount equal to the unredeemed portion thereof, will be issued to the registered owner upon surrender thereof for cancellation. If any Bond or portion thereof is assigned and transferred, each Bond issued in exchange therefor shall have the same series designation and maturity date and bear interest at the same rate and payable in the same manner as the Bond for which it is being exchanged. Each substitute Bond shall bear a letter and/or number to distinguish it from each other Bond. The Paying Agent/Registrar shall exchange or replace Bonds as provided herein, and each fully registered bond delivered in exchange for or replacement of any Bond or portion thereof as permitted or required by any provision of this Resolution shall constitute one of the Bonds for all purposes of this Resolution, and may again be exchanged or replaced. On each substitute Bond issued in exchange for or replacement of any Bond or Bonds issued under this Resolution there shall be printed an Authentication Certificate, in the form set forth in the FORM OF BONDS set forth in Exhibit "B" to this Resolution. An authorized
representative of the Paying Agent/Registrar shall, before the delivery of any such Bond, date and manually sign the Authentication Certificate, and, except as provided in subsection (e) above, no such Bond shall be deemed to be issued or outstanding unless the Authentication Certificate is so executed. The Paying Agent/Registrar promptly shall cancel all Bonds surrendered for transfer, exchange, or replacement. No additional orders or resolutions need be passed or adopted by the Board or any other body or person so as to accomplish the foregoing transfer, exchange, or replacement of any Bond or portion thereof, and the Paying Agent/Registrar shall provide for the printing, execution, and delivery of the substitute Bonds in the manner prescribed herein, and said Bonds shall be in typed or printed form as determined by the Designated Financial Officer. Pursuant to Chapter 1206, Texas Government Code, the duty of transfer, exchange, or replacement of Bonds as aforesaid is hereby imposed upon the Paying Agent/Registrar, and, upon the execution of the Authentication Certificate, the exchanged or replaced Bond shall be valid, incontestable, and enforceable in the same manner and with the same effect as the Bonds which were originally issued pursuant to this Resolution. The Board shall pay the Paying Agent/Registrar's standard or customary fees and charges, if any, for transferring, and exchanging any Bond or any portion thereof, but the one requesting any such transfer and exchange shall pay any taxes or governmental charges required to be paid with respect thereto as a condition precedent to the exercise of such privilege. The Paying Agent/Registrar shall not be required to make any such transfer, exchange, or replacement of Bonds or any portion thereof (i) during the period commencing with the close of business on any Record Date and ending with the opening of business on the next following interest payment date, or, (ii) with respect to any Bond or portion thereof called for redemption prior to maturity, within 45 days prior to its redemption date. To the extent possible, any new Bond issued in an exchange, replacement, or transfer of a Bond will be delivered to the registered owner or assignee of the registered owner not more than three business days after the receipt of the Bonds to be cancelled and the written request as described above.

(g) **Substitute Paying Agent/Registrar.** The Board covenants with the registered owners of the Bonds that at all times while the Bonds are outstanding the Board will provide a competent and legally qualified bank, trust company, financial institution, or other agency to act as and perform the services of Paying Agent/Registrar for the Bonds under this Resolution, and that the Paying Agent/Registrar will be one entity. The Board reserves the right, and may, at its option, change the Paying Agent/Registrar upon not less than 120 days written notice to the Paying Agent/Registrar, to be effective not later than 60 days prior to the next principal or interest payment date after such notice. In the event that the entity at any time acting as Paying Agent/Registrar (or its successor by merger, acquisition, or other method) should resign or otherwise cease to act as such, the Board covenants that promptly it will appoint a competent and legally qualified bank, trust company, financial institution, or other agency to act as Paying Agent/Registrar under this Resolution. Upon any change in the Paying Agent/Registrar, the previous Paying Agent/Registrar promptly shall transfer and deliver the Registration Books (or a copy thereof), along with all other pertinent books and records relating to the Bonds, to the new Paying Agent/Registrar designated and appointed by the Board. Upon any change in the Paying Agent/Registrar, the Board promptly will cause a written notice thereof to be sent by the new Paying Agent/Registrar to each registered owner of the Bonds, by United States mail, first-class postage prepaid, which notice also shall give the address of the new Paying Agent/Registrar. By accepting the position and performing as such,
each Paying Agent/Registrar shall be deemed to have agreed to the provisions of this Resolution, and a certified copy of this Resolution shall be delivered to each Paying Agent/Registrar.

(h) **Book-Entry-Only System.** The Bonds issued in exchange for the Bonds initially issued and delivered to the Purchaser shall be issued in the form of a separate single fully registered Bond for each of the maturities thereof registered in the name of Cede & Co., as nominee of DTC, and except as provided in subsection (i) hereof, all of the Outstanding Bonds shall be registered in the name of Cede & Co., as nominee of DTC. The Designated Financial Officer is authorized to take all actions necessary to obtain, complete and execute a "DTC Blanket Letter of Representations" in connection with utilizing the DTC Book-Entry-Only System.

With respect to Bonds registered in the name of Cede & Co., as nominee of DTC, the Board and the Paying Agent/Registrar shall have no responsibility or obligation to any DTC Participant or to any person on behalf of whom such a DTC Participant holds an interest in the Bonds. Without limiting the immediately preceding sentence, the Board and the Paying Agent/Registrar shall have no responsibility or obligation with respect to (i) the accuracy of the records of DTC, Cede & Co. or any DTC Participant with respect to any ownership interest in the Bonds, (ii) the delivery to any DTC Participant or any other person, other than a Bondholder, as shown on the Registration Books, of any notice with respect to the Bonds, including any notice of redemption, or (iii) the payment to any DTC Participant or any other person, other than a Bondholder, as shown in the Registration Books of any amount with respect to principal of, premium, if any, or interest on the Bonds. Notwithstanding any other provision of this Resolution to the contrary but to the extent permitted by law, the Board and the Paying Agent/Registrar shall be entitled to treat and consider the person in whose name each Bond is registered in the Registration Books as the absolute owner of such Bond for the purpose of payment of principal, premium, if any, and interest, with respect to such Bond, for the purposes of registering transfers with respect to such Bond, and for all other purposes of registering transfers with respect to such Bonds, and for all other purposes whatsoever. The Paying Agent/Registrar shall pay all principal of, premium, if any, and interest on the Bonds only to or upon the order of the respective owners, as shown in the Registration Books as provided in this Resolution, or their respective attorneys duly authorized in writing, and all such payments shall be valid and effective to fully satisfy and discharge the Board's obligations with respect to payment of principal of, premium, if any, and interest on the Bonds to the extent of the sum or sums so paid. No person other than an owner, as shown in the Registration Books, shall receive a Bond certificate evidencing the obligation of the Board to make payments of principal, premium, if any, and interest pursuant to this Resolution. Upon delivery by DTC to the Paying Agent/Registrar of written notice to the effect that DTC has determined to substitute a new nominee in place of Cede & Co., and subject to the provisions in this Resolution with respect to interest checks being mailed to the registered owner at the close of business on the Record Date, the word "Cede & Co." in this Resolution shall refer to such new nominee of DTC.

(i) **Successor Securities Depository; Transfers Outside Book-Entry-Only System.** In the event that the Board or the Paying Agent/Registrar determines that DTC is incapable of discharging its responsibilities described herein and in the representation letter of the Board to DTC (as referred in subsection (h) above) or DTC determines to discontinue providing its services with respect to the Bonds, the Board shall (i) appoint a successor securities depository, qualified
to act as such under Section 17(a) of the Securities and Exchange Act of 1934, as amended, notify DTC and DTC Participants of the appointment of such successor securities depository and transfer one or more separate Bonds to such successor securities depository or (ii) notify DTC and DTC Participants of the availability through DTC of Bonds and transfer one or more separate Bonds to DTC Participants having Bonds credited to their DTC accounts. In such event, the Bonds shall no longer be restricted to being registered in the Registration Books in the name of Cede & Co., as nominee of DTC, but may be registered in the name of the successor securities depository, or its nominee, or in whatever name or names Bondholders transferring or exchanging Bonds shall designate, in accordance with the provisions of this Resolution.

(j) Payments to Cede & Co. Notwithstanding any other provision of this Resolution to the contrary, so long as any Bond is registered in the name of Cede & Co., as nominee of DTC, all payments with respect to principal of, premium, if any, and interest on such Bond and all notices with respect to such Bond shall be made and given, respectively, in the manner provided in the representation letter of the Board to DTC.

(k) Notice of Redemption. In addition to the method of providing a notice of redemption set forth in the FORM OF BONDS, the Paying Agent/Registrar shall give notice of redemption of Bonds by United States mail, first-class postage prepaid, at least thirty (30) days prior to a redemption date to each registered securities depository and to any national information service that disseminates redemption notices. In addition, in the event of a redemption caused by an advance refunding of the Bonds, the Paying Agent/Registrar shall send a second notice of redemption to the persons specified in the immediately preceding sentence at least thirty (30) days but not more than ninety (90) days prior to the actual redemption date. Any notice sent to the registered securities depositories or such national information services shall be sent so that they are received at least two (2) days prior to the general mailing or publication date of such notice. The Paying Agent/Registrar shall also send a notice of prepayment or redemption to the registered owner of any Bond who has not sent the Bonds in for redemption sixty (60) days after the redemption date.

Each notice of redemption, whether required in the FORM OF BONDS or in this Section, shall contain a description of the Bonds to be redeemed including the complete name of the Bonds, the Series, the date of issue, the interest rate, the maturity date, the CUSIP number, a reference to the principal amounts of each maturity called for redemption, the publication and mailing date for the notice, the date of redemption, the redemption price, the name of the Paying Agent/Registrar and the address at which the Bonds may be redeemed, including a contact person and telephone number.

All redemption payments made by the Paying Agent/Registrar to the registered owners of the Bonds shall include a CUSIP number relating to each amount paid to such registered owner.

Section 13. FORM OF BONDS. The forms of the Bonds, including the form of the Authentication Certificate, the form of Assignment, the form of any statement of insurance with respect to the Bonds provided by a Bond Insurer, and the form of Registration Certificate of the Comptroller of Public Accounts of the State of Texas, with respect to the Bonds initially issued

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and delivered to the Purchaser pursuant to this Resolution, shall be, respectively, substantially as set forth in Exhibit "B", with such appropriate variations, omissions, or insertions as are permitted or required by this Resolution.

Section 14. INDIVIDUALS NOT LIABLE. All covenants, stipulations, obligations, and agreements of the Board contained in this Resolution shall be deemed to be covenants, stipulations, obligations, and agreements of the Financing System and the Board to the full extent authorized or permitted by the Constitution and laws of the State of Texas. No covenant, stipulation, obligation, or agreement herein contained shall be deemed to be a covenant, stipulation, obligation, or agreement of any member of the Board or agent or employee of the Board in the individual capacity thereof and neither the respective members of the Board, nor any officer thereof or of any participant shall be liable personally on Parity Obligations when issued, or be subject to any personal liability or accountability by reason of the issuance thereof.

Section 15. SECURITY FOR THE BONDS. The Bonds are special obligations of the Board payable from and secured solely by the Pledged Revenues pursuant to this Resolution. The Pledged Revenues are hereby pledged, subject to the liens securing any Prior Encumbered Obligations, to the payment of the principal of, premium, if any, and interest on the Bonds as the same shall become due and payable. The Board agrees to pay the principal of, premium, if any, and the interest on the Bonds when due, whether by reason of maturity or redemption.

Section 16. PAYMENTS. (a) Accrued Interest. Immediately after the delivery of the Bonds, the Board shall deposit any accrued interest received from the sale and delivery of the Bonds to the credit of a special account to be held to pay interest on such Bonds on the first interest payment date.

(b) Debt Service Payments. Semiannually on or before each principal or interest payment date while any of the Bonds are outstanding and unpaid, commencing on the first interest payment date for the Bonds as specified in the Award Certificate, the Board shall make available to the Paying Agent/Registrar, money sufficient to pay such interest on and such principal of the Bonds as will accrue or mature, or be subject to mandatory redemption prior to maturity, on such principal, redemption, or interest payment date. The Paying Agent/Registrar shall cancel all paid Bonds and shall furnish the Board with an appropriate certificate of cancellation.

Section 17. DAMAGED, MUTILATED, LOST, STOLEN, OR DESTROYED BONDS. (a) Replacement Bonds. In the event any outstanding Bond is damaged, mutilated, lost, stolen, or destroyed, the Paying Agent/Registrar shall cause to be printed, executed, and delivered, a new bond of the same Series, principal amount, maturity, and interest rate, and in the same form, as the damaged, mutilated, lost, stolen, or destroyed Bond, in replacement for such Bond in the manner hereinafter provided.

(b) Application for Replacement Bonds. Application for replacement of damaged, mutilated, lost, stolen, or destroyed Bonds shall be made to the Paying Agent/Registrar. In every case of loss, theft, or destruction of a Bond, the applicant for a replacement bond shall furnish to the Board and the Paying Agent/Registrar such security or indemnity as may be required by them.
to save each of them harmless from any loss or damage with respect thereto. Also, in every case of loss, theft, or destruction of a Bond, the applicant shall furnish to the Board and the Paying Agent/Registrar evidence to their satisfaction of the loss, theft, or destruction of such Bond, as the case may be. In every case of damage or mutilation of a Bond, the applicant shall surrender to the Paying Agent/Registrar for cancellation the Bond so damaged or mutilated.

(c) **Payment in Lieu of Replacement.** Notwithstanding the foregoing provisions of this Section, in the event any such Bond shall have matured, and no default has occurred which is then continuing in the payment of the principal of, redemption premium, if any, or interest on the Bond, the Board, may authorize the payment of the same (without surrender thereof except in the case of a damaged or mutilated Bond) instead of issuing a replacement Bond, provided security or indemnity is furnished as above provided in this Section.

(d) **Charge for Issuing Replacement Bonds.** Prior to the issuance of any replacement bond, the Paying Agent/Registrar shall charge the owner of such Bond with all legal, printing, and other expenses in connection therewith. Every replacement bond issued pursuant to the provisions of this Section by virtue of the fact that any Bond is lost, stolen, or destroyed shall constitute a contractual obligation of the Board whether or not the lost, stolen, or destroyed Bond shall be found at any time, or be enforceable by anyone, and shall be entitled to all the benefits of this Resolution equally and proportionately with any and all other Bonds duly issued under this Resolution.

(e) **Authority for Issuing Replacement Bonds.** In accordance with Chapter 1206, Texas Government Code, this Section shall constitute authority for the issuance of any such replacement bond without the necessity of further action by the Board or any other body or person, and the duty of the replacement of such Bonds is hereby authorized and imposed upon the Paying Agent/Registrar, and the Paying Agent/Registrar shall authenticate and deliver such Bonds in the form and manner and with the effect, as provided in Section 12(f) of this Resolution for Bonds issued in exchange and replacement for other Bonds.

Section 18. **REMEDIES.** Any owner of Parity Obligations in the event of default in connection with any covenant contained herein or in any resolution adopted hereafter authorizing the issuance of Parity Obligations, or default in the payment of said obligations, or of any interest due thereon, or other costs and expenses related thereto, may require the Board, their respective officials and employees, and any appropriate official of the State of Texas, to carry out, respect, or enforce the covenants and obligations of this Resolution by all legal and equitable means, including specifically, but without limitation, the use and filing of mandamus proceedings in any court of competent jurisdiction against the Board, their respective officials and employees, or any appropriate official of the State of Texas.

Section 19. **DEFEASANCE OF OBLIGATIONS.** (a) Any Bond and the interest thereon shall be deemed to be paid, retired and no longer Outstanding (a "Deceased Bond") within the meaning of this Resolution, except to the extent provided in subsections (c) and (e) of this Section, when payment of the principal of such Bond, plus interest thereon to the due date or dates (whether such due date or dates be by reason of maturity, upon redemption, or otherwise) either
(i) shall have been made or caused to be made in accordance with the terms thereof (including the
giving of any required notice of redemption) or (ii) shall have been provided for on or before such
due date by irrevocably depositing with or making available to the Paying Agent/Registrar or any
other eligible bank or trust company then authorized by State law for such payment (1) lawful
money of the United States of America sufficient to make such payment, (2) Defeasance Securities,
certified by an independent public accounting firm of national reputation to mature as to principal
and interest in such amounts and at such times as will ensure the availability, without reinvestment,
of sufficient money to provide for such payment and when proper arrangements have been made
by the Board with the Paying Agent/Registrar for the payment of its services until all Defeased
Bonds shall have become due and payable or (3) any combination of (1) and (2). At such time as
a Bond shall be deemed to be a Defeased Bond hereunder, as aforesaid, such Bond and the interest
thereon shall no longer be secured by, payable from, or entitled to the benefits of, the revenues
herein pledged as provided in this Resolution, and such principal and interest shall be payable
solely from such money or Defeasance Securities.

(b) The deposit under clause (ii) of subsection (a) shall be deemed a payment of a Bond
as aforesaid when proper notice of redemption of such Bonds shall have been given, in accordance
with this Resolution. Any money so deposited with the Paying Agent/Registrar or other eligible
institution as provided in this Section may at the written discretion of the Board also be invested
in Defeasance Securities, maturing in the amounts and at the times as hereinbefore set forth, and
all income from all Defeasance Securities in possession of the Paying Agent/Registrar or other
eligible institution pursuant to this Section which is not required for the payment of such Bond and
premium, if any, and interest thereon with respect to which such money has been so deposited,
shall be turned over to the Board.

(c) Notwithstanding any provision of any other Section of this Resolution which may
be contrary to the provisions of this Section, all money or Defeasance Securities set aside and held
in trust pursuant to the provisions of this Section for the payment of principal of the Bonds and
premium, if any, and interest thereon, shall be applied to and used solely for the payment of the
particular Bonds and premium, if any, and interest thereon, with respect to which such money or
Defeasance Securities have been so set aside in trust. Until all Defeased Bonds shall have become
due and payable, the Paying Agent/Registrar shall perform the services of Paying Agent/Registrar
for such Defeased Bonds the same as if they had not been defeased, and the Board shall make
proper arrangements to provide and pay for such services as required by this Resolution.

(d) Notwithstanding anything elsewhere in this Resolution, if money or Defeasance
Securities have been deposited or set aside with the Paying Agent/Registrar or other eligible
institution pursuant to this Section for the payment of Bonds and such Bonds shall not have in fact
been actually paid in full, no amendment of the provisions of this Section shall be made without
the consent of the registered owner of each Bond affected thereby.

(e) Notwithstanding the provisions of subsection (a) immediately above, to the extent
that, upon the defeasance of any Defeased Bond to be paid at its maturity, the Board retains the
right under Texas law to later call that Defeased Bond for redemption in accordance with the
provisions of this Resolution, the Board may call such Defeased Bond for redemption upon

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complying with the provisions of Texas law and upon the satisfaction of the provisions of subsection (a) immediately above with respect to such Defeased Bond as though it was being defeased at the time of the exercise of the option to redeem the Defeased Bond and the effect of the redemption is taken into account in determining the sufficiency of the provisions made for the payment of the Defeased Bond.

(f) In the event that the Board elects to defease less than all of the principal amount of Bonds of a maturity, the Paying Agent/Registrar shall select, or cause to be selected, such amount of Bonds by such random method as it deems fair and appropriate.

Section 20. AMENDMENT OF RESOLUTION. (a) Amendment Without Consent. This Resolution and the rights and obligations of the Board and of the owners of the Outstanding Parity Obligations may be modified or amended at any time without notice to or the consent of any owner of the Outstanding Parity Obligations, solely for any one or more of the following purposes:

(i) To add to the covenants and agreements of the Board contained in this Resolution, other covenants and agreements thereafter to be observed, or to surrender any right or power reserved to or conferred upon the Board in this Resolution;

(ii) To cure any ambiguity or inconsistency, or to cure or correct any defective provisions contained in this Resolution, upon receipt by the Board of an opinion of Bond Counsel, that the same is needed for such purpose, and will more clearly express the intent of this Resolution;

(iii) To supplement the security for the Parity Obligations, including, but not by way of limitation, to provide for the addition of new institutions and agencies to the Financing System or to clarify the provisions regarding the University as a Participant in the Financing System; provided, however, if the definition of Pledged Revenues is amended in any manner which results in the pledge of additional resources, the terms of such amendment may limit the amount of such additional pledge and the manner, extent, and duration of such additional pledge all as set forth in such amendment;

(iv) To make any changes or amendments requested by any bond rating agency then rating or requested to rate Parity Obligations, as a condition to the issuance or maintenance of a rating, which changes or amendments do not, in the judgment of the Board, materially adversely affect the interests of the owners of the Outstanding Parity Obligations;

(v) To make such changes, modifications or amendments as may be necessary or desirable, which shall not adversely affect the interests of the owners of the Outstanding Parity Obligations, in order, to the extent permitted by law, to facilitate the economic and practical utilization of Credit Agreements with respect to the Parity Obligations;
(vi) To make such other changes in the provisions hereof as the Board may deem
necessary or desirable and which shall not, in the judgment of the Board, materially
adversely affect the interests of the owners of Outstanding Parity Obligations; or

(vii) To make such changes or amendments as contemplated by Section 24(c) of
this Resolution in order to comply with the Rule.

Notice of any such amendment may be published by the Board in the manner described in
subsection (c) of this Section; provided, however, that the publication of such notice shall not
constitute a condition precedent to the adoption of such amendatory resolution and the failure to
publish such notice shall not adversely affect the implementation of such amendment as adopted
pursuant to such amendatory resolution.

(b) Amendments With Consent. Subject to the other provisions of this Resolution, the
owners of Outstanding Parity Obligations aggregating a majority in Outstanding Principal Amount
shall have the right from time to time to approve any amendment to this Resolution, other than
amendments described in subsection (a) of this Section, which may be deemed necessary or
desirable by the Board; provided, however, that nothing herein contained shall permit or be
construed to permit, without the approval of the owners of all of the Outstanding Parity
Obligations, the amendment of the terms and conditions in this Resolution so as to:

(1) Grant to the owners of any Outstanding Parity Obligations a priority over the
owners of any other Outstanding Parity Obligations;

(2) Materially adversely affect the rights of the owners of less than all Parity
Obligations then Outstanding;

(3) Change the minimum percentage of the Outstanding Principal Amount necessary
for consent to such amendment;

(4) Make any change in the maturity of the Outstanding Bonds;

(5) Reduce the rate of interest borne by Outstanding Bonds;

(6) Reduce the amount of the principal payable on Outstanding Bonds; or

(7) Modify the terms of payment of principal of or interest on the Outstanding Bonds,
or impose any conditions with respect to such payment; or

(8) Adversely affect the tax exempt status of the interest on the Outstanding Bonds to
the owners thereof.

(c) Notice. If at any time this Resolution is to be amended pursuant to the provisions
of subsection (b) of this Section, the Board shall cause notice of the proposed amendment to be
published in a financial newspaper or journal of general circulation in The City of New York, New
York, once during each calendar week for at least two successive calendar weeks. Such notice shall briefly set forth the nature of the proposed amendment and shall state that a copy thereof is on file at the principal office of each Registrar for the Parity Obligations for inspection by all owners of Parity Obligations. Such publication is not required, however, if the Board gives or causes to be given such notice in writing, by certified mail, to each owner of Parity Obligations. Such publication is not required with respect to amendments to this Resolution effected pursuant to the provisions of subsection (a) of this Section.

(d) **Receipt of Consents.** Whenever at any time not less than thirty (30) days, and within one year, from the date of the first publication of said notice or other service of written notice of the proposed amendment the Board shall receive an instrument or instruments executed by all of the owners or the owners of at least a majority in Outstanding Principal Amount, as appropriate, which instrument or instruments shall refer to the proposed amendment described in said notice and which specifically consent to and approve such amendment in substantially the form of the copy thereof on file as aforesaid, the Board may adopt the amendatory resolution in substantially the same form.

(e) **Effect of Amendments.** Upon the adoption of any resolution to amend this Resolution pursuant to the provisions of this Section, this Resolution shall be deemed to be amended in accordance with the amendatory resolution, and the respective rights, duties, and obligations of the Board and all the owners of Outstanding Parity Obligations and all future Parity Obligations shall thereafter be determined, exercised, and enforced under this Resolution, as amended.

(f) **Consent Irrevocable.** Any consent given by any owner of Parity Obligations pursuant to the provisions of this Section shall be irrevocable for a period of six months from the date of the first publication or other service of the notice provided for in this Section, and shall be conclusive and binding upon all future owners of the same Parity Obligations during such period. Such consent may be revoked at any time after six months from the date of the first publication of such notice by the owner who gave such consent, or by a successor in title, by filing notice thereof with the Registrar for such Parity Obligations and the Board, but such revocation shall not be effective if the owners of a majority in Outstanding Principal Amount, prior to the attempted revocation, consented to and approved the amendment.

(g) **Ownership.** For the purpose of this Section, the ownership and other matters relating to all Parity Obligations shall be determined by the Registration Books maintained by the Registrar.

Section 21. **COVENANTS REGARDING TAX-EXEMPTION.** (a) **Covenants.** The Board covenants to take any action necessary to assure, or refrain from any action which would adversely affect, the treatment of the Tax-Exempt Bonds as obligations described in section 103 of the Internal Revenue Code of 1986, as amended (the "IRS Code"), the interest on which is not includable in the "gross income" of the holder for purposes of federal income taxation. In furtherance thereof, the Board covenants as follows:
(1) to take any action to assure that no more than 10 percent of the proceeds of the Tax–Exempt Bonds or the projects financed or refinanced therewith (less amounts deposited to a reserve fund, if any) are used for any "private business use," as defined in section 141(b)(6) of the IRS Code or, if more than 10 percent of the proceeds of the Tax–Exempt Bonds or the projects financed or refinanced therewith are so used, such amounts, whether or not received by the Board, with respect to such private business use, do not, under the terms of this Resolution or any underlying arrangement, directly or indirectly, secure or provide for the payment of more than 10 percent of the debt service on the Tax–Exempt Bonds, in contravention of section 141(b)(2) of the IRS Code;

(2) to take any action to assure that in the event that the "private business use" described in subsection (1) hereof exceeds 5 percent of the proceeds of the Tax–Exempt Bonds or the projects financed or refinanced therewith (less amounts deposited into a reserve fund, if any) then the amount in excess of 5 percent is used for a "private business use" which is "related" and not "disproportionate," within the meaning of section 141(b)(3) of the IRS Code, to the governmental use;

(3) to take any action to assure that no amount which is greater than the lesser of $5,000,000, or 5 percent of the proceeds of the Tax–Exempt Bonds (less amounts deposited into a reserve fund, if any) is directly or indirectly used to finance loans to persons, other than state or local governmental units, in contravention of section 141(c) of the IRS Code;

(4) to refrain from taking any action which would otherwise result in the Tax–Exempt Bonds being treated as "private activity bonds" within the meaning of section 141(b) of the IRS Code;

(5) to refrain from taking any action that would result in the Tax–Exempt Bonds being "federally guaranteed" within the meaning of section 149(b) of the IRS Code;

(6) to refrain from using any portion of the proceeds of the Tax–Exempt Bonds, directly or indirectly, to acquire or to replace funds which were used, directly or indirectly, to acquire investment property (as defined in section 148(b)(2) of the IRS Code) which produces a materially higher yield over the term of the Tax–Exempt Bonds, other than investment property acquired with:

(A) proceeds of the Tax–Exempt Bonds invested for a reasonable temporary period of 3 years or less or, in the case of a refunding bond, for a period of 30 days or less until such proceeds are needed for the purpose for which the Tax–Exempt Bonds are issued,

(B) amounts invested in a bona fide debt service fund, within the meaning of section 1.148-1(b) of the Treasury Regulations, and
(C) amounts deposited in any reasonably required reserve or replacement fund to the extent such amounts do not exceed 10 percent of the proceeds of the Tax–Exempt Bonds;

(7) to otherwise restrict the use of the proceeds of the Tax–Exempt Bonds or amounts treated as proceeds of the Tax–Exempt Bonds, as may be necessary, so that the Tax–Exempt Bonds do not otherwise contravene the requirements of section 148 of the IRS Code (relating to arbitrage); and

(8) to pay to the United States of America at least once during each five-year period (beginning on the date of delivery of the Bonds) an amount that is at least equal to 90 percent of the "Excess Earnings," within the meaning of section 148(f) of the IRS Code and to pay to the United States of America, not later than 60 days after the Tax–Exempt Bonds have been paid in full, 100 percent of the amount then required to be paid as a result of Excess Earnings under section 148(f) of the IRS Code.

(b) Rebate Fund. With respect to the Tax–Exempt Bonds, in order to facilitate compliance with the above covenant (8), a "Rebate Fund" is hereby established by the Board for the sole benefit of the United States of America, and such fund shall not be subject to the claim of any other person, including without limitation the bondholders. The Rebate Fund is established for the additional purpose of compliance with section 148 of the IRS Code.

(c) Proceeds. With respect to the Tax–Exempt Bonds, the Board understands that the term "proceeds" includes "disposition proceeds" as defined in the Treasury Regulations and, in the case of refunding bonds, transferred proceeds (if any) and proceeds of the refunded bonds not expended prior to the date of issuance of the Tax-Exempt Bonds. It is the understanding of the Board that the covenants contained herein are intended to assure compliance with the IRS Code and any regulations or rulings promulgated by the U.S. Department of the Treasury pursuant thereto. In the event that regulations or rulings are hereafter promulgated which modify or expand provisions of the IRS Code, as applicable to the Tax–Exempt Bonds, the Board will not be required to comply with any covenant contained herein to the extent that such failure to comply, in the opinion of nationally recognized bond counsel, will not adversely affect the exemption from federal income taxation of interest on the Tax–Exempt Bonds under section 103 of the IRS Code. In the event that regulations or rulings are hereafter promulgated which impose additional requirements which are applicable to the Tax–Exempt Bonds, the Board agrees to comply with the additional requirements to the extent necessary, in the opinion of nationally recognized bond counsel, to preserve the exemption from federal income taxation of interest on the Tax–Exempt Bonds under section 103 of the IRS Code. In furtherance of such intention, the Board hereby authorizes and directs the Designated Financial Officer to execute any documents, certificates or reports required by the IRS Code and to make such elections, on behalf of the Board, which may be permitted by the IRS Code as are consistent with the purpose for the issuance of the Tax–Exempt Bonds.
(d) **Disposition of Refunded Bonds Projects.** If the Bonds are issued as Tax–Exempt Bonds, the Board covenants that the projects financed by any Refunded Bonds will not be sold or otherwise disposed in a transaction resulting in the receipt by the Board of cash or other compensation, unless the Board obtains an opinion of nationally–recognized bond counsel that such sale or other disposition will not adversely affect the tax–exempt status of the Tax–Exempt Bonds. For purposes of this subsection, the portion of the property comprising personal property and disposed of in the ordinary course shall not be treated as a transaction resulting in the receipt of cash or other compensation. For purposes of this subsection, the Board shall not be obligated to comply with this covenant if it obtains an opinion of nationally–recognized bond counsel to the effect that such failure to comply will not adversely affect the excludability for federal income tax purposes from gross income of the interest.

**Section 24. CONTINUING DISCLOSURE UNDERTAKING.** (a) **Definitions.** As used in this Section, the following terms have the meanings ascribed to such terms below:

"Financial Obligation" means a (a) debt obligation; (b) derivative instrument entered into in connection with, or pledged as security or a source of payment for, an existing or planned debt obligation; or (c) guarantee of a debt obligation or any such derivative instrument; provided that "Financial Obligation" shall not include municipal securities (as defined in the Securities Exchange Act of 1934, as amended) as to which a final official statement (as defined in the Rule) has been provided to the MSRB consistent with Rule.

"MSRB" means the Municipal Securities Rulemaking Board.

"Rule" means SEC Rule 15c2-12, as amended from time to time.

"SEC" means the United States Securities and Exchange Commission.

(b) **Annual Reports.** To the extent that such financial information and operating data is reasonably obtainable under generally acceptable accounting principles applicable to the Board, as modified by the laws of the State of Texas and the rules and regulations of the Comptroller of Public Accounts of the State of Texas, the Board shall provide annually to the MSRB in an electronic format as prescribed by the MSRB, within six months after the end of each Fiscal Year, financial information and operating data with respect to the Board, as determined by the Designated Financial Officer at the time one or more series of Bonds are sold. The Award Certificate shall specify the financial information and operating data to be provided pursuant to this Section. In the event that financial information and operating data to be provided of such general type is not reasonably available, financial information and operating data will be provided as prescribed by the applicable accounting principles and the governing laws, rules, and regulations applicable to the Board. The undertaking of the Board contained in the preceding sentence may be modified by the Designated Financial Officer in the Award Certificate upon advice of counsel. Any financial statements to be provided shall be (1) prepared in accordance with the accounting principles described in Exhibit "C" hereto as modified in the Award Certificate, and (2) audited, if the Board commissions an audit of such statements and the audit is completed within the period
during which they must be provided. If audited financial statements are not so provided within 12 months after any such Fiscal Year end, then the Board shall provide unaudited financial statements within such 12-month period, in an electronic format as prescribed by the MSRB, and shall file audited financial statements when and if audited financial statements become available. If audited financial statements are not prepared for any Fiscal Year and audited financial statements are prepared with respect to the State of Texas for such Fiscal Year, the Board shall provide, or cause to be provided, the audited financial statements of the State of Texas for the applicable Fiscal Year to the MSRB, in an electronic format as prescribed by the MSRB, within six months after the end of said Fiscal Year or as soon thereafter as such audited financial statements of the State of Texas so provided shall be prepared in accordance with generally accepted accounting principles for state governments, as such principles may be changed from time to time to comply with state law.

If the Board changes its Fiscal Year, the Board will notify the MSRB of the change (and of the date of the new Fiscal Year end) prior to the next date by which the Board otherwise would be required to provide financial information and operating data pursuant to this Section.

The financial information and operating data to be provided pursuant to this Section may be set forth in full in one or more documents or may be included by specific reference to any document that is available to the public on the MSRB’s internet website or filed with the SEC. All documents provided to the MSRB pursuant to this Section shall be accompanied by identifying information as prescribed by the MSRB.

(c) **Event Notices.** The Board shall file notice to notify the MSRB, in an electronic format as prescribed by the MSRB, in a timely manner not in excess of ten business days after the occurrence of the event, of any of the following events with respect to the Bonds:

1. Principal and interest payment delinquencies;
2. Non-payment related defaults, if material;
3. Unscheduled draws on debt service reserves reflecting financial difficulties;
4. Unscheduled draws on credit enhancements reflecting financial difficulties;
5. Substitution of credit or liquidity providers, or their failure to perform;
6. Adverse tax opinions, the issuance by the Internal Revenue Service of proposed or final determinations of taxability, Notices of Proposed Issue (IRS Form 5701–TEB) or other material notices or determinations with respect to the tax status of the Tax-Exempt Bonds, or other events affecting the tax status of the Bonds;
7. Modifications to rights of holders of the Bonds, if material;
8. Bond calls, if material, and tender offers;
9. Defeasances;
10. Release, substitution, or sale of property securing repayment of the Bonds, if material;
11. Rating changes;
12. Bankruptcy, insolvency, receivership or similar event of the Board;
13. The consummation of a merger, consolidation, or acquisition involving the Board or the sale of all or substantially all of the assets of the Board, other than in the ordinary course of business, the entry into a definitive agreement to undertake such an action or the termination of a definitive agreement relating to any such actions, other than pursuant to its terms, if material;
14. Appointment of a successor or additional trustee or the change of name of a trustee, if material;
15. Incurrence of a Financial Obligation of the Board, if material, or agreement to covenants, events of default, remedies, priority rights, or other similar terms of a Financial Obligation of the Board, any of which affect security holder, if material; and
16. Default, event of acceleration, termination event, modification of terms, or other similar events under the terms of a Financial Obligation of the Board, any of which reflect financial difficulties.

For these purposes, (a) any event described in the immediately preceding paragraph (12) is considered to occur when any of the following occur: the appointment of a receiver, fiscal agent, or similar officer for the Board in a proceeding under the United States Bankruptcy Code or in any other proceeding under state or federal law in which a court or governmental authority has assumed jurisdiction over substantially all of the assets or business of the Board, or if such jurisdiction has been assumed by leaving the existing governing body and officials or officers of the Board in possession but subject to the supervision and orders of a court or governmental authority, or the entry of an order confirming a plan of reorganization, arrangement, or liquidation by a court or governmental authority having supervision or jurisdiction over substantially all of the assets or business of the Board, and (b) the Board intends the words used in the immediately preceding paragraphs (15) and (16) and the definition of Financial Obligation in this Section to have the meanings ascribed to them in SEC Release No. 34-83885, dated August 20, 2018.

The Board shall notify the MSRB, in an electronic format as prescribed by the MSRB, in a timely manner, of any failure by the Board to provide financial information or operating data in accordance with subsection (b) of this Section by the time required by such subsection. All
documents provided to the MSRB pursuant to this Section shall be accompanied by identifying information as prescribed by the MSRB.

(d) **Limitations, Disclaimers, and Amendments.** The Board shall be obligated to observe and perform the covenants specified in this Section for so long as, but only for so long as, the Board remains an "obligated person" with respect to the Bonds within the meaning of the Rule, except that the Board in any event will give notice of any deposit made in accordance with Section 19 of this Resolution that causes the Bonds no longer to be outstanding.

The provisions of this Section are for the sole benefit of the holders and beneficial owners of the Bonds, and nothing in this Section, express or implied, shall give any benefit or any legal or equitable right, remedy, or claim hereunder to any other person. The Board undertakes to provide only the financial information, operating data, financial statements, and notices which it has expressly agreed to provide pursuant to this Section and does not hereby undertake to provide any other information that may be relevant or material to a complete presentation of the Board's financial results, condition, or prospects relating to the Financing System or hereby undertake to update any information provided in accordance with this Section or otherwise, except as expressly provided herein. The Board does not make any representation or warranty concerning such information or its usefulness to a decision to invest in or sell Bonds at any future date.

UNDER NO CIRCUMSTANCES SHALL THE BOARD BE LIABLE TO THE HOLDER OR BENEFICIAL OWNER OF ANY BOND OR ANY OTHER PERSON, IN CONTRACT OR TORT, FOR DAMAGES RESULTING IN WHOLE OR IN PART FROM ANY BREACH BY THE BOARD, WHETHER NEGLIGENT OR WITHOUT FAULT ON ITS PART, OF ANY COVENANT SPECIFIED IN THIS SECTION, BUT EVERY RIGHT AND REMEDY OF ANY SUCH PERSON, IN CONTRACT OR TORT, FOR OR ON ACCOUNT OF ANY SUCH BREACH SHALL BE LIMITED TO AN ACTION FOR MANDAMUS OR SPECIFIC PERFORMANCE.

No default by the Board in observing or performing its obligations under this Section shall comprise a breach of or default under this Resolution for purposes of any other provision of this Resolution.

Should the Rule be amended to obligate the Board to make filings with or provide notices to entities other than the MSRB, the Board hereby agrees to undertake such obligation with respect to the Bonds in accordance with the Rule as amended.

Nothing in this Section is intended or shall act to disclaim, waive, or otherwise limit the duties of the Board under federal and state securities laws.

The provisions of this Section may be amended by the Board from time to time to adapt to changed circumstances that arise from a change in legal requirements, a change in law, or a change in the identity, nature, status, or type of operations of the Board, but only if (1) the provisions of this Section, as so amended, would have permitted an underwriter to purchase or sell Bonds in the primary offering of the Bonds in compliance with the Rule, taking into account any amendments
or interpretations of the Rule since such offering as well as such changed circumstances and (2) either (a) the holders of a majority in aggregate principal amount (or any greater amount required by any other provision of this Resolution that authorizes such an amendment) of the outstanding Bonds consents to such amendment or (b) a person that is unaffiliated with the Board (such as nationally recognized bond counsel) determines that such amendment will not materially impair the interest of the holders and beneficial owners of the Bonds. If the Board so amends the provisions of this Section, it shall include with any amended financial information or operating data next provided in accordance with paragraph (a) of this Section an explanation, in narrative form, of the reason for the amendment and of the impact of any change in the type of financial information or operating data so provided. The Board may also amend or repeal the provisions of this continuing disclosure agreement if the SEC amends or repeals the applicable provision of the Rule or a court of final jurisdiction enters judgment that such provisions of the Rule are invalid, but only if and to the extent that the provisions of this sentence would not prevent an underwriter from lawfully purchasing or selling Bonds in the primary offering of the Bonds.

(c) **Format, Identifying Information, and Incorporation by Reference.** All financial information, operating data, financial statements, and notices required by this Section to be provided to the MSRB shall be provided in an electronic format and be accompanied by identifying information prescribed by the MSRB.

Financial information and operating data to be provided pursuant to Subsection (b) of this Section may be set forth in full in one or more documents or may be included by specific reference to any document (including an official statement or other offering document) available to the public on the MSRB’s Internet Web site or filed with the SEC.

**Section 25. APPLICATION OF BOND PROCEEDS.** (a) **Proceeds.** Proceeds from the sale of each Series of the Bonds shall, promptly upon receipt thereof, be applied by the Designated Financial Officer as follows:

(i) accrued interest, if any, for each Series of the Bonds shall be deposited as provided in Section 16;

(ii) an amount sufficient to accomplish the purposes of Section 9 shall be so applied; and

(iii) any proceeds from the sale of each Series of the Bonds remaining after the deposits provided for in clauses (i) and (ii) above, shall be applied to pay expenses arising in connection with the issuance of the Bonds.

Any sale proceeds of each Series of the Bonds remaining after making all deposits and payments provided for above shall be applied to the payment of interest on the Bonds.

(b) **Funds.** The Designated Financial Officer is hereby authorized to establish such funds, accounts and/or sub-accounts as necessary to administer any remaining proceeds of the

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Bonds after applying proceeds to the refunding of the refunded bonds, including for accrued interest and costs of issuance. Proceeds deposited into any such funds, accounts and/or sub–accounts shall remain therein until from time to time expended for the purposes described in this Resolution, and shall not be used for any other purposes whatsoever, except as otherwise provided below, and pending such expenditure, such moneys may be invested at the direction of the Designated Financial Officer or the designee thereof in eligible investments in accordance with the provisions of Section 4(h) of this Resolution. Interest earnings shall accrue to the respective funds, accounts and/or sub–accounts in which moneys are held and invested. The Board shall cause moneys on deposit in any such funds, accounts and/or sub–accounts representing accrued interest to be used to pay debt service on the Bonds as the same shall become due and payable.

Section 26. REFUNDING OF REFUNDED BONDS: ESCROW AGREEMENT; REDEMPTION OF REFUNDED BONDS. Concurrently with the delivery of a Series of Bonds issued to refund Refunded Bonds, the Designated Financial Officer shall cause to be deposited with the Escrow Agent an amount, from the proceeds from the sale of each Series of the Bonds, sufficient, together with other legally available funds of the Board, to provide for the payment and retirement of the Refunded Bonds. In the event that it is deemed necessary, the Designated Financial Officer is authorized to enter into one or more escrow agreements in the form and substance previously approved by the Board in connection with the refunding of Debt with such changes as are acceptable to the Designated Financial Officer. In such event, the Designated Financial Officer is authorized hereby to take such steps as may be necessary to purchase Escrowed Securities, as defined in the Escrow Agreement, on behalf of the Board, and is authorized to create and fund the Escrow Fund contemplated by the Escrow Agreement through the use of the proceeds of each Series of the Bonds, the monies and investments held in the fund securing the Refunded Bonds and other lawfully available monies of the Board.

Subject to the execution of an Award Certificate by the Designated Financial Officer designating such Refunded Bonds, the Refunded Bonds are hereby called for redemption on the first optional redemption date following the delivery of each Series of the Bonds for which all of the notice requirements for redemption can be reasonably met, at a redemption price of par plus accrued interest, if any, to the date of redemption. The Designated Financial Officer shall take such actions as are necessary to cause the required notice of such redemption to be given. The Designated Financial Officer is authorized to select one or more escrow agents with respect to each Series of Bonds issued to refund the Refunded Bonds.

Section 27. RESOLUTION TO CONSTITUTE A CONTRACT; EQUAL SECURITY. In consideration of the acceptance of the Bonds, the issuance of which is authorized hereunder, by those who shall hold the same from time to time, this Resolution shall be deemed to be and shall constitute a contract between the Board and the Owners from time to time of the Bonds and the pledge made in this Resolution by the Board and the covenants and agreements set forth in this Resolution to be performed by the Board shall be for the equal and proportionate benefit, security, and protection of all Owners, without preference, priority, or distinction as to security or otherwise of any of the Bonds authorized hereunder over any of the others by reason of time of issuance, sale, or maturity thereof or otherwise for any cause whatsoever, except as expressly provided in or permitted by this Resolution.
Section 28. **SEVERABILITY OF INVALID PROVISIONS.** If any one or more of the covenants, agreements, or provisions herein contained shall be held contrary to any express provisions of law or contrary to the policy of express law, though not expressly prohibited, or against public policy, or shall for any reason whatsoever be held invalid, then such covenants, agreements, or provisions shall be null and void and shall be deemed separable from the remaining covenants, agreements, or provisions and shall in no way affect the validity of any of the other provisions hereof or of the Bonds issued hereunder.

Section 29. **PAYMENT AND PERFORMANCE ON BUSINESS DAYS.** Except as provided to the contrary in the FORM OF BONDS, whenever under the terms of this Resolution or the Bonds, the performance date of any provision hereof or thereof, including the payment of principal of or interest on the Bonds, shall occur on a day other than a Business Day, then the performance thereof, including the payment of principal of and interest on the Bonds, need not be made on such day but may be performed or paid, as the case may be, on the next succeeding Business Day with the same force and effect as if made on the date of performance or payment.

Section 30. **LIMITATION OF BENEFITS WITH RESPECT TO THE RESOLUTION.** With the exception of the rights or benefits herein expressly conferred, nothing expressed or contained herein or implied from the provisions of this Resolution or the Bonds is intended or should be construed to confer upon or give to any person other than the Board, the Owners, and the Paying Agent/Registrar, any legal or equitable right, remedy, or claim under or by reason of or in respect to this Resolution or any covenant, condition, stipulation, promise, agreement, or provision herein contained. This Resolution and all of the covenants, conditions, stipulations, promises, agreements, and provisions hereof are intended to be and shall be for and inure to the sole and exclusive benefit of the Board, the Owners, and the Paying Agent/Registrar as herein and therein provided.

Section 31. **CUSTODY, APPROVAL, BOND COUNSEL'S OPINION, CUSIP NUMBERS, PREAMBLE AND INSURANCE.** The Designated Financial Officer is hereby authorized to have control of the Bonds issued hereunder and all necessary records and proceedings pertaining to the Bonds pending their delivery and approval by the Attorney General of the State of Texas. The Designated Financial Officer is hereby authorized, to the extent deemed necessary or advisable thereby, in the discretion thereof, to request that the Attorney General approve the Bonds as permitted by Chapter 1202, in which case the Designated Financial Officer also is authorized to request the Comptroller of Public Accounts register the Bonds, and to cause an appropriate legend reflecting such approval and registration to appear on the Bonds and the substitute Bonds. The approving legal opinion of Bond Counsel and the assigned CUSIP numbers may be printed on the Bonds and on any Bonds issued and delivered in exchange or replacement of any Bond, but neither shall have any legal effect, and shall be solely for the convenience and information of the registered owners of the Bonds. The preamble to this Resolution is hereby adopted and made a part of this Resolution for all purposes. If insurance is obtained on any of the Bonds, the Bonds shall bear, as appropriate and applicable, a legend concerning insurance as provided by the municipal bond insurance company issuing any such insurance.
Section 32. OFFICIAL STATEMENT. The Designated Financial Officer is authorized and directed to provide for and oversee the preparation of a preliminary and final official statement in connection with the issuance of the Bonds, and to approve such official statement and deem it final in compliance with the Rule and to provide it to the purchasers of the Bonds in compliance with such Rule.

Section 33. RESERVE FUNDS. The Board may establish a reserve fund, and/or any other fund or funds pursuant to any resolution authorizing the issuance of Parity Obligations, including with respect to the Bonds in the Award Certificate, for the purpose of paying or securing a particular issue or series of Parity Obligations or any specific group of issues or series of Parity Obligations and the amounts once deposited in said funds shall no longer constitute Pledged Revenues but shall be held solely for the benefit of the owners of the particular issue or series or group of issues or series of Parity Obligations for which such fund was established. Each such fund shall be designated in such manner as is necessary to identify the Parity Obligations it secures and to distinguish such fund from any other funds created for the benefit of any other Parity Obligations.

Section 34. FURTHER PROCEDURES. The Chair of the Board, the Designated Financial Officer, and all other officers, employees, and agents of the University, and each of them, shall be and they are hereby expressly authorized, empowered, and directed from time to time and at any time to do and perform all such acts and things and to execute, acknowledge, and deliver in the name and under the corporate seal and on behalf of the Board, all such instruments, whether or not herein mentioned, as may be necessary or desirable in order to carry out the terms and provisions of this Resolution, the Bonds, the sale and delivery of the Bonds and fixing all details in connection therewith, and to approve any Official Statement, or supplements thereto, in connection with the Bonds including any necessary filings with the Attorney General of Texas and any other necessary parties.

Section 35. PAYMENT OF ATTORNEY GENERAL FEE. The Board hereby authorizes the disbursement of a fee equal to the lesser of (i) one-tenth of one percent of the principal amount of each Series of the Bonds or (ii) $9,500 per Series, provided that such fee shall not be less than $750, to the Attorney General of Texas Public Finance Division for payment of the examination fee charged by the State of Texas for the Attorney General's review and approval of public securities and credit agreements, as required by Section 1202.004 of the Texas Government Code. The Designated Financial Officer is hereby instructed to take the necessary measures to make this payment. The Board is also authorized to reimburse the appropriate funds for such payment from proceeds of the Bonds.

Section 36. REPEAL OF CONFLICTING RESOLUTIONS. All resolutions and all parts of any resolutions which are in conflict or inconsistent with this Resolution are hereby repealed and shall be of no further force or effect to the extent of such conflict or inconsistency.

Section 37. PERFECTION OF PLEDGE. Chapter 1208, Government Code, applies to the issuance of the Bonds and the pledge of the Pledged Revenues granted under Section 2 of this Resolution, and such pledge is therefore valid, effective and perfected. If Texas law is
amended at any time while the Bonds are outstanding and unpaid such that the pledge of the Pledged Revenues under Section 2 of this Resolution is to be subject to the filing requirements of Chapter 9, Business & Commerce Code, then in order to preserve to the registered owners of the Bonds the perfection of the security interest in said pledge, the Board agrees to take such measures as it determines are reasonable and necessary under Texas law to comply with the applicable provisions of Chapter 9, Business & Commerce Code and enable a filing to perfect the security interest in said pledge to occur.

Section 38. BOND INSURANCE. In connection with the sale of the Bonds, the Board may obtain municipal bond insurance policies from a municipal bond insurer (each a "Bond Insurer") to guarantee the full and complete payment required to be made by or on behalf of the Board on some or all of the Bonds as determined by the Designated Financial Officer. The Designated Financial Officer is hereby authorized to sign a commitment letter with the Insurer and to pay the premium for the bond insurance policies at the time of the delivery of the Bonds out of the proceeds of sale of the Bonds or from other available funds and to execute such other documents and certificates as necessary in connection with the bond insurance policies as he or she may deem appropriate. Printing on Bonds covered by the bond insurance policies a statement describing such insurance, in form and substance satisfactory to the Bond Insurer and the Designated Financial Officer, is hereby approved and authorized. The Award Certificate may contain provisions related to the bond insurance policies, including payment provisions thereunder, and the rights of the Bond Insurer(s), and any such provisions shall be read and interpreted as an integral part of this Resolution.

Section 39. PUBLIC NOTICE. It is hereby found and determined that each of the officers and members of the Board was duly and sufficiently notified officially and personally, in advance, of the time, place, and purpose of their respective meetings at which this Resolution was adopted, and that this Resolution would be introduced and considered for adoption at said meetings; and that said meetings were open to the public, and public notice of the time, place, and purpose of said meetings was given, all as required by Chapter 551, Texas Government Code.

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EXECUTED this 11th day of September, 2020.

Chair, Board of Regents

Secretary, Board of Regents
EXHIBIT A

DEFINITIONS

As used in this Resolution the following terms and expressions shall have the meanings set forth below, unless the text hereof specifically indicates otherwise:

"Annual Debt Service Requirements" means, for any Fiscal Year, the principal of and interest on all Parity Obligations coming due at Maturity or Stated Maturity (or that could come due on demand of the owner thereof other than by acceleration or other demand conditioned upon default by the Board on such Debt, or be payable in respect of any required purchase of such Debt by the Board) in such Fiscal Year, and, for such purposes, any one or more of the following rules shall apply at the election of the Board:

(1) **Committed Take Out.** If the Board has entered into a Credit Agreement constituting a binding commitment within normal commercial practice to discharge any of its Funded Debt at its Stated Maturity (or, if due on demand, at any date on which demand may be made) or to purchase any of its Funded Debt at any date on which such Debt is subject to required purchase, all under arrangements whereby the obligation to repay the amounts advanced for such discharge or purchase constitutes Funded Debt, then the portion of the Funded Debt committed to be discharged or purchased shall be excluded from such calculation and the principal of and interest on the Funded Debt incurred for such discharging or purchase that would be due in the Fiscal Year for which the calculation is being made, if incurred at the Stated Maturity or purchase date of the Funded Debt to be discharged or purchased, shall be added;

(2) **Balloon Debt.** If the principal (including the accretion of interest resulting from original issue discount or compounding of interest) of any series or issue of Funded Debt due (or payable in respect of any required purchase of such Funded Debt by the Board) in any Fiscal Year either is equal to at least 25% of the total principal (including the accretion of interest resulting from original issue discount or compounding of interest) of such Funded Debt or exceeds by more than 50% the greatest amount of principal of such series or issue of Funded Debt due in any preceding or succeeding Fiscal Year (such principal due in such Fiscal Year for such series or issue of Funded Debt being referred to herein as "Balloon Debt"), the amount of principal of such Balloon Debt taken into account during any Fiscal Year shall be equal to the debt service calculated using the original principal amount of such Balloon Debt amortized over the Term of Issue on a level debt service basis at an assumed interest rate equal to the rate borne by such Balloon Debt on the date of calculation;

(3) **Consent Sinking Fund.** In the case of Balloon Debt (as defined in clause (2) above), if a Designated Financial Officer shall deliver to the Board an Officer's Certificate providing for the retirement of (and the instrument creating such Balloon Debt shall permit the retirement of), or for the accumulation of a sinking fund for (and the instrument creating such Balloon Debt shall permit the accumulation of a sinking fund for), such Balloon Debt...
according to a fixed schedule stated in such Officer's Certificate ending on or before the Fiscal Year in which such principal (and premium, if any) is due, then the principal of (and, in the case of retirement, or to the extent provided for by the sinking fund accumulation, the premium, if any, and interest and other debt service charges on) such Balloon Debt shall be computed as if the same were due in accordance with such schedule, provided that this clause (3) shall apply only to Balloon Debt for which the installments previously scheduled have been paid or deposited to the sinking fund established with respect to such Debt on or before the times required by such schedule; and provided further that this clause (3) shall not apply where the Board has elected to apply the rule set forth in clause (2) above;

(4) **Prepaid Debt.** Principal of and interest on Parity Obligations, or portions thereof, shall not be included in the computation of the Annual Debt Service Requirements for any Fiscal Year for which such principal or interest are payable from funds on deposit or set aside in trust for the payment thereof at the time of such calculations (including without limitation capitalized interest and accrued interest so deposited or set aside in trust) with a financial institution acting as fiduciary with respect to the payment of such Debt;

(5) **Variable Rate.** As to any Parity Obligation that bears interest at a variable interest rate which cannot be ascertained at the time of calculation of the Annual Debt Service Requirement then, at the option of the Board, either (1) an interest rate equal to the average rate borne by such Parity Obligations (or by comparable debt in the event that such Parity Obligations has not been outstanding during the preceding 24 months) for any 24 month period ending within 30 days prior to the date of calculation, or (2) an interest rate equal to the 30-year Tax-Exempt Revenue Bond Index (as most recently published in The Bond Buyer), shall be presumed to apply for all future dates, unless such index is no longer published in The Bond Buyer, in which case an index of tax-exempt revenue bonds with maturities of at least 20 years which is published in a newspaper or journal with national circulation may be used for this purpose. If two Series of Parity Obligations which bear interest at variable interest rates, or one or more maturities within a Series, of equal par amounts, are issued simultaneously with inverse floating interest rates providing a composite fixed interest rate for such Parity Obligations taken as a whole, such composite fixed rate shall be used in determining the Annual Debt Service Requirement with respect to such Parity Obligations;

(6) **Guarantee.** In the case of any guarantee, as described in clause (2) of the definition of Debt, no obligation will be counted if the Board does not anticipate in its annual budget that it will make any payments on the guarantee. If, however, the Board is making payments on a guarantee or anticipates doing so in its annual budget, such obligation shall be treated as Parity Obligations and calculations of Annual Debt Service Requirements with respect to such guarantee shall be made assuming that the Board will make all additional payments due under the guaranteed obligation. If the entity whose obligation is guaranteed cures all defaults and the Board no longer anticipates making payments under the guarantee, the guaranteed obligations shall not be included in the calculation of Annual Debt Service Requirements;
(7) **Commercial Paper.** With respect to any Parity Obligations issued in the form of commercial paper with maturities not exceeding 270 days, the interest on such Parity Obligations shall be calculated in the manner provided in clause (5) of this definition and the maturity schedule shall be calculated in the manner provided in clause (2) of this definition; and

(8) **Credit Agreement Payments.** If the Board has entered into a Credit Agreement in connection with an issue of Debt, payments due under the Credit Agreement (other than payments for fees and expenses), for either the Board or the Credit Provider, shall be included in such calculation, except to the extent that the payments are already taken into account under (1) through (7) above and any payments otherwise included above under (1) through (7) which are to be replaced by payments under a Credit Agreement, from either the Board or the Credit Provider, shall be excluded from such calculation.

With respect to any calculation of historic data, only those payments actually made in the subject period shall be taken into account in making such calculation and, with respect to prospective calculations, only those payments reasonably expected to be made in the subject period shall be taken into account in making the calculation.

"Annual Direct Obligation" means the amount budgeted each Fiscal Year by the Board with respect to each Participant in the Financing System to satisfy said Participant's proportion of debt service (calculated based on said Participant's Direct Obligation) due by the Board in such Fiscal Year on Outstanding Parity Obligations.

"Annual Obligation" means, with respect to each Participant in the Financing System and for each Fiscal Year, said Participant's Annual Direct Obligation plus the amount budgeted by the Board for such Fiscal Year to allow said Participant to retire its obligation for advances made to it by the Board in the management of the Financing System to satisfy part or all of a previous Annual Direct Obligation payment.

"Authorized Denomination" shall have the meaning ascribed to said term in Section 10 of this Resolution.

"Award Certificate" means each certificate executed by the Designated Financial Officer in connection with each Series of Bonds that establishes the terms of the series of Bonds issued pursuant to Section 10 of this Resolution.

"Board" means the Board of Regents of Stephen F. Austin State University, acting as the governing body of the University, or any successor thereto.

"Bond Counsel" means McCall, Parkhurst & Horton L.L.P., or such other firm of attorneys of nationally recognized standing in the field of law relating to municipal revenue bonds selected by the Board.
"Bond Insurer" means the provider of a municipal bond insurance policy for all or a portion of a Series of Bonds in accordance with Section 37 of this Resolution.

"Bondholder" or "Owner" means the registered owner of any Parity Obligation registered as to ownership and the holder of any Parity Obligation payable to bearer.

"Bonds" means one or more Series of the Bonds designated in Section 9 of this Resolution, and all substitute bonds exchanged therefor, and all other substitute and replacement bonds issued pursuant to this Resolution; and the term "Bond" means any of the Bonds.

"Business Day" means any day which is not a Saturday, Sunday, legal holiday, or a day on which banking institutions in The City of New York, New York or in the city where the Designated Trust Office of the Paying Agent/Registrar is located are authorized by law or executive order to close.

"Credit Agreement" means, collectively, a loan agreement, revolving credit agreement, agreement establishing a line of credit, letter of credit, reimbursement agreement, insurance contract, commitments to purchase Parity Obligations, purchase or sale agreements, interest rate swap agreements, currency exchange agreements, interest rate floor or cap agreements, or commitments or other contracts or agreements authorized, recognized and approved by the Board as a Credit Agreement in connection with the authorization, issuance, security, or payment of Parity Obligations and on a parity therewith.

"Credit Provider" means any bank, financial institution, insurance company, surety bond provider, or other entity which provides, executes, issues, or otherwise is a party to or provider of a Credit Agreement.

"DTC" means The Depository Trust Company, New York, New York, or any successor securities depository.

"DTC Participant" means the securities brokers and dealers, banks, trust companies, clearing corporations, and certain other organizations on whose behalf DTC was created to hold securities to facilitate the clearance and settlement of securities transactions among DTC participants.

"Debt" means all:

(1) indebtedness incurred or assumed by the Board for borrowed money (including indebtedness arising under Credit Agreements) and all other financing obligations of the Board that, in accordance with generally accepted accounting principles, are shown on the liability side of a balance sheet;

(2) all other indebtedness (other than indebtedness otherwise treated as Debt hereunder) for borrowed money or for the acquisition, construction, or improvement of property or capitalized lease obligations that is guaranteed, directly or indirectly, in any
manner by the Board, or that is in effect guaranteed, directly or indirectly, by the Board through an agreement, contingent or otherwise, to purchase any such indebtedness or to advance or supply funds for the payment or purchase of any such indebtedness or to purchase property or services primarily for the purpose of enabling the debtor or seller to make payment of such indebtedness, or to assure the owner of the indebtedness against loss, or to supply funds to or in any other manner invest in the debtor (including any agreement to pay for property or services irrespective of whether or not such property is delivered or such services are rendered), or otherwise; and

(3) all indebtedness secured by any mortgage, lien, charge, encumbrance, pledge or other security interest upon property owned by the Board whether or not the Board has assumed or become liable for the payment thereof.

For the purpose of determining the "Debt" of the Board, there shall be excluded any particular Debt if, upon or prior to the Maturity thereof, there shall have been deposited with the proper depository (a) in trust the necessary funds (or investments that will provide sufficient funds, if permitted by the instrument creating such Debt) for the payment, redemption, or satisfaction of such Debt or (b) evidence of such Debt deposited for cancellation; and thereafter it shall not be considered Debt. No item shall be considered Debt unless such item constitutes indebtedness under generally accepted accounting principles applied on a basis consistent with the financial statements prepared by or for the benefit of the Board in prior Fiscal Years.

"Defeasance Securities" means (i) Federal Securities, (ii) noncallable obligations of an agency or instrumentality of the United States of America, including obligations that are unconditionally guaranteed or insured by the agency or instrumentality and that, on the date the governing body of the Board adopts or approves proceedings authorizing the issuance of refunding bonds or otherwise provide for the funding of an escrow to effect the defeasance of the Bonds are rated as to investment quality by a nationally recognized investment rating firm not less than "AAA" or its equivalent, (iii) noncallable obligations of a state or an agency or a county, municipality, or other political subdivision of a state that have been refunded and that, on the date the governing body of the Board adopts or approves proceedings authorizing the issuance of refunding bonds or otherwise provide for the funding of an escrow to effect the defeasance of the Bonds, are rated as to investment quality by a nationally recognized investment rating firm no less than "AAA" or its equivalent and (iv) any other then authorized securities or obligations under applicable state law in existence at the time of such defeasance that may be used to defease obligations such as the Bonds.

"Designated Financial Officer" means the Vice President for Finance and Administration of the University, or such other official of the University appointed by the Board to carry out the functions of the Vice President for Finance and Administration specified herein.

"Designated Trust Office" shall have the meaning ascribed to said term in Section 12(b) of this Resolution.
"Direct Obligation" means the proportionate share of Outstanding Parity Obligations attributable to and the responsibility of each Participant in the Financing System.

"Federal Securities" as used herein means direct, noncallable obligations of the United States of America, including obligations that are unconditionally guaranteed by the United States of America (including Interest Strips of the Resolution Funding Corporation).

"Fiscal Year" means the fiscal year of the Board which currently ends on August 31 of each year.

"Funded Debt" means all Parity Obligations that mature by their terms (in the absence of the exercise of any earlier right of demand), or are renewable at the option of the Board to a date, more than one year after the original creation, assumption, or guarantee of such Debt by the Board.

"IRS Code" means the Internal Revenue Code of 1986, as amended.

"Maturity", when used with respect to any Debt, means the date on which the principal of such Debt or any installment thereof becomes due and payable as therein provided, whether at the Stated Maturity thereof or by declaration of acceleration, call for redemption, or otherwise.

"MSRB" means the Municipal Securities Rulemaking Board.

"Non–Recourse Debt" means any Debt secured by a lien (other than a lien on Pledged Revenues), liability for which is effectively limited to the property subject to such lien with no recourse, directly or indirectly, to any other property of the Board attributable to the Financing System; provided, however, that such Debt is being incurred in connection with the acquisition of property only, which property is not, at the time of such occurrence, owned by the Board and being used in the operations of a Participant.

"Officer's Certificate" means a certificate executed by the Designated Financial Officer.

"Opinion of Counsel" means a written opinion of counsel, which counsel shall be acceptable to the Board.

"Outstanding" when used with respect to Parity Obligations means, as of the date of determination, all Parity Obligations theretofore delivered under this Resolution and any resolution hereafter adopted authorizing the issuance of Parity Obligations, except:

1. Parity Obligations theretofore cancelled and delivered to the Board or delivered to the Paying Agent or the Registrar for cancellation;

2. Parity Obligations deemed paid pursuant to the provisions of Section 19 of this Resolution or any comparable section of any resolution hereafter adopted authorizing the issuance of Parity Obligations;
(3) Parity Obligations upon transfer of or in exchange for and in lieu of which other Parity Obligations have been authenticated and delivered pursuant to this Resolution; and

(4) Parity Obligations under which the obligations of the Board have been released, discharged, or extinguished in accordance with the terms thereof;

provided, however, that, unless the same is acquired for purposes of cancellation, Parity Obligations owned by the Board shall be deemed to be Outstanding as though it was owned by any other owner.

"Outstanding Principal Amount" means, with respect to all Parity Obligations or to a series of Parity Obligations, the outstanding and unpaid principal amount of such Parity Obligations paying interest on a current basis and the outstanding and unpaid principal and compounded interest on such Parity Obligations paying accrued, accreted, or compounded interest only at maturity as of any Record Date established by a Registrar in connection with a proposed amendment of this Resolution.

"Parity Obligations" means all Debt of the Board which may be issued or assumed in accordance with the terms of this Resolution and any resolution authorizing the issuance of Debt on a parity with the Bonds, secured by a pledge of the Pledged Revenues subject only to the liens securing Prior Encumbered Obligations. For purposes of this definition, the Previously Issued Parity Obligations and the Bonds constitute Parity Obligations.

"Participant in the Financing System" and "Participant" means each of the agencies, institutions and branches of the University and such agencies, institutions and branches hereafter designated by the Board to be a participant in the Financing System. Currently, the University is the only Participant in the Financing System.

"Paying Agent/Registrar", "Paying Agent" or "Registrar" means each of the agents (one or more) appointed pursuant to each Award Certificate, or any successor to any such agent.

"Pledged Revenues" means, subject to the provisions of the Prior Encumbered Obligations, the Revenue Funds, including all of the funds and balances now or hereafter lawfully available to the Board and derived from or attributable to any Participant of the Financing System which are lawfully available to the Board for payments on Parity Obligations; provided, however, that the following shall not be included in Pledged Revenues unless and to the extent set forth in a resolution authorizing the issuance of Parity Obligations: (a) amounts received by the University under Article VII, Section 17 of the Constitution of the State of Texas, including the income therefrom and any fund balances relating thereto; and (b) except to the extent so specifically appropriated, general revenue funds appropriated to the Board by the Legislature of the State of Texas.

"Potential Refunded Bonds" means the outstanding Previously Issued Parity Obligations previously issued by or on behalf of the Board.
"Previously Issued Parity Obligations" means the Parity Obligations previously issued by or on behalf of the Board payable from the same source as the Bonds that remain Outstanding.

"Prior Encumbered Obligations" means those outstanding bonds or other obligations of an institution which becomes a Participant of the Financing System after the date of adoption of this Resolution, which are secured by a lien on and pledge of the Prior Encumbered Revenues charged and collected at such institution or agency, and any other bonds or other obligations secured by revenues which are hereafter designated by the Board as a Pledged Revenue.

"Prior Encumbered Revenues" means (i) the revenues pledged to the payment of Prior Encumbered Obligations of the University and (ii) the revenues of any revenue producing system or facility of an institution or agency which hereafter becomes a Participant of the Financing System and which are pledged to the payment of bonds or other obligations outstanding on the date such institution or agency becomes a Participant of the Financing System.

"Prior Resolutions" means the resolutions adopted by the Board authorizing the issuance of the Previously Issued Parity Obligations.

"Record Date" means, with respect to each Series of the Bonds, the business day of each month as set forth in the Award Certificate.

"Refunded Bonds" means the Potential Refunded Bonds refunded by each Series of the Bonds as set forth in each Award Certificate.

"Registration Books" means the books or records relating to the registration, payment, and transfer or exchange of the Bonds maintained by the Paying Agent/Registrar pursuant to Section 12 of this Resolution.

"Resolution" means this Resolution authorizing the sale of the Bonds.

"Revenue Financing System" or "Financing System" means the "Stephen F. Austin State University Revenue Financing System", currently for the benefit of the University, and such other institutions and agencies now or hereafter under the control or governance of the Board, and made a Participant of the Revenue Financing System by specific action of the Board.

"Revenue Funds" means the "revenue funds" of the Board (as defined in Section 55.01 of the Texas Education Code to mean the revenues, incomes, receipts, rentals, rates, charges, fees, grants, and tuition levied or collected from any public or private source by an institution of higher education, including interest or other income from those funds) derived by the Board from the operations of each of the Participants. The term "Revenue Funds" does not include, with respect to each series or issue of Parity Obligations, any tuition, rentals, rates, fees, or other charges attributable to any student in a category which, at the time of the adoption by the Board of a resolution relating to such Parity Obligations, is exempt by law or by the Board from paying such tuition, rentals, rates, fees, or other charges.
"Rule" means SEC Rule 15c2-12, as amended from time to time.

"SEC" means the United States Securities and Exchange Commission.

"Series" means any designated series or subseries of Bonds issued pursuant to this Resolution.

"Series 2004 Bonds" means the Board of Regents of Stephen F. Austin State University Revenue Financing System, Texas Public Finance Authority Revenue Bonds, Series 2004, issued in the original aggregate principal amount of $26,030,000.


"Stated Maturity" when used with respect to any Debt or any installment of interest thereon means any date specified in the instrument evidencing or authorizing such Debt or such installment of interest as a fixed date on which the principal of such Debt or any installment thereof or the fixed date on which such installment of interest is due and payable.

"Subordinated Debt" means any Debt which expressly provides that all payments thereon shall be subordinated to the timely payment of all Parity Obligations then Outstanding or subsequently issued.

"Taxable Bonds" means each Series of Bonds bearing interest at a taxable rate.

"Tax–Exempt Bonds" means each Series of Bonds bearing interest which is excludable from gross income for federal taxation purposes pursuant to Section 103 of the IRS Code.

"Term of Issue" means with respect to any Balloon Debt, including, without limitation, commercial paper, a period of time equal to the greater of (i) the period of time commencing on the date of issuance of such Balloon Debt and ending on the final maturity date of such Balloon Debt or the maximum maturity date in the case of commercial paper or (ii) twenty-five years.

"University" means Stephen F. Austin State University, together with every other agency or general academic institution or branch thereof now or hereafter operated by or under the jurisdiction of the Board acting for and on behalf of Stephen F. Austin State University pursuant to law.
## EXHIBIT B

### FORM OF BOND

**UNITED STATES OF AMERICA**  
**STATE OF TEXAS**  
**BOARD OF REGENTS OF STEPHEN F. AUSTIN STATE UNIVERSITY REVENUE FINANCING SYSTEM REVENUE BONDS, SERIES 20__**

<table>
<thead>
<tr>
<th>NO. R-</th>
<th>PRINCIPAL AMOUNT</th>
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</thead>
</table>

<table>
<thead>
<tr>
<th>INTEREST RATE*</th>
<th>MATURITY DATE</th>
<th>[BOND DATE]</th>
<th>[ISSUANCE DATE]*</th>
<th>CUSIP</th>
</tr>
</thead>
</table>

**REGISTERED OWNER:**

**PRINCIPAL AMOUNT:**

**DOLLARS**

**ON THE MATURITY DATE** specified above, the BOARD OF REGENTS OF STEPHEN F. AUSTIN STATE UNIVERSITY (the "Board"), being an agency and political subdivision of the State of Texas, hereby promises to pay to the Registered Owner, specified above, or the registered assignee hereof (either being hereinafter called the "registered owner") the principal amount, specified above, and to pay interest thereon, calculated on the basis of a 360-day year composed of twelve 30-day months, from the [Bond Date][Issuance Date], specified above, to the Maturity Date, specified above, at the interest rate per annum, specified above; with interest being payable on ____________, and semiannually on each ____________ and ____________ thereafter, except that if the date of authentication of this Bond is later than the first Record Date (hereinafter defined), such principal amount shall bear interest from the interest payment date next preceding the date of authentication, unless such date of authentication is after any Record Date but on or before the next following interest payment date, in which case such principal amount shall bear interest from such next following interest payment date.

**THE PRINCIPAL OF AND INTEREST ON** this Bond are payable in lawful money of the United States of America, without exchange or collection charges, solely from funds of the Board required by the resolution authorizing the issuance of the Bonds to be on deposit with the

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*As provided in the Award Certificate. To the extent that the Award Certificate relating to the Bonds is inconsistent with any provisions in this Form of Bond or contains information to complete missing information in this Form of Bond, the language in the Award Certificate shall be used in the executed Bonds.

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SFA RevBonds 2016: Resolution
Paying Agent/Registrar for such purpose as hereinafter provided. The principal of this Bond shall be paid to the registered owner hereof upon presentation and surrender of this Bond at maturity at the designated corporate trust office in _____, Texas (the "Designated Trust Office") of __________, which is the initial "Paying Agent/Registrar" for this Bond. The payment of interest on this Bond shall be made by the Paying Agent/Registrar to the registered owner hereof on each interest payment date by check, dated as of such interest payment date, and such check shall be sent by the Paying Agent/Registrar by United States mail, first-class postage prepaid, on each such interest payment date, to the registered owner hereof, at the address of the registered owner, as it appeared on the last business day of the month next preceding each such date (the "Record Date") on the Registration Books kept by the Paying Agent/Registrar, as hereinafter described; provided, that upon the written request of any owner of not less than $1,000,000 in principal amount of Bonds provided to the Paying Agent/Registrar not later than the Record Date immediately preceding an interest payment date, interest due on such Bonds on such interest payment date shall be made by wire transfer to any designated account within the United States of America. In addition, interest may be paid by such other method acceptable to the Paying Agent/Registrar, requested by, and at the risk and expense of, the registered owner hereof. The Bond Resolution (hereinafter defined) contains covenants for the benefit of the registered owner of this Bond that on or before each principal payment date and interest payment date for this Bond, the amounts required to provide for the payment, when due, in immediately available funds, of all principal of and interest on the Bonds will be made available to the Paying Agent/Registrar. Notwithstanding the foregoing, during any period in which ownership of the Bonds is determined by a book entry at a securities depository for the Bonds, payments made to the securities depository, or its nominee, shall be made in accordance with arrangements between the Board and the securities depository. All Bonds of this Series are issuable solely as fully registered bonds, without interest coupons in the denomination of any integral multiple of $5,000 (an "Authorized Denomination"). Terms used herein and not otherwise defined have the meaning given in the Bond Resolution (hereinafter defined).

**THIS BOND** is one of a Series of Bonds, dated as of __________, 202_ *, authorized in accordance with the Constitution and laws of the State of Texas in the aggregate principal amount of $ __________ *, issued pursuant to a resolution adopted by the Board on September ___ , 2020 (the "Bond Resolution"), FOR THE PURPOSE OF (i) REFUNDING ALL OR A PORTION OF THE POTENTIAL REFUNDED BONDS and (ii) PAYING THE COSTS OF ISSUANCE OF THE BONDS.

ON __________, 20___ *, or on any date thereafter, the Bonds of this Series maturing on and after __________, 20___ may be redeemed prior to their scheduled maturities, by the Board, with funds derived from any available and lawful source, at a redemption price equal to the principal amount to be redeemed plus accrued interest to the date fixed for redemption as a whole, or from time to time in part, and, if in part, the particular Bonds, or portions thereof, to be redeemed shall be selected and designated by the Board, and if less than all of a maturity is to be redeemed

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*As provided in the Award Certificate. To the extent that the Award Certificate relating to the Bonds is inconsistent with any provisions in this Form of Bond or contains information to complete missing information in this Form of Bond, the language in the Award Certificate shall be used in the executed Bonds.

SFA Res/Bonds 2016: Resolution

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the Registrar shall determine by lot the Bonds, or portions thereof within such maturity to be redeemed (provided that a portion of a Bond may be redeemed only in integral multiples of $5,000 of principal amount); provided, that during any period in which ownership of the Bonds is determined only by a book entry at a securities depository for the Bonds, if fewer than all of the Bonds of the same maturity and bearing the same interest rate are to be redeemed, the particular Bonds of such maturity and such interest rate shall be selected in accordance with the arrangements between the Board and the securities depository.

THE BONDS maturing on __________, 20__ * are subject to mandatory sinking fund redemption by lot prior to maturity in the following amounts, on the following dates and at a price of par plus accrued interest to the redemption date:

<table>
<thead>
<tr>
<th>Bonds Maturing ________<strong>, 20</strong> *</th>
<th>Principal Amount</th>
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<tbody>
<tr>
<td>________<strong>, 20</strong></td>
<td>$___________</td>
</tr>
<tr>
<td>________<strong>, 20</strong></td>
<td>__________*</td>
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</tbody>
</table>

* Final Maturity

THE PRINCIPAL AMOUNT of the Term Bonds required to be redeemed pursuant to the operation of the mandatory sinking fund redemption provisions shall be reduced, at the option of the Board by the principal amount of any Term Bonds of the stated maturity which, at least 50 days prior to a mandatory redemption date, (1) shall have been acquired by the Board, at a price not exceeding the principal amount of such Term Bonds plus accrued interest to the date of purchase thereof, and delivered to the Paying Agent/Registrar for cancellation, (2) shall have been purchased and canceled by the Paying Agent/Registrar at the request of the Board at a price not exceeding the principal amount of the Term Bonds plus accrued interest to the date of purchase thereof, or (3) shall have been redeemed pursuant to the optional redemption provisions and not theretofore credited against a mandatory sinking fund redemption requirement.

AT LEAST 30 calendar days prior to the date fixed for any redemption of Bonds or portions thereof prior to maturity a written notice of such redemption shall be sent by the Paying Agent/Registrar by United States mail, first-class postage prepaid, to (i) the registered owner of each Bond to be redeemed at its address as it appeared on the Registration Books on the 45th calendar day prior to such redemption date and (ii) major securities depositories and bond information services. By the date fixed for any such redemption due provision shall be made with the Paying Agent/Registrar for the payment of the required redemption price for the Bonds or portions for which such payment is made, all as provided above. If such written notice of redemption is effected and if due provision for such payment is made, all as provided above, the Bonds or portions thereof which are to be so redeemed thereby automatically shall be treated as

*As provided in the Award Certificate. To the extent that the Award Certificate relating to the Bonds is inconsistent with any provisions in this Form of Bond or contains information to complete missing information in this Form of Bond, the language in the Award Certificate shall be used in the executed Bonds.

SFA RevBonds 2016: Resolution

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redeemed prior to their scheduled maturities, and they shall not bear interest after the date fixed for redemption, and they shall not be regarded as being outstanding except for the right of the registered owner to receive the redemption price from the Paying Agent/Registrar out of the funds provided for such payment. If a portion of any Bond shall be redeemed, a substitute Bond or Bonds having the same maturity date, bearing interest at the same rate, in any authorized denomination or denominations in any integral multiple of $5,000, at the written request of the registered owner, and in aggregate principal amount equal to the unredeemed portion thereof, will be issued to the registered owner upon the surrender thereof for cancellation, at the expense of the Board, all as provided in the Bond Resolution.

WITH RESPECT TO any optional redemption of the Bonds, unless certain prerequisites to such redemption required by the Bond Resolution have been met and moneys sufficient to pay the principal of and premium, if any, and interest on the Bonds to be redeemed shall have been received by the Paying Agent/Registrar prior to the giving of such notice of redemption, such notice shall state that said redemption may, at the option of the Board, be conditional upon the satisfaction of such prerequisites and receipt of such moneys by the Paying Agent/Registrar on or prior to the date fixed for such redemption, or upon any prerequisite set forth in such notice of redemption. If a conditional notice of redemption is given and such prerequisites to the redemption and sufficient moneys are not received, such notice shall be of no force and effect, the Board shall not redeem such Bonds and the Paying Agent/Registrar shall give notice, in the manner in which the notice of redemption was given, to the effect that the Bonds have not been redeemed.

IF THE DATE for the payment of the principal of or interest on this Bond shall be a Saturday, Sunday, a legal holiday, or a day on which banking institutions in the city of New York, New York, or in the city where the Designated Trust Office of the Paying Agent/Registrar is located are authorized by law or executive order to close, then the date for such payment shall be the next succeeding day which is not such a Saturday, Sunday, legal holiday, or day on which banking institutions are authorized to close; and payment on such date shall have the same force and effect as if made on the original date payment was due.

THIS BOND OR ANY PORTION OR PORTIONS HEREOF IN ANY AUTHORIZED DENOMINATION may be assigned and shall be transferred only in the Registration Books kept by the Paying Agent/Registrar acting in the capacity of registrar for the Bonds, upon the terms and conditions set forth in the Bond Resolution. Among other requirements for such assignment and transfer, this Bond must be presented and surrendered to the Paying Agent/Registrar, together with proper instruments of assignment, in form and with guarantee of signatures satisfactory to the Paying Agent/Registrar, evidencing assignment of this Bond or any portion or portions hereof in any authorized denomination to the assignee or assignees in whose name or names this Bond or any such portion or portions hereof is or are to be transferred and registered. The form of Assignment printed or endorsed on this Bond shall be executed by the registered owner or its duly authorized attorney or representative, to evidence the assignment hereof. A new Bond or Bonds payable to such assignee or assignees (which then will be the new registered owner or owners of such new Bond or Bonds), or to the previous registered owner in the case of the assignment and transfer of only a portion of this Bond, may be delivered by the Paying Agent/Registrar in exchange for this Bond, all in the form and manner as provided in the
next paragraph hereof for the exchange of other Bonds. The Board shall pay the Paying Agent/Registrar's fees and charges, if any, for making such transfer or exchange as provided below, but the one requesting such transfer or exchange shall pay any taxes or other governmental charges required to be paid with respect thereto. The Paying Agent/Registrar shall not be required to make transfers of registration or exchange of this Bond or any portion hereof during the period commencing with the close of business on any Record Date and ending with the opening of business on the next following principal or interest payment date. The registered owner of this Bond shall be deemed and treated by the Board and the Paying Agent/Registrar as the absolute owner hereof for all purposes, including payment and discharge of liability upon this Bond to the extent of such payment, and, to the extent permitted by law, the Board and the Paying Agent/Registrar shall not be affected by any notice to the contrary.

**AS PROVIDED IN THE BOND RESOLUTION**, this Bond, or any unredeemed portion hereof, may, at the request of the registered owner or the assignee or assignees hereof, be exchanged for a like aggregate principal amount of fully registered bonds, without interest coupons, payable to the appropriate registered owner, assignee, or assignees, as the case may be, having the same maturity date, in the same form, and bearing interest at the same rate, in any Authorized Denomination as requested in writing by the appropriate registered owner, assignee, or assignees, as the case may be, upon surrender of this Bond to the Paying Agent/Registrar for cancellation, all in accordance with the form and procedures set forth in the Bond Resolution.

**WHENEVER** the beneficial ownership of this Bond is determined by a book entry at a securities depository for the Bonds, the foregoing requirements of holding, delivering, or transferring this Bond shall be modified to require the appropriate person or entity to meet the requirements of the securities depository as to registering or transferring the book entry to produce the same effect.

**IN THE EVENT** any Paying Agent/Registrar for the Bonds is changed by the Board, resigns, or otherwise ceases to act as such, the Board has covenanted in the Bond Resolution that it promptly will appoint a competent and legally qualified substitute therefor, and promptly will cause written notice thereof to be mailed to the registered owners of the Bonds.

**IT IS HEREBY** certified, recited, and covenanted that this Bond has been duly and validly authorized, issued, and delivered; that all acts, conditions, and things required or proper to be performed, exist, and be done precedent to or in the authorization, issuance, and delivery of this Bond have been performed, existed, and been done in accordance with law; that the Series of Bonds of which this Bond is one constitute Parity Obligations under the Bond Resolution; and that the interest on and principal of this Bond, together with the other Bonds of this Series and the other outstanding Parity Obligations are equally and ratably secured by and payable from a lien on and pledge of the Pledged Revenues, subject only to the provisions of, and the lien on and pledge of certain Pledged Revenues to, the Prior Encumbered Obligations.

**THE BOARD** has reserved the right, subject to the restrictions referred to in the Bond Resolution, (i) to issue additional Parity Obligations which also may be secured by and made payable from a lien on and pledge of the aforesaid Pledged Revenues, in the same manner and to
the same extent as this Bond, and (ii) to amend the provisions of the Bond Resolution under the
conditions provided in the Bond Resolution.

NEITHER THE State of Texas, the Board, nor any other agency, political corporation, or
political subdivision of the State of Texas is obligated to pay the principal of or interest on the
Bonds, other than as provided herein and in the Bond Resolution. Neither the faith and credit nor
the taxing power of the State of Texas, nor any agency, political corporation or political
subdivision of the State of Texas is pledged to the payment of the principal of or interest on the
Bonds.

BY BECOMING the registered owner of this Bond, the registered owner thereby
acknowledges all of the terms and provisions of the Bond Resolution, agrees to be bound by such
terms and provisions, acknowledges that the Bond Resolution is duly recorded and available for
inspection in the official minutes and records of the Board, and agrees that the terms and provisions
of this Bond and the Bond Resolution constitute a contract between each registered owner hereof
and the Board.

IN WITNESS WHEREOF, in accordance with the terms of the Bond Resolution, this
Bond has been signed with the manual or facsimile signature of the Chair of the Board and
countersigned with the manual or facsimile signature of the Secretary of the Board, and the official
seal of Stephen F. Austin State University has been duly impressed, or placed in facsimile, on this
Bond.

__________________________________________  __________________________________________
Secretary, Board of Regents of  Chair, Board of Regents of
Stephen F. Austin State University  Stephen F. Austin State University

(BOARD SEAL)

FORM OF PAYING AGENT/REGISTRAR'S AUTHENTICATION CERTIFICATE

PAYING AGENT/REGISTRAR'S AUTHENTICATION CERTIFICATE

It is hereby certified that this Bond has been issued under the provisions of the Bond
Resolution described in this Bond; and that this Bond has been issued in conversion of and
exchange for or replacement of a bond, bonds, or a portion of a bond or bonds of an issue which
originally was approved by the Attorney General of the State of Texas and registered by the
Comptroller of Public Accounts of the State of Texas.

__________________________________________

B-6
Paying Agent/Registrar

Dated: ________________________________

Authorized Representative

FORM OF ASSIGNMENT

ASSIGNMENT

The following abbreviations, when used in the inscription on the face of this Bond, shall be construed as though they were written out in full according to applicable laws or regulations:

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>TEN COM</td>
<td>as tenants in common</td>
</tr>
<tr>
<td>TEN ENT</td>
<td>as tenants by the entireties</td>
</tr>
<tr>
<td>JT TEN</td>
<td>as joint tenants with right of survivorship and not as tenants in common</td>
</tr>
</tbody>
</table>

UNIF GIFT MIN ACT--

Custodian (Cust) (Minor)

under Uniform Gifts to Minors Act (State)

Additional abbreviations may also be used though not in the above list.

FOR VALUE RECEIVED, the undersigned sells, assigns and transfers unto

Please insert Social Security or Other Identification Number of Assignee

/ ________________________________ /

(Name and Address of Assignee)

the within Bond and does hereby irrevocably constitutes and appoints ____________________________ to transfer said Bond on the books kept for registration thereof with full power of substitution in the premises.

Dated: ____________________________

Signature Guaranteed: ____________________________
NOTICE: The signature to this assignment must correspond with the name as it appears upon the face of the within Bond in every particular, without alteration or enlargement or any change whatever.

NOTICE: Signature(s) must be guaranteed by the Securities Transfer Association signature guarantee program.

FORM OF REGISTRATION CERTIFICATE OF COMPTROLLER OF PUBLIC ACCOUNTS TO ACCOMPANY THE INITIAL BOND

COMPTROLLER'S REGISTRATION CERTIFICATE

REGISTER NO. __________

I hereby certify that this Bond has been examined, certified as to validity, and approved by the Attorney General of the State of Texas, and that this Bond has been registered by the Comptroller of Public Accounts of the State of Texas.

Witness my signature and seal this

Comptroller of Public Accounts of the State of Texas

(COMPTROLLER'S SEAL)

INSERTIONS FOR THE INITIAL BOND

The initial Bond shall be in the form set forth in this Exhibit, except that:

A. immediately under the name of the Bond, the headings "INTEREST RATE" and "MATURITY DATE" shall both be completed with the words "As shown below" and "CUSIP NO." shall be deleted.

B. the first paragraph shall be deleted and the following will be inserted:

"ON THE MATURITY DATE SPECIFIED ABOVE, the BOARD OF REGENTS OF STEPHEN F. AUSTIN STATE UNIVERSITY (the "Board"), being an agency and political subdivision of the State of Texas, hereby promises to pay to the Registered Owner specified above,
or registered assigns (hereinafter called the "Registered Owner"), on ________________ * in each of the years, in the principal installments and bearing interest at the per annum rates set forth in the following schedule:

<table>
<thead>
<tr>
<th>Principal Amount</th>
<th>Maturity (____)</th>
<th>Interest Rate</th>
</tr>
</thead>
</table>

(Information from the Award Certificate of the Designated Financial Officer to be inserted)

The Board promises to pay interest on the unpaid principal amount hereof (calculated on the basis of a 360-day year of twelve 30-day months) from ________________, 20__ * at the respective Interest Rate per annum specified above. Interest is payable on ________________, 20__ * and semiannually on each ________________ * and ________________ * thereafter to the date of payment of the principal installment specified above; except, that if this Bond is required to be authenticated and the date of its authentication is later than the first Record Date (hereinafter defined), such principal amount shall bear interest from the interest payment date next preceding the date of authentication, unless such date of authentication is after any Record Date but on or before the next following interest payment date, in which case such principal amount shall bear interest from such next following interest payment date; provided, however, that if on the date of authentication hereof the interest on the Bond or Bonds, if any, for which this Bond is being exchanged is due but has not been paid, then this Bond shall bear interest from the date to which such interest has been paid in full."

C. The initial Bond shall be numbered "T-1"

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*As provided in the Award Certificate. To the extent that the Award Certificate relating to the Bonds is inconsistent with any provisions in this Form of Bond or contains information to complete missing information in this Form of Bond, the language in the Award Certificate shall be used in the executed Bonds.
EXHIBIT C

DESCRIPTION OF ACCOUNTING PRINCIPLES

The financial statements of Stephen F. Austin University will be prepared in accordance with the Texas Comptroller of Public Accounts' Annual Financial Reporting Requirements, and follow to the extent practical, the AICPA Industry Audit Guide Audits of Colleges and Universities, 1973, as amended by AICPA Statement of Position (SOP) 74-8, Financial Accounting and Reporting by Colleges and Universities, or such other accounting principles as the Board may be required to employ from time to time pursuant to state law or regulation.
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.

AGRICULTURE
Garret Ashabranner, Broiler Research Center Supervisor at an annual salary of $44,330 for 100-percent time, effective 7/8/2020.

ATHLETICS
Evan Amstutz, Assistant Volleyball Coach at an annual salary of $46,580 for 100-percent time, effective 7/20/2020.

Lionel Nau, Assistant Track Coach at an annual salary of $39,722 for 100-percent time, effective 10/1/2020.
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.

JAMES I. PERKINS COLLEGE OF EDUCATION

William Davis, MA (University of Arkansas), Visiting Assistant Professor of Education Studies at an academic salary of $61,000 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.

ADMISSIONS
Alex Reisinger, from Admissions Coordinator at an annual salary of $32,380, 100-percent time, to Axe Handle, One Stop Supervisor at annual salary of $38,000 for 100-percent time, effective 9/25/2020.

ATHLETICS
Kara Carpenter, from Assistant Director Athletics Compliance at an annual salary of $55,000, 100-percent time, to Associate Director Athletic Compliance, at an annual salary of $65,000, 100-percent time, effective 9/1/2020.

Kyle Keller, Head Coach for Men’s Basketball Operations. 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.

AUDIT SERVICES
Jane Ann Bridges, from Assistant Director at an annual salary of $100,053, 100-percent time, to Assistant Executive Chief, at an annual salary of $105,055, 100-percent time, effective 9/1/2020.

BIOLOGY
James Langford, from Biology/Pre Professional Programs, Associate Professor/Director of Pre Professional Programs at a 9 month salary of $74,838, 100-percent time, to Biology Interim Chair at a 9 month salary of $74,838, 100-percent time, with an additional stipend of $1,000 per month for 12 months, effective 9/1/2020.
CENTER FOR TEACHING AND LEARNING
Megan Weatherly, from Instructional Design Coordinator at an annual salary of $64,077, 100-percent time, to Director at annual salary of $85,000 for 100-percent time, effective 9/1/2020.

COUNSELING SERVICES
Dorothy Tubbs, from Counseling Services Project OVW Coordinator at an annual salary of $38,830, 100-percent time, to Counseling Services Project OVW Director at an annual salary of $45,000, 100-percent time, effective 9/1/2020.

FINANCE AND ADMINISTRATIVE SERVICES
Judith Kruwell, from Human Resources Interim Director at an annual salary of $110,000, 100-percent time, to Finance and Administrative Services Associate Vice President at an annual salary of $150,000, 100-percent time, effective 9/1/2020.

HUMAN RESOURCES
John Wyatt, from Human Resources, Associate Director, at an annual salary of $85,000, 100-percent time, to Human Resources Interim Director at an annual salary of $85,000 for 100-percent time, with an annual stipend of $25,000, effective 9/1/2020.

HUMAN SCIENCES
Chay Runnels, from Human Sciences, Associate Professor at a 9 month salary of $78,078, 100-percent time, to Human Sciences Interim Director at a 9 month salary of $78,078, 100-percent time with an additional stipend of $1,000 per month for 12 months, effective 9/1/2020.

HUMAN SERVICES
Luis Aguerrevere, from Human Services, Associate Professor at a 9 month salary of $78,422, 100-percent time, to Human Services Interim Chair at a 9 month salary of $78,422, 100-percent time with an 1 month stipend of $7,871 effective 8/7/2020. Then from Human Services, Associate Professor at a 9 month salary of $78,422, 100-percent time, to Human Services Interim Chair at a 9 month salary of $78,422, 100-percent time with an additional stipend of $1,000 per month for 12 months, effective 9/1/2020.

INSTITUTIONAL RESEARCH
Morgan Smith, from Institutional Research Senior Analyst at an annual salary of $58,339, 100-percent time, to Institutional Research Associate Director at an annual salary of $70,300, 100-percent time, effective 9/28/2020.
LANGUAGES, CULTURES AND COMMUNICATION
Kathleen McGough, from Languages, Cultures and Communications Adjunct Faculty at a 5 month salary of $12,400, 100-percent time, to Languages, Cultures and Communications Lecturer at an academic salary of $40,000, 100-percent time, effective 9/1/2020.

Michael Welsh, from Languages, Cultures and Communications Lecturer at a 9 month salary of $40,000, 100-percent time, to Languages, Cultures and Communications Associate Professor at an academic salary of $53,500, 100-percent time, effective 9/1/2020.

OFFICE OF DIVERSITY, EQUITY AND INCLUSION
Michara DeLaney-Fields, from Assistant Dean for Equity, Diversity and Inclusion at an annual salary of $82,743, 100-percent time, to Chief Diversity Officer at annual salary of $110,000 for 100-percent time, effective 8/4/2020.

OFFICE OF STUDENT RIGHTS AND RESPONSIBILITIES
Dennis Mosely, from Student Rights and Responsibilities Community Standards Coordinator at an annual salary of $42,500, 100-percent time, to Student Rights and Responsibilities Director at an annual salary of $56,387, 100-percent time, effective 9/1/2020.

Amanda Smith, from Student Rights and Responsibilities Early Intervention Specialist at an annual salary of $40,044, 100-percent time, to Office of Student Rights and Responsibilities Coordinator at an annual salary of $42,500, 100-percent time, effective 9/1/2020.

ORIENTATION
Brittany Beck, from Admissions Coordinator at an annual salary of $49,000, 100-percent time, to Orientation Programs Director of Student Affairs Program at an annual salary of $53,560, 100-percent time, effective 4/23/2020.

PHYSICAL PLANT
Jessica DeWitt, from Physical Plant Project manager at an annual salary of $64,170, 100-percent time, to Physical Plant Assistant Director, at an annual salary of $70,300, 100-percent time, effective 4/1/2020.

PHYSICS, ENGINEERING AND ASTRONOMY
Matthew Beauregard, from Mathematics and Statistics, Professor at a 9 month salary of $78,424, 100-percent time, to Physics, Engineering and Astronomy Interim Chair, at a 9 month salary of $78,424, 100-percent time, with an additional stipend of $1,000 per month for 12 months, effective 9/1/2020.
RESIDENCE LIFE
Carla Chumley, from Staff Services Supervisor at an annual salary of $57,215, 100-percent time, to Assistant Director Business Operations at an annual salary of $59,000, 100-percent time, effective 9/1/2020.

Donna Hammond, from Manager at an annual salary of $43,388, 100-percent time, to Assistant Director Resident Services at an annual salary of $55,000, 100-percent time, effective 9/1/2020.

STEM RESEARCH AND LEARNING CENTER
Jana Redfield, from Assistant Director at an annual salary of $86,120, 100-percent time, to Associate Director at an annual salary of $86,120, 100-percent time, effective 9/1/2020.

STUDENT CENTER
Nick Stallworth, from Associate Director at an annual salary of $65,840, 100-percent time, to Director at an annual salary of $70,300, 100-percent time, effective 9/1/2020.

TESTING SERVICES
Daphne Curl, from Manager at an annual salary of $54,963, 100-percent time, to Director at an annual salary of $57,962, 100-percent time, effective 9/1/2020.

TITLE IX
Amanda Pruit, from Office of Community Standards Director at an annual salary of $70,300, 100-percent time, to Title IX Coordinator at an annual salary of $70,300, 100-percent time, effective 9/1/2020.

UNIVERSITY POLICE
John Fields, from Chief of Police at an annual salary of $113,300, 100-percent time, to Chief of Police at an annual salary of $118,965, 100-percent time, effective 9/1/2020.

Craig Goodman, from Assistant Chief of Police at an annual salary of $92,700, 100-percent time, to Deputy Chief of Police at an annual salary of $95,018, 100-percent time, effective 9/1/2020.

Paul Mark Jordan, from University Police Department Interim Director of Parking Services at an annual salary of $61,802, 100-percent time, to University Police Department Lieutenant at an annual salary of $58,592, 100-percent time, effective 9/1/2020.
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 2021
Victoria Wagner-Greene    Kinesiology and Health Science
Heather Munro        Human Services

To Professor Emeritus, effective October 2021
Jere Jackson         History
HOLIDAY SCHEDULE FOR 2020-2021

Explanation:

On July 21, 2020, the board of regents approved the 2020-2021 holiday schedule. For clerical purposes, an adjustment to the two days listed for the November paid leave needs to be updated. The 2020-2021 holiday schedule will read as:

Fourteen holidays are allowed by the state for 2020-2021. The following schedule will allow SFA to be closed for five working days at Thanksgiving, eight working days during Christmas, Martin Luther King, Jr Day, five working days during Spring Break, and Memorial Day which totals 20 days. Employees will be required to take two days paid leave on November 23 and 24, two days of paid leave on December 30 and 31, and two days of paid leave on March 11 and 12. Campus buildings will be closed for nine days during Thanksgiving week, 12 days during the Christmas break, and nine days during Spring Break, which will result in significant energy savings.

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>November 23-27</td>
<td>Thanksgiving Break</td>
</tr>
<tr>
<td>December 23-January 1</td>
<td>Christmas Break</td>
</tr>
<tr>
<td>January 18</td>
<td>Martin Luther King, Jr. Day</td>
</tr>
<tr>
<td>March 8-12</td>
<td>Spring Break</td>
</tr>
<tr>
<td>May 31</td>
<td>Memorial Day</td>
</tr>
</tbody>
</table>

Offices scheduled to be open: Admissions, Financial Aid, Registrar, Business, Housing, and UPD

Recommendation:

The administration recommends approval of the updated holiday schedule for 2020-2021 as presented.
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:

Accessibility for Persons with Disabilities 2.2
Concurrent and Dual Credit Enrollment Programs 6.9
Information Security Management 14.1
Staff Employment 11.5 (New)
Student Organization Formation and Recognition 10.9
Tuition Rebate 6.21
University Logo and Seal 15.6
Policy Name: Accessibility for Persons with Disabilities

Policy Number: 2.2

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): Outlines university intent to comply with federal laws to provide reasonable accommodations to persons with disabilities.

Reason 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 major revisions. Responsible for policy implementation change from Vice President for University Affairs to Chief Diversity Officer due to divisional realignment.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Tiffany Rivers, Director of Disability Services
Michara Delaney-Fields, Chief Diversity Officer
Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Accessibility for Persons with Disabilities

Original Implementation: Unpublished
Last Revision: October 23, 2020

Stephen F. Austin State University does not discriminate on the basis of disability in admission to, access to, or operations of its programs, services or activities, including hiring or employment practices.

The university is committed to providing equal opportunities in higher education to academically qualified students with disabilities who demonstrate a reasonable expectation of college success. Students with disabilities who attend SFA will be provided the same opportunity to actively engage in campus activities as all other students, to the extent reasonably possible. The university shares responsibility with the student for modifying campus facilities and programs to meet the individual needs of the student.

Compliance with Section 504 of the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act, as amended, is coordinated through the Office of Disability Services.

Department heads and directors Unit heads have primary responsibility for providing access to programs and activities in their respective divisions and for seeking assistance to ensure physical access to the facilities in which those programs are offered. Disability services works directly with students with disabilities, individual faculty members, and academic departments in the provision of classroom accommodations, and assists other university departments in providing access and coordinating accommodations for programs, activities and services offered by the university outside the classroom.

SFA will make reasonable workplace accommodations for any employee having a known physical or mental impairment (policy 11.22). Requests for workplace accommodations are submitted to the director of human resources, who reviews and recommends reasonable workplace accommodations on a case-by-case basis.

Requests for housing accommodations for students with disabilities are submitted to the residence life department, which makes housing assignments based on individual need with assistance from disability services and a review committee if needed.

Requests for specific persons to provide academic accommodations will be given consideration based upon the requested person's employment qualifications and ability to satisfy uniform quality assurance standards. Persons who are involved in an ongoing relationship with, or are related within the second degree of affinity or the third degree of consanguinity to the student or employee with a disability, as defined by policy 11.16, may not receive compensation for providing services to that particular student or employee.
For specific information regarding provision of academic assistance, refer to policy 6.1, Academic Accommodation of Students with Disabilities.

For specific information regarding resolution of disagreements, refer to policy 6.6, Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities.

For specific information about workplace accommodations, refer to policy 11.22, Reasonable Workplace Accommodation for Disabilities.

For information regarding discrimination or harassment, refer to policy 2.11, Discrimination Complaints Nondiscrimination.

For information on the use of service animals refer to policy 13.2, Animals on University Property.

**Cross Reference:** Discrimination Complaints Nondiscrimination (2.11); Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities (6.6); Academic Accommodation of Students with Disabilities (6.1); Reasonable Workplace Accommodation for Disabilities (11.22); Animals on University Property (13.2); Nepotism (11.16); Compliance with the Americans with Disabilities Act and the ADA Amendments Act (2.5); Section 504 of the Rehabilitation Act of 1973, Pub. L. 93-112 (29 U.S.C. 701 et seq.); Americans with Disabilities Act of 1990, Pub. L. 101-336 (42 U.S.C. 12101 et seq.) as amended by the ADA Amendments Act of 2008, Pub. L. No. 110-325, 122 Stat. 3553.

**Responsible for Implementation:** Vice President for University Affairs, Chief Diversity Officer

**Contact for Revision:** Director of Disability Services

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs
Policy Name: Concurrent and Dual Credit Enrollment Programs

Policy Number: 6.9

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): Define enrollment programs with high schools.

Reason 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:

Updated wording.

Reviewers:

Erma Brecht, Executive Director of Enrollment Management
Damon Derrick, General Counsel
Concurrent and Dual Credit Enrollment Programs

**Original Implementation:** July 27, 1999  
**Last Revision:** October 23, 2017, 2020

Students may enroll in concurrent and dual credit enrollment programs provided they meet the eligibility requirements as stated in the Texas Higher Education Coordinating Board rules and receive a recommendation for permission by the student’s high school principal or high school counselor.

The dual credit enrollment program requires that the grade from the SFA course be used for completion of high school graduation requirements and college credit. The cost of the dual credit enrollment program will be established by the SFA Board of Regents. The concurrent enrollment program requires that the grade from the SFA course be used for college credit only. High school credit is not earned through this program. The cost of the concurrent enrollment program is full price for tuition and fees. Any The application fee for concurrent and dual credit enrollment programs is waived.

**Cross Reference:** 19 Tex. Admin. Code § 4.85; General Bulletin

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

**Contact for Revision:** Executive Director of Enrollment Management

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs
Policy Name: Information Security Management

Policy Number: 14.1

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

Date of last revision, if applicable: 10/23/2017

Unit(s) Responsible for Policy Implementation: Information Technology Services

Purpose of Policy (what does it do): Texas Administration Code (TAC), §202.74 requires each institution of higher education to develop, document, and implement a university-wide information security program. To comply, ITS will maintain an ITS policy handbook, SFA Security Controls Catalog, and guidelines pertaining to data standards, data integrity, and security.

Reason 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:

Wording clarification.

Reviewers:

Anthony Espinoza, Chief Information Officer
Brandon Stringfield, Chief Information Security Officer
Damon Derrick, General Counsel
Information Security Management

Original Implementation: October 23, 2017
Last Revision: October 23, 2021

Title 1 of the Texas Administration Code (TAC), §202.74 requires each institution of higher education to develop, document, and implement a university-wide information security program. To comply, the Department Division of Information Technology Services (ITS) will maintain an ITS policy handbook, SFA Security Controls Catalog, and guidelines pertaining to data standards, data integrity, and security. This information security program will apply to all information resources of the university to the extent required by applicable law, and the Chief Information Security Officer has the authority to apply and enforce this information security program to such information resources.

The ITS policy handbook establishes policies and procedures to align with the university’s mission, provide cost-effective protection of institutional data and information resources, respond to security-related issues associated with risks, and maintain consistency with federal, state, and local laws, policies, and procedures. The SFA Security Controls Catalog provides requirements for implementing policy and procedures that align with TAC 202. The Guidelines for Data Standards, Data Integrity and Security establish the proper measures for security, access, and integrity of university data managed electronically.

The chief information officer is designated as the president’s representative to comply with the responsibilities of TAC §202.70.


Responsible for Implementation: Chief Information Officer; President

Contact for Revision: Chief Information Officer; Chief Information Security Officer

Forms: None

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

Policy Name: Staff Employment

Policy Number: N/A

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): This policy establishes SFA’s employment process for staff, including those paid with grant and contract funds. It also establishes that the Department of Human Resources is responsible for developing staff employment policies and procedures. This policy does not include student or temporary staff employment.

Reason 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: Separate policies exist for temporary, faculty, and student employment. There no policy for staff employment processes.

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

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

Original Implementation: October 26, 2020
Last Revision: None

Purpose

This policy establishes SFA’s employment process for staff, including those paid with grant and contract funds. It also establishes that the Department of Human Resources is responsible for developing staff employment policies and procedures. This policy does not include student or temporary staff employment.

Background

This policy describes employment practices and ensures that each employment action conforms to state statutes, university policies, fund availability, and university goals. All hiring decisions for vacant positions are made based on lawful, job-related, and non-discriminatory criteria and in keeping with Policy 2.11, Nondiscrimination, which prohibits unlawful discrimination on the basis of race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age, disability, genetic information, citizenship, and veteran status. Staff positions may be filled either by promoting or transferring a current employee or by hiring from outside the university.

The hiring process consists of identifying the vacancy and evaluating the need for the position; revising the job description as necessary; selecting a search committee; posting the vacant position; reviewing and screening applicants; conducting interviews; selecting a candidate; and finalizing the employment offer. For a general overview of the hiring process, see the human resources website.

Posting Vacant Positions

Vacant staff positions must be posted on the SFA careers website. Graduate assistant and casual (sporadic or short-term) positions do not have to be posted unless so desired. Positions are posted for at least the minimum number of days based on position and/or posting type as established by the Department of Human Resources. All staff postings that are posted externally are advertised on the jobs website hosted by the Texas Workforce Commission. Staff postings may be advertised on HigherEdJobs.com at the discretion of the hiring department. Advertisements in other locations are determined by the hiring department with the approval of human resources and university marketing communications.

Human resources maintains a bank of job posting templates that include each position’s description. Departments may request updates to job descriptions and posting templates prior to creating a posting, using a process determined by human resources. Hiring departments must provide position-specific information that is required by human resources before a position is approved to be posted. To help develop a viable candidate pool, the university may enter a contract with a hiring firm to fill positions, in which case applicants may be directed to apply for the position through other methods.
Training

Part of the posting creation process is the designation of a search committee to contribute to the hiring decision. Search committee training is required every two years for search committee members. Training information is contained in the learning management system.

Screening Candidates

A screening matrix is required for all staff positions. The hiring department is required to submit the screening matrix to human resources for approval prior to screening applicants. The matrix is designed to document justification for selecting applicants for an interview and all qualified applicants are to be included on the approved matrix. A sample screening matrix is available on the human resources website. If search committee members discover that a relationship with an applicant exists as defined by Policy 11.16, Nepotism, they must notify the search committee chair immediately.

Veteran’s Preference

In accordance with state law, an individual who qualifies for a veteran's employment preference is entitled to a preference in employment with or appointment to a state agency over other applicants for the same position who do not have a greater qualification.

Former Foster Child Preference

In accordance with state law, an individual who was under the permanent managing conservatorship of the Department of Family and Protective Services on the day preceding the individual’s 18th birthday is entitled to a preference in employment with a state agency over other applicants for the same position who do not have a greater qualification.

Interviewing

The hiring department is required to submit interview questions to human resources for approval prior to conducting interviews. Sample interview questions are available on the human resources website. All interview questions asked throughout the hiring process, to include phone and/or video interviews, must be job-related and approved by human resources.

Hiring of New Staff

The hiring department will submit a hiring proposal to hire the selected candidate through the SFA careers website. Information on completing the required steps to submit a hiring proposal is available on the human resources website. The hiring department has full discretion for placing a new employee's pay up to the midpoint of the salary grade. Hiring rates above the midpoint require approval by human resources before the verbal offer is extended to the candidate in accordance with Policy 12.2, Staff Compensation and Classification.

Accepted Employment Offer
Upon the candidate’s acceptance of an employment offer, human resources conducts a background check for all new staff employees and former employees with a break in service. After the background check is completed successfully, the hiring department should submit the appropriate electronic personnel action form (EPAF) to start the employee's job assignment. An EPAF submission is required before a new employee is permitted to start work.

Appointment of full-time exempt administrative/professional staff, changes in position status of full-time exempt administrative/professional staff, and temporary staff services are subject to the approval of the SFA Board of Regents as stated in Policy 1.4, Items Requiring Board of Regents Approval. Human resources provides new appointments and appointment changes to the coordinator of board affairs/compliance before each board meeting.

Cross Reference: Items Requiring Board of Regents Approval (1.4); Compliance with the Americans with Disabilities Act and the ADA Amendments Act (2.5); Nondiscrimination (2.11); Affirmative Action (11.1); Electronic Personnel Action Form (11.8); Employment of Persons with Criminal History (11.12); Fair Labor Standards (11.14); Nepotism (11.16); Reasonable Workplace Accommodation for Disabilities (11.22); Security-Sensitive Positions (11.25); Staff Compensation and Classification (12.2); Tex. Gov. Code Ch. 657

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Human Resources

Forms: Departmental Checklist for Recruiting, Interviewing, and Hiring; Job Analysis Questionnaire (JAQ) form; Human Resources website

Board Committee Assignment: Academic and Student Affairs
POLICY SUMMARY FORM

Policy Name: Student Organization Formation and Recognition

Policy Number: 10.9

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

Date of last revision, if applicable: 10/1/2017

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

Purpose of Policy (what does it do): Recognizes the right of enrolled students to form voluntary organizations for purposes that are not forbidden by State or Federal law.

Reason 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 to department title and added dual credit students as eligible members to comply with the SACSCOC requirement that "all student support services are available to students enrolled in dual credit courses."

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel
Student Organization Formation and Recognition

**Original Implementation:** Unpublished

**Last Revision:** October 23, 2017/26, 2020

Stephen F. Austin State University recognizes the right of enrolled students to form voluntary organizations for purposes that are not forbidden by state or federal law.

Student organizations will be recognized with one of the following designations:

**Temporary**—designation given to proposed student organizations during their formation process. Temporary designations last no more than 90 days. Temporary organizations are not eligible for funding from the Student Organization Reserve Fund (SORF).

**Probationary**—newly formed student organizations are designated as probationary for a 12-month period. During this time, these groups may not use the name or registered marks of the university as a part of their name. Probationary organizations are not eligible for SORF Funding.

**Recognized**—organizations that have been in existence for at least 12 months and are in good standing with the Office of Student Engagement Programs. Recognized organizations are eligible for SORF Funding.

**Sponsored**—organizations sponsored by a university department and designated as such by the Office of Student Engagement Programs. Sponsored organizations are not eligible for SORF Funding.

In order to form a recognized student organization, a group must:

1. Have four (4) students (in good standing as defined by SFA General Bulletin) to act as incorporators who will be legally responsible for the formation of the organization. One of the four must be designated as the initial Registered Agent. The Registered Agent is the legal contact and spokesperson for the group. After an organization forms, the currently registered organizational president will be considered the organization’s Registered Agent.
2. Select an advisor from the faculty/administrative staff who is a benefits-eligible full-time university employee.
3. Complete required risk management training as administered by the Office of Student Engagement Programs with a minimum of four (4) officers participating.
4. Complete and submit all of the documents required in the Student Organization Formation Packet. This packet is available in the Office of Student Engagement Programs.
A group seeking recognition must not:
1. Be a commercial enterprise.
2. Be an unsolicited and/or unrecognized auxiliary of a larger organization.
3. Allow minors to become organizational members unless they are full-time enrolled students or dual credit students at Stephen F. Austin State University

Applications for recognition can be made at any time during the year. The Office of Student Engagement Programs may grant a group temporary recognition while they are finalizing their formation paperwork and securing an on-campus advisor. The length of temporary recognition shall be no more than 90 days.

The director of student engagement programs will review the application for recognition when it is complete and determine whether recognition is granted.

**REQUIREMENTS FOR MAINTAINING RECOGNITION**

The authority of an organization to function as a student organization may cease upon:

a. The removal or resignation of the advisor, unless a qualified replacement is registered within 90 days.

b. Violation by the organization of any rules or regulations of the university or state or federal law.

c. Failure by the organization, its officers or advisor(s) to adhere to the requirements set forth by the university.

d. The organization remaining in an inactive status for three or more long semesters.

e. Failure to provide acceptable documentation of affiliation with any parent organization when requested.

Students selected, elected, or appointed as a student organization officer (an officer is an individual in a leadership position as defined in the organization’s constitution) shall be in good standing with the university and:

For undergraduates, be enrolled for six (6) or more credit hours during their term of office.
For graduate students, be enrolled for four (4) or more credit hours during their term of office.

All meetings and activities of each student organization shall be subject to, and held under, all applicable university regulations and policies. Student organizations must abide by the policies and procedures set forth by the SFA Board of Regents including, but not limited to, the Student Code of Conduct.

Being recognized as a student organization is an awarded privilege, not a right, and requires responsibility on the part of the membership of the organization for meeting university requirements for student organizations.
All student organizations must register with the Office of Student Engagement Programs as often as is required. At the time of registration, all information requested on the registration documents must be supplied. A constitution that provides information on the structure, purpose and operation of the organization must be provided and kept on file in the Office of Student Engagement Programs, reaffirmed by the organization on an annual basis and updated whenever the document is revised.

A minimum of four (4) officers must complete the annual risk management training administered by the Office of Student Engagement Programs.

**RELATIONSHIP BETWEEN THE UNIVERSITY AND STUDENT ORGANIZATIONS**

Aside from the supervision exercised by university departments over the Student Activities Association, Student Government Association, Residence Hall Association, and certain other social and cultural activities conducted on the campus of Stephen F. Austin State University, the university recognizes registered student organizations as independent entities and assumes no responsibility or liability for their programs or activities. Some organizations, if closely connected with the activities of academic departments of the institution may, in some cases, receive special help and supervision from those departments.

To protect the student-led nature of student organizations, university employees may not serve in any officer role within the organization other than advisor without the written approval of the dean of student affairs. No employee of the university has the authority to open a bank account in the name of, or for the benefit of, any student organization nor should any employee be included as an allowable signatory on any off-campus bank account of any student organization. Student employees are exempted from these prohibitions.

The name of the university (including abbreviations) may not be used within the name or description of any off-campus banking account established and/or maintained by any student organization.

Responsibility for any views expressed in a meeting or activity of a student organization is solely that of the individuals concerned and the university is not to be held to approve or disapprove such views, whatever their nature. The university is to be concerned exclusively with the discharge of its educational obligation and to facilitate free discussion of all points of view to the extent constitutionally guaranteed.

**Cross Reference:** Stephen F. Austin State University Policy Manual; Student Handbook; U.S. Const. amend. I, XIV; Student Organization Risk Management Training (10.10)

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

**Contact for Revision:** Director of Student Engagement Programs

10.9 Student Organization Formation and Recognition
**Forms:** Student Organization Formation Packet

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

Policy Name: Tuition Rebate

Policy Number: 6.21

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): This policy affirms compliance with Texas Education Code requirements to rebate up to $1,000 of tuition for certain undergraduates.

Reason 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:

Formatting and minor wording changes.

Reviewers:

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

**Original Implementation:** January 30, 2001  
**Last Revision:** October 23, 2020

**Purpose**

This policy affirms compliance with Texas Education Code requirements to rebate up to $1,000 of tuition for certain undergraduates.

**General**

Section 54.0065 of the Texas Education Code authorizes a tuition rebate of up to $1,000 for certain undergraduates. The purpose of this program is to provide a financial incentive for students to complete their baccalaureate studies with as few courses outside the degree plan as possible. Minimizing the number of courses taken by students results in financial savings to students, parents, and the state.

To be eligible for a rebate under this program, a student must:

- have enrolled for the first time in an institution of higher education in the fall 1997 semester or later;
- request a rebate for coursework related to a first baccalaureate degree received from a general academic teaching institution;
- have been a resident of Texas as set forth under rules established by the Texas Higher Education Coordinating Board and have been entitled to pay resident tuition at all times while pursuing the degree;
- if enrolled for the first time in fall 2005 or later, graduate within four calendar years for a four-year degree program or within five calendar years for any program determined by the Texas Higher Education Coordinating Board to require more than four years to complete*; and
- have attempted no more than three hours in excess of the minimum number of semester credit hours required to complete the degree under the catalog under which the student graduated.

In addition to hours completed at SFA, hours attempted include:

- transfer credits
- course credit earned exclusively by examination (except the first nine semester credit hours are excluded)
- courses dropped after the official census date
- for-credit developmental courses
- optional internship and cooperative education courses
- repeated courses

Hours attempted exclude:
• course credit that is earned to satisfy requirements for a Reserve Officers’ Training Corps (ROTC) program but that is not required to complete the degree program for students graduating with a bachelor’s degree in December 2007 or later
• course credit, other than course credit earned exclusively by examination, that is earned before graduating from high school (i.e., dual credit hours earned in high school) (effective June 17, 2011)
• required teacher education courses to the extent that they are over and above the free electives allowed in the baccalaureate degree program (for students concurrently earning a baccalaureate degree and a Texas teaching certificate)
• courses dropped for reasons that are determined by the institution to be totally beyond the control of the student
• developmental or remedial education – pre-college, remedial courses if not taken for college credit

The amount of the tuition rebate is the lesser of $1,000 or the actual amount of undergraduate tuition paid by the student to SFA. If the amount paid to SFA is less than $1,000, the student may qualify for an increase in the amount of the rebate, not to exceed $1,000 by providing proof of tuition paid to other Texas institutions of higher education.

The rebate shall first be applied to any outstanding balance due to SFA, including outstanding charges on the student’s account, short-term loans or book loans owed to the university. Then, if the student has an outstanding student loan owed to or guaranteed by the state of Texas, the university shall apply the rebate to the student loan, and then pay the student any excess amount. If a student has more than one outstanding student loan owed to or guaranteed by the state of Texas, the university shall apply the amount of the rebate to the loans as directed by the student. If the student fails to provide timely instructions on the application of the amount, the university shall apply the amount of the rebate to retire the loans with the highest interest rates first.

Students wishing to apply for tuition rebates must do so at the time they apply for baccalaureate degrees by completing the information on the back of the graduation application form pertaining to the tuition rebate. Applications are available in the registrar's office.

The registrar's office will evaluate all applications and make a determination of rebate eligibility based on number of hours attempted as posted on the student's academic record. The registrar's office will provide the controller’s office with the names, addresses and social security numbers of all applicants eligible for tuition rebates. The controller’s office will review the list and make a determination of rebate eligibility based on amounts the student has paid the university for tuition. Within 60 days after graduation, the controller’s office will remit rebates to eligible students and the registrar's office will mail denial notices to ineligible students. Each notice will include the reason for denial. A student may appeal a denial decision to the Fiscal Appeals Panel in accordance with Student Fiscal Appeals (6.19). Information on the appeal process is available in the registrar's office. All appeals must be filed within 60 days of the university's written notification of denial.

* If enrolled for the first time in fall 2005 or later, a student may be eligible for a tuition rebate if the otherwise eligible student is awarded a baccalaureate degree but does not satisfy the time requirement solely as a result of a hardship or other good cause. The performance of active duty
military service by a student shall be recognized as “good cause.” Such student must follow the appeal procedures outlined in Student Fiscal Appeals (6.19) to be considered for the rebate.

**Cross Reference:** Tex Educ. Code § 54.0065; 19 Tex. Admin. Code §§ 13.80-.87; Student Fiscal Appeals (6.19)

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

**Contact For Revision:** Controller, Registrar

**Forms:** Graduation Application Form (available in the Registrar's Office)

**Board Committee Assignment:** Academic and Student Affairs
Policy Name: University Logo and Seal

Policy Number: 15.6

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): A clear and consistent identity system is vital to building and maintaining an entity's reputation, and the most commonly discussed element of a brand identity is the logo. Although the logo is not the only key to a strong brand – user experience and brand storytelling are equally important elements – the logo communicates the brand, even when it stands alone. This policy protects the SFA logo and seal, and its purpose is to ensure appropriate usage of both.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Minor revisions for clarification.

Reviewers:

Shirley Luna, Executive Director of University Marketing Communications
Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel
**University Logo and Seal**

**Original Implementation:** Unpublished  
**Last Revision:** October 23, 2021, 26, 2020

Stephen F. Austin State University retains all rights to the use of its name and associated verbiages, as well as the university’s official seal, logo and other marks. Requests for the use of university logos and emblems on promotional items should be directed to the Department of Intercollegiate Athletics, where the request will be forwarded to the university’s contracted licensing agent. Licensing revenue is dedicated to support the university athletic department.

The official seal of Stephen F. Austin State University is reserved for use by the Office of the President and may be used by other SFA departments only with the permission of the Office of the President. It is used primarily on ceremonial and academic documents, such as commencement programs and diplomas.

The official university logo is the “spirit” logo with the letters SFA stacked diagonally across a graphic of the state of Texas. A star representing Nacogdoches is incorporated to the right of the letters.

The official seal of Stephen F. Austin State University is reserved for use by the Office of the President and may be used by other SFA departments only with the permission of the Office of the President. It is used primarily on ceremonial and academic documents, such as commencement programs and diplomas. *A commercial seal is available for use for promotional purposes, but it should not be used in place of the official logo.*

![Official seal](image1)  
![Commercial seal](image2)

The official logo and seal of the university may be changed only by an official vote of the SFA Board of Regents. Guidelines regarding the use of SFA logos and wordmarks are available in the Identity Standards manual on the University Marketing Communications website.
This policy does not apply to the logos of student organizations.


Responsible for Implementation: Vice President for University Advancement

Contact for Revision: Athletic Director, Executive Director of University Marketing Communications

Forms: SFA Art Approval Form

Board Committee Assignment: Academic and Student Affairs
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:

Turner Auditorium 16.30
Policy Name: Turner Auditorium

Policy Number: 16.30

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: Provost and Vice President for Academic Affairs

Purpose of Policy (what does it do): Establishes a process for scheduling and use of Turner Auditorium and equipment within.

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

**Original Implementation:** May, 1987  
**Last Revision:** January 30, 2018  
**Last Revision:** October 26, 2020

**Auditorium Operating Policy**

Scheduling and use of Turner Auditorium and its equipment are pursuant to the policy on Use of University Facilities (16.33). The dean of the College of Fine Arts is the administrator of the facility and its operating policies. Nothing contained in this policy will be construed to prohibit or hinder the operation of Turner Auditorium in pursuing the university's mission. All activities associated with that mission will have priority in the use of this facility.

**Priority of Users**

Because Turner Auditorium is an academic and a performing arts facility, its use shall be restricted according to the following prioritized categories:

Category I - Events sponsored by the Schools of Art, Music, or Theatre; and other performance activities that are a necessary adjunct to academic programs in the College of Fine Arts.

Category II - Events that are a part of the University Series or the Children's Performing Arts Series (CPAS).

Category III - Events sponsored by university academic units or organizations.

Category IV - Events sponsored by non-university groups subject to the regulations described herein.

**Reservations Procedures**

Reservations for all functions in Turner Auditorium are made through the office of the dean of the College of Fine Arts. The dean may limit in advance, or reduce after receipt of reservations, the number of dates reserved by any entity, activity, or type of event. The dean may limit the duration and/or reject the date(s) of any reservation that is impractical for reasons such as safety, stage operations requirements, or excessive restriction of the auditorium’s availability. All reservations require the dean’s approval. The dean will act as arbitrator in circumstances where scheduling conflicts cannot be resolved. Scheduling priorities will be given in accordance with the following procedures:

Category I - Events requiring the use of the auditorium for five days or longer have priority for reserving dates until October 1 of the previous academic year. Events requiring the use of the auditorium for fewer than five days have priority for reserving dates through October 31 of the previous academic year.
Category II - Events in this category have priority for reserving dates after November 1 and prior to January 1 of the previous academic year.

Categories III and IV - Events in these categories may reserve available dates after May 1 of the previous academic year.

Events with Admission Charges

Categories I and II - If an event has an admission charge, the Fine Arts Box Office must deposit all proceeds into a university account according to business office procedures.

Categories III and IV - Admission pricing and procedures may be established by individual users for their events. Services of the Fine Arts Box Office are not available; nevertheless, university academic units must conform to university business practices and policies.

Jointly Sponsored Events

Jointly sponsored events (i.e., events where official university academic units and organizations jointly sponsor an event with a non-university group) may be scheduled only in accordance with the provisions of the policy on Use of University Facilities (16.33). Jointly sponsored events in Turner Auditorium are subject to the following regulations:

1. Only university entities (colleges, academic units, auxiliary offices) may jointly sponsor an event with a non-university group.
2. A jointly sponsored event must have approval from an academic unit chair/director, dean or vice president and have relevant educational objectives.
3. A written agreement between the university entity and the non-university group must be prepared in consultation with the dean of the College of Fine Arts and the Turner facilities manager. This agreement must be signed by the appropriate authorities.
4. The Turner staff will work directly with the university sponsor rather than the non-university group. The university sponsor will be considered the producer of the event.
5. The university sponsor will assume full responsibility for the event and all related charges, including costs for damages. All promotion of the event must include the name of the university, be approved by the university sponsor and conform to the policy on University Publications (15.8).
6. The university sponsor will assure the use of Turner Auditorium does not result in private gain for the non-university group.

General Operating Regulations

1. No signs, messages or other materials may be posted, displayed, distributed, or announced in, on, or adjacent to Turner Auditorium without prior written approval by the dean of the College of Fine Arts. Such materials may not be fastened to any part of the facility except in
spaces provided for that purpose and may not be permitted to interfere with crowd movement and safety.
2. All news releases, handbills, advertisements, television and radio announcements or other media utilized to inform the public of a non-university event to be held in Turner Auditorium must be approved by University Marketing Communications and must carry a disclaimer, approved by the university general counsel, stating that the use of Turner Auditorium does not imply endorsement of the event by the sponsoring organization or the university.
3. Safety regulations, as determined by the Turner staff and the university safety officer, will govern all areas of Turner Auditorium and the Griffith Fine Arts Building.
4. User organizations are responsible for the conduct of their representatives, members, and guests of the event while in the Griffith Fine Arts Building. Organizations with a history of conduct violations during previous use of Turner Auditorium may be denied subsequent use.
5. In accordance with the policy on Smoking, Vaping and Use of Tobacco Products (13.21), the university is a tobacco and vape free campus.
6. Users are advised to make their policies regarding the taking of photographs and/or recordings clear to the audience.
7. Users must have prior written permission from the Turner staff to make any broadcasts, telecasts, master recordings, films, or transcripts of performances. If consent is given, the user organization will furnish and install all necessary equipment other than that provided by the Turner staff.
8. Users must specify hours of occupancy and may not have activities in the facility other than at those times. The Turner staff will be in attendance and will be paid by the users during all specified hours, according to a schedule of fees kept in the dean’s office.
9. Turner staffing levels will be determined by the dean of the College of Fine Arts and the Turner facilities manager. A Turner technical crew and house management are required for all events when an audience is present. Any additional required personnel (ticket sellers/takers, ushers, etc.) will be provided by the users, at the users’ expense.
10. Users may employ their own crews for tasks better understood by their personnel (music stand and chair setup, prop arrangements, etc.). These arrangements must be approved in advance by the dean of the College of Fine Arts and Turner facilities manager. Such arrangements do not, however, release the users from the basic personnel charges identified in this policy.
11. Services provided by the Turner staff outside scheduled occupancy will be paid by the users. All university equipment will be operated by trained personnel employed by the university and/or approved by the Turner facilities manager.
12. All users and sponsors will pay for damages to the facility, its fixtures and equipment, whether caused by the users, sponsors, or patrons, with the exception of ordinary wear and tear.
13. Pianos owned by the university may be provided, according to the schedule of fees.
14. Stage work will be done at the users’ expense under the supervision of the Turner facilities manager. Approval must be secured for organizations to employ their own personnel.
15. Users must request equipment that may be deemed non-standard by the Turner facilities manager prior to signing the contract.
16. Users must obtain approval from the Turner facilities manager before placing any equipment on the stage. All decorations will be installed without defacing the building and will be subject to the supervision and approval of the Turner facilities manager.

17. User organizations will leave the stage and stage areas, including dressing rooms and access areas, clean and clear after the final performance. Any exception must be approved by the Turner facilities manager. If the stage is not cleared within the designated period, the Turner staff will employ a crew for which the users will pay. Users will be released from further clean-up responsibility only after inspection by the Turner facilities manager.

18. Additional charges will apply for custodial services required outside regularly scheduled housekeeping hours.

19. User organizations will not allow beverages, food, gum, or refreshments to be sold, brought into, or served in the Griffith Fine Arts Building. No refreshments will be taken onto the stage, into the backstage areas, or into the auditorium. Exceptions must be approved by the Turner facilities manager.

20. Should an event be canceled within three weeks before the scheduled performance, a cancellation fee will be charged to the users according to the schedule of fees.

21. House doors open thirty (30) minutes before curtain time. The house manager starts the performance.

22. Users whose technical or house crew fails to operate and maintain the facility according to the stated operating regulations will be required to employ Turner staff for future events, or may forfeit future use.

Cross Reference: Use of University Facilities (16.33); University Publications (15.8); Smoking, Vaping and Use of Tobacco Products (13.21), Health and Safety (13.10), Receipts and Deposits (3.26)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Dean of the College of Fine Arts

Forms: Reservation Form, Schedule of Fees

Board Committee Assignment: Building and Grounds
POTENTIAL NAMING OPPORTUNITY

Executive Session Item
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:

- Follow-Up Audit
- Information Technology Services Departmental Audit
- Student Success Center Departmental Audit
- Update on Audit Plan

Recommendation:

Acknowledge receipt of the audit services report pending consideration by the Finance and Audit Committee.
ANNUAL AUDIT REPORT AND AUDIT CHARTER

Explanation:

According to the Rules and Regulations of the Board of Regents, the chief audit executive shall submit an annual report as required by Art. 6252-5d, V.T.C.S., recodified at Government Code, Chapter 2101. The annual report shall be submitted to the president and the board for review prior to public dissemination. In addition, the Institute of Internal Auditors (IIA) International Standards for the Professional Practice of Internal Auditing (the standards) require the internal audit charter to be approved periodically. The internal audit charter provides the purpose, authority, responsibility, and position of the internal audit department. The charter is included in the annual audit report.

Recommendation:

Approval of the annual audit report and audit charter pending approval of the Finance and Audit Committee.
EXTENSION OF MARKETING CAMPAIGN CONTRACT

Explanation:

Carlberg is contracted for website development and has requested an extension of their FY2020 contract through May 31, 2021 in order to complete the work.

Recommendation:

The administration recommends that the board approve this contract amendment extension for completion of FY2020 website work. The administration further recommends that the president be authorized to sign the contract amendment.
ECONOMIC DEVELOPMENT ADMINISTRATION GRANT RATIFICATION

Explanation:

The university is developing a grant proposal from the Economic Development Administration (EDA) to establish a collaborative center where faculty, students, and staff can engage in research development projects that support academic programs and regional economic development. The collaboration may include, but is not limited to, government agencies, private manufacturers, corporate research entities, and the financial services industry. The center will host conferences, professional development opportunities, and research initiatives.

The base EDA grant of $3,571,579 represents 80% of the total project funding. The grant opportunity requires the university to fund 20% of the $4,464,474 grant total. That required match is $892,895, which would come from designated fund balance.

The grant submission date was September 30, 2020. Therefore, the administration seeks ratification of the grant project and the required institutional match.

Recommendation:

The administration recommends the board ratify approval of the Economic Development Administration grant submission, which includes a grant funding level of $3,571,579, an institutional match of $892,895 using designated fund balance, and a total grant budget of $4,464,474. The administration further recommends presidential authorization to sign the grant agreement and contract. In addition, the administration recommends presidential authorization to sign associated contracts and purchase orders that exceed the president's board-authorized limit.
RATIFICATION OF THE 2022-23 LEGISLATIVE APPROPRIATIONS REQUEST

Explanation:

At the July 17, 2020 meeting, the regents approved the submission of the 2022-23 Legislative Appropriations Request (LAR) to the Legislative Budget Board (LBB). The regents were provided capital request plans that included a $45,000,000 Agriculture and Technology Complex, a $53,000,000 Interdisciplinary and Applied Sciences Building, and a $2,000,000 request to fund a Center for Applied Research and Rural Innovation. The LAR submission on September 18, 2020 contained those specific initiatives, presented as exceptional item requests.

As a part of the LAR submission, the LBB instructed state agencies and institutions of higher education to submit a 5% general revenue reduction for the 2022-23 biennium. That biennial amount totaled $402,990. SFA complied with that requirement, but also included an exceptional item request, asking for the restoration of that reduction.

In addition to the capital requests, operating request to fund the Center for Applied Research and Rural Innovation, and restoration of the required five percent general revenue reduction, the university requested continued funding of non-formula support items. Those included continued funding for tuition revenue bond debt service, and all other non-formula support items.

Excluding exceptional item requests, the university submitted non-formula requests as directed by the LBB. The requests were $15,927,901 for fiscal year 2022 and $16,003,279 for fiscal year 2023, for a biennial non-formula total of $31,931,180.

Exceptional item request biennial totals included restoration of the required 5% general revenue reduction of $402,990, debt service for the Agriculture and Technology Complex of $9,241,564, debt service for the Interdisciplinary and Applied Sciences Building of $7,846,610, and operational funding for the Applied Research and Innovation initiative of $2,000,000. Biennial exceptional item requests totaled $38,982,328.

The LBB has requested updates to revenue and expenditures that occurred in end-of-year closing activities. The updated report was due on October 23, 2020. There were no revisions to non-formula or exceptional item requests.

Recommendation:

The administration recommends ratification of the 2022-23 Legislative Appropriations Request as submitted.
RATIFICATION OF VIVATURE MEDICAL BILLING CONTRACT

Explanation:

At the January 29, 2013 meeting, the board of regents approved Vivature, Inc. to provide insurance company medical billing services for the SFA Health Clinic. The contract was scheduled to expire on October 31, 2018. On April 15, 2013 a contract amendment with Vivature, Inc. was signed that added medical billing services for the athletic department. At the October 29, 2018 meeting, the board of regents approved a contract extension through December 31, 2019. There was an additional contract amendment related to an equipment schedule signed that extended the contract period through August 31, 2023.

The administration request ratification of contract amendment that extended the medical services billing contract with Vivature, Inc. through August 31, 2021.

Recommendation:

The administration recommends ratification of the medical services billing contract extension from January 1, 2020 through August 31, 2021. The administration also recommends the president be authorized to sign purchase orders and any associated contract documents.
GRANT AWARDS

Explanation:

In fiscal year 2020, the University received multi-year grant awards totaling $26,266,967. Of that total, grants awarded allocable to fiscal year 2020 were $17,124,616, an increase of $6,900 since the last report.

For fiscal year 2021, the multi-year grant award total is currently $17,811,197. Of this total, grant awards allocable to fiscal year 2021 are currently $5,563,148.

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 $6,900, and grant awards for fiscal year 2021 that total $5,563,148. The grant awards are detailed as presented.
Summary Report – Fiscal Year 2020

Amounts allocable to FY20 (detailed in this report)

- Federal funds (direct and pass-through) $ 6,900
- State Funds (direct and pass-through) $ 0
- Private and Local Government $ 0

TOTAL $ 6,900

New awards, FY20 (detailed in this report, all project years) $ 6,900
Cumulative amount allocable to FY20 $17,124,616
Cumulative award total FY20, all project years $26,266,967

New, Additional, or Previously Unreported Awards for FY 2020

Federal Funds (direct and pass-through)

Additional Funds:

Rural Communities Opioid Response Program – Planning
Dr. Jose Carbajal, School of Social Work
Total Award: $78,188

Amount Allocable to FY 2020: *$6,900

Subtotal Federal Amounts Allocable to FY2020 (this report) = $ 6,900
Subtotal New Federal Awards (total award) = $78,188

*New awards or additional funds added to a current award

1For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.
Fiscal Year 2021 – as of September 30, 2020

Amounts allocable to FY21 (detailed in this report)

<table>
<thead>
<tr>
<th>Source</th>
<th>Amount (US$)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal funds (direct and pass-through)</td>
<td>1,884,990</td>
</tr>
<tr>
<td>State Funds (direct and pass-through)</td>
<td>3,392,702</td>
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<tr>
<td>Private and Local Government</td>
<td>285,456</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>5,563,148</strong></td>
</tr>
</tbody>
</table>

New awards, FY21 (detailed in this report, all project years) $3,964,875
Cumulative amount allocable to FY21 $5,563,148
Cumulative award total FY21, all project years $17,811,197

**Federal Workstudy Funds** (not included in ORGS totals) $586,747

New, Additional, or Previously Unreported Awards for FY 2021

Federal Funds (direct and pass-throughs)

**Title**: *Mass Timber Buildings*
**Sponsor**: US Endowment for Forestry and Communities (US Forest Service / USDA)
Award # E19-71
**Award Term**: February 1, 2020 to July 31, 2021
**PI/PD**: Dr. Robert Selden, Jr., Regional Heritage Research Center
**Total Award**: $100,000
**Amount Allocable to FY 2021**: $100,000
Award will help utilize mass timber in the design and possible use in the new building projects being undertaken by the university. The use of mass timber in some of these buildings would create a unifying design theme between multiple new buildings on campus that would speak of a material language rooted in the lumber industry of the East Texas region.

**Title**: *Expanding Opportunities in Agriculture for Under Represented Populations*
**Sponsor**: Sam Houston State University (prime - National Institute of Food & Agriculture / USDA)
Award # 25162A
**Award Term**: June 15, 2020 to June 14,2023
**PI/PD**: Dr. Candis Carraway, Agriculture
**Total Award**: $90,000
**Amount Allocable to FY 2021**: $28,614
In partnership with SHSU, this project focuses on recruiting under-represented populations in order to obtain post-secondary education in food and agriculture related studies.

*New awards or additional funds added to a current award

¹For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.
Title: *National Forests and grasslands in Texas Site Predictive Model*
Sponsor: US Forest Service / USDA
Award # 20-PA-11081300-245
Award Term: July 1, 2020 to February 20, 2025
PI/PD: Dr. Robert Selden, Jr., Regional Heritage Research Center
Total Award: $20,000

**Amount Allocable to FY 2021:** $20,000

A variety of activities on National Forest lands in Texas will be undertaken which may include an archeological survey, evaluation, excavation, and artifact analysis, collections management, cultural resource recording, site monitoring, site relocation, and archeological and historical interpretation.

Previously Described Awards:

*Visually Impaired Preparation (VIP) Program FY21-22*
Dr. Shannon Darst, Education Studies

**Award Total:** $602,000

**Amount allocable to FY 2021:** $602,000

*McIntire-Stennis Cooperative Forestry Research Program FY20*
Dr. Hans Williams, College of Forestry and Agriculture

**Award Total:** $471,636

**Amount allocable to FY 2021:** $471,636

**CARES Act: Stephen F. Austin State University Higher Education Emergency Relief – Institutional Aid**
Dr. Danny Gallant, Finance and Administration

**Award Total:** $5,262,639

**Amount allocable to FY 2021:** $262,539

**CARES Act: Stephen F. Austin State University Higher Education Emergency Relief – Students**
Dr. Erma Nieto-Brecht, Admissions

**Award Total:** $5,262,539

**Amount allocable to FY 2021:** $262,539

**Calculus and Virtual Reality (CalcVR)**
Dr. Nicholas Long, Mathematics & Statistics

**Award Total:** $294,523

**Amount allocable to FY 2021:** $58,452

**Establishment of Silvopasture Demonstration Area Using Native Grasses**
Jason Grogan, Forestry

**Award Total:** $75,000

**Amount allocable to FY 2021:** $29,615

**Collaborative Research: UTMOST 3.0 Undergraduate Teaching and Learning in Mathematics with Open Software and Textbooks (UTMOST Phase III)**
Dr. Thomas Judson, Mathematics & Statistics

**Award Total:** $95,745

**Amount allocable to FY 2021:** $28,170

**CARES ACT: Higher Education Emergency Relief Fund-Strengthening Institutions Program**

*New awards or additional funds added to a current award*

1For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.
Report to the Board of Regents – October 2020
Grants¹ awarded between and July 1, 2020 and September 30, 2020

Dr. Danny Gallant, Finance and Administration
**Award Total:** $513,425
**Amount allocable to FY 2021:** $13,425

2019-20 MLK Day of Service
Veronica Beavers, Multicultural Affairs
**Award Total:** $16,000
**Amount allocable to FY 2021:** *$8,000

**Subtotal Federal Amounts Allocable to FY 2021 (this report) = $1,884,990**
**Subtotal New Federal Awards (total award) = $1,283,636**

**Federal Workstudy Funds** (not included in ORGS totals)

**Department of Education federal work-study allocation**
FY2021 Award: $586,747
Agency: Department of Education
Manager: Rachele Garrett, Financial Aid
This program funds work-study students.

**State Funds (direct and pass-through)**

*Previously Described Awards*

**SFA Charter School (ADA, non-grant)**
Lysa Hagan, Charter School
**Award Total:** $2,475,138
**Amount allocable to FY 2021:** $2,475,138

**Identification of Existing Geologic Hazards within TxDOT Right-of-Way I Culberson County, Phase 2**
Dr. Kevin Stafford, Geology
**Award Total:** $889,279
**Amount allocable to FY 2021:** $402,559

**SFA Jacks Teach**
Dr. Josephine Taylor, Biology
**Award Total:** $360,000
**Amount allocable to FY 2021:** $280,000

**Child Welfare Professional Development Project FY17-21**
Dr. Freddie Avant, School of Social Work
**Award Total:** $862,661
**Amount allocable to FY 2021:** $177,966

**Disability Services – Reader Services FY20-22**
Tiffany Rivers, Disability Services
**Award Total:** $64,000
**Amount allocable to FY 2021:** $32,000

*New awards or additional funds added to a current award
¹For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.
Report to the Board of Regents – October 2020
Grants awarded between and July 1, 2020 and September 30, 2020

Assessing Pathways of Introduction of Non-Native Fishes (Sheepshead Minnow: Cyprinodon Variegatus, and Gulf Killfish: Fundulus Grandis) in Texas Streams
Dr. Carmen Montana-Schalk, Biology
Award Total: $474,580
Amount allocable to FY 2021: $10,957

Assessing the Population Status of Brazos River Watersnakes (Colubridae: Nerodia)
Dr. Matthew Kwiatkowski (formerly Dr. Stephen Mullin), Biology
Award Total: $26,700
Amount allocable to FY 2021: $1,200

Joint Admission Medical Program (JAMP ) FY20-23
Dr. Kevin Langford, Biology
Award Total: $25,834
Amount allocable to FY 2021: $12,882

Subtotal State Amounts Allocable to FY 2021 (this report) = $3,392,702
Subtotal New State Awards (total award) = $2,475,138

Private Entity and Local Government Awards

Title: *Evaluating woody Ornamentals for Galveston Island in an Era of Rapid Climate Change
Sponsor: Moody Gardens, Inc.
Award Term: October 1, 2020 – October 1, 2023
PIs/PDs: Dr. David Creech, Agriculture
Total Award: $195,601
Amount Allocable to FY 2021: $67,487
This award builds on the nursery infrastructure and current inventory of plant materials at the research plot located at Moody Gardens in Galveston, Texas to continue to research plant performance and tolerance in in both aerial and soil salinity threats and the challenge of strong winds.

Title: *Career Sports & Fall Career Exploration
Sponsor: Enterprise Holdings Foundation
Award Term: September 1, 2020 – August 31, 2021
PIs/PDs: Jamie Bouldin, Student Affairs
Total Award: $2,500
Amount Allocable to FY 2021: $2,500
Grant funds will purchase software licenses to offer resources to students in areas such as career guidance and career aptitude.

Previously Described Awards:
Better Together, Nacogdoches County Community Collaborative
Dr. Stephen Cooper, School of Social Work
Award Total: $410,000
Amount allocable to FY 2021: $150,469

*New awards or additional funds added to a current award
1For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.
Report to the Board of Regents – October 2020
Grants¹ awarded between and July 1, 2020 and September 30, 2020

**Departmental Research Grant: Basic Chemical Research FY20-22**
Dr. Michael Janusa, Chemistry

**Award Total:** $135,000  
**Amount allocable to FY 2021:** $45,000

**Archaeology and Education of Freedom Colonies I Deep East Texas: A Beginning**
Dr. George Avery, Anthropology, Geography and Sociology

**Award Total:** $25,000  
**Amount allocable to FY 2021:** $20,000

**Subtotal Private and Local Amounts Allocable to FY2021 (this report) = $285,456**

**Subtotal New Private and Local Awards (total award) = $198,101**

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

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*New awards or additional funds added to a current award

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

- Check Cashing 3.7
- Compliance 2.12
- Environmental Management 13.26
- Gift Reporting 3.16
- Travel 3.29
- Travel Card 3.30
POLICY SUMMARY FORM

Policy Name: Check Cashing

Policy Number: 3.7

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): This policy establishes that the business office is the only office authorized to cash checks. The business office may cash personal checks for faculty, staff and currently enrolled students with a Stephen F. Austin State University ID.

Reason 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:

Wording modified to remove the specific amount of the fee that will be assessed by the university for a return check. Also, formatting and minor wording changes.

Reviewers:

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

**Original Implementation:** September 1, 1988  
**Last Revision:** October 23, 2017, 26, 2020

**Purpose**

This policy affirms establishes that designates the business office is as the only campus location allowed office authorized to cash checks. The business office may cashes personal checks for faculty, staff, and currently enrolled students with a Stephen F. Austin State University ID.

**General**

The check-cashing limit is established by the controller’s office. If an extenuating circumstance exists in which a student or employee needs to cash a check in excess of the established amount, authorization must come from the controller, the bursar in the business office or the bursar’s designee. Checks returned to the university for nonsufficient funds (NSF), payment stopped, or account closed will be collected by the university or an outside collection entity. A $30 fee will be assessed by the university for any check returned. Any fees charged to the university by an outside collection entity or the financial institution will be assessed to the individual. The university reserves the right to refuse personal checks from individuals who have a history of bad checks.

**Restrictions**

Employees may not cash their own check or a check from a relative, as defined by policy 11.16, Nepotism. Family member status is not terminated by death or divorce. The business office is not authorized to cash two-party checks or post-dated checks.

University checks (i.e., payroll checks, travel checks, student refund checks, etc.) may ordinarily be cashed only when the check is used as payment on the payee's account. Any other circumstances must be approved by both the bursar or his/her designee and the controller and/or his/her designee on the university’s check cashing exception form.

Web check payments in excess of the amount owed, thus resulting in a refund, are not permissible.

**Cross Reference:** Returned Payments (3.27); Nepotism (11.16)

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

**Contact for Revision:** Controller

**Forms:** Check Cashing Exception Form

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

Policy Name: Compliance
Policy Number: 2.12

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

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

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Policy describes and implements the university's compliance 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: Updates to committee member listings.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Gina Oglesbee, Chief Audit Executive
Damon Derrick, General Counsel
Compliance

**Original Implementation:** July 26, 2016
**Last Revision:** October 26, 2020

**INTRODUCTION**

This policy sets forth the rules governing the creation, implementation, and periodic evaluation of an institutional compliance program for the university. The program is designed to provide a framework for promoting an organizational culture that: (1) promotes a commitment to ensure the highest level of compliance with all applicable laws and regulations, institutional policies, procedures and other rules governing higher education, including research and health care to the extent applicable and (2) prevents and detects criminal conduct or other conduct inconsistent with an effective compliance program.

**DEFINITIONS**

A. University - Stephen F. Austin State University (SFA) and all of its components, regardless of the source of funding.
B. Employee - All persons receiving compensation from the university, including faculty, staff, and students. The term also includes any volunteer who provides services to the university through an official arrangement with the university or a university organization.
C. Substantial authority personnel - high-level personnel or individuals who exercise substantial discretion when acting within the scope of their authority.

**COMMITTEES**

SFA utilizes two committees: Executive Oversight Compliance Committee and Compliance Coordinating Committee.

**EXECUTIVE OVERSIGHT COMPLIANCE COMMITTEE**

The Executive Oversight Compliance Committee’s primary function is to direct policy and instill the importance of compliance in the university community. This committee monitors progress on key compliance initiatives, reviews updates on compliance developments and best practices, and allocates resources as necessary to achieve the compliance program goals. Its members consist of:

1. President
2. Provost & Vice President for Academic Affairs
3. Vice President for University Affairs
4. Vice President for Finance and Administration
5. Vice President for University Advancement
6. Director of Government Relations
7. Executive Director of Enrollment Management
8. Chief Diversity Officer
9. **Chief Information Officer**

10. **Director of Intercollegiate Athletics**

11. **Chief Audit Executive (advisory)**

12. **General Counsel**

In exercising its overall responsibility for the university’s compliance program, the Executive Oversight Compliance Committee shall be regularly briefed by the chair of the Compliance Coordinating Committee about the content and operation of the program, and also when criminal conduct is discovered.

The Executive Oversight Compliance Committee shall take reasonable steps to:

1. Not include within the substantial authority any individual who has engaged in illegal activities or other conduct inconsistent with an effective compliance program.

2. Communicate periodically and in a practical manner the standards and procedures of the compliance program by conducting effective training programs and otherwise disseminating information appropriate to the respective roles and responsibilities of the entire university community involved in the compliance program. Such training may include informal staff meetings, and monitoring through regular “walk-arounds” or continuous observation while managing a designated compliance area.

3. Ensure that the compliance program is followed including monitoring and auditing to detect illegal activities or other conduct inconsistent with an effective compliance program.

4. Have and publicize a system, which may include mechanisms that allow for anonymity or confidentiality, whereby university employees and agents may report or seek guidance regarding potential or actual criminal conduct or other conduct inconsistent with an effective compliance program without fear of retaliation.

5. Consistently promote and enforce the compliance program throughout the university through appropriate incentives for performing in accordance with the program, and appropriate disciplinary measures for engaging in criminal conduct or other conduct inconsistent with an effective compliance program and for failing to take reasonable steps to prevent or detect such conduct.

6. Respond appropriately after criminal conduct or other conduct inconsistent with an effective compliance program has been detected, including making any necessary modifications to the compliance program to prevent further similar conduct.

7. Assess the risk of criminal conduct or other conduct inconsistent with an effective compliance program and take appropriate action to design, implement, or modify the program to reduce the risk of such conduct identified through this process at least annually.

**COMPLIANCE COORDINATING COMMITTEE**

The Compliance Coordinating Committee’s primary function is to oversee the implementation of the compliance program throughout the university. This committee disseminates information about compliance updates and activities to the responsible parties and keeps those individuals updated on any changes in laws or regulations and makes recommendations to the Executive Oversight Compliance Committee. Its members consist of:

1. **General Counsel (Chair)**

2.12 Compliance
2. Chief Audit Executive (Advisory)
3. Assistant General Counsels
4. **Audit and Legal Support Specialist**, Coordinator of Board Affairs/Compliance
5. Assistant Athletic Director for Compliance
6. Controller
7. Director of Procurement and Property Services
8. Director of Human Resources
8.9 Director of Environmental Health, Safety, and Risk Management
10. Deputy Chief Information Officer
11. Chief of Police
12. Registrar
13. Director of Financial Aid
9.
10.14. Compliance Coordinator - Research
15. Chair of the Chairs Forum
16. Chair of the Academic Affairs Policy Committee
11. Director of Environmental Health, Safety, and Risk Management
12.1 Chief of Police
17. Executive Director of Development
18. Dean of Student Affairs
14.1 Director of Financial Aid
15. Executive Director of Enrollment Management
16. Chair of the Academic Affairs Policy Committee
17.19. Assistant Dean of Student Affairs, Title IX Coordinator
18.1 Chair of the Chairs Forum
19.20. Registrar, ADA Coordinator

The Compliance Coordinating Committee shall be provided adequate resources and appropriate authority to carry out its duties and responsibilities.

A. The General Counsel shall chair the Compliance Coordinating Committee and shall regularly brief the Executive Oversight Compliance Committee and the Board of Regents about the content and operation of the university’s compliance program, and also when criminal conduct is discovered.

B. The Compliance Coordinating Committee will utilize a Compliance Matrix to assist the responsible committee members in carrying out their duties. The matrix is designed to further the coordination and documentation efforts of existing and ongoing compliance initiatives and is broken down into different compliance areas assigned to the committee member responsible for ensuring compliance, representative issues associated with the compliance area as well as the applicable laws.

C. Compliance Calendars will be generated by the Compliance Coordinating Committee and distributed to the committee members. The calendars will aid in tracking the myriad reporting requirements and due dates

D. The Compliance Coordinating Committee, through its members, shall assist the Executive Oversight Compliance Committee in training the university community which may include
informal staff meetings, and monitoring through regular “walk-arounds” or continuous observation while managing a designated compliance area.

E. The Compliance Coordinating Committee is also responsible for creating and maintaining a compliance web page on the university’s website. At a minimum the web page will include the Compliance Matrix, Compliance Calendars, Compliance Coordinating Committee members, and instructions on how to anonymously and confidentially report suspected fraud or other criminal conduct or conduct inconsistent with an effective compliance program without fear of retaliation.

F. The Compliance Coordinating Committee is responsible for implementing and operating a risk-based process that:
   1. builds compliance consciousness into daily business processes,
   2. monitors the effectiveness of the processes, and
   3. communicates instances of non-compliance to appropriate administrative officers for action.

DEPARTMENT HEAD RESPONSIBILITY

The department head of each operating unit within the university is responsible and shall be held accountable for compliance and compliance-related activities in their respective units. The department head shall maintain documented procedures and records for their activities and areas of responsibility.

PRESIDENT RESPONSIBILITY

The president is responsible and shall be held accountable for:
   1. the sufficiency of resources allocated to compliance activities, and
   2. the appropriateness of corrective and disciplinary action taken in the event of noncompliance.

AUDIT SERVICES RESPONSIBILITY

Audit Services may provide advisory or audit services, as necessary and appropriate, to the compliance operations. The chief audit executive is responsible and shall be held accountable for:
   1. independently evaluating the design and effectiveness of the various compliance functions as included on the annual audit plan,
   2. making recommendations for improvements, as necessary and appropriate, and
   3. reporting recommendations to the Board of Regents Finance and Audit Committee and the president.

EMPLOYEE RESPONSIBILITY

Each employee of the university shall be responsible for establishing an organizational culture that encourages compliance with its legal obligations, complying with all applicable federal and state laws and university policies and procedures, meeting and complying with any reporting requirements required by law, and complying with the mandates and standards in this policy.
REPORTING STRUCTURE

The reporting obligations set forth below are to fulfill the purposes of this policy, to enable the university to do a risk assessment to determine if additional resources should be allocated, and to assist the university to respond as needed. These requirements do not replace, change or modify applicable reporting requirements or any other action required of the university under federal or state laws or regulations.

The general counsel and chief audit executive shall report to the Executive Oversight Compliance Committee the workings of the Compliance Coordinating Committee, including agenda items, member concerns, and recommended changes in policies or procedures.

The chair of the Compliance Coordinating Committee shall promptly report to the Executive Oversight Compliance Committee any suspected compliance violation that has caused or poses an imminent risk of injury or harm to persons, property or the surrounding community, or reputational harm, as soon as possible after discovering or receiving the report of the suspected violation.

The general counsel and chief audit executive are responsible to:

1. conduct a compliance program investigation or monitor the investigation conducted by an appropriate operating unit of the suspected violation(s), and
2. as appropriate, make findings and recommendations to the chair of the Board of Regents, chair of the Finance and Audit Committee, and the president.

Cross Reference: U.S. Federal Sentencing Guidelines; Fraud (2.7)

Responsible for Implementation: President

Contact for Revision: General Counsel

Forms: None

Board Committee Assignment: Finance and Audit
POLICY SUMMARY FORM

Policy Name: Environmental Management

Policy Number: 13.26

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

Date of last revision, if applicable: 8/6/2020

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

Purpose of Policy (what does it do): The purpose of this policy is to aid in protecting the environment and promote environmental stewardship among Stephen F. Austin State University’s faculty, staff, students, and visitors.

Reason 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 edits and formatting changes.

Reviewers:

Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Environmental Management

Original Implementation: October 27, 2014
Last Revision: October 23, 2020

Purpose

The purpose of this policy is to aid in protecting the environment and promote environmental stewardship among Stephen F. Austin State University’s faculty, staff, students, and visitors. To achieve this purpose the Environmental Health, Safety, and Risk Management (EHSRM) department is committed to continuous environmental improvement and protection through a variety of training and inspection programs.

General

The EHSRM department has primary responsibility for promulgating environmental health, safety, and risk management policies and procedures, to ensure that the university complies with federal, state, and local guidelines, as well as best management practices related to environmental compliance and protection. Program safety manuals and detailed safety procedures are available on the EHSRM website.

Stephen F. Austin State University is committed to the protection and enhancement of the environment, while continually seeking new ways to minimize the environmental impact of our past, present, and future activities. As a result of this continuous effort, an environmental management system (EMS) has been created to serve as a planned, documented, systematic, and comprehensive program for managing environmental compliance at SFA. Detailed information on the EMS can be found on the EHSRM website.

Goals

Stephen F. Austin State University shall:

1. Ensure compliance with applicable federal, state, and local environmental legislation, regulations, and best management practices.
2. Prevent pollution by managing and reducing: water and energy consumption, air emissions, discharges to water, and contamination of soil and/or groundwater.
3. Facilitate employee and student awareness of environmental issues through education and training for further protection of the surrounding environment.
4. Promote and facilitate the reduction, reuse, and recycling of waste.
5. Consider the impact on the environment when designing new projects and procedures or changing existing practices.

Responsibilities

It is imperative that Stephen F. Austin State University employees comply with federal, state, and local environmental health, safety, and risk management legislation, and relevant environmental
compliance and protection codes. In addition, it is essential that employees observe industry best practices and comply with SFA safety policies, programs, and procedures. Noncompliance may result in disciplinary action.

The director of EHSRM (or designee) has primary responsibility for administration of and compliance with the university’s EMS. Duties of the EHSRM department include:

   a) Ensure the most current legal environmental requirements are identified and evaluated for compliance.
   b) Establish, coordinate, and adhere to the environmental management programs outlined in the university’s EMS, to comply with regulatory requirements or upon request of department supervisors.
   c) Provide training focused on protecting the environment and ensuring environmental compliance.
   d) Inspect university buildings and property for environmental compliance and protection, or in response to a notice of a possible violation. In carrying out this duty the EHSRM director or representative shall have the authority to enter any university building, structure, room, office, or laboratory without prior notice to department supervisors and staff.
   e) Serve as the official university contact for federal, state, and local environmental regulatory agencies regarding environmental compliance and communicate compliance requirements to university officials. These include, but are not limited to: the U.S. Environmental Protection Agency (EPA), Texas Commission on Environmental Quality (TCEQ), Texas Department of State Health Services (TDSHS), Texas State Office of Risk Management (SORM), and the city of Nacogdoches.

University employees must comply with the following guidelines and responsibilities:

   a) Comply with all permit requirements, regulations, programs, and procedures specified by the EHSRM department and described in the university’s EMS.
   b) Attend environmental training courses and use required protective equipment provided by departments.
   c) Handle all hazardous waste in accordance with the SFA hazardous waste and universal waste manuals. Each department is responsible for the payment of fees associated with the disposal of their hazardous and/or regulated waste.
   d) Report environmental non-compliance issues or concerns through administrative channels or to the director of EHSRM.


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

**Contact for Revision:** Director of Environmental Health, Safety, and Risk Management

13.26 Environmental Management
Forms: None

Board Committee Assignment: Finance and Audit
Policy Name: Gift Reporting

Policy Number: 3.16

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): Explains procedures for processing gifts 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:

Specific rationale for each substantive revision: The new division of advancement services is now responsible for gift reporting and processing.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Original Implementation: July 18, 1981
Last Revision: October 23, 2020

The following procedural steps are to be used when depositing private funds.

1. All gifts payable to the university and its departments must be immediately delivered to the bursar’s office for deposit and must be delivered in a university-approved locked bag.

2. Information relevant to any gifts received in the form of cash, checks, money orders, or other forms of negotiable instruments will be forwarded to the Office of Development Advancement Services from the bursar’s office for purposes of updating donor records, and official acknowledgment and receipt of gift. The department receiving the gift will complete the donation form, attach any original documentation that accompanied the gift, and submit when depositing the gift at the bursar’s office within 5 business days or within 1 business day when deposits accumulate to $100 or more, whichever comes first. The bursar’s office will forward the donation form and any original documentation included with gift to the Office of Development Advancement Services for gift processing within 24 hours of the deposit. Furthermore, the bursar’s office will stamp each donation form with the date of deposit and initials verifying that the gift has been properly recorded and deposited by the university.

3. Deposit of all negotiable instruments must be completed within 24 hours of receipt of the gift and must be accompanied by the donation form unless granted an exception. All exceptions are to be reported to and approved by the executive director of development. Director of Advancement Services, and the gift deposited within 48 hours of receipt.

4. In-kind gifts, contributions other than cash, check or other readily negotiable security, retained in a department, program, activity center, or other university facility, must be reported by completing the gift-in-kind form and forwarding it directly to the Office of Development Advancement Services. A comprehensive description of the gift, background information concerning the origin of the gift, value at the time of contribution and any correspondence or wishes of the donor, along with a photograph whenever possible, must be included with the completed form. For those in-kind gifts valued at $5,000 or more, approval from the dean is required along with a written appraisal signed and dated by a qualified appraiser. Any in-kind gift that will be added to a department’s inventory must be approved by the department chair prior to the acceptance of the gift.

5. All gifts, negotiable and in-kind, will be acknowledged officially on behalf of the university by the Office of Development Advancement Services, and may also be acknowledged by the university area recipient and/or the president. Only the Office of Development Advancement Services is authorized to generate official receipts to donors for tax reporting purposes. Gifts received by the university and made payable to any private support organization that has entered into a written agreement with the university must be forwarded to the Office of Development Advancement Services for transfer and deposit.
6. All eligible matching gift requests will be processed by the Office of Development, Advancement Services upon recording the original gift of the donor. If a matching gift proves to be ineligible, the matching gift form will be returned to the department submitting the request, and the requesting donor and/or department will be notified.

**Cross Reference:** None, Receipts and Deposits (3.26)

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

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

**Forms:** Donation form, Gift-in-kind form (available in Office of Development, Advancement Services)

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

Policy Name: Travel

Policy Number: 3.29

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

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

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

Purpose of Policy (what does it do): This policy establishes regulations related to allowable expenditures for university business travel and identifies the SFA Travel Guidelines and the Textravel website as the authoritative resources for travel laws and rules.

Reason 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:

Minor changes to formatting and placement of sentences.

Reviewers:

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

Original Implementation: October 31, 2000
Last Revision: July 24, 2018 October 26, 2020

Purpose

This policy establishes regulations related to allowable expenditures for university business travel and identifies the *Stephen F. Austin State University (SFA) Travel Guidelines* and the Texttravel website maintained by the Texas Comptroller of Public Accounts as the authoritative resources for travel laws and rules.

Definitions

**University business travel** is travel undertaken for the benefit of the university, and should be planned and conducted to achieve maximum cost efficiency. Travel expenditures must be reasonable, necessary, appropriately documented and properly approved.

General

*The university shall make every effort to minimize the amount of travel expenses paid and/or reimbursed, and to ensure that each travel arrangement is the most cost-effective considering all relevant circumstances.* Travel expenditures must be reasonable, necessary, appropriately documented, and properly approved.

The *Stephen F. Austin State University (SFA) Travel Guidelines* are located on the university’s travel website. These guidelines apply to employees, students, and prospective employees traveling in a university capacity, except the president, members of the Board of Regents, and intercollegiate athletics. Travel by the president and Board of Regents will be made in accordance with applicable law. Travel related to intercollegiate athletics will be made in accordance with the Intercollegiate Athletics Policy and Procedure Manual. The reimbursement limits stated in the SFA Travel Guidelines may be exceeded only if funds are available in, and the additional costs are charged to, a discretionary account controlled by the budget manager authorizing the additional expenditure. For this policy, discretionary funds shall be defined by the controller’s office. A list of funds that can be used for discretionary purposes will be published on the controller’s office website.

Employees traveling under contracts and grants (federal, state, local, or private) shall be reimbursed for travel expenses and allowances on the same basis as other university employees, except in those instances where the terms of the contract or grant specify travel guidelines and reimbursement rates which differ from university reimbursement rates.

Generally, the Texas Comptroller of Public Accounts (TCPA) is the authoritative source regarding travel. TCPA travel rules, Texttravel, are located on the university’s travel website. In case of conflict between SFA Travel Guidelines and Texttravel, SFA Travel Guidelines take precedence except where
state of Texas law prevails. The university president, at his/her discretion, may establish lower travel reimbursement rates than those—in Textravel. Travelers will be notified in advance of the effective date of any rate change. The university shall make every effort to ensure that travel expenses paid and/or reimbursed are reasonable and the most cost-effective considering all relevant circumstances.

A state employee is Travelers are responsible for ensuring that his or her their travel complies with applicable state law and SFA Travel Guidelines. Failure to comply may result in reimbursement delays and/or rejection of the employee’s traveler’s claim for travel reimbursement. Fraudulent travel claims will be grounds for disciplinary action, including dismissal/termination.


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: Travel Card (T-Card)

Policy Number: 3.30

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

Date of last revision, if applicable: 10/23/2017

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

Purpose of Policy (what does it do): This policy establishes guidelines and requirements for the issuance and use of a travel card (T-Card) for university business travel expenses.

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

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

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Formatting and minor wording changes.

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel
Travel Card (T-Card)

Original Implementation: October 27, 2014
Last Revision: October 23, 2020

Purpose

This policy establishes guidelines and requirements for the issuance and use of university purchases using a travel card (T-Card) for university business travel expenses and related requirements and activities.

Definition

A Travel Card (T-Card) is designed as a payment method for official university business travel and travel related expenses and may not be used for any personal transactions. It will be issued in the name of the employer with the state of Texas seal and the wording ‘For Official Use Only’ clearly indicated on the card.

The Stephen F. Austin State University travel card (T-Card) is designed as a payment method for official university business travel and travel related expenses and may not be used for any personal transactions.

General

The T-Card will be issued in the name of the employee with the state of Texas seal and the wording ‘For Official Use Only’ clearly indicated on the card. Approved university employees may use the T-Card in accordance with the T-Card Program Guide and Travel Guidelines to pay for travel related expenses. The terms and conditions of the state travel card contract are specified and awarded by the Texas Comptroller of Public Accounts for the state of Texas. In addition to internal policies and procedures, SFA will comply with the terms and conditions of the state contract.

Responsibilities

The T-Card will be issued in the name of the SFA employee. The T-Card is to be used for official university business travel only and may not be used for any personal transactions. The cardholder is responsible and accountable for the security and documentation associated with the use of the T-Card and for complying with all policies and procedures related to the T-Card program. Department heads are responsible for ensuring that all employees issued a T-Card understand the departmental budget constraints under which they are to use the T-Card and the individual transaction and monthly limits of the T-Card. Documentation shall follow procedural requirements in the T-Card Program Guide.
The department head or his/her designee is responsible for: 1) designating departmental cardholders; 2) determining spending limits; 3) approving monthly reconciliations of T-Card cardholder statements; and 4) verifying charges and reviewing supporting documentation to ensure T-Card charges are within SFA policies and procedures and departmental budgets.

**T-Card Use by another Employee or Student**

The only person authorized to use the T-Card is the cardholder whose name appears on the card, unless the cardholder and department head have completed a T-Card Use form to allow other employees to use the card. The T-Card Program Guide provides detailed information regarding the use of the card by other employees or students.

**Training and Issuing Cards**

All department heads will be required to attend training and sign the Travel Cardholder Application/Approval Form before any cards will be issued to employees within the department. All employees *who are issued a T-Card* will be required to attend training and sign a Travel Card (T-Card) Holder/Banner User Agreement before *issuance* being issued a card. All cardholders will be required to comply with training requirements as outlined in the T-Card Program Guide.

**Travel Card Documentation**

The documentation identified in the T-Card Program Guide must be kept for three (3) years plus the current fiscal year to comply with *the time retention period prescribed in* the State of Texas Records Retention Schedule. These are the official university records and must be included as attachments when the expense reports are submitted. The receipts for T-Card charges will be required for processing the payment and for periodic audits.

**Card Termination**

Certain T-Card rule violations will *may* result in immediate deactivation or cancellation of the cardholder’s T-Card(s). The T-Card Program Guide lists violations and associated penalties. T-Cards will also be deactivated upon termination or transfer of the cardholder.

**Administrative Authority**

The department head or supervising dean, vice president, or president has the authority to request that the travel office deactivate or cancel an employee's card at any time if fraud or misuse is suspected. Any card so deactivated or cancelled may be reactivated or a new card issued only with approval by the position that originally requested the deactivation or cancellation. Audit services and the general counsel’s office have the authority to request that the travel office deactivate an employee’s card while transactions are being researched or investigated, or an audit is being

3.30 Travel Card (T-Card)
conducted. At the conclusion of the research, investigation, or audit, the card will be reactivated and/or appropriate action taken as specified herein and in the T-Card Program Guide.

**Fees**

A foreign transaction fee may be assessed by the credit card company in addition to all charges assessed by the bankcard associations. These fees may be paid by the university if the foreign travel is approved in advance of the charge. Fees associated with inappropriate card use, such as cash advances and convenience checks, will be the responsibility of the person making the charge.

**Cross Reference:** *T-Card Program Guide*; *Travel Guidelines*

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

**Contact for Revision:** Controller

**Forms:** *Travel Cardholder Application/Approval Form*; *Travel Card (T-Card) Holder/Banner User Agreement*; *T-Card Use Form*

**Board Committee Assignment:** Finance and Audit
PRESIDENT REPORT

Presenter: Scott Gordon, University President

Report Topics:

- Suspended and Modified Policies
- VSIP Update
- University Affairs 360 review
- Legislator Meetings
- Preparing for 2021
- Athletics Update
- Lumberjack Innovation Team
- Academic Reorganization
- Other Updates
FACULTY SENATE REPORT

Presenter: Andrew Lannen, Faculty Senate Chair

Dr. Andrew Lannen received his BA degree from the University of South Florida, MA from the University of Florida, and PhD from Louisiana State University. He has published on the topics of Colonial America and the American Revolution. He has taught college courses for 20 years, 15 of those at SFA.

Report Topics:

- Introduction
- Thanks to President and Board
- Faculty flexibility and workload in a time of maximum uncertainty
STUDENT GOVERNMENT ASSOCIATION REPORT

Presenter: Christopher “Chris” Moore, SGA President

Christopher Moore is a senior majoring in Sports Business from Carrollton, TX. He has previously served as Vice president of Kappa Alpha Psi and Civil Affairs committee chair for Student Government Association. He was awarded “Man of the Year” by the National Pan Hellenic Council and as “Trailblazer of the Year.” He actively participates in SFA’s chapter of NAACP, African Students Association and Fashion in Motion.

Report Topics:

- SGA Virtual Retreat
- SGA Town Hall Meeting with Senior Leadership
- COVID-19
- Mental Health Awareness
- Special Recognition