

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS



**Nacogdoches, Texas
January 25 and 26, 2016
Volume 301**

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**Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
January 25 and 26, 2016
Austin Building 307
Meeting 301**

Monday, January 25, 2016

The regular meeting of the Board of Regents was called to order in open session at 8:01 a.m. on Monday, January 25, 2016, by Chair Scott Coleman.

PRESENT:

Board Members: Dr. Scott Coleman, Chair
 Mr. David Alders
 Mrs. Nelda Blair
 Ms. Ryan Brown-Moreno, student member
 Mr. Bob Garrett
 Mrs. Brigettee Henderson
 Mr. Barry Nelson
 Mr. Ken Schaefer

President: Dr. Baker Pattillo

Vice-Presidents: Dr. Steve Bullard
 Dr. Danny Gallant
 Ms. Jill Still
 Dr. Steve Westbrook

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regents Alton Frailey and Ralph Todd were unable to attend the meeting.

The meeting was recessed for committee meetings.

The Building and Grounds Committee meeting convened at 8:01 a.m. and adjourned at 8:22 a.m. The Finance and Audit Committee convened at 8:22 a.m. and adjourned at 11:18 a.m. The Academic and Student Affairs Committee convened at 11:18 a.m. and adjourned at 11:45 a.m.

The chair called to order the Committee of the Whole in open session at 2:50 p.m. and immediately called for an executive session to consider the following items:

Deliberations Regarding the Deployment, or Specific Occasions for Implementation, of Security Personnel or Devices. (Texas Government Code, Section 551.076)

- Update from chief information officer

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 football coaches, vice presidents and the president (Texas Government Code, Section 551.074)

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

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints and claims; non-discrimination law; and *Timothy Dugger v. SFASU* (Texas Government Code, Section 551.071)

The executive session ended at 4:54 p.m. The Board of Regents meeting returned to open session and recessed for the evening with no further action.

Tuesday, January 26, 2016

The regular meeting of the Board of Regents was called to order in open session at 9:00 a.m. Tuesday, January 26, 2016, in the Austin Building Board Room by Chair Scott Coleman.

PRESENT:

Board Members: Dr. Scott Coleman, Chair
 Mr. David Alders
 Mrs. Nelda Blair
 Ms. Ryan Brown-Moreno, student member
 Mr. Bob Garrett
 Mrs. Brigettee Henderson
 Mr. Barry Nelson
 Mr. Ken Schaefer
 Mr. Ralph Todd

President: Dr. Baker Pattillo

Vice-Presidents: Dr. Steve Bullard
 Dr. Danny Gallant
 Ms. Jill Still
 Dr. Steve Westbrook

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regent Alton Frailey was unable to attend the meeting.

Regent Brown-Moreno led the pledge to the flags and Regent Alders provided the invocation.

RECOGNITIONS

Athletic Director Robert Hill introduced five-time Southland Conference Champions, the 2015 Lumberjack Soccer Team and their coaches. He then asked Rob McDermand, assistant athletic director for academic services, to give a report on the academic success of SFA athletics. Danny Gallant recognized Diana Boubel, director of procurement and property services, on her retirement and introduced the newly hired director, Kay Johnson. Dr. Pattillo introduced Dr. Tim King and students from the SFA A Cappella Choir and presented the regents with a book of photographs from the recent choir tour of Italy. Dr. Pattillo introduced Dr. David Campo and students from the SFA Marching Band, who relayed the story of their participation in the Macy's Thanksgiving Day Parade in New York City. President Pattillo then recognized Dr. Michael Tkacik and student from the SFA School of Honors.

The meeting was recessed for committee meetings.

*The Finance and Audit Committee convened at 10:03 a.m. and adjourned at 10:10 a.m.
The Building and Grounds Committee meeting convened at 10:10 a.m. and adjourned at 10:15 a.m.*

The Committee of the Whole was reconvened at 10:15 a.m.

APPROVAL OF MINUTES

BOARD ORDER 16-11

Upon motion by Regent Garrett, seconded by Regent Schaefer, with all members voting aye, it was ordered that the minutes of the November 1 and 2, 2015, regular meeting be approved as presented.

PERSONNEL

BOARD ORDER 16-12

Upon motion by Regent Alders, seconded by Regent Nelson, with all members voting aye, it was ordered that the following personnel items be approved.

FACULTY APPOINTMENTS

EDUCATION

Donna Dean, M.Ed. (Stephen F. Austin State University), Clinical Instructor of Human Services, at an academic year salary of \$71,000 for 100 percent time, effective January 1, 2016.

STAFF APPOINTMENTS

ATHLETICS

David Crowton, Assistant Football Coach, at a 10.5-month salary of \$91,500 for 100 percent time, effective February 1, 2016.

Matt Williamson, Assistant Football Coach, at a 10.5 month salary of \$91,500 for 100 percent time, effective February 1, 2016.

William Best, Assistant Football Coach, at a 10.5 month salary of \$84,000 for 100 percent time, effective February 1, 2016.

Michael Walton, Assistant Head Football Coach, at a 10.5 month salary of \$75,000 for 100 percent time, effective February 1, 2016.

Jeremy Hammock, Assistant Football Coach, at a 10.5 month salary of \$58,500 for 100 percent time, effective February 1, 2016.

Christopher Van Horn, Assistant Football Coach, at a 10.5 month salary of \$ 56,000 for 100 percent time, effective February 1, 2016.

Terry Mills, Assistant Football Coach, at a 10.5 month salary of \$56,000 for 100 percent time, effective February 1, 2016.

Thomas Howe, Assistant Football Coach, at a 10.5 month salary of \$57,000 for 100 percent time, effective February 1, 2016.

Jeremy Moses, Assistant Football Coach, at a 10.5 month salary of \$47,000 for 100 percent time, effective February 1, 2016.

Demosesneeds Odems, Assistant Football Coach, at a 10.5 month salary of \$71,000 for 100 percent time, effective February 1, 2016.

DEVELOPMENT

Derek Allen, Development Officer II, at an annual salary of \$73,041 for 100 percent time, effective October 19, 2015.

ENVIRONMENT HEALTH, SAFETY, AND RISK MANAGEMENT

Jeffrey Thompson, Senior Safety Officer, at an annual salary of \$55,000 for 100 percent time, effective January 1, 2016.

INFORMATION TECHNOLOGY SERVICES

Brandon Stringfield, Security Specialist, at an annual salary of \$55,620 for 100 percent time, effective December 18, 2015.

PROCUREMENT AND PROPERTY SERVICES

Deborah Kay Johnson, Director of Procurement and Property Services/HUB Coordinator, at an annual salary of \$94,000 for 100 percent time, effective November 2, 2015.

RESIDENCE LIFE

Asia Smith, Assistant Director of Residence Life, at an annual salary of \$65,000 for 100 percent time, effective January 4, 2016.

Erica Smith, Hall Director, at an annual salary of \$29,735 for 100 percent time, effective November 16, 2015.

UNIVERSITY MARKETING COMMUNICATIONS

Christine Broussard, Senior Marketing Communications Specialist, at an annual salary of \$39,015 for 100 percent time, effective December 14, 2015

CHANGES OF STATUS

ADMISSIONS

Monica Gonzalez-Sanchez, from Admissions Counselor at an annual salary of \$34,428 for 100 percent time, to Admissions Regional Coordinator at an annual salary of \$45,376 for 100 percent time, effective December 1, 2015.

BUSINESS

Todd Brown, from Interim Associate Dean at an 11-month salary of \$137,429 for 100 percent time, to Associate Dean for Faculty and Administration at a 12-month annual salary of \$161,000 for 100 percent time, effective February 1, 2016. (Dr. Pattillo stated he was not involved in any decision concerning this appointment since Dr. Brown is related to him by marriage. Dr. Tim Bisping and Dr. Steve Bullard made this recommendation to the Board of Regents.)

Mikhail Kouliavtsev, from Professor of Economics and Finance at an academic year salary of \$94,172 for 100 percent time, to Professor and Interim Chair at an academic year salary of \$94,172 for 100 percent time with a stipend of \$1,000 per month for seven months for interim duties, effective November 1, 2015.

Shirley Ann Wilson, from Interim Associate Dean at an 11-month salary of \$133,365 for 100 percent time, to Associate Dean for Student Services at a 12-month annual salary of \$161,000 for 100 percent time, effective February 1, 2016.

CAMPUS RECREATION

Travis Lankford, from Campus Recreation Coordinator at an annual salary of \$35,391 for 100 percent time, to Assistant Director of Campus Recreation at an annual salary of \$40,000 for 100 percent time, effective November 1, 2015.

EDUCATION

Lynsey Cortines, from Academic Advisor at an annual salary of \$43,219 for 100 percent time, to Clinical Instructor of Human Sciences at an academic year salary of \$52,000 for 100 percent time, effective January 1, 2016.

Falynn Monk, from Substitute Teacher at the Early Childhood Lab at a salary of \$8 per hour for 100 percent time, to Teacher at the Early Childhood Lab at an annual salary of \$30,000 for 100 percent time, effective January 1, 2016.

Margaret Patterson, from Senior Interpreter and Coordinator of Deaf and Hard of Hearing Services at an annual salary of \$47,613 for 100 percent time, to Lecturer of Human Services at an academic year salary of \$50,000 for 100 percent time, effective January 1, 2016.

Scott Slough, from Professor and Chair of Secondary Education at an annual salary of \$117,208 for 100 percent time, to Professor of Secondary Education and Educational Leadership at an academic year salary of \$87,906 for 100 percent time, effective October 24, 2015.

Elizabeth Vaughn, from Professor and Chair of Elementary Education at an annual salary of \$130,474 for 100 percent time, to Professor and Interim Chair of Secondary Education and Educational Leadership at an annual salary of \$130,474 with a stipend of \$1,000 per month for 11 months, effective October 26, 2015.

George Willey, from Adjunct Faculty in Secondary Education and Educational Leadership at a 4-month salary of \$3,000 for 25 percent time, to Assistant Professor of Secondary Education and Educational Leadership at an academic year salary of \$54,000 for 100 percent time, effective January 1, 2016.

INTERNATIONAL PROGRAMS

Elaine Lambright, from International Programs Coordinator at an annual salary of \$36,138 for 100 percent time, to English Language Institute Coordinator at an annual salary of \$40,300 for 100 percent time, effective January 1, 2016.

LIBERAL AND APPLIED ARTS

Haskell Cooper, from Associate Professor of Social Work at an academic year salary of \$74,243 for 100 percent time, to Associate Professor of Social Work and Director of Multidisciplinary Studies at an 11-month salary of \$100,000 for 100 percent time, effective September 1, 2015.

Joyce Johnston, from Professor of Languages, Culture and Communication at an academic year salary of \$67,411 for 100 percent time, to Professor of Languages, Culture and Communication with administrative duties in Multidisciplinary Studies at an 11-month salary of \$85,000 for 100 percent time, effective September 1, 2015.

PROCUREMENT SERVICES

Cassidy Owens, from Buyer at an annual salary of \$34,000 for 100 percent time, to Contracting Specialist at an annual salary of \$37,000 for 100 percent time, effective November 1, 2015.

STUDENT PUBLICATIONS

Rachel Clark, from Senior Marketing Communications Specialist at an annual salary of \$39,015 for 100 percent time, to Student Publications Coordinator at an annual salary of \$40,000 for 100 percent time, effective November 9, 2015.

RETIREMENTS

The following retirements were accepted:

Deborah Fleming, E-Resources Coordinator in Steen Library, effective December 31, 2015, with 26 years of service.

Volker Gobel, Professor of Geology, effective December 31, 2015, with 39 years of service.

James Griffith, Senior Safety Officer, effective December 31, 2015, with 25 years of service.

Beverly Kurys, Senior Human Resources Representative, effective December 31, 2015, with nine years of service.

Annette Leger, Academic Assistance and Resource Center Program Director, effective December 31, 2015, with 26 years of service.

Dale Spradling, Assistant Professor of Accounting, effective December 31, 2015, with nine years of service.

ACADEMIC AND STUDENT AFFAIRS

BOARD ORDER 16-13

Upon motion by Regent Alders, seconded by Regent Schaefer, with all members voting aye, it was ordered that the following academic and student affairs item be approved.

APPROVAL OF MSN FAMILY NURSE PRACTITIONER DEGREE

WHEREAS, the board members considered the following: Access to healthcare is a growing concern in our state and nation. In 2012, 132 counties in Texas were found to have a shortage of primary care physicians. The role of the nurse practitioner was developed to help meet healthcare needs in underserved areas. More nurse practitioners are essential to improve access to quality healthcare and reducing health disparities. Currently, the closest Family Nurse Practitioner programs are located 75 miles north and 150 miles south. The DeWitt School of Nursing seeks to offer an online Master of Science in Nursing (Family Nurse Practitioner) program with a start date of spring 2017.

The specialized nature of this new program, including the recommendations of the Texas Board of Nursing, will require the use of grant funds to hire a consultant who will guide SFA during program development, program accreditation, and initial implementation of the advanced nursing program.

THEREFORE, it was ordered that the offering of the Master of Science in Nursing (Family Nurse Practitioner) program beginning in spring 2017 be approved. Further, the Board of Regents approved a \$250,000 consulting contract that will guide SFA during the development and implementation of the Family Nurse Practitioner master's degree program. Grant funds will be

used to retain the consultant, and the president was authorized to sign the necessary contracts for consulting.

BOARD ORDER 16-14

Upon motion by Regent Alders, seconded by Regent Henderson, with all members voting aye, it was ordered that the following academic and student affairs item be approved.

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

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

Affirmative Action 11.1
Alumni Association Distinguished Professor Award 7.7
Appearances before the Board of Regents 1.1
Authority for Official Statements 1.2
Cloud and Third Party Services 14.2
Course Fees 3.8
Course Grades 5.5
Curation of Archaeological Collections 5.6
Discrimination Complaints 2.11
Emeritus 7.10
Employee Affirmative Action/Recruitment Plan 11.9
Faculty Staff Athletic Ticket Purchases 12.8
Faculty Staff ID Cards 11.13
Health and Safety 13.10
Human Research Subjects Protection 8.4
In-residence Requirement 6.15
Interlibrary Loan 4.11.1
Library Borrowing 4.11.2
Library Gifts 4.11.3
Mail Services 16.16
Misconduct in Scholarly or Creative Activities 7.19
Moving Expenses 3.23
Overtime and Compensatory Time 12.14
Policy Development and Format 1.6
Prohibition of Enrollment Inducement of Military Service Members 6.23
Research Development Program 8.10
Return to Work 11.24
Selection of President, General Counsel, Director of Audit Services and Coordinator of Board Affairs 1.7
Sick Leave 12.8
Student Records 2.10
Transfer Admission and Credits 6.20
Vacation Leave 12.21
Workman's Compensation Coverage 12.23

BUILDING AND GROUNDS

BOARD ORDER 16-15

Upon motion by Regent Nelson, seconded by Regent Todd, with all members voting aye, it was ordered that the following Building and Grounds items be approved.

APPROVAL TO SUBMIT THE STEM BUILDING PROJECT TO THE TEXAS HIGHER EDUCATION COORDINATING BOARD

WHEREAS, the board members considered the following: The university was authorized by the 84th Texas Legislature to construct a \$46,400,000 tuition revenue bond-funded STEM Building. At the July 28, 2015, Board of Regents meeting the university was approved to construct and equip a STEM Building at a project cost not to exceed \$46,400,000. The university now seeks authorization to submit the project to the Texas Higher Education Coordinating Board in the same amount.

THEREFORE, the university was authorized to submit the STEM Building project to the Texas Higher Education Coordinating Board at a cost not to exceed \$46,400,000.

APPROVAL OF BUILDING AND GROUNDS POLICY REVISIONS

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

Issuance and Control of Campus Keys 14.7
Markers and Monuments 16.17
Norton HPE Complex 16.18
Smoking, Vaping and Use of Tobacco Products 13.21
Space Assignment, Management and Planning 16.3
Telecommunication Services 16.28
Use of University Facilities 16.33
Work Requests 16.37

FINANCIAL AFFAIRS

BOARD ORDER 16-16

Upon motion by Regent Schaefer, seconded by Regent Garrett, with all members voting aye, it was ordered that the following financial affairs items be approved.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

WHEREAS, the audit services report as presented included a Dean of Student Affairs Departmental Audit, a Mathematics and Statistics Departmental Audit, a Benefits Proportional by Fund Audit, a Travel Program Administration Audit, a Facilities Audit, an NCAA Agreed Upon Procedures External Review, an External Audit of the SFA Charter School Financial Statements for the Year Ended August 31, 2015, and an update on annual audit plan.

THEREFORE, the Board of Regents received the audit services report as presented.

APPROVAL OF THE SFA CHARTER SCHOOL 2014-15 AUDITED FINANCIAL STATEMENTS

WHEREAS, the board members considered the following: The Texas Education Agency (TEA) requires an audit for the SFA Charter School that is separate from the university. The SFA Charter School financial statements have been audited for the fiscal year that ended August 31, 2015, and will be submitted to the Texas Education Agency as required.

THEREFORE, it was ordered that the August 31, 2015 SFA Charter School audited financial statements be approved.

APPROVAL OF THE FISCAL YEAR 2014-15 ANNUAL FINANCIAL REPORT

WHEREAS, the board members considered the following: As required by state law, Stephen F. Austin State University submitted the August 31, 2015, Annual Financial Report on November 20, 2015, to the Office of the Governor, Comptroller of Public Accounts, Legislative Budget Board, Texas Higher Education Coordinating Board, Legislative Reference Library, Texas State Library and Texas State Auditor's Office. The report reflected the university's financial activities for the period September 1, 2014, through August 31, 2015.

THEREFORE, it was ordered that the August 31, 2015 Stephen F. Austin State University Annual Financial Report be approved as submitted.

RESOLUTION TO ACKNOWLEDGE REVIEW OF INVESTMENT POLICY AND STRATEGY

WHEREAS, the board members considered the following: In accordance with Chapter 2256 of the Texas Government Code, the university's investment policy and strategy must be annually reviewed by the governing board of the institution. In addition, the law requires the governing body to adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and strategy. The resolution, included in Appendix 1, acknowledges the board's annual review of Policy 3.21, Investments. Policy 3.21 is included in the policy revisions, Appendix 6.

THEREFORE, it was ordered that the Resolution to Acknowledge Review of Investment Policy and Strategy be approved as presented in Appendix 1.

BOARD ORDER 16-17

Upon motion by Regent Schaefer, seconded by Regent Garrett, with Regent Alders recusing himself from discussion and voting on this item, and with all remaining members voting aye, it was ordered that the following financial affairs item be approved.

RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS

WHEREAS, the board members considered the following: Chapter 2256 of the Texas Government Code requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The following financial institutions and brokers/investment managers are listed in the resolution, submitted in Appendix 2: Texas A&M University System, Bank of America, Wilmington Trust, N.A., Citizens 1st Bank, Austin Bank, BancorpSouth Bank, Commercial Bank of Texas, First Bank and Trust, Regions Bank, Regions Morgan Keegan Trust, Huntington State Bank, Wells Fargo, US Bank, Texas Bank; Texpool, Texas Class, JP Morgan Chase & Co. and Texstar.

THEREFORE, it was ordered that the financial institutions, investment managers and brokers be approved as presented in Appendix 2.

BOARD ORDER 16-18

Upon motion by Regent Schaefer, seconded by Regent Garrett, with all members voting aye, it was ordered that the following financial affairs items be approved.

INTERCOLLEGIATE ATHLETICS CORPORATE SPONSORSHIP CONTRACT

WHEREAS, the board members considered the following: At the July 28, 2015 Board of Regents' meeting, the university was authorized to obtain financing and install new athletic video boards. The video boards provide an opportunity to expand corporate sponsorships that support intercollegiate athletics. The university has met with two firms that engage in higher education athletics corporate sponsorships. A contractual arrangement with one of the two firms will allow the release of a vacant athletic full-time equivalent position.

THEREFORE, approval was granted to negotiate and contract with Learfield Sports for intercollegiate athletics corporate sponsorships. Should negotiations be unsuccessful with Learfield Sports, approval was granted to negotiate and contract with GameDay Sports. The president was authorized to sign the associated contract(s) and purchase orders.

GRANT AWARDS

WHEREAS, the board members considered the following: To date, the university has received multi-year grant awards applicable to fiscal year 2016 totaling \$19,029,957, an increase of \$1,223,888 since the last report. Of this total, grant awards allocable to fiscal year 2016 are currently \$6,687,583, an increase of \$535,888 since the last report.

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

THEREFORE, the additional grant awards allocable to fiscal year 2016 that total \$535,888 were approved and ratified. The grant awards are detailed in Appendix 3.

COMMUNITY COLLEGE TRANSITION COURSE TUITION AND FEE WAIVER

WHEREAS, the board members considered the following: The university currently offers a one-hour college freshman transition course, SFA 101. Most students who take SFA 101 are first-time, on-campus freshmen students. The administration would like to offer this type of transition course to prepare transfer students for enrollment at SFA. As an incentive to enroll at SFA, the university would also like to offer an SFA transition course at no charge to community college students.

THEREFORE, it was ordered that the university offer an SFA transition course for community college transfer students and waive all tuition and fees for that course.

RATIFICATION OF ENERGY SERVICE PERFORMANCE CONTRACTS PHASES 1, 2, AND 3 WITH SIEMENS INDUSTRY, INC.

WHEREAS, the board members considered the following: At the May 15, 2009, meeting, the SFA Board of Regents (board) selected Siemens Industry, Inc. as its energy savings company (ESCO) to enter into an energy savings performance contract (ESPC) with the university. The contract was established pursuant to Texas Education Code Section 51.927, which requires that an ESPC must guarantee savings that are sufficient to recover the cost of an energy project(s).

Since the selection of Siemens Industry Inc. in 2009, the board has approved three phases of the ESPC contract. Phases 1 and 2 were approved not to exceed \$18 million dollars, representing the amount to be financed. Phase 3 was approved not to exceed \$11,311,450, representing the amount to be financed. All three phases included performance and maintenance costs that were included in the contracts, but inadvertently not submitted to the board with the requested financing approval. These additional services are included as part of the guaranteed savings calculation. In addition, the phase 3 project submitted to the board did not specifically request approval to submit that portion of the project to the Texas Higher Education Coordinating Board for approval as required by internal policy.

THEREFORE, the energy savings performance contract and associated amendments with Siemens Industry Inc. was ratified in the amounts of \$19,417,121.34 for phases 1 and 2, and \$16,478,740.03 for phase 3. The Board of Regents also ratified the submission of phase 3 to the Texas Higher Education Coordinating Board. The president was authorized to sign any associated contract amendments to effectuate this action.

ESPN3 PROJECT RATIFICATION

WHEREAS, the board members considered the following: During installation of the institutional ESPN3 equipment, additional costs were necessary to meet ESPN television requirements using the ESPN3 platform. Fiber installation requirements exceeded project estimates and additional training was needed to operate the new equipment and software.

THEREFORE, it was ordered that the ESPN3 project budget be ratified at a cost not to exceed \$557,388.92. Designated funds will be used as the fund source to complete project funding.

RECOGNITION OF ENDOWMENT FUNDS AS QUASI-ENDOWMENT FUNDS

WHEREAS, the board members considered the following: According to guidelines published by the National Association of College and University Business Officers (NACUBO), true endowment funds are those which a donor or other outside agency has stipulated, as a condition of the gift instrument, that the principal is to be maintained inviolate and in perpetuity and invested for the purpose of producing present and future income. NACUBO also holds that quasi-endowment funds are created by an institutions governing board and are not required to be maintained inviolate and in perpetuity; therefore, the governing board may decide at any time to expend the principal.

A review performed on gift instruments of university endowment accounts revealed that donations received on the following accounts included documentation that these funds be restricted for specific use, but did not stipulate the funds should be maintained as true endowments. Consequently, as of the fiscal year end close at August 31, 2015, the following endowments were reclassified as quasi-endowment funds.

<u>Current Endowment</u>	<u>Year Established</u>	<u>Balance as of 11/30/2015</u>
Dr. & Mrs. John Q Hays Library Fund	1980	\$ 6,091.52
Anna Tips Carnes Mem Fund	1982	69,787.10
Center for Economic Ed Fund	1983	157,228.43
David C Haney Scholarship	1987	10,993.85
Goethe Miller Scholarship	1988	6,905.54
Rockwell Forestry Professorship	1989	1,073,532.70
Rockwell Endowment II	1989	536,444.37
Rockwell Endowment Forestry	1989	1,548,110.17
Twirl O Jack Scholarship	1993	26,486.74
Robert W Byrd Scholarship	1997	99,192.31
TOTAL		\$ 3,534,772.80

THEREFORE, it was ordered that the respective funds presented be recognized as quasi-endowment funds and the reclassification be approved from true endowment to restricted quasi-endowment accounts in the university accounting system. The funds will be invested with the university's true endowment funds as part of the endowment pool, but not be subject to the restrictions of a true endowment.

AUSTIN AND RUSK BUILDINGS RESTORATION AND DRAINAGE BUDGETS

WHEREAS, the board members considered the following: The university's fiscal year 2015-16 capital plan contains exterior restoration and drainage renovation projects for the Austin and Rusk Buildings using the Higher Education Fund. As separate projects, the Austin Building budget was approved at \$175,000 and the Rusk Building budget was approved at \$270,000.

In the bid process, the university requested individual and combined project bids. The low bidder submitted both the lowest individual and combined project bids. However, all bidders' responses exceeded the \$175,000 Austin Building project budget. The lowest bid on the Rusk Building project was less than the \$270,000 project budget.

Three of five bidders provided responses that contained cost reductions when the two projects were combined. The combined project bid submitted by the lowest bidder provides the lowest cost and best value.

THEREFORE, it was ordered that a combined Austin and Rusk Building restoration and drainage project budget not to exceed \$445,000 be approved; this total is the amount of the combined previously approved project budgets. The Higher Education Fund will remain as the method of finance for the projects. It was further ordered that the president be authorized to sign associated contracts and purchase orders.

PURCHASE OF NETWORKING EQUIPMENT

WHEREAS, the board members considered the following: As part of the ongoing process of maintaining and upgrading information technology network infrastructure, Information Technology Services needs to purchase certain equipment necessary for that purpose. Approval will enable purchase, installation, and deployment of the new network infrastructure equipment. The administration seeks approval of networking equipment and support purchases not to exceed \$200,000. The source of funds will be Higher Education Funds already allocated in the fiscal year 2016 budget.

THEREFORE, requested networking equipment and support expenditures were approved not to exceed \$200,000. The president was authorized to sign the necessary contracts and purchase orders.

DESIGNATED TUITION INCREASE FOR 2016-17

WHEREAS, the board members considered the following: The university is engaged in a strategic planning process that contains institutional initiatives that are being developed. To support a strategic salary initiative, the institution requests an increase in designated tuition.

THEREFORE, it was ordered that designated tuition be increased from \$185.50 to \$192.00 per semester credit hour for FY 2016-17.

DESIGNATED TUITION FIXED-RATE FOR 2016-17 ENTERING STUDENTS

WHEREAS, the board members considered the following: Pursuant to Texas Education Code 54.017, the university will offer undergraduate students the opportunity to participate in a fixed-rate tuition plan for those who enter the university during the 2016-17 fiscal year. The following fixed designated tuition rates apply for up to 12 semesters (4 years) from the point of initial enrollment at a public or private institution, regardless of whether the student enrolls at any

institution during those semesters. (For purpose of this plan, summer is treated as one semester.) Therefore, the 2016-2017 Fixed Rate Plan is based on the semester an undergraduate student initially enrolled at any university.

Fiscal Year 2014 cohort - \$196
Fiscal Year 2015 cohort - \$204
Fiscal Year 2016 cohort - \$213
Fiscal Year 2017 cohort - \$215

THEREFORE, it was ordered that the fixed-rate tuition amounts associated with the respective fiscal year cohorts presented above be adopted for undergraduate students who enter the university during the 2016-17 fiscal year. It was further ordered that the fixed rates apply from the point of initial enrollment at a public or private institution for up to twelve semesters, with summer enrollment counting as one semester.

COURSE AND LAB FEES FY 2016-2017

WHEREAS, the board members considered the following: Course and lab fees provide instructional departments with funds to support the actual cost of consumable supplies, service and travel related to specific courses. Course and lab fees are allocated to instructional departments for expenditures that are necessary for course delivery.

THEREFORE, it was ordered that the course and lab fees for fiscal year 2016-17 be approved as shown in Appendix 4.

ROOM AND BOARD RATES for FY 2016-17

WHEREAS, the board members considered the following: Projected food service operating costs support the need for revised board rates for the 2016-17 fiscal year. Projected student housing operating costs can be supported within the current rate.

Pursuant to the relevant provisions of our food service contract, the university and Aramark annually negotiate necessary rate increases for the upcoming fiscal year. Our contract uses the percentage increase in the Food and Beverage element of the Consumer Price Index (CPI) published by the Bureau of Labor Statistics, U. S. Department of Labor, for urban consumers (“CPI-U”) in the South as a benchmark for any rate increase considered. The benchmark for this year was established at 3.1%. The university and Aramark have negotiated an increase of 2.7%.

The proposed room and board rates for FY 2016-17 are presented in Appendix 5. These revised rates will become effective for the fall semester of 2016.

THEREFORE, it was ordered that a 2.7% increase for Aramark be approved for FY 2016-17, and the FY 2016-17 room and board rates be approved as presented in Appendix 5.

OFFICE OF INTERNATIONAL PROGRAMS ENGLISH PROFICIENCY PLACEMENT FEE

WHEREAS, the board members considered the following: The Office of International Programs has many students who are conditionally admitted to academic programs pending proof of English proficiency. Students can satisfy this requirement by several methods: providing 1) a passing score on an English exam (TOEFL, IELTS, PTE); 2) a diploma from a US high school; 3) an associate's degree from US college; or 4) by taking and passing our English placement exam after they arrive. A number of students choose to take the option of our English placement exam. These students take the risk that they might not pass the exam and need to initially enroll in the English Language Institute (SFA's intensive English program for academic preparation); however, they are also saving the \$200 that it costs to take the TOEFL or IELTS.

The testing process is time-intensive for the English Language Institute staff. In addition, materials must be purchased for a portion of the test from ETS (the company that administers the TOEFL). The Office of International Programs requests approval to charge a \$50 placement test fee to offset the expenses of administering the test. This fee is comparable to testing fees charged by other institutions.

THEREFORE, it was ordered that the \$50 International Programs English Proficiency fee be approved for administering the English placement exam, to be effective immediately.

APPROVAL OF FINANCIAL AFFAIRS POLICY REVISIONS

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

Distribution of SFA Alumni Foundation Scholarships 3.11 (To be deleted)
Investments 3.21
Investments-Endowment Funds 3.20
Items Requiring Board of Regents Approval 1.4
Procurement Card 17.11
Student Accounts Receivable 3.28
Withdrawal without Financial Clearance 6.22

APPROVAL OF THE SFA WEBSITE CONTENT MANAGEMENT SYSTEM CONTRACT

WHEREAS, the board members considered the following: The redesign of the SFA website is part of the university's marketing initiative. In order for the website to meet its potential as a marketing tool for the university, it is important to invest in a modern, widely used and well-supported content management system and hosting provider. The Drupal content management system provides an adaptable user-friendly experience. Acquia, a Texas Department of Information Resources-approved vendor, has expertise with the Drupal system, and their resources and support services make them the best choice for hosting and support.

THEREFORE, it was ordered that the university contract with Acquia for the hosting and support of the Drupal system for a five year period at a cost not to exceed \$219,500. The president was authorized to sign the contract and any associated documents.

REPORTS

The president provided a report to the regents on the following topics:

- Upcoming Dates
- Student Regent Applications
- Lone Star Legislative Summit
- Southland Conference Basketball Tournament
- Gift

Dr. Karen Embry-Jenlink, faculty senate chair, gave a report on the following topics:

- Senate Update
- Faculty Accomplishments

Marquice Hobbs, SGA president, gave a report on the following topics:

- Fall Accomplishments
- Spring Goals
- SGA Elections

Chair Coleman called for a report from the nominating committee appointed at the November 2015 meeting. Ralph Todd, chair, reported on behalf of the committee, which also included Bob Garrett and Alton Frailey. The following officers were nominated to serve during 2016-2017, assuming a new term of office on April 12, 2016:

Scott Coleman, Chair
Ken Schaefer, Vice Chair
Barry Nelson, Secretary

BOARD ORDER 16-19

Upon motion by Regent Garrett, seconded by Regent Alders, with all members voting aye, it was ordered that the slate of the nominating committee be approved as presented.

The meeting was adjourned by Chair Coleman at 10:40 a.m.

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

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

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

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on January 25, 2016; and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 26, 2016, meeting of the board.

Attest:



Chair of the Board of Regents



Secretary of the Board of Regents

Date 1/26/16

BOARD OF REGENTS
OF
STEPHEN F, AUSTIN STATE UNIVERSITY
Nacogdoches, Texas
RESOLUTION APPROVING
FINANCIAL INSTITUTIONS AND BROKERS
FOR INVESTMENT TRANSACTIONS

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

WHEREAS, the following firms are approved investment brokers:

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

WHEREAS, the following firms are approved financial institutions:

- Citizens 1st Bank
- Austin Bank
- BancorpSouth Bank
- Bank of America
- Commercial Bank of Texas NA
- First Bank and Trust
- JP Morgan Chase & Co.
- Regions Bank
- Regions Morgan Keegan Trust
- Huntington State Bank
- Wells Fargo
- US Bank
- Texas Bank
- Texpool
- Texstar
- Texas Class
- Wilmington Trust, N.A.

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

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 26, 2016, meeting of the board.



Chair of the Board of Regents



Secretary of the Board of Regents

1/26/16
Date

Grants¹ awarded between October 10, 2015 and December 18, 2015**Fiscal Year 2016 – as of December 18, 2015**

Amounts allocable to FY16 (detailed in this report)	
Direct Federal	\$ 0
Federal Pass-through	\$ 93,500
State and State Pass-through	\$ 89,248
Private and Local Government	\$ 353,140
TOTAL	\$ 535,888
Cumulative amount allocable to FY16	\$ 6,687,583
New awards (detailed in this report, all project years)	\$ 1,223,888
Cumulative award total, all project years	\$ 19,029,957

Direct Federal

Subtotal Amounts Allocable to FY 2016 = \$0
Subtotal New Federal Awards = \$0

Federal Pass-through

Title: *Texas AHEC East, Piney Woods Region (Federal Portion)
Sponsor: University of Texas Medical Branch – Galveston (DHHS)
Award Number 16-012 (5U77HP01066-13-00); CFDA 93.107
Award Term: September 1, 2015 – August 31, 2016
PI/PPD: Mark Scott, AHEC East, Piney Woods Region, College of Sciences and Mathematics
Total Award: \$92,500 **Amount allocable to FY 2016:** \$92,500

The purpose of the award is to continue to build and maintain the community-based, regional organization in east Texas that is tied to a statewide network of Area Health Education Centers (AHEC) to promote health careers and to build healthy communities.

Title: *National Association of Math Circles Mentorship Program
Sponsor: Mathematical Sciences Research Institute, National Association of Math Circles (NSA – Mathematical Sciences Grants Program); CFDA 12.901
Award Term: September 1, 2015 – May 31, 2016
PI/PPD: Dr. Jane Long, Department of Mathematics and Statistics
Total Award: \$1,000 **Amount Allocable to FY 2016:** \$1,000

This award provides funds for SFA to serve as a Math Circle Mentorship and Partnership (MC-MAP) mentor to provide support for novice Math Circle leaders.

Subtotal Amounts Allocable to FY 2016 = \$93,500
Subtotal New Federal Pass-through Awards = \$93,500

*New awards

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

Grants¹ awarded between October 10, 2015 and December 18, 2015

State and State Pass-through Awards

Title: *JAMP Camp 2016
Sponsor: U.T. System Office Joint Admissions Medical Program (THECB)
Award Term: December 14, 2015 - August 31, 2016
PI/PD: Dr. Kevin Langford, Department of Biology
Total Award: \$20,000 **Amount Allocable to FY 2016:** \$20,000
This interagency agreement supports the conduct of SFASU's seventh summer pre-med camp associated with the Joint Admission Medical Program.

Previously detailed awards with modifications:

SFA Charter School Instructional Materials Allotment

Total Award: \$127,236 **Amount Allocable to FY 2016:** \$49,248

Physician Assistant Learner Pals (PALS)

Total Award: \$40,000 **Amount Allocable to FY 2016:** \$20,000

Subtotal Amounts Allocable to FY 2016 = \$89,248
Subtotal New State and State Pass-through Awards = \$89,248

Private Entity and Local Government Awards

Title *Master of Science in Nursing - Family Nurse Practitioner Program Development
Sponsor: T.L.L. Temple Foundation
Award Term: January 1, 2016 – December 31, 2020
PI/PD: Dr. Sara Bishop and Dr. Janice Hensarling, DeWitt School of Nursing
Total Award: \$750,000 **Amount Allocable to FY 2016:** \$62,000
The purpose of this matching grant award is to support the development and implementation of a fully accredited master's degree program in nursing to increase the number of Family Nurse Practitioners in east Texas.

Title *Impact North Lufkin – Appreciative Inquiry
Sponsor: T.L.L. Temple Foundation
Award Term: January 1, 2016 – December 31, 2019
PI/PD: Dr. Emmerentie Oliphant and Dr. Freddie Avant, Center for Rural Social Work Research and Development, School of Social Work
Total Award: \$196,000 **Amount Allocable to FY 2016:** \$196,000
This award supports a project that will conduct a collective impact study for North Lufkin using a Participatory Action Team representing the community and students from the SFA School of Social Work.

*New awards

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

Grants¹ awarded between October 10, 2015 and December 18, 2015

Title: **Seeking a Solution to Salvinia Infestation in Caddo and Bossier Parishes*
Sponsor: Biomedical Research Foundation of NW Louisiana
Award Term: June 1, 2015 - October 31, 2016
PI/PPD: Dr. Shiyou Li, National Center for Pharmaceutical Crops, College of Forestry and Agriculture
Total Award: \$40,000 **Amount Allocable to FY 2016:** \$40,000
The purpose of this subaward agreement is to develop a method to eradicate this highly invasive and ecologically and economically damaging plant species.

Title: **Model East Texas HGM for Lower Bois d'Arc Creek Reservoir Project*
Sponsor: Solv LLC (North Texas Municipal Water District)
Award Term: October 9, 2015 – May 31, 2016
PI/PPD: Dr. Hans Williams, Department of Forestry and Agriculture
Total Award: \$34,789 **Amount Allocable to FY 2016:** \$34,789
The objective of this subcontract is to develop an adapted model for use in assessing impacts at the reservoir site and to determine baseline conditions for predicting uplifts.

Title: **From Online To Outdoors: Connecting to the Future Teachers of Texas*
Sponsor: Friends of the Texas Freshwater Fisheries
Award Term: September 24, 2015 - October 2, 2016
PI/PPD: Dr. Paula Griffin, Department of Elementary Education
Total Award: \$10,000 **Amount Allocable to FY 2016:** \$10,000
The purpose of this award is to document the impact of the Wetland Adventure Program on future teachers' knowledge of aquatic resources and conservation.

Title: **An IBL Course in Mathematical Experimentation*
Sponsor: Academy of Inquiry Based Learning
Award Term: January 1, 2016 – May 31, 2017
PI/PPD: Dr. Nicholas Long, Department of Mathematics and Statistics
Total Award: \$5,000 **Amount Allocable to FY 2016:** \$5,000
The purpose of this award is to provide reassigned time for the faculty member to teach a course in Mathematical Experimentation.

Title: **Poultry Science Education Student Recruitment*
Sponsor: U.S. Poultry and Egg Association, Harold Ford Foundation
Award Term: October 26, 2015 - July 31, 2016
PI/PPD: Dr. Joey Bray, Department of Agriculture
Total Award: \$3,000 **Amount Allocable to FY 2016:** \$3,000
The award supports recruitment of students interested in a career in poultry science.

**New awards*

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

Grants¹ awarded between October 10, 2015 and December 18, 2015

Title: **Education High School Student-Athletes in Rural East Texas about Ethnically Diverse Health Risks and Preventative Measures*
Sponsor: National Athletic Trainers' Association, Inc.
Award Term: July 1, 2015 - March 31, 2016
PI/PD: Dr. Linda Stark Bobo, Department of Kinesiology & Health Science
Total Award: \$1,781 **Amount Allocable to FY 2016:** \$1,781
The purpose of this award is to provide preventative health education to high school student-athletes in rural east Texas.

Title: **3D Morphometrics of Selected Caddo NAGPRA Vessels - Project Support*
Sponsor: Texas Archaeological Society
Award Term: November 5, 2015 - May 31, 2016
PI/PD: Dr. Robert (Zac) Selden, Center for Regional Heritage Research, College of Liberal and Applied Arts
Total Award: \$570 **Amount Allocable to FY 2016:** \$570
The purpose of this award is to defray supply expenses related to the 3D Morphometrics of Selected Caddo NAGPRA Vessels in the Collections of the Texas Archeological Research Laboratory project.

Subtotal Amounts Allocable to FY 2016 = \$353,140
Subtotal New Private and Local Awards = \$1,041,140

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*

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

PROPOSED COURSE AND LAB FEES 2016/2017					
Department	Course No.	Section	Course Title	Present	Proposed
College of Business					
Accounting	ACC 333		Cost Accounting	\$10	\$0
Accounting	ACC 343		Federal Income Tax	\$10	\$0
College of Education					
Elementary Ed	ECH 350		Field Experience I	\$0	\$10
Human Services	COU 507		Field Experience I	\$25	\$130
Human Services	EPS 555	Section: 501	Practicum in Diagnostician Evaluation	\$150	\$0
Human Services	EPS 555	Section: 502	Practicum in Diagnostician Evaluation	\$150	\$0
Human Services	EPS 555	Section: 503	Practicum in Diagnostician Evaluation	\$30	\$0
Human Services	EPS 555	Section: 504	Practicum in Diagnostician Evaluation	\$30	\$0
Human Services	RHB 400		Beginning Clinical Practicum in O&M	\$25	\$255
Human Services	RHB 407		Vocational Evaluation, Supported Employment	\$25	\$130
Human Services	SPE 544		Psychoeducational Assessment	\$0	\$100
Human Services	SPE 545		Individual Intelligence Testing	\$0	\$100
Kinesiology	KIN 234		Innovative Games & Sports	\$0	\$20
Kinesiology	KIN 235		Team Games & Sports	\$0	\$20
Kinesiology	KIN 236		Individual Games & Sports	\$0	\$20
Kinesiology	KIN 353L		Physiology of Exercise Lab	\$10	\$30
Kinesiology	KIN 417L		Analysis of Movement Lab	\$10	\$30
Kinesiology	KIN 467		Exercise Testing/Clinical	\$0	\$30
Kinesiology	KIN 555		Lab Techniques	\$0	\$30
Kinesiology	KIN 560		Psychophysiology of Exercise & Sport	\$0	\$20
College of Fine Arts					
Music	MUP 370L		Diction	\$10	\$30
College of Forestry & Agriculture					
Agriculture	AGD 481		Methods of Teaching Agricultural Sciences	\$20	\$30
Agriculture	AGD 581		Methods of Teaching Agricultural Sciences	\$20	\$30
Agriculture	AGM 236		Welding and Metals	\$35	\$55
Agriculture	AGM 236L		Welding and Metals Lab	\$30	\$10
Agriculture	AGN 367		Weed Science	\$5	\$25
Agriculture	AGN 462		Forages	\$10	\$15
Agriculture	AGN 469		Plant Protection	\$5	\$25
Agriculture	AGN 508		Soil Plant Relationships	\$0	\$30
Agriculture	AGN 531		Advanced Ag Waste Management	\$0	\$30
Agriculture	ANS 150		Introductory Animal Science Practicum	\$30	\$50
Agriculture	ANS 301		Livestock Evaluation	\$10	\$50
Agriculture	ANS 342		Swine Production	\$0	\$50
Agriculture	HRT 212		Fruit and Vegetable Production	\$5	\$20
Agriculture	HRT 213		Annuals and Perennials	\$10	\$20
Agriculture	HRT 247		Landscape Installation	\$0	\$25
Agriculture	HRT 239		Basic Landscape Design	\$5	\$15
Agriculture	HRT 315		Turfgrass Science I	\$10	\$25
Agriculture	HRT 321		Greenhouse Management	\$5	\$50
Agriculture	HRT 322		Floriculture	\$150	\$175
Agriculture	HRT 413		Nursery Management	\$5	\$20
Agriculture	HRT 416		Plant Propagation	\$5	\$40
Agriculture	PLS 237L		Introductory Poultry Science Lab	\$10	\$30
Agriculture	PLS 420		Agriculture Waste Management	\$0	\$25
Agriculture	PLS 465		Agriculture Products Processing	\$50	\$75
Forestry	FOR 255		Vertebrate Natural History	\$5	\$10
Forestry	FOR 411		Timber Management	\$5	\$10
College of Liberal & Applied Arts					
Applied Arts/Sciences	AAS 101	Online Sections	Beginning Keyboarding	\$8	\$0
History	HIS 210		The Craft of History	\$0	\$5
History	HIS 300		US Diplomatic History	\$0	\$5
History	HIS 303		Global Diplomacy	\$0	\$5
History	HIS 304		The Scientific Heritage of Western World	\$0	\$5
History	HIS 308		Introduction to Public History	\$0	\$5
History	HIS 310		Topics in US History	\$0	\$5
History	HIS 312		Topics in European History	\$0	\$5
History	HIS 313		Topics in World History	\$0	\$5
History	HIS 314		Women's History	\$0	\$5
History	HIS 315		Modern South Asia	\$0	\$5
History	HIS 316		Islam and South Asia	\$0	\$5
History	HIS 318		Modern World	\$0	\$5
History	HIS 319		Middle Ages	\$0	\$5
History	HIS 320		Modern East Asia	\$0	\$5
History	HIS 322		World History II	\$0	\$5
History	HIS 323		World History II	\$0	\$5

History	HIS 325		Age of Absolutism 1648-1789	\$0	\$5
History	HIS 324		Renaissance & Reformation 1350-1648	\$0	\$5
History	HIS 326		Age of Nationalism 1815-1914	\$0	\$5
History	HIS 328		Contemporary Europe	\$0	\$5
History	HIS 330		European Popular Culture 1500-1800	\$0	\$5
History	HIS 332		History of Latin America 1830-present	\$0	\$5
History	HIS 333		History of Mexico	\$0	\$5
History	HIS 335		History of Texas	\$0	\$5
History	HIS 341		History of England I	\$0	\$5
History	HIS 342		History of England II	\$0	\$5
History	HIS 343		Colonial America	\$0	\$5
History	HIS 344		American South	\$0	\$5
History	HIS 345	Section: 001	American West	\$0	\$5
History	HIS 345	Section: 040	American West	\$0	\$5
History	HIS 349		African American History	\$0	\$5
History	HIS 350		US Military History	\$0	\$5
History	HIS 352		Twentieth-Century Russia	\$0	\$5
History	HIS 426		French Revolution & Napoleon	\$0	\$5
History	HIS 438		American Urban History	\$0	\$5
History	HIS 440		American Revolution	\$0	\$5
History	HIS 443		Jefferson and Jackson	\$0	\$5
History	HIS 445		Civil War & Reconstruction 1850-1877	\$0	\$5
History	HIS 448		Gilded Age and Progressivism	\$0	\$5
History	HIS 449		United States in world War II	\$0	\$5
History	HIS 450		America Between the World Wars	\$0	\$5
History	HIS 451		America since 1945	\$0	\$5
History	HIS 452		Vietnam War	\$0	\$5
History	HIS 457		Europe & World War I	\$0	\$5
History	HIS 459		Nazi Germany	\$0	\$5
History	HIS 470		Senior Seminar	\$0	\$5
History	HIS 133		US History to 1877	\$0	\$5
History	HIS 134		US History since 1877	\$0	\$5
History	HIS 151		Western Civilization I	\$0	\$5
History	HIS 152		Western Civilization II	\$0	\$5
Mass Communication & Media	MCM 210		Multimedia Production	\$45	\$58
Mass Communication & Media	MCM 300		Single Camera Production	\$60	\$35
Mass Communication & Media	MCM 302		Studio Production	\$60	\$35
Mass Communication & Media	MCM 420		Audio Production	\$100	\$50
Mass Communication & Media	MCM 478		Advanced Advertising I	\$0	\$227
Mass Communication & Media	MCM 479		Advanced Advertising II	\$0	\$195
College of Sciences and Mathematics					
Biology	BIO 225		Local Flora and Fauna	\$15	\$30
Biology	BIO 308		Pre-nursing Microbiology	\$0	\$10
Biology	BIO 309		Microbiology	\$0	\$10
Biology	BIO 341		Genetics	\$0	\$10
Biology	BIO 343		General Entomology	\$0	\$20
Biology	BIO 343L		General Entomology Lab	\$10	\$20
Biology	BIO 353		Economic Entomology	\$0	\$20
Biology	BIO 353L		Economic Entomology Lab	\$10	\$20
Biology	BIO 403		Terrestrial Plant Ecology	\$0	\$20
Biology	BIO 412		Field Biology	\$0	\$30
Biology	BIO 414		Field Course in Applied Ecological Methods	\$0	\$30
Biology	BIO 415		Principles of Electron Microscopy	\$0	\$30
Biology	BIO 420		Virology	\$0	\$10
Biology	BIO 430		Invertebrate Natural History	\$0	\$20
Biology	BIO 430L		Invertebrate Natural History Lab	\$10	\$20
Biology	BIO 433		Ornithology	\$20	\$35
Biology	BIO 435		Plant Systematics	\$15	\$30
Biology	BIO 436		Mammalogy	\$8	\$31
Biology	BIO 436L		Mammalogy Lab	\$20	\$10
Biology	BIO 437		Herpetology	\$10	\$20
Biology	BIO 437L		Herpetology Lab	\$20	\$30
Biology	BIO 438		Ichthyology	\$0	\$20
Biology	BIO 438L		Ichthyology Lab	\$20	\$30
Biology	BIO 502		Aquatic Vascular Plants	\$0	\$30
Biology	BIO 502L		Aquatic Vascular Plants Lab	\$10	\$20
Biology	BIO 508		Microbial Ecology	\$8	\$30
Biology	BIO 528		Advanced Virology	\$0	\$10
Biology	BIO 533		Advanced Ornithology	\$0	\$35
Biology	BIO 535		Graduate Plant Systematics	\$0	\$30
Biology	BIO 536		Advanced Mammalogy	\$0	\$31
Biology	BIO 536L		Advanced Mammalogy Lab	\$20	\$10

Biology	BIO 537		Advanced Herpetology	\$0	\$20
Biology	BIO 537L		Advanced Herpetology Lab	\$10	\$30
Biology	BIO 538		Advanced Ichthyology	\$0	\$20
Biology	BIO 538L		Advanced Ichthyology Lab	\$20	\$30
Biology	BIO 555		Biological Ultrastructure	\$0	\$30
Biology	BIO 556		Scanning Electron Microscopy	\$0	\$12
Biology	BTC 555L		Molecular Biochemistry Lab	\$30	\$20
Biology	BTC 557		Advanced Metabolism and Protein Regulation	\$0	\$22
Biology	BTC 558		Biophysical Chemistry	\$0	\$22
Biology	BTC 559		Advanced Biotechniques	\$0	\$22
Biology	BTC 575		Advanced Graduate Studies	\$0	\$30
Biology	BTC 576		Advanced Graduate Studies	\$0	\$30
Geology	GOL 245		Earth Materials	\$55	\$0
Nursing	NUR 307		Assessment Across the Lifespan	\$130	\$138
Nursing	NUR 330		Nursing Care of Young Adult to Elderly	\$178	\$188
Nursing	NUR 331		Nursing Care of Women and Children I	\$112	\$117
Nursing	NUR 332		Nursing Care in the Promotion of Mental Wellness	\$68	\$71
Nursing	NUR 406		Nursing Care of Clients with Complex Health Needs	\$136	\$139
Nursing	NUR 407		Nursing Care of Women and Children II	\$123	\$166
Nursing	NUR 408		Nursing Care of Clients with Complex Mental Health Needs	\$97	\$100
Nursing	NUR 431		Care of Community Populations	\$211	\$214
Physics	PHY 100L		Physics in Society Lab	\$0	\$10

Stephen F. Austin State University
Room and Board Rates for 2016-2017

Appendix 5

Residence Hall Rates	Fall or Spring Rate	Summer 1 or 2 Rate				
Hall 5	\$2,097					
Hall 9 and 12	\$2,118					
Hall 17	\$2,378					
Hall 20	\$2,500					
Hall 10,11,15,18	\$1,864					
Hall 14 and 16	\$1,933					
Lumberjack Landing	\$3,145					
Lumberjack Lodge 4 br	\$3,599					
Lumberjack Lodge 2 br	\$3,821					
Lumberjack Village (Building 1) quads	\$2,801					
Lumberjack Village (Buildings 1 & 2) 2br	\$3,821					
Lumberjack Village (Buildings 1 & 2) 1 br	\$4,705					
Lumberjack Village (Building 3) 2br	\$4,285					
Lumberjack Village (Building 3) 1 br	\$5,106					
Summer Hall - To be determined		\$621				
Meal plans (rates include sales tax)						
	All Access	All Access	7/14 Premium	Basic 7/14		
Campus Resident	Premium w/\$275	w/\$50	w/\$350	w/\$125		
	\$1,902	\$1,703	\$1,860	\$1,661		
Commuter	5/5 w/\$50	50 Block w/\$50	25 Block w/\$100			
	\$653	\$416	\$296			
Summer Resident	7/14 w/\$75	7/20 w/\$50				
	\$612	\$762				
Summer Commuter	50 Block w/\$50	25 Block w/\$100				
	\$416	\$296				
Combined Room and Board						
		Fall and Spring Semester			Summer 1 or 2 Semester	
	All Access	All	7/14	7/14	w/7 Day	w/7 Day
Residence Hall	Premium	Access	Premium	Basic	14 Meals	20 Meals
5 Wisely Hall	\$3,999	\$3,800	\$3,957	\$3,758		
9 North Hall	\$4,020	\$3,821	\$3,978	\$3,779		
10 Hall 10	\$3,766	\$3,567	\$3,724	\$3,525		
11 Mays Hall	\$3,766	\$3,567	\$3,724	\$3,525		
12 South Hall	\$4,020	\$3,821	\$3,978	\$3,779		
14 Hall 14	\$3,835	\$3,636	\$3,793	\$3,594		
15 Griffith Hall	\$3,766	\$3,567	\$3,724	\$3,525		
16 Hall 16	\$3,835	\$3,636	\$3,793	\$3,594		
17 Steen Hall	\$4,280	\$4,081	\$4,238	\$4,039		
18 Kerr Hall	\$3,766	\$3,567	\$3,724	\$3,525		
20 Hall 20	\$4,402	\$4,203	\$4,360	\$4,161		
Lumberjack Landing	\$5,047	\$4,848	\$5,005	\$4,806		
Lodge 4br	\$5,501	\$5,302	\$5,459	\$5,260		
Lodge 2br	\$5,723	\$5,524	\$5,681	\$5,482		
Village quads	\$4,703	\$4,504	\$4,661	\$4,462		
Village (1 & 2) 2br	\$5,723	\$5,524	\$5,681	\$5,482		
Village (1 & 2) 1br	\$6,607	\$6,408	\$6,565	\$6,366		
Summer Hall					\$1,233	\$1,383

**Policies for Board Review
January 26, 2016**

Policy Name	Policy Number	BOR Cte	Action/Change	Page
Affirmative Action	11.1	ASA	Prohibits discrimination on basis of sexual orientation, gender identify and expression.	P-6
Alumni Association Distinguished Faculty Award	7.7	ASA	Policy to be deleted.	P-9
Appearances before the Board of Regents	1.1	ASA	Minor wording changes.	P-11
Authority for Official Statements	1.2	ASA	Minor wording changes.	P-14
Cloud and Third Party Services	14.12	ASA	New policy	P-16
Course Fees	3.8	ASA	Fees governed by state law. Clarifies difference between fees for consumable goods and durable goods.	P-19
Course Grades	5.5	ASA	Minor clarifications.	P-22
Curation of Archaeological Collections	5.6	ASA	Title updates.	P-26
Discrimination Complaints	2.11	ASA	Prohibits discrimination on basis of sexual orientation, gender identity and expression.	P-29

Policy Name	Policy Number	BOR Cte	Action/Change	Page
Distribution of SFA Alumni Foundation Scholarships	3.11	F&A	Reviewed with no changes.	P-37
Emeritus	7.10	ASA	Minor wording changes.	P-40
Employee Affirmative Action/Recruitment Plan	11.9	ASA	Prohibits discrimination on basis of sexual orientation, gender identity and expression.	P-43
Faculty Staff Athletic Ticket Purchases	12.8	ASA	Reviewed with no changes.	P-47
Faculty Staff ID Cards	11.13	ASA	Reviewed with no changes.	P-49
Health and Safety	13.10	ASA	Added responsibilities for providing safe workplace.	P-51
Human Research Subjects Protection	8.4	ASA	Minor wording changes.	P-55
In-residence Requirements	6.15	ASA	Number of residence hours for RN-BSN reduced.	P-63
Interlibrary Loan	4.11.1	ASA	Updated forms reference.	P-65
Investments	3.21	F&A	Reviewed with no changes.	P-67

Policy Name	Policy Number	BOR Cte	Action/Change	Page
Investments-Endowment Funds	3.20	F&A	Clarified definition of quasi endowments.	P-78
Issuance and Control of Campus Keys	14.7	B&G	Minor wording changes.	P-88
Items Requiring Board of Regents Approval	1.4	F&A	Contracts for intellectual property matters exempted.	P-91
Library Borrowing	4.11.2	ASA	Updated forms reference.	P-96
Library Gifts	4.11.3	ASA	Updated job title.	P-98
Mail Services	16.16	ASA	Reviewed with no changes.	P-100
Markers and Monuments	16.17	B&G	Minor correction to reference.	P-103
Misconduct in Scholarly or Creative Activities	7.19	ASA	Salary reduction and rank reduction eliminated as corrective action.	P-106
Moving Expenses	3.23	ASA	IRS mileage rate will be used for moving expenses.	P-111
Norton HPE Complex	16.18	B&G	Lockers no longer available. Changes to hours and responsibilities of spaces.	P-113

Policy Name	Policy Number	BOR Cte	Action/Change	Page
Overtime and Compensatory Time	12.14	ASA	Clarifies how requests for leave can be made.	P-117
Policy Development and Format	1.6	ASA	General counsel permitted to revise contact information; policy summary form must be submitted at time of policy review.	P-122
Procurement Card	17.11	F&A	Minor changes to match manual.	P-126
Prohibition of Enrollment Inducement of Military Service Members	6.23	ASA	Reviewed with no changes.	P-132
Research Development Program	8.10	ASA	Policy title changed. Title of program changed.	P-134
Return to Work	11.24	ASA	HR director must be informed of disability under ADA.	P-137
Selection of President, General Counsel, Director of Audit Services and Coordinator of Board Affairs	1.7	ASA	Updated job title.	P-140
Sick Leave	12.18	ASA	Clarified how leave requests can be made.	P-142
Smoking, Vaping and Use of Tobacco Products	13.21	B&G	SFA will be tobacco-free campus effective 8/22/16.	P-150

Policy Name	Policy Number	BOR Cte	Action/Change	Page
Space Assignment, Management and Planning	16.3	B&G	New policy to provide for use of university spaces.	P-153
Student Accounts Receivable	3.28	F&A	Clarify which accounts are subject to collection. Remove procedures.	P-156
Student Records	2.10	ASA	FERPA training required for employees who have access to records.	P-162
Telecommunication Services	16.28	B&G	Minor updates.	P-170
Transfer Admission and Credits	6.20	ASA	Number of in-residence credits for RN-BSN degree reduced.	P-173
Use of University Facilities	16.33	B&G	Changes made to reflect revisions in policy 16.18, Norton HPE Complex	P-177
Vacation Leave	12.21	ASA	Request format determined by department head.	P-186
Work Requests	16.37	B&G	Describes how work requests are submitted. Clarification of responsibilities.	P-189
Withdrawal without Financial Clearance	6.22	F&A	Minor clarifications.	P-193
Workman's Compensation Coverage	12.23	ASA	Timeline for reports; supervisor to accompany employee in reporting.	P-196

POLICY SUMMARY FORM

Policy Name: Affirmative Action

Policy Number: 11.1

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

Date of last revision, if applicable: 1/29/2013

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

Purpose of Policy (what does it do): This policy describes SFA's commitment to the national and state goal of affording equal employment opportunity to all persons.

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

- 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 university has considered its prohibition on sex discrimination to include a prohibition of discrimination on the basis of sexual orientation, gender identity, and gender expression. This revision clarifies for the university community that university policy prohibits discrimination on that basis.

Specific rationale for deletion of policy:

Additional Comments:

Affirmative Action

Original Implementation: Unpublished

Last Revision: January 29, 2013/January 26, 2016

Stephen F. Austin State University is fully committed to the national and state goal of affording equal employment opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status. The university's fundamental policy will be to provide equal employment opportunity in all of its operations and in all areas of employment practices and to assure that there shall be no discrimination against any employee or applicant for employment on the grounds of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status. *Additionally, discrimination is prohibited on the basis of sexual orientation, gender identity, and gender expression.* The university policy extends to recruiting, hiring, training, compensation, overtime, job classifications, work conditions, promotions, transfers, employee treatment, suspensions, terminations, layoffs, return from layoffs, tuition aid, recreational programs, and all other terms, conditions, and privileges of employment. The following special guidelines apply to university employment practices.

1. Provide equal pay for equal work.
2. Provide hiring standards that do not discriminate on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, ~~or~~ veteran status, *sexual orientation, gender identity, or gender expression.*
3. Take affirmative action that will open up job opportunities on all levels to women, minorities, disabled individuals and veterans. In general, an employer may hire the individual best qualified to perform a particular job. Federal regulations require proof that the search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups.
4. Requirements must be job related and qualifications must be the minimum needed for entrance to a given job.
5. Recruiting efforts must reach minority and women applicants.
6. Selections must be made following strict guidelines that prevent discrimination in all phases of the selection process: job analysis, uniform classification, retention and maintenance of applications, interview practices, and notification of results of the selection process. Appointments must be made considering only job related factors.

Additional information concerning the university's affirmative action policy, plan, and guidelines for recruiting, screening, interviewing, employee selection, record keeping, employee training, performance management and new employee orientation can be obtained from the director of human resources.

Cross Reference: U.S. Const. amend. XIV, § 1; 8 U.S.C. § 1324b; 20 U.S.C. §§ 1681, 1684; 29 U.S.C. §§ 206, 621, 623, 793; 42 U.S.C. §§ 2000d, 2000e-2 - 2000e-3, 6101-6102; Tex. Civ. Prac. & Rem. Code § 106.001; Tex. Hum. Res. Code §§ 121.001, .003(f); Tex. Gov't Code §§ 657.002-.007; Tex. Lab. Code Ch. 21; Tex. Const. art I, § 3a; Texas General Appropriations Act

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources and General Counsel

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Alumni Association Distinguished Professor Award

Policy Number: 7.7

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

Date of last revision, if applicable: 1/29/2013

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

Purpose of Policy (what does it do):

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

Scheduled Review Change in law Response to audit finding

Internal Review Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: This particular award is funded and managed by the Alumni Association with no direct input or effect on the part of the university.

Additional Comments:

~~Alumni Association Distinguished Professor Award (POLICY TO BE DELETED)~~

~~**Original Implementation:** Unpublished~~

~~**Last Revision:** January 29, 2013~~

~~The Stephen F. Austin State University (SFA) Alumni Association presents a Distinguished Professor Award each fall semester. Nominations are solicited each spring and must be submitted by June 1 on a Distinguished Professor Award Nomination Form available on the SFA Alumni Association website (www.sfaalumni.com). A committee made up of the last three recipients reviews the nominations and presents its recommendation for selection to the executive director of alumni affairs. Criteria for the selection of the SFA Alumni Association Distinguished Professorship Award requires the recipient to:~~

- ~~• best exemplify excellence in teaching, research/scholarly/creative accomplishment, and service~~
- ~~• bring wide recognition to SFA in the areas of scholarship, citizenship, and contribution to academic excellence~~
- ~~• be a tenured, active member of the SFA faculty; however, academic administrators holding a position above that of a department chair or director are not eligible~~
- ~~• demonstrate involvement in and support of the SFA Alumni Association, and~~
- ~~• be a member of the SFA Alumni Association by the date of the award.~~

~~**Cross Reference:** www.sfaalumni.com~~

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

~~**Contact for Revision:** Executive Director for Alumni Affairs~~

~~**Forms:** None~~

~~**Board Committee Assignment:** Academic and Student Affairs~~

POLICY SUMMARY FORM

Policy Name: Appearances before the Board of Regents

Policy Number: 1.1

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

Date of last revision, if applicable: 1/29/2013

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy details when and how appearances before the Board of Regents will be conducted and the method to submit written comments to the Board of Regents, as specified in the Board of Regents Rules and Regulations.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive revisions. This policy has been revised to relate back to the Rules and Regulations which contain the original text of this policy.

Specific rationale for deletion of policy:

Additional Comments:

Appearances before the Board of Regents

Original Implementation: January 19, 1988

Last Revision: ~~January 29, 2013~~ January 26, 2016

Special appearances as requested by the board or president: The chair of the Board of Regents or the president (as approved by the board chair) may invite individuals to appear before the board or one of its committees (as approved by the committee chair) for specific purposes. The chair of the Faculty Senate and the president of the Student Government Association shall have the opportunity to provide a report at each quarterly board meeting.

Requests to address the board: Requests to appear before the board to make comments on a specific agenda item must be received by the ~~Office of the Board of Regents~~ *coordinator of board affairs* in writing no later than twenty-four (24) hours before the board meeting at which the individual wishes to speak. The request should set out clearly the nature of the subject matter to be presented relating to a specific board agenda item. In making a request to appear before the board, individuals must give their names and any relevant title or affiliation. Comments on topics not posted on the agenda are not allowed but may be submitted to the coordinator of board affairs in writing, at any time, for distribution to the regents.

Time allocation: The board will allow up to twenty (20) minutes for public comment per agenda item. An individual speaker will be permitted three (3) to five (5) minutes for a presentation. The board will allow a total of up to ninety (90) minutes for public comments per regular quarterly meeting. Copies of speakers' comments, and/or other written materials for distribution to the Board of Regents will be accepted. Public comments will take place during the scheduled public comment period at the beginning of each regular quarterly meeting.

Other meetings: While a specific period for public testimony will be limited to the regular quarterly meetings, written comments are welcome for any scheduled meeting of the Board of Regents. ~~Forward~~ ~~One copy of your~~ *comments may be forwarded* to the Office of the Board of Regents for distribution to the regents.

Scheduling of speakers: When the number of requests to address the board at a given session and for a specific agenda item exceeds the time available, requests will be approved based on the order the written request was received by the coordinator of board affairs. If, by virtue of time or other constraint, a speaker is not able to present his/her comments orally, said comments will be accepted and distributed to the Board of Regents at the meeting.

Special requests: Special requests to appear before the board for comments at times other than the regular quarterly meetings can be submitted to the coordinator of board affairs for consideration by the chair of the Board of Regents.

Cross Reference: Tex. Educ. Code § 51.357; Board of Regents Rules and Regulations

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee

POLICY SUMMARY FORM

Policy Name: Authority for Official Statements

Policy Number: 1.2

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

Date of last revision, if applicable: 10/22/2012

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy specifies that the Board of Regents retains the authority to make official statements of the board or university concerning political or controversial subjects, as stated in the Board of Regents Rules and Regulations.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive revisions. The policy has been revised to relate back to the Rules and Regulations which contain the original text of this statement.

Specific rationale for deletion of policy:

Additional Comments:

Authority for Official Statements

Original Implementation: January 22, 1977

Last Revision: ~~October 22, 2012~~ January 26, 2016

In accordance with the Board of Regents Rules and Regulations, The Board of Regents hereby reserves the authority and responsibility for determining matters of policy and official statements concerning any political or other subjects of an obviously controversial nature which represent an official policy, statement, or position of the Board of Regents or of the university. Statements, policies, and positions by the Board of Regents on such matters shall be made by the board through the chair of the board or the president of the university. No regent, officer, faculty or staff member shall have the authority to speak for or issue any public statements on policy for and on behalf of the Board of Regents, or of the university, on such matters without prior approval of the board.

Cross Reference: Board of Regents Rules and Regulations

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee

POLICY SUMMARY FORM

Policy Name: Cloud and Third Party Services

Policy Number: 14.12

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

Date of last revision, if applicable:

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

Purpose of Policy (what does it do): It establishes conditions and security requirements for the use of information technology vendors, third parties and cloud services provider. These providers play an important role supporting the management of technology (hardware & software) for university constituents. The policy addresses the need for a high degree of security in protecting university data, etc., and how that high degree of security will be maintained

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

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

Please complete the appropriate section:

Specific rationale for new policy: The Texas Administrative Code, Chapter 202, shifted and this new policy became necessary to meet code expectations, to protect the institution, and to meet an audit finding.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

The text for this policy came to the Academic Affairs Policy Committee from Mr. Paul Davis, Chief Information Officer, and seems to reflect the required language and expectations set by Texas Administrative Code.

Cloud and Third Party Services

Original Implementation: January 26, 2016

Last Revision: None

This policy establishes the conditions and security requirements for the use of information technology vendors, third parties and cloud services providers. Third parties and cloud service providers play an important role supporting the management of technology (e.g., hardware and software) for university constituents. Stephen F. Austin State University (SFA) contracts with numerous third party vendors to provide essential services while maintaining a high level of security. Setting standards for security and access controls reduces the risk of liability, loss of revenue, loss of data, or loss of trust to the university. This policy is consistent with the requirements of Texas Administrative Code, Chapter 202 and the Security Control Standards Catalog established by the Texas Department of Information Resources.

Scope:

This policy applies to all university personnel and university confidential and/or sensitive electronic data.

Policy:

1. All SFA confidential and/or sensitive electronic data must be stored on university provided equipment (e.g., computers or servers purchased by SFA), university contracted cloud service providers (e.g., Office 365).
2. Employees will not store any SFA electronic data on personal cloud services accounts such as Dropbox, Google Docs, etc.
3. SFA has the authority to monitor information resources to ensure compliance with this policy.

Exclusions:

Faculty members, researchers and other employees working collaboratively with others outside of the university may be excluded from these requirements if the information being shared is stored in a secure manner. Additionally, data may be stored or shared through methods established by university oversight agencies such as The Higher Education Coordinating Board, State Comptroller's Office, State Auditor's Office, etc.

Definitions:

Cloud Computing -- A model for enabling ubiquitous, convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or service

provider interaction. Cloud computing service models include the following: Software as a service (SaaS), Platform as a Service (PaaS), and Infrastructure as a Service (IaaS) (NIST 800-145 September 2011).

Infrastructure as a Service (IaaS) – The capability provided to the consumer is to provide processing, storage, networks, and other fundamental computing resources where the consumer is able to deploy and run arbitrary software, which can include operating systems and applications. The consumer does not manage or control the underlying cloud infrastructure but has control over operating systems, storage, and deployed applications; and possibly limited control of select networking components (e.g., host firewalls) (NIST 800-145 September 2011).

Platform as a Service (PaaS) – The capability provided to the consumer is to deploy onto the cloud infrastructure consumer-created or acquired applications created using programming languages, libraries, services, and tools supported by the provider. The consumer does not manage or control the underlying cloud infrastructure including network, servers, operating systems, or storage, but has control over the deployed applications and possibly configuration settings for the application-hosting environment (NIST 800-145 September 2011).

Software as a Service (SaaS) – The capability provided to the consumer is to use the provider’s applications running on a cloud infrastructure. The applications are accessible from various client devices through either a thin client interface, such as a Web browser (e.g., Web-based email), or a program interface. The consumer does not manage or control the underlying cloud infrastructure including network, servers, operating systems, storage, or even individual application capabilities, with the possible exception of limited user-specific application configuration settings (NIST 800-145 September 2011).

Cross Reference: Purchase of Automated Information Systems; Tex. Gov’t Code § 2157.007; Tex. Admin. Code §§ 202.1-.2, .70-.76; National Institute of Standards and Technology, Special Publication 800-145; Texas Department of Information Resources Security Controls Catalog.

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Chief Information Officer

Forms: None

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: 11/2/2015

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

Purpose of Policy (what does it do): establishes the legitimacy of creating a fee charged to students enrolled in a course for costly items/materials/supplies/services specific to the course that exceeds the "normal" costs of delivery a course

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

Scheduled Review Change in law Response to audit finding

Internal Review Other, please explain: the dean's council requested an addition to this policy to acknowledge practices related to the policy and allowed by the Texas Education Code, 54.504 Incidental Fees

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: ¶1--inserted sentence to document the authority to approve course fees; ¶3--inserted paragraph to make explicit that fees are normally collected semester-by-semester for materials/supplies/services used within the semester in which the fee is collected because audit findings had revealed some academic unit course fee accounts with larger than expected balances; ¶4--inserted paragraph to make explicit that fees may be collected for approved durable goods which would require the course fee account balance to grow over time in anticipation of replacing the durable good at the end of its life and to limit the use of the accumulating balance to approved materials/supplies/services/durable goods.

Specific rationale for deletion of policy:

Additional Comments:

Course Fees

Original Implementation: April 30, 2001

Last Revision: ~~November 2, 2015~~ January 26, 2016

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.

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. 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 ~~chair/director~~ *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. All course fees will be published in the appropriate media and will be collected by the controller's office through student billings. The ~~Course Fee Request~~ *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: Course Grades

Policy Number: 5.5

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

Date of last revision, if applicable: 7/16/2013

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

Purpose of Policy (what does it do): delineates the official course grades eligible to be assigned for student performance, describes course grade contribution to the Grade Point Average (GPA), and describes special issues related to course grades (withheld grades, repeated grades, mid-semester grades, final grade reporting, grade changes)

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

page 1, Recorded Grades—moved to a table of the grades and grade points for ease in viewing all eligible grades available to assign to a students performance in courses.

page 1, Withheld Grades—requested an electronic form be developed to better track requirements to remove a withheld grade and assign a permanent grade and to track signatures.

page 2, all sections—clarification.

page 3, Grade Changes—clarification.

Specific rationale for deletion of policy:

Additional Comments:

Course Grades

Original Implementation: January 25, 2000

Last Revision: ~~July 16, 2013~~ January 26, 2016

Faculty members may use a variety of factors including assignments, oral and written quizzes, examinations, class attendance, and other course activities to determine course grades as listed in their course syllabi.

Recorded Grades

The following table indicates recorded grades, performance and action descriptions, and the quality points earned that are used to calculate the grade point average (GPA).

GRADES AND GRADE POINTS		
Grade	Description	Grade (Quality) Points
A	Excellent	4 points per semester hour
B	Good	3 points per semester hour
C	Average	2 points per semester hour
D	Below Average	1 points per semester hour
F	Failed	0 points per semester hour
QF	Quit Failing	0 points per semester hour
WF	Withdrew Failing	0 points per semester hour
DC	Dropped: No Grade	No GPA hours or points
K	Study Abroad Grade Posted	No GPA hours or points
KH	Study Abroad Grade Pending	No GPA hours or points
P	Passing	No GPA hours or points
R*	Developmental Class Grade	No GPA hours or points
T*	Transfer Class Grade	No GPA hours or points
W	Withdrew: No Grade	No GPA hours or points
W6	Dropped: No Grade, Counts for 6-drop	No GPA hours or points
WH	Incomplete	No GPA hours or points
WP	Withdrew Passing	No GPA hours or points

A grade of A indicates excellent performance; B, above average performance; C, average performance; D, below average performance; F, failure; QF, quit failure; WH, incomplete or grade withheld; WF, withdrew failing; WP, withdrew passing. Marks of R*, T*, and AU appearing on a transcript indicate remedial grades, transfer grades, and audit grades, respectively, that are not entered into calculation of the grade point average (GPA). Marks of K and KH appearing on a transcript indicate courses whose hours are not included in attempted, earned or GPA hours and are applicable only to a specific category of study abroad courses. WP and WF are assigned only when a student has withdrawn from the university after mid-semester or with special approval of the student's academic dean. Some courses are graded on a pass (P) / fail (F) system with no other grades awarded.

Withheld Grades

At the discretion of the instructor of record and with the approval of the academic unit head, a grade of WH will be assigned only if the student cannot complete the course work because of unavoidable circumstances. Students must complete the work within one calendar year from the end of the semester in which they receive a WH, or the grade automatically becomes an F, except as allowed through policy [i.e., Active Military Service (6.14)]. If students register for the same course in future semesters, the WH will automatically become an F and will be counted as a repeated course for the purpose of computing the grade point average.

Grade Point Average

Only grades earned at Stephen F. Austin State University (SFA) will be used for calculating *grade point average* (GPA). Grade points are assigned based on the letter grade for each course:

- A = four grade points per semester hour;
- B = three grade points per semester hour;
- C = two grade points per semester hour;
- D = one grade point per semester hour; and
- F, QF, and WF result in ~~no~~ zero grade points.

The GPA is determined by dividing the sum of the grade points earned at SFA by the total number of *GPA eligible hours recorded on the attempted at SFA transcript*, ~~except that grades of W, WH, P, and WP are not counted~~. In addition, repeating a course may affect the grade point calculation.

Repeat Grades

Students who make an F in a course can get credit only by repeating the course. Undergraduate students who want to repeat courses to improve their GPA at SFA must repeat those courses at SFA. For any course that is repeated at SFA, the grade earned in the most recent enrollment will be used to calculate the GPA. Credit hours for courses taken at other institutions to replace credit hours earned at SFA may be used to meet graduation credit-hour requirements, but not for GPA calculation.

Mid-Semester Grades

Mid-semester grades will be posted for 000-, 100- and 200-level courses during fall and spring semesters. These grades will be posted before the last day to drop courses each semester. ~~The university~~ *Appropriate academic personnel* will provide students with recommendations and options regarding academic performance.

Final Grade Reporting

On the first day of final examinations of each semester or summer term, the Office of the Registrar will make grading available through online services. Instructors must enter student grades into the electronic student records database by the deadline established on the university calendar.

The Office of the Registrar will provide access for electronic verification grade sheets for each class to academic units. It is the responsibility of each instructor to verify accuracy of grade entry and to notify the registrar of any discrepancies.

~~Grades must be posted in a manner consistent with Family Educational Rights and Privacy Act (FERPA) regulations. Course grades may not be posted publicly.~~

Grade Changes

~~Once a final grade has been posted, it can only be changed by submitting a WH and Grade Change Form with the appropriate approval signatures~~*Grade changes within three semesters of the original posting should be entered into the online grade change system. Older grade changes require submission of a Grade Change Form with the appropriate approval signatures. During grading cycles, access to the online grade change system for the current semester is suspended until 19 days after the last day of finals. Grades should only be changed in cases of error or, in the case of WH, when the course requirements have been completed.*

Cross Reference: General and Graduate Bulletins; Class Attendance and Excused Absence (6.7); Military Service Activation (6.14); Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g; *Academic Appeals by Students* (6.3)

Responsible for Implementation: Provost and Vice President for Academic Affairs

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

Forms: WH and Grade Change Form

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Curation of Archaeological Collections

Policy Number: 5.6

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

Date of last revision, if applicable: 4/23/2013

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

Purpose of Policy (what does it do): describes the roles and responsibilities of the Anthropology and Archaeology Lab (AAL) and that the Department of Anthropology, Geography, and Sociology is responsible for services provided by the AAL

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

Scheduled Review Change in law Response to audit finding

Internal Review Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: no substantive revisions

Specific rationale for deletion of policy:

Additional Comments:

Curation of Archaeological Collections

Original Implementation: April 20, 2010

Last Revision: ~~April 23, 2013~~ January 26, 2016

The Anthropology and Archaeology Lab (AAL) is a scientific research facility operated by the Department of ~~Social and Cultural Analysis~~ *Anthropology, Geography, and Sociology*. The laboratory is certified by the Texas Historical Commission and is therefore eligible to charge for the curation of held in trust (HIT) archaeological collections. If accepted for curation, collections remain the property of the state of Texas, but Stephen F. Austin State University (SFA) agrees to care for them as stipulated by Texas Historical Commission guidelines. The AAL shall maintain a Collections Management Policy as defined in Rule 29.9 of the Texas Administrative Code. Collections must be prepared, recorded, and described according to the AAL's Collections Management Policy.

Eligible Collections

To be eligible for curation, a collection must be consistent with the mission statement of the AAL as filed with the Texas Historical Commission. Specifically, collections must be either pre- historic or historic in nature and must be important to the East Texas area. The university reserves the right to refuse any collection for curation. All accepted collections shall be accompanied by an approved deed of conveyance or other appropriate agreement.

Curation Fees

The AAL will publish a schedule of curation fees and reserves the right to amend these fees based upon the unique requirements of each collection. Curation fees shall be used by the AAL to offset laboratory expenses and to fund capital expenditures. The fee schedule shall be subject to approval by the provost and vice president for academic affairs and the vice president for finance and administration.

Revenue Sharing

SFA shall negotiate and maintain a revenue sharing agreement for HIT collections housed at the annex Mission Dolores Visitors Center in San Augustine, Texas. Collections existing prior to the execution of the revenue sharing are not eligible for revenue sharing under this policy. The terms and conditions of any revenue sharing agreement must be approved by the provost and vice president for academic affairs and signed by the president.

Cross Reference: Archaeological Repository Mission Statement; Collection Management Policy; Curation Fee Schedule; Antiquities Code of Texas, Texas Nat. Res. §§ 191.058, .091-.092; 13 Tex. Admin. Code §§ 29.1-.9.

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Chair of the Department of ~~Social and Cultural Analysis~~ *Anthropology, Geography, and Sociology*

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: 7/28/2015

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy contains the university's non-discrimination statement and details what constitutes discriminatory behavior and how such matters will be investigated and resolved.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The university has considered its prohibition on sex discrimination to include a prohibition of discrimination on the basis of sexual orientation, gender identity, and gender expression. This revision clarifies for the university community that university policy prohibits discrimination on that basis.

Specific rationale for deletion of policy:

Additional Comments:

Discrimination Complaints

Original Implementation: September 1990/February 2, 1982

Last Revision: ~~July 28, 2015~~ January 26, 2016

General Policy Guidelines

Purpose: To provide an educational and working environment free of unlawful discrimination or harassment to all members of the university community. This policy applies to visitors, applicants for admission to or employment with the university, and students and employees of the university who allege discrimination by university employees, students, visitors, or contractors.

Non-discrimination Statement: It is the policy of Stephen F. Austin State University, in accordance with federal and state law, to prohibit unlawful discrimination on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status. Unlawful discrimination based on sex includes discrimination defined as sexual harassment. *Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression.* Stephen F. Austin State University is committed to the principles of Equal Employment Opportunity (EEO) law. An employee who violates this policy is subject to disciplinary action up to and including termination. A student that violates this policy is subject to disciplinary action up to and including expulsion.

The president or designee will be responsible for overseeing the Discrimination Complaint policy (2.11) and procedures and for ensuring compliance with EEO laws. All employment decisions will be based on objective, job-related, and measurable criteria that can be consistently applied. Human resources or designee will annually review all personnel policies and procedures to ensure compliance with EEO laws and present any recommendations for changes to the president. All employment related documents will be maintained in accordance with the university's Texas State Record Retention Schedule.

For employee-related complaints, the human resources director or designee will be responsible for maintaining records of all formal complaints and the results of such complaints. For student-related complaints, the dean for student affairs or designee will be responsible for maintaining records of all formal complaints and the results of such complaints.

Instances of sex discrimination based on sexual harassment or hostile environment are governed by the Sexual Misconduct policy (2.13).

Definitions

1. 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.

2. **Harassment** as a form of discrimination is defined as verbal or physical conduct that is directed at an individual or group because of race, color, religion, national origin, sex, *sexual orientation*, *gender identity*, *gender expression*, age, disability, genetic information, citizenship, or veteran status when such conduct is sufficiently severe, pervasive, or persistent so as to have the purpose or effect of interfering with an individual's or group's academic or work performance; or of creating a hostile academic or work environment.

The totality of the circumstances will be considered in determining whether a hostile environment exists. Relevant factors in determining whether the conduct has created a hostile environment include but are not limited to the type, frequency and severity of the conduct, whether the conduct is physically threatening or humiliating, and the relationship between the individuals.

General Procedures

1. **Reporting:** A person who believes that he or she has been subjected to any type of discrimination should report the incident to any university official, administrator, or supervisor. Students are encouraged to report such incidents to the dean of student affairs. Employees and visitors are encouraged to report to the director of human resources. Reports of sexual harassment *or other forms of sexual misconduct* should be reported in accordance with the Sexual Misconduct policy (2.13). Incidents should be reported as soon as possible after the time of their occurrence. No person is required to report discrimination to the alleged offender. Any allegations of sex based discrimination may also be directed to the attention of the Title IX coordinator; allegations of disability based discrimination may also be directed to the ADA coordinator but will be investigated in accordance with this policy.
2. **Referral Responsibility:** Every supervisor, administrator, department head, and university official is responsible for promptly reporting incidents of discrimination that come to his or her attention to the appropriate university official. Students- to-student complaints should be reported to the dean of student affairs. All other complaints should be reported to the director of human resources. Any allegations of sex based discrimination may also be directed to the attention of the Title IX coordinator and allegations of disability based discrimination may also be referred to the ADA coordinator but will be investigated in accordance with this policy. Every attempt should be made to keep the information confidential and restricted to only those who have an absolute need to know.

Complaint Resolution Procedures

1. **Definitions**
 - a. **Complaint** means a signed document alleging discrimination under this policy.
 - b. **Complainant** means a person who submits a written complaint alleging discrimination under this policy. As there may be more than one complainant in an unlawful

discrimination case, the term "complainant" as used herein shall refer to one or more complainants. In the event of a third party charge, the university may serve as the complainant.

- c. **Respondent** means the person alleged to be responsible for the prohibited discrimination or harassment alleged in a complaint. The term "respondent" may be used to designate persons with direct responsibility for a particular action or those persons with administrative responsibility for the procedures and policies in those areas covered in a complaint.

2. Complaint Procedure

- a. **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);
 - 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.
- b. **Time Limit:** 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.
- c. **Third Party Charge:** If a pattern of harassment appears to exist but no complainant files charges, the university may file a third-party charge against an individual. Such charges will be handled with as much care and control as any other complaint so as to avoid acting on rumor or unjustified accusation.

Investigative Process for Employee and Third-Party Related Complaints

The dean or director (or other appropriate administrator) for the area involved will investigate, not as a representative of the complainant, but as an impartial party. If the director is the direct supervisor of the respondent (accused), the vice president will assign an alternative director from within their division so the investigator is not investigating his or her own department. The investigation shall normally be conducted within 20 business days from when the investigation is appointed to the dean or director. Case complexity will vary and the termination of the investigation will depend on case circumstances; however, the investigation will conclude under normal circumstances within 20 business days. It is incumbent upon the investigating official to

document a reasonable justification for extending an investigation beyond 20 business days.

The investigator will interview the complainant and persons who are considered to have pertinent factual information related to the complaint. The investigator will also gather and examine documents relevant to the complaint. Facts will be considered on the basis of what is reasonable to persons of ordinary sensitivity and not on the particular sensitivity or reaction of an individual. Findings will be based on the totality of circumstances surrounding the conduct complained of, including, but not limited to, the context of that conduct, its severity, its frequency, and whether it was physically threatening, humiliating, or simply offensive in nature. The dean or director conducting the investigation may also consult with appropriate management personnel, including the director of human resources, the ADA coordinator, the Title IX coordinator, and/or the general counsel for advice and guidance as applicable.

The university reserves the right to take such action as may be reasonably appropriate upon receipt of a complaint to protect the complainant or university community pending outcome of the investigation, including interim suspension with pay of an employee.

Notification of the Respondent: After investigating the allegations, the dean or director will meet with the respondent, provide them with a copy of the complaint, and give them an opportunity to respond. The respondent may, but is not required to, submit a written response to the allegations in the time prescribed by the investigator.

Report of Findings and Recommendations: The investigator is responsible for preparing a report responding to each allegation that the complainant has made. This report should describe the investigator's findings and conclusions to each allegation. The report should also include a brief overview of the investigative process including the category and number of individuals interviewed (~~excluding names~~), 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 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 5 business days of receipt from the investigator.

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 action by the president.

Discrimination Review Board: The review board of three individuals will be selected from a panel of 20 pre-selected faculty members and 20 pre-selected staff members to be appointed by the president. If the respondent is a faculty member, the review board will be composed of at least two faculty members. If the respondent is a staff member, the review board will be composed of at least two staff members. The complainant will select one member and the respondent will select one member from the applicable panel. The two selected members will choose the third person from the panel. None of the review board members shall be from the department of the respondent or the complainant (if applicable). These three individuals will comprise the review board and will elect a chair from among them. The university president may remove any selected review board member if substantial proof of bias exists.

The chair of the review committee is responsible for coordinating the hearing. The complainant, the respondent, and the university all have the right to be advised by counsel, but lawyers will not be allowed to conduct or participate in the hearing. The day 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. A list of witnesses and copy of the evidence will be provided to each side. The rest of the review committee will not receive the material until the time of the hearing. All materials presented must be maintained in a confidential manner by all parties involved.

The dean or director who conducted the investigation will apprise the review board of the charges and will normally present all relevant evidence. Both parties will have an opportunity to respond to the charges and present evidence. Each party may make a 5 minute opening statement prior to presentation of the evidence. The burden will be on the complainant to prove by a preponderance of the evidence that the respondent has committed an act of unlawful discrimination. Cross examination of the witnesses is allowed by all parties. Each party may make a 5 minute closing statement. The review board is permitted to question the parties and/or witnesses at any time during the proceeding.

The chair of the review board will conduct a fair hearing before the complainant and the respondent and shall allow relevant witnesses and evidence from both parties. The hearing shall be closed to the public. The general counsel and/or the director of human resources may be consulted in procedural matters of the review board and may be present at meetings. All information presented in the hearing is confidential to the extent allowed by law and restricted to only those who have an absolute need to know. The review board will normally have five (5) days after the completion of the hearing to summarize its findings and make a written recommendation to the president.

Review by the President: The president may accept, reject, or modify the decision of the review board and will have access to all evidence, both parties, and witnesses as deemed appropriate. In all instances except those that involve the revocation of tenure or termination with an unexpired

appointment extending beyond the date of the proposed dismissal, the decision of the president is final. In cases that involve the revocation of tenure or termination with an unexpired appointment extending beyond the date of the proposed dismissal, termination proceedings shall commence under university policy 7.29. Such termination proceedings shall not reconsider whether discrimination occurred, but rather determine if good cause exists for dismissal. Pending termination proceedings, a faculty member may be suspended and removed from the university or assigned to other duties with pay at the president's discretion. Final disposition of the case will be communicated to the respondent and the complainant.

Sanctions

University imposed: University sanctions for violations of this policy may include any disciplinary action, up to and including termination of employment for faculty or staff. Such activities may be viewed as constituting a violation of the Faculty Code of Conduct policy (7.11) and grounds for termination under the Tenure policy (7.29), and a major work rule violation under the Discipline and Discharge policy (11.4).

Civil: Unlawful discrimination is illegal under state and federal law. Official governmental investigations by the Equal Employment Opportunity Commission, the Texas Commission on Human Rights, and/or the Office of Civil Rights of the Department of Education may result in civil lawsuits against any person guilty of unlawful discrimination.

False charges may result in disciplinary action against the complainant by the university or civil charges against the complainant by the respondent. An unsubstantiated charge is not considered "false" unless it is found to be made with the knowledge of it being false.

Investigative Process for Student-to-Student Complaints

The dean for student affairs, or their appointee, shall investigate student to student complaints and follow the timeframes described in the preceding guidelines for employees. If student discipline is recommended, policy 10.5, Student Discipline will guide the proceedings. Informal and formal disposition procedures are outlined within the policy; and it contains full due process procedures.

Student Sanctions: Disciplinary action for student-to-student related complaints may range from sensitivity counseling to suspension or expulsion. False charges may also result in disciplinary action. An unsubstantiated charge is not considered "false" unless it is found to be made with knowledge of it being false.

Retaliation

A supervisor or employee commits an unlawful employment practice if the supervisor or employee retaliates or discriminates against a person, who (a) opposes a discriminatory or

harassing practice, (b) makes or files a complaint alleging employment discrimination or harassment, (c) or testifies, assists, or participates in any manner in an investigation, proceeding or hearing. Any employee who retaliates against another employee violates the university's policies and procedures and may be subject to disciplinary action up to and including termination. Instances of alleged retaliation shall be investigated pursuant to the procedures of this policy. A student violates this policy if the student retaliates or discriminates against a person. A student that violates this policy is subject to disciplinary action up to and including expulsion.

The dean/director (or other appropriate administrator) who investigated the complaint will be responsible for monitoring the circumstances surrounding the complaint to insure the situation has been remedied.

Training

The university is required by the Texas Labor Code 21.010 to provide EEO training to each new employee, including student employees on policies regarding discrimination, including sexual harassment, no later than 30 days after the date of hire. In addition, supplemental EEO training is required every two years. All employees will receive a copy of this policy within 30 days of employment. A signed statement verifying attendance is required to be maintained in the employee's personnel file.

Additional training shall be provided in accordance with applicable law.

Cross Reference: Faculty Code of Conduct (7.11); Tenure (7.29); Discipline and Discharge (11.4); Student Discipline (10.5); Sexual Misconduct (2.13); 42 U.S.C. § 2000e, e-2, e-3; 42 U.S.C. § 1981; 20 U.S.C. §§ 1681, 1684; 42 U.S.C. § 12101; 29 U.S.C. § 623; 29 U.S.C. § 794; 29 U.S.C. § 206(d); 8 U.S.C. § 1101; Tex. Lab. Code Ch. 21; Tex. Penal Code § 39.03; Pub. L. 88-352; Pub. L. 102-166; Pub. L. 110-233

Responsible for Implementation: President

Contact for Revision: Title IX Coordinator, Director of Human Resources, and the General Counsel

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Distribution of SFA Alumni Foundation Scholarships

Policy Number: 3.11

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

Date of last revision, if applicable: 1/29/2013

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

Purpose of Policy (what does it do): Foundation for complying with all regulatory compliance issued imposed on SFA for scholarship distribution and reporting

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

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

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Distribution of SFA Alumni Foundation Scholarships

Original Implementation: July 17, 2001

Last Revision: ~~January 29, 2013~~ January 26, 2016

Stephen F. Austin State University Alumni Foundation, Inc. (Alumni Foundation) scholarships will be awarded by the following method:

The SFA Alumni Foundation and the SFA Financial Aid Office will process the award through the billing and receivables accounting system. The scholarship will be posted as a credit to the student's account at SFA. The credit will show "SFA Alumni Foundation Scholarship" in the description on the student's bill. The scholarship will be applied to any eligible charge. However, the intent is not to apply these awards to parking fines. Any funds remaining after the student's bill is paid in full will be refunded to the student. If the student withdraws from school, the Alumni Foundation may be eligible for a refund, based on SFA's refund policy.

The Alumni Foundation will notify the SFA Financial Aid Office of all Alumni Foundation scholarships to be awarded to SFA students. This notification will include the student's name, campus identification number, dollar amount of award, and school term of award. It should be received at the SFA Financial Aid Office at a date set annually by the financial aid office.

The SFA Controller's Office will bill the Alumni Foundation monthly for awards made through the billing and receivables accounting system. The bill will include each student's name, campus identification number, and dollar amount of award.

This policy may be modified by mutual agreement between SFA and the Alumni Foundation, or rescinded if proper notice is received by SFA indicating that the Alumni Foundation requests such a change. SFA and the Alumni Foundation will work together to comply with all regulatory compliance issues imposed on SFA for scholarship distribution and reporting.

Cross Reference: Memorandum of Understanding between Stephen F. Austin State University and Stephen F. Austin State University Alumni Foundation, Inc. dated ~~May 18, 2001~~ August 16, 2013.

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: Emeritus

Policy Number: 7.10

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

Date of last revision, if applicable: 4/23/2013

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

Purpose of Policy (what does it do): delineates the process for faculty or administrative official, following retirement, to receive recognition of distinguished service at SFA

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: no substantive revision

Specific rationale for deletion of policy:

Additional Comments:

Emeritus

Original Implementation: Unpublished

Last Revision: ~~April 23, 2013~~ January 26, 2016

The title of emeritus is a position of great honor conferred only on retirees who have a record of distinguished service to Stephen F. Austin State University (SFA). The title is not automatic upon retirement.

Emeritus Appointments for Faculty and Librarians

A. Eligibility

To be eligible for an appointment as emeritus, an individual will meet the following requirements:

1. Provide extended service, generally at least 10 years of employment at SFA;
2. Earn a rank of associate professor, professor, librarian III, or librarian IV;
3. Demonstrate distinction in teaching, research/scholarly/creative accomplishments, and service to the university and the profession. Distinguished service could include honors such as Regents Professor, SFA Alumni Distinguished Professor Award, SFASU Foundation Faculty Achievement Award, SFA Teaching Excellence Award, or comparable state and/or national professional recognition and distinction related to external funding.

B. Procedure

A tenured member of the academic unit may submit a letter of nomination to the academic unit head supporting the candidate's eligibility. The nominated faculty member or librarian will submit evidence supporting eligibility per academic unit procedures, such as providing a current curriculum vitae. Although the emeritus title is an honor, not a promotion, the process will follow unit promotion procedures, but may occur at any time. The appropriate dean will then forward a recommendation to the provost and vice president for academic affairs who will, in turn, submit a recommendation to the university's president. The Board of Regents confers emeritus status.

C. Privileges and Responsibilities

An emeritus professor will have the following privileges and responsibilities:

1. Name listed as an emeritus in the university's General Bulletin.
2. Recognition at the commencement ceremony following the granting of the emeritus title.
3. A place of honor in any academic procession.
4. Right to use the title of emeritus in professional endeavors.

5. Opportunity to audit courses with fees waived, subject to the availability of space and with the consent of the instructor.
6. Office space, laboratory space, a telephone, and a computer, subject to available space and approval of the ~~departmental chair~~*academic unit head*, the dean, and provost and vice president for academic affairs.
7. Email privileges, a faculty I.D. card, and university business cards.
8. Use of the Ralph W. Steen Library.
9. Access to university parking, and health and wellness privileges.
10. Opportunity to represent the university at community or professional meetings and serve on committees, upon university request.

Administrative Official Eligibility

The title emeritus may be given by the president to a retired administrative official to recognize meritorious service. Privileges and qualifications that accompany the title shall be determined by the president. The conferring of this title is not automatic upon retirement.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact For Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Employee Affirmative Action / Recruitment Plan

Policy Number: 11.9

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

Date of last revision, if applicable: 1/29/2013

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

Purpose of Policy (what does it do): This policy outlines the university's intent and goals to provide equal access to employment opportunities.

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

- 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 university has considered its prohibition on sex discrimination to include a prohibition of discrimination on the basis of sexual orientation, gender identity, and gender expression. This revision clarifies for the university community that university policy prohibits discrimination on that basis.

Specific rationale for deletion of policy:

Additional Comments:

Employee Affirmative Action/Recruitment Plan

Original Implementation: February 3, 2005

Last Revision: ~~January 29, 2013~~ January 26, 2016

Stephen F. Austin State University's affirmative action/recruitment plan has been developed in accordance with principles designed to assure equal access to employment opportunities. These principles outline the intent and goals of the university's plan. Equal opportunity is the law of the land. In the public sector of our society this means that all persons, regardless of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, or veteran status shall have equal access to positions in public service limited only by their ability to do the job. *Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression.*

Vigorous enforcement of the laws against discrimination is essential. Equally important are affirmative, voluntary efforts to assure that positions in the public service are genuinely and equally accessible to qualified persons, without regard to their sex, racial or ethnic characteristics.

Stephen F. Austin State University is committed to equal employment opportunities and strongly feels that increasing diversity should be a significant part of the hiring process. Employment discrimination and retaliation on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, ~~and~~ veteran status, *sexual orientation, gender identity, and gender expression* shall be strictly prohibited.

It is the policy of the university to comply fully with all state and federal laws prohibiting employment discrimination and relevant court decisions interpreting those laws as it implements its affirmative action/recruitment plan.

The Texas Commission on Human Rights Act, codified in Chapter 21 of the Texas Labor Code, passed the 68th Texas Legislature in Special Session on June 26, 1983. Section 21.001 of the Texas Labor Code includes the general purpose of securing for Texans, including persons with disabilities, freedom from discrimination in certain employment transactions, in order to protect their personal dignity.

In keeping with the spirit of this general purpose of the Act, Stephen F. Austin State University affirms the following:

It shall be the public policy of Stephen F. Austin State University not to discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, or veteran status. *Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender*

expression. Further, the university shall take all necessary steps to ensure the employment and promotion of otherwise qualified classes who may be underrepresented in the agency's workforce.

The university is committed to the principles of equal employment opportunity law and the spirit of equal access. Therefore, a written plan has been prepared to ensure that Stephen F. Austin State University's affirmative action/recruitment plan shall be properly implemented and no artificial barriers shall be intentionally or otherwise created to deny applicants or employees of the university's equal employment opportunities.

The document is available in the human resources office for review by university employees, applicants, and to the general public on request.

PROGRAM RESPONSIBILITIES

Being a results-oriented program, Stephen F. Austin State University's affirmative action/recruitment plan shall have the support of the president, board of regents, and other management or supervisory personnel. Therefore, specific responsibilities shall be assigned and delegated to university management personnel to ensure that the necessary authority is available to implement the provisions of the plan.

The director of human resources shall be designated as the affirmative action/recruitment officer for the university with the authority for administering the plan. It shall be the responsibility of the director of Human Resources to ensure that compliance with the university's affirmative action/recruitment policies are implemented in an efficient and effective manner. The director of Human Resources shall maintain progress reports and information to support and monitor the plan.

Human Resources should be contacted for specific procedures related to recruitment of faculty and staff.

PROGRAM GOAL

To ensure objectivity, consistency, uniformity and job relatedness through design and implementation of appropriate personnel policy and procedural systems that affects the equal employment opportunities of the university's employees and applicants for employment.

Cross Reference: Tex. Lab. Code Ch. 21; Affirmative Action (11.1)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Faculty/Staff Athletic Ticket Purchases

Policy Number: 12.8

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

Date of last revision, if applicable: 10/22/2012

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Describes benefits extended to faculty and staff concerning the purchase of tickets to university athletic events.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

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

Specific rationale for deletion of policy:

Additional Comments:

Faculty/Staff Athletic Ticket Purchases

Original Implementation: Unpublished

Last Revision: ~~October 22, 2012~~ January 26, 2016

University faculty, staff, retirees, their spouses and dependent children are entitled to purchase discounted season tickets for home athletic events.

Season ticket applications are mailed annually to each faculty/staff member who purchased tickets the previous year. Information on season tickets is distributed annually to each employee via a campus-wide email and in SFA Today in order to contact as many new faculty/staff members as possible and to offer faculty/staff who did not purchase tickets the previous year a chance to do so. Faculty/staff season tickets are not honored during post-season play.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: Director of Intercollegiate Athletics

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Faculty-Staff ID Cards

Policy Number: 11.13

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

Date of last revision, if applicable: 1/29/2013

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

Purpose of Policy (what does it do): Governs the distribution of identification cards to employees.

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

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

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: No revision made during this review.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewed by:

-Sam Smith, Director of Student Services

-Dr. Steve Westbrook, Vice President for University Affairs

Faculty/Staff ID Cards

Original Implementation: Unpublished

Last Revision: ~~January 29, 2013~~ January 26, 2016

Benefits eligible employees are entitled to a faculty/staff identification card. Employees wishing to use certain university facilities may be required to show a current faculty/staff identification card.

Employees wishing to obtain an ID card should follow this procedure:

1. Complete a "Request for Staff/Faculty ID Card" form in human resources.
2. After human resources verifies employment, the employee presents the verified request form to the card services office in the student center to have the ID card produced.

The initial faculty/staff ID card is free. The fee for replacement cards is \$10, charged to the employee's account and payable at the business office in the Austin Building.

ID cards should be validated annually in the card services office in the student center.

Separating employees are required to return ID cards during the checkout process.

Retired faculty/staff are also entitled to an ID card using the same process as outlined above.

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Director of Student Services

Forms: Request for Staff/Faculty ID Card (available in Human Resources)

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Health and Safety

Policy Number: 13.10

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

Date of last revision, if applicable: 1/29/2013

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This document establishes for Stephen F. Austin State University the policy for the protection of the university's human and material resources and the maintenance of a safe and healthful environment complementary to the university's needs and the accomplishment of its goals

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: This policy was originally designed with hazardous materials and radiation safety responsibilities being conducted by faculty members. The safety department has assumed these roles. Additional language for providing a safe workplace was added to align our policy with other health and safety policies across the state of Texas.

Specific rationale for deletion of policy:

Additional Comments:

Health and Safety

Original Implementation: February 11, 1977

Last Revision: ~~January 29, 2013~~ January 26, 2016

I. PURPOSE

This document will establish for Stephen F. Austin State University the policy for the protection of the university's human and material resources and the maintenance of a safe and healthful environment complementary to the university's needs and the accomplishment of its goals.

II. SCOPE

The intention of this policy statement is to create among all members of the university community an awareness of and a commitment to an effective safety program. The primary concern of this program is the safety and well-being of the students, faculty, staff and visitors. The program is promoted through *safety procedures*, training, identification of hazards, and initiation of loss-control measures aimed at the overall reduction of accidents and risk.

III. ENVIRONMENTAL HEALTH, SAFETY, & RISK MANAGEMENT

Responsibility and coordination of various aspects of the university's safety program is vested in the Environmental Health, Safety, & Risk Management (EHS&RM) Department that reports to the vice president for finance and administration of the university.

IV. RESPONSIBILITIES

The Risk Management for Texas State Agencies Guidelines, published by the State Office of Risk Management, is the program document for the university's safety *and health* program ~~except as noted below~~. Responsibilities are assigned to individuals at appropriate levels of authority and expertise as follows.

1. The responsibility for physical safety, fire protection, occupational health, emergency procedures, risk management, safety training, workers' compensation, *acquiring adequate property insurance coverage, environmental safety, hazardous and radioactive materials, asbestos management, laboratory safety, and engineering controls* accident prevention and investigation is assigned to the university director of Environmental Health, Safety, and Risk Management (EHS&RM), who reports to the vice president for finance and administration. ~~The university director of EHS&RM will assume the duties of accident prevention coordinator. The university safety officer acting as the workers compensation coordinator shall report to the university director of EHS&RM.~~ *The director of EHS&RM also serves as the official university contact for federal and state agencies regarding environmental and occupational safety and health.*
2. ~~The responsibility for control of hazardous materials, including use, storage, and disposal of regulated hazardous materials, as well as the responsibility for compliance with the Texas Hazard Communication Act, is assigned to the director of EHS&RM who reports to the vice president for finance and administration.~~

~~3. The responsibility for radiological safety, including the purchase, transportation, use, storage, and disposal of radioactive materials is assigned to the radiation safety officer who reports to the director of EHS&RM. The radiation safety officer will assume the responsibility for the Radioactive Materials Management Program to assure compliance with the conditions of the license/registrations issued by the Texas Bureau of Radiation Control, Texas Department of Health.~~

2.4-The responsibility for campus security, *emergency procedures*, traffic control, criminal investigation, and civil order is assigned to the chief of university police who reports to the vice president for university affairs.

3.5-The responsibility for the maintenance of the health of students is assigned to the director of University Health Services, who reports to the vice president for university affairs.

V. PROVIDING A SAFE WORKPLACE

1. *Facilities will be designed in a manner consistent with health and safety regulations and standards of good design. University departments responsible for the design, construction, and/or renovation of facilities shall consult with EHS&RM to ensure that there is appropriate health and safety review of facility concepts, designs, and plans.*
2. *SFA encourages employees and students to report health and safety hazards to their supervisors or EHS&RM. Employees and students shall not be retaliated against in any manner for bona fide reporting of health and safety hazards to SFASU.*
3. *Faculty and staff supervisors, in coordination with EHS&RM, shall ensure that regular, periodic inspections of workplaces are conducted to identify and evaluate workplace hazards and unsafe work practices.*
4. *Means of correcting discovered hazards and/or protecting individuals shall be determined and implemented appropriately and in a timely manner. Unsafe conditions which cannot be corrected by the supervisor must be reported to the next higher level of management.*
5. *Any individual who becomes aware of a serious concealed danger to health or safety shall immediately report the danger to the EHS&RM Department and to the faculty, staff, and students who may be affected.*
6. *The director of EHS&RM has the authority to intervene or shut down any university activity considered to present a clear and imminent danger to health or safety. This shall remain in effect until the danger has passed or been mitigated to the extent that the imminent danger no longer exists.*

∇VI. SUPPORT

In addition to the aforementioned and specifically-assigned responsibilities, it shall be the general responsibility of all SFA employees and students to keep themselves informed of conditions affecting their health and safety; comply with SFA health and safety policies, ~~practices, and~~ programs,

procedures, and practices; participate in training programs provided by their supervisors and EHS&RM; *and* adhere to healthy and safe practices in their workplace, classroom, and laboratories; ~~and advise their supervisor or instructors of serious hazards in the workplace, classroom or laboratory.~~

Management and supervisors are responsible for protecting the health and safety of employees and students under their supervision by implementing SFA health and safety policies, practices, and programs, by ensuring workplaces and equipment are safe and well maintained, and by ensuring that workplaces or laboratories are in compliance with federal, state and local regulations. They are also responsible for the education of their employees and students in regard to proper job procedures and recognized hazards before making task assignments.

IVII. IMPLEMENTATION

In all university activities and endeavors, safety is the first concern. The members of the university community shall comply with all federal, state, and local statutes, rules, regulations and codes by which the university is bound. They shall also attempt to comply with the spirit of any non-binding requirement which would further the university's intent to provide and maintain a safe and healthful environment in which to work, study, and live.

Cross Reference: Risk Management (13.19); Tex. Health & Safety Code Ch. 502

Responsible for Implementation: President

Contact For Revision: President, Director of Environmental Health, Safety, and Risk Management.

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Human Research Subjects Protection

Policy Number: 8.4

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

Date of last revision, if applicable: 4/23/2013

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

Purpose of Policy (what does it do): delineate requirements to protect the welfare of persons who may be subjects of a research activity; comply with federal, state, and local laws

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: no substantive revision

Specific rationale for deletion of policy:

Additional Comments:

Human Research Subjects Protection

Original Implementation: April 30, 2002

Last Revision: ~~April 23, 2013~~ January 26, 2016

I. Introduction

Stephen F. Austin State University (SFA) seeks to protect the welfare of every person who may be a subject of a research activity. In doing so, the university complies with appropriate federal, state, and local laws, including regulations by the Department of Health and Human Services (DHHS) for the Protection of Human Subjects in Research (45 CFR Part 46, as amended). Documentation of procedures is required for all protocols that are government funded. SFA follows the ethical principles regarding all research involving humans as subjects as set forth in the report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research, entitled Ethical Principles and Guidelines for the Protection of Human Subjects of Research (the "Belmont Report"), and in the Code of Federal Regulations (CFR).

II. Institutional Policy

All research and research-related activities involving humans as subjects will be reviewed by the university's Institutional Review Board (IRB). A human subject is defined as a living person about whom an investigator conducting research obtains data through intervention or interaction with the individual (e.g., surveys, interviews) or identifiable, private information.

Program assessment, journalistic inquiries, oral histories, and activities that do not generalize beyond the scope of an investigation are not considered research appropriate for IRB review. For purposes of this policy, research means a systematic investigation designed to develop or contribute to knowledge that can be generalized. ~~Program assessment, journalistic inquiries, and activities that do not generalize beyond the scope of an investigation are not considered research appropriate to IRB review.~~

All research projects *subject to IRB review* involving human subjects conducted by SFA faculty, staff, and students, on or off campus, must have prior approval of the IRB if any of the following conditions are met:

1. The research is conducted by, or under the direction of, an employee or agent of SFA in connection with institutional responsibilities, including student research under the direction of a faculty sponsor;
2. The research is conducted by, or under the direction of, an employee or agent of SFA using any property or facility of the institution;
3. The research involves the use of SFA's non-public information to identify or

- contact human research subjects or prospective subjects;
4. The research is conducted by or under the direction of an employee or agent of another institution who is using research subjects associated with SFA or its facilities and/or property under written agreement with appropriate university officials.

A second review may be required if ~~a) a long interval~~ *more than twelve months* has elapsed between the initial IRB review and the beginning of the project ~~b) the proposed effort is in a rapidly changing area;~~ or ~~c) the principal investigator wishes to change procedures or research focus~~ after the proposed project has been reviewed by the IRB. All approved research is open to continuing review at intervals appropriate to the degree of risk, but not less than once per year. No investigator can abdicate ethical and legal responsibility merely by complying with this policy. Failure to obtain prior, written IRB clearance may result in the imposition of restrictions on the investigator's research activities at SFA.

The chair of the IRB will forward copies of all IRB-approved research protocols and approval letters that involve research funded by *the Office of Research and Sponsored Programs (ORSP)* using Research Enhancement, ~~or~~ Research Development, *or Comprehensive Research* funds, or funded by an external entity to ORSP for compliance documentation and appropriate records retention.

III. **Guiding Principles to the Ethical Use of Human Research Subjects**

All *qualifying* activities as defined in section II involving humans as subjects must provide for the safety, health and welfare of every individual. Additionally, all legal rights, including the right to privacy, must not be infringed. The direct or potential benefits to the subject or the importance of the knowledge to be gained must outweigh the potential risks to the individual. No human subject can participate in a research project until the IRB has approved the research protocol and written informed consent has been obtained from the subject.

Participation in projects must be voluntary. Informed consent must be obtained from all subjects unless waived by the IRB. A subject's informed consent must be obtained through methods that are consistent with federal law (45 CFR §§ 46.116-.117) and appropriate to the risks of the project. Whenever possible, consent should be obtained directly from the participants. If a subject is not legally or physically capable of giving informed consent, a legally authorized representative may do so.

An individual does not abdicate any rights by consenting to serve as a research subject. A human subject has the right to withdraw from a research project at any time or can refuse to participate; in either case, the subject must not experience any loss of benefits for withdrawing from a research project. Further, a human subject has the right to receive appropriate professional care, to enjoy privacy and confidentiality in the use of personal information, and to be free from undue embarrassment, discomfort, anxiety, and

harassment.

The principal investigator has the obligation of safeguarding information obtained as part of a research project. When the principal investigator is a student, the faculty sponsor is responsible for the conduct of the research and the supervision of human subjects.

IV. **IRB Membership and Institutional Responsibilities**

The IRB at SFA has the responsibility and authority to review, approve, disapprove, or require changes in research activities involving human subjects.

The IRB will have at least six members: one community representative not associated with the university, four faculty members knowledgeable about applicable laws and standards of professional conduct and practice in the use of human subjects in research, and one faculty member from a non-scientific department. All members are appointed by the president of the university for indefinite terms. The IRB may, at its discretion, invite individuals with competence in special areas to assist in the review of complex issues, but these individuals will have no voting rights. The IRB chair is appointed by the provost and vice president for academic affairs of the university from among the faculty members on the IRB. Whenever possible, the chair of the IRB shall be granted reassigned time equivalent to three ~~TLC-credits~~ each semester.

ORSP is responsible for maintaining the registration status of the IRB with the DHHS Office for Human Research Protections (OHRP) and for reporting changes in the IRB chair and membership, and for monitoring the status of a university Federal Wide Assurance (FWA) *as applicable*.

Conflicts of Interest

No individual involved in the conduct and/or supervision of a specific project can participate in IRB review of the proposal, except to provide information. Any IRB member who has a conflict of interest, or a perceived conflict of interest, in any research application must recuse himself or herself from the vote and must disclose the conflict of interest. Conflicts of interest include any substantial interest in or other arrangement that might benefit the IRB member privately or might result in a financial benefit to the IRB member or any member of their immediate family (within the second degree of affinity or third degree of consanguinity). If a quorum is present without the recused member, then a vote can proceed. Otherwise, a substitute IRB member must be present to proceed to a vote. If there is a conflict of interest for the outside committee member, then an alternate outside member must be utilized for the vote.

The IRB will meet once each month or as needed to ensure a thorough and speedy assessment of applications. An expedited review procedure is possible for applications that involve minimal risk to subjects and that either fall under one of the research categories

eligible for expedited review or fall under the categories exempted by federal regulations. A risk is considered minimal when the harm anticipated in the proposed research is not greater in either probability or magnitude than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

Final determination whether a project is eligible for expedited review can only be made by the IRB. The IRB shall weigh the following factors in making its determination whether to approve a proposal:

1. The rights and welfare of the subjects will be adequately protected.
2. The risks to the subjects are reasonable in relation to anticipated benefits of the study.
3. The written informed consent of subjects will be obtained by adequate and appropriate methods.

V. **Informed Consent**

The legal age of consent for research purposes in the State of Texas is eighteen (18) years of age. For human subjects under 18, consent must be given by a legally authorized representative, an individual, judicial, or other body authorized under applicable law to consent on behalf of a prospective subject to the subject's participation in the research procedure(s). If the subject is a minor, written consent by a legally authorized representative is required unless waived by the IRB. Such waivers will be granted by the IRB only if the principal investigator can provide adequate justification for the request [45 CFR §46.116(c)] and demonstrate assent of the ~~child~~ *minor*, unless the IRB acknowledges the ~~child~~ *minor* is incapable of giving assent.

Consent must be voluntary and must be given without coercion or undue influence. This includes provisions for payments or other incentives to participate in a research study [Payments to Human Research Subjects (8.8)]. The information provided to the subject or to the subject's legally authorized representative must be in simple, easily understood language. If the human subject does not understand English, the informed consent must be presented in the appropriate language.

Informed consent cannot waive or limit in appearance or in fact a human subject's legal rights, including any release of the institution or its agents from liability for negligence. Informed consent forms must include a statement that concerns may be addressed to the Office of Research and Sponsored Programs. Requirements and guidelines for informed consent can be obtained from the ~~Office of Research and Sponsored Programs (ORSP)~~ website.

VI. **Expedited Review**

Certain research projects may be eligible for expedited review. In making this determination, the research protocol will be reviewed by the IRB chair and/or experienced

IRB members selected by the chair. This review is limited only to the question of whether an expedited review is appropriate; research protocols cannot be disapproved without a full IRB review.

Six categories of research can be considered for expedited review. Research protocols that qualify for expedited review by the IRB are the following.

1. Minor modifications or additions to existing approved studies.
2. Research on individual or group behavior or characteristics of individuals (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, social behavior, game theory, and test development); research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies, when the investigator does not manipulate subjects' behavior or involve procedures that impose stress on the subjects.
3. The study of existing data, documents, records, pathological specimens, or diagnostic specimens.
4. Collection of data from voice, video, digital, or image recordings made for research purposes.
5. Moderate exercise by healthy volunteers/subjects.
6. Recording of data from subjects 18 years of age or older using noninvasive procedures routinely employed in clinical practice.

VII. Exempted Research

All *qualifying* research with human subjects, *as defined in section II*, must be reviewed by the IRB. A ~~P~~*principal investigator cannot claim exempt status in order to bypass IRB review*. The IRB is responsible for determining whether a research project falls within one of the following exempted categories as defined in 46 CFR 101(b)(1)-(b)(6):

1. Research conducted in established or commonly accepted educational settings that involve common educational practices.
2. Research involving the use of educational tests (e.g., cognitive diagnostic, aptitude, achievement) where information is recorded in a manner that does not identify subjects, directly or indirectly.
3. Research involving survey or interviewing procedures, except where any of the following conditions exist:
 - a. responses are recorded in a manner that subjects can be identified, directly or indirectly;
 - b. the subjects' responses, if they become known outside the research, could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing or employability;

- c. the research deals with sensitive aspects of the subjects' own behavior, such as illegal conduct, drug use, sexual behavior, or use of alcohol;
 - d. the research involves the use of children, minor-age students, or other vulnerable groups as subjects.
4. All research involving survey or interview procedures when the respondents are elected or appointed public officials or candidates for public office.
 5. Research involving the observation (including observation by participants) of public behavior, except where any of the following conditions exist:
 - a. observations are recorded in a manner that the subjects can be identified, directly or indirectly;
 - b. the observations recorded about individuals, if they become known outside the research, could reasonably place subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing or employability;
 - c. the research deals with sensitive aspects of the subjects' behavior such as illegal conduct, drug use, sexual behavior, or use of alcohol;
 - d. the research involves the use of children, minor-age students, or other protected or vulnerable groups as subjects and the principal investigator is a participant in the activities being observed.
 6. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the principal investigator in a manner that subjects cannot be identified, directly or indirectly.
 7. Research and demonstration projects that are conducted by or subject to the approval of the DHHS, and which are designed to study, evaluate, or otherwise examine:
 - a. programs under the Social Security Act or other public benefit or service programs;
 - b. procedures for obtaining benefits or services under those programs;
 - c. changes in or alternatives to those programs or procedures;
 - d. changes in methods or levels of payment for benefits or services under those programs.

Cross Reference: Ethical Principles and Guidelines for the Protection of Human Subjects in Research: The Belmont Report; 45 CFR §§ 46.101-.505; Payments to Human Research Subjects (8.8).

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

Contact for Revision: Director, Office of Research and Sponsored Programs

Forms: Application for Approval of Research Involving the Use of Human Subjects; Conflict of Interest Disclosure Form for IRB Members; Workload Reassignment Request

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: In-Residence Requirement

Policy Number: 6.15

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

Date of last revision, if applicable: 1/28/2014

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

Purpose of Policy (what does it do): delineate requirements for the number of credit hours in-residence to meet requirements for undergraduate degree programs and graduate degree programs

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

Scheduled Review Change in law Response to audit finding

Internal Review Other, please explain: requested by the nursing program within the College of Sciences and Mathematics to increase the programs competitiveness with programs from across the state

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: changed the number of semester hours required in-residence at SFA for the nursing RN-BSN degree program to make that program more competitive with other RN-BSN degree programs across the state

Specific rationale for deletion of policy:

Additional Comments:

The Academic Affairs Policy Committee added this new language into policy 6.20, Transfer Admissions and Credits.

In-Residence Requirement

Original Implementation: January 25, 2000

Last Revision: ~~January 28, 2014~~ January 26, 2016

The term "in-residence" includes all of the following types of courses: on-campus, off-campus, distance education, field-based, practicum, internship, and thesis/ dissertation work for master's/doctoral degrees. Only courses offered by Stephen F. Austin State University will be counted toward the in-residence requirement.

Undergraduate Degree Programs

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

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

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

Graduate Degree Programs

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

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

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Interlibrary Loan

Policy Number: 4.11.1

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

Date of last revision, if applicable: 1/29/2013

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

Purpose of Policy (what does it do): delineates the procedure for the use of the Interlibrary Loan Services (ILL) through the Steen Library Collection

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

- 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 the online form UIL

Specific rationale for deletion of policy:

Additional Comments:

Interlibrary Loan

Original Implementation: March, 1985

Last Revision: ~~January 29, 2013~~ January 26, 2016

The Interlibrary Loan Services (ILL) supplements local library resources by providing access to materials not available in the Steen Library collection. The following statements regulate ILL activities.

ILL borrowing is extended to faculty, staff and students of Stephen F. Austin State University (SFA). Patrons must exhaust the limits of the Steen collection before requesting ILL services.

Faculty members and students may request materials related to their own scholarly research or to course-related subject matter. Occasionally, service is available to library users not affiliated with SFA, subject to the discretion of the library director.

Requests should be submitted to Interlibrary Loan Services through the library's website.

All conditions of use imposed by the lending library on items borrowed are to be strictly observed. Abuse of ILL regulations may result in the forfeiture of ILL borrowing privileges. (Examples: taking Library Use Only material out of the library, disregarding loan restrictions, repeated failure to return material by due date.) ILL service may be refused to any patron whose Steen Library borrowing privileges are blocked.

The library reserves the right to refuse any ILL request if fulfillment of the request would violate copyright laws. Steen Library abides by state and national ILL codes and maintains such records of ILL transactions as required by law.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Library Director

Forms: ~~<http://steenproxy.sfasu.edu:2048/login?url=https://sfasu.illiad.oclc.org/illiad/illiad.dll>~~
<https://illiad.sfasu.edu/illiad/logon.html>

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Investments

Policy Number: 3.21

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Provides procedures and guidelines for the investment of public funds in SFA's custody

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: no substantive changes; only minor punctuation changes.

Specific rationale for deletion of policy:

Additional Comments:

Investments

Original Implementation: April 30, 1996

Last Revision: ~~January 27, 2015~~ January 26, 2016

Policy Statement

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

Scope

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

Objectives

The foremost objective of all investment decisions shall be safety of principal. All investments must be undertaken with the fiduciary responsibility associated with that of a reasonable and prudent person. Investments must be in accord with Texas law. Investment maturity must be diversified to match the university's liquidity requirements.

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

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

Investments may be diversified in order to respond to changing economic and/or market conditions.

No investments within the portfolio or investment practices conducted to effect investment activities shall violate the terms of this policy.

Investment Strategy

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

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

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

Investments may be categorized and described as:

- A. Short Term - less than 90 days: Funds needed to meet short term operating requirements normally will be invested in either investment pools or overnight sweep accounts established with banking institutions. The benchmark is the average three month Treasury Bill yield.
- B. Intermediate Term - 90 days to one year: United States Treasury and Agency securities, United States Agency Discount Notes are the primary investment vehicles. United States Treasury securities are preferable because of their low risk and the ease with which they are traded. The benchmark is 95 percent of the average one-year Treasury Bill yield.
- C. Long Term - over one year: United States Treasury and Agency securities are the primary investment vehicles. The 30 Year Treasury Bond rate is the benchmark for long term funds.
- D. Maturity: The length of time for investments within this policy will vary according to needs.

Investment Authority

The vice president for finance and administration and director of financial services shall be designated as the university's investment officers and are responsible for the duties outlined herein. The names and titles of the investment officers shall be filed with the Board of Regents. Changes of names and/or titles must be filed with the Board of Regents as they occur.

The vice president for finance and administration or director of financial services may only invest funds regulated by this policy and purchase securities authorized by this policy.

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

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

Investment Responsibilities

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

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

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

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

Prudence

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

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

Investment Guidelines

Authorized Investments

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

- A. obligations, including letters of credit, of the United States of America, or its agencies and instrumentalities;
- B. direct obligations of the state of Texas or its agencies and instrumentalities;
- C. collateralized mortgage obligations directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America;
- D. other obligations, the principal and interest of which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, the state of Texas or the United States of America or their agencies and instrumentalities, including obligations that are fully guaranteed or insured by the Federal Deposit Insurance Corporation or by the explicit full faith and credit of the United States;
- E. obligations of states, agencies, counties, cities, and other political subdivisions of any state rated as to investment quality by a nationally recognized investment rating firm of not less than A or its equivalent;
- F. certificates of deposit and share certificates issued by a depository institution that conforms to Section 2256.010 of the Texas Government Code.
- G. fully collateralized repurchase agreements that conform to Section 2256.011 of the Texas Government Code;
- H. bankers acceptances that conform to Section 2256.0912 of the Texas Government Code;
- I. commercial paper that conforms to Section 2256.013 of the Texas Government Code;
- J. no-load money market mutual funds and no-load mutual funds registered and regulated by the Securities and Exchange Commission and conform to Section 2256.014 of the Government Code;
- K. guaranteed investment contracts that conform to Section 2256.015 of the Government Code;
- L. investment pools that conform to Sections 2256.016 and 2256.019 of the Government Code;
- M. cash management and fixed income funds sponsored by organizations exempt from federal income taxation under Section 501(f), Internal Revenue Code of 1986 (26 U.S.C. Section 501(f));
- N. negotiable certificates of deposit issued by a bank that has a certificate of deposit rating of at least 1 or the equivalent by a nationally recognized credit rating agency or that is associated with a holding company having a commercial paper rating of at least A-1, P-1, or the

- equivalent by a nationally recognized credit rating agency;
- O. corporate bonds, debentures, or similar debt obligations rated by a nationally recognized investment rating firm in one of the two highest long-term rating categories, without regard to gradations within those categories.

Unauthorized Investments

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

Diversification

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

Category	Maximum
U. S. Treasury securities and securities having principal and interest guaranteed by the U. S. Government	100%
U. S. Government agencies, instrumentalities and government sponsored enterprises (excluding mortgage backed securities)	50%
Collateral mortgage backed securities	25%
Fully insured or collateralized certificates of deposit	100%
Bankers' acceptances	25%
Commercial paper	50%
Repurchase agreements	100%
Registered money market funds	80%
Local Government Investment Pool	100%
Corporate Bonds	50%

The vice president for finance and administration may diversify investment maturity to limit interest rate risk. Interest rate risk is the risk that changes in market interest rates will adversely

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

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

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

Insurance or Collateral

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

Pledged collateral shall be maintained for safekeeping by an independent third party.

Collateral Defined

The university shall accept only the following securities as collateral:

- A. FDIC insurance coverage;
- B. United States Treasury, Agency, or Instrumentality securities;
- C. Direct obligations of the state of Texas or its agencies and instrumentalities;
- D. Other obligations, the principal of and interest on which are unconditionally guaranteed or insured by the State of Texas or the United States of America;
- E. Obligations of states, agencies thereof, counties, cities, and other political subdivisions of any state having been rated as to investment quality by a nationally recognized

- investment rating firm and having received a rating of no less than A or its equivalent;
- F. Collateralized mortgage obligations (CMO) directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America. CMO must have a stated final maturity date of less than 10 years.

Authorized Financial Dealers and Institutions

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

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

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

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

External Financial Advisor Contract Renewal or Extension

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

Disclosure Requirements for Outside Financial Advisor

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

Performance Evaluation

The vice president for finance and administration and director of financial services shall submit

quarterly reports to the Board of Regents and the president of the university in the format prescribed by the Public Funds Investment Act, within a reasonable time after the end of the quarter. The reports must:

- (A) describe in detail the investment position of the university on the date of the report;
- (B) be prepared by the investment officer(s) of the university;
- (C) be signed by the investment officer(s) of the university;
- (D) contain a summary statement of each pooled fund group that states the:
 - (1) beginning market value for the reporting period;
 - (2) ending market value for the period; and
 - (3) fully accrued interest for the reporting period;
- (E) state the book value and market value of each separately invested asset at the end of the reporting period by the type of asset and fund type invested;
- (F) state the maturity date of each separately invested asset that has a maturity date;
- (G) state the account or fund or pooled group fund for which each individual investment was acquired; and
- (H) state the compliance of the investment portfolio of the university as it relates to the relevant provisions of the Public Funds Investment Act.

Internal Controls

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

Disclosure Requirements for Investment Officers

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

- (1) the investment officer owns 10 percent or more of the voting stock or shares of the business organization or owns \$5,000 or more of the fair market value of the business organization;
- (2) funds received by the investment officer from the business organization exceed 10

- percent of the investment officer's gross income for the previous year; or
- (3) the investment officer has acquired from the business organization during the previous year investments with a book value of \$2,500 or more for the personal account of the investment officer.

Training

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

Audits

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

Investment Policy Adoption and Certification

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

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

APPENDIX A

INTERNAL CONTROLS

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

APPENDIX B

ADMINISTRATIVE PROCEDURES

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

POLICY SUMMARY FORM

Policy Name: Investments - Endowment Funds

Policy Number: 3.20

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Provides procedures and guidelines for the investment of endowed funds in SFA's custody

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

- 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: clarified definition of Quasi endowment

Specific rationale for deletion of policy:

Additional Comments:

Investments - Endowment Funds

Original Implementation: Unpublished

Last Revision: ~~January 27, 2015~~ January 26, 2016

GENERAL

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

The investment of endowment funds is governed by Section 51.0031 of the Texas Education Code. This section states that the university "... with regard to donations, gifts and trusts, may establish endowment funds that operate as trusts and are managed under prudent person standards... As used in this section, 'prudent person standard' is the standard of care described in Article VII, Section 11b, of the Texas Constitution, and means that standard of judgment and care that prudent investors, exercising reasonable care, skill, and caution, would acquire or retain in light of the purposes, terms, distribution requirements, and other circumstances of the fund then prevailing, taking into consideration the investment of all the assets of the fund rather than a single investment."

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

This Investment Policy Statement (IPS) applies to all Stephen F. Austin State University (the university) endowment funds, including those that function as endowments, and are not considered to be public funds. The IPS states the boards' attitudes, goals and objectives in the investment of the endowment assets. As such, it is intended to provide guidance to the board, the finance committee, the university administration, and the investment consultant(s)/managers in the management of the endowment assets. The IPS clearly and concisely states the responsibilities of all parties involved with the endowment funds.

INVESTMENT OBJECTIVES

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

INVESTMENT RISK TOLERANCE

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

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

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

DEFINITIONS

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

Funds Functioning as Endowment Funds are funds for which the *governing body of the* university, rather than a donor, has determined that the corpus is to be retained and invested. Since these funds are internally designated rather than externally restricted, the university has the right at any time to expend principal.

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

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

RESPONSIBILITY AND DELEGATION OF AUTHORITY

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

The Board

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

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

University Administration

The vice president for finance and administration (vice president) and director of financial services are designated as the investment officers for the university. As such, the specific responsibilities of the vice president in the investment process include:

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

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

Qualifying Institution

The board may contract to invest its funds with another Texas public institution. Endowment funds invested with a qualifying institution will be invested in accordance with the institution's Investment Policy and the asset allocation of the institution's policy will supersede the

Investment Guidelines Section of this policy. The university's investment officer(s) will provide investment performance reports to the board.

Investment Consultant

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

Specifically, the consultant will:

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

Investment Managers

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

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

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

The investment manager(s) will:

- Be registered as an investment adviser under the Investment Advisers Act of 1940 (where applicable);

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

Custodian

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

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

INVESTMENT POLICY GUIDELINES

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

Permissible Investments

- a. Direct obligations of the United States government or its direct agencies.
- b. Direct obligations of federally-sponsored agencies in accordance with the above paragraph.
- c. Obligations of states, agencies, counties, cities, and other political subdivisions of any state in accordance with the above paragraph.
- d. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.
- e. Debentures or obligations, and preferred or common stock of international governments and corporations. International preferred and common stock issues must be listed on an organized stock exchange.
- f. Common stock and preferred stock issued by United States domiciled corporations and common stocks of foreign companies listed on the major U.S. or foreign security exchanges.
- g. Certificates of Deposit issued by federally insured state banks, federally insured savings and loan associations and saving banks or federally insured credit unions. Amounts over the insurance limit of the institutions must be secured by pledged securities.

- h. Bankers' acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.
- i. Money Market Mutual Funds. Funds must be registered with the Securities and Exchange Commission, have a maximum dollar weighted average maturity of no longer than 13 months, and be no-load funds. Funds must have assets consisting of securities described in the paragraphs above and seek to maintain a stable net asset value of \$1.00 per share (or unit).
- j. Mutual Funds. Funds must be registered with the Securities and Exchange Commission and invest in assets authorized under this policy.
- k. Direct Security Repurchase Agreements. Direct Repos must be fully secured (collateralized) by securities authorized under the sections (a) through (g) above. Such collateral must be held by a third party. All agreements will comply with Federal Reserve Bank guidelines.
- l. Shares of investment companies as defined by the Investment Company Act of 1940. These companies include both closed-end investment companies and open-end investment companies (mutual funds). Shares in these companies may be purchased if they own securities described in sections (a) through (j) above.
- m. Shares of Exchange Traded Funds, known as ETFs.
- n. No more than ten percent (10%) of the equity portfolio can be invested at any time in one company based on the market value of the stock and portfolio.
- o. No more than thirty percent (30%) of the equity portfolio can be invested in any one industry sector based on the market value of the portfolio.
- p. Alternative investments. Permitted alternative investments may include hedge funds, managed futures funds, private equity funds, or real estate. Hedge funds are not subject to limitations of the "Prohibited Investment" section below. Investments in other strategies shall be reviewed and recommended by the investment officer prior to purchase.
- q. Permitted alternative investments in the portfolio are limited to diversified commingled trust fund vehicles or limited partnerships offered through a third party distribution channel, such as what is offered through many broker-dealer firms.
- r. Permitted alternative investments in the portfolio are limited to investment vehicles that offer the ability for the portfolio to make contributions or receive distributions at least quarterly (but preferably monthly) without restriction or incurring additional fees.
- s. The portfolio shall emphasize investments in fund-of-fund vehicles that are diversified by investment style and typically utilize multiple investment managers within a fund.

Prohibited Investments

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

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

Asset Allocation

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

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

The allowable asset mix for fixed income and equities is:

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

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

Interest Rate, Credit and Foreign Currency Risks

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

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

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

of 30% of the equity portfolio.

GIFTS OF INDIVIDUAL SECURITIES

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

FUNDS FUNCTIONING AS (QUASI) ENDOWMENTS

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

DISTRIBUTION POLICY

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

PERFORMANCE EVALUATION

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

CONFLICTS OF INTEREST

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

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

AUDITS

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

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

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: Issuance and Control of Campus Keys

Policy Number: 14.7

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

Date of last revision, if applicable: 1/29/2013

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

Purpose of Policy (what does it do): Defines responsibilities associated with building access control

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

- 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: Removal of procedures and redundant text from policy. Updated and standardized terminology.

Specific rationale for deletion of policy:

Additional Comments:

Issuance and Control of Campus Keys

Original Implementation: Unpublished

Last Revision: ~~January 29, 2013~~ January 26, 2016

The security of the university is the responsibility of several departments on campus. First, the University Police Department is responsible for the overall campus security. Second, the various ~~department chairs~~ *head administrators* are responsible for their respective areas. Third, the Physical Plant Department is responsible for ~~providing a sound, secure area~~ *maintaining access control hardware and a campus key control system.*

A vital part of this system is the lock and key system of the university. Other than during normal working hours, all campus buildings will be locked. Faculty and staff may be issued keys to university buildings upon the request of the ~~department~~ *head administrator* responsible for the building or area of the building.

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

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

In residence halls ~~and other facilities~~ with card access systems, employees shall use the appropriate card key to gain access rather than bypassing the tracking system by using hand keys.

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

~~Physical Plant will make keys based on a written request but will not deliver keys through the mail. The keys will be delivered to the requesting department for distribution.~~ If a key is lost or stolen, it should be immediately reported to the employee's supervisor, the Physical Plant Department and to the University Police Department. Failure to report lost or stolen keys in a timely manner may result in disciplinary action up to and including termination.

Duplication of university keys is strictly forbidden. If a duplication of a key is made without university consent and the individual is identified, the key will be recovered and the individual(s) involved in duplicating keys shall be reported to their administrative supervisor for appropriate disciplinary action up to and including termination.

Employees shall not loan or transfer keys to anyone. ~~The person to whom a key has been issued shall be held responsible for the use of that key until it has been properly returned to the Physical Plant. The individuals~~ *Individuals* involved in loaning keys shall be reported to their respective administrative supervisor for appropriate disciplinary action up to and including termination.

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

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

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

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

~~Requests for keys must be approved by the department head or their designee for the specific area. Requests may be mailed, "walked through," or submitted via the Physical Plant webpage by using the online work request system. The lock shop is open for service calls from 7:00 a.m. to 4:00 p.m., Monday through Friday. If a locksmith is not in the shop, Physical Plant will page a locksmith to return to the shop for immediate service.~~

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Physical Plant Department

Forms: None

Board Committee Assignment: Buildings and Grounds

POLICY SUMMARY FORM

Policy Name: Items Requiring Board of Regents Approval

Policy Number: 1.4

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

Date of last revision, if applicable: 7/29/2014

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Specifies what does, and does not, require board action.

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

Scheduled Review Change in law Response to audit finding

Internal Review Other, please explain: Addition to items not requiring approval.

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Adding outside contracts for intellectual property matters as exempt from board approval. These agreements last for many years and only after such time does the cost potentially exceed \$100,000. Filings must be made timely and issues could arise where a board meeting would not be held in time. Board would continue to be aware of status during briefings by the general counsel.

Specific rationale for deletion of policy:

Additional Comments:

Items Requiring Board of Regents Approval

Original Implementation: July 5, 1988

Last Revision: ~~July 29, 2014~~ January 26, 2016

A. Items That Require Approval by the Board of Regents

1. Construction/renovation projects if the estimated cost is \$100,000 or more, including:
 - a. Selection of an architect/engineer.
 - b. Authority to submit *all construction and/or renovation project proposals, real property purchases, and energy savings performance contracts* ~~the proposal~~ to the Texas Higher Education Coordinating Board (*THECB*) that require *THECB approval if the estimated project cost (includes all cost) is at least \$4,000,000 for new construction, \$4,000,000 for renovation*, or as otherwise required under law.
 - c. Construction contract awards. The Guaranteed Maximum Price must be reported to the Buildings and Grounds Committee at the next possible meeting.
 - d. Approval of project budget.
 - e. Change orders that would increase the cost of the project beyond the amount of the Guaranteed Maximum Price. Board approval of change orders would not be required for budgeted construction contingencies within the Guaranteed Maximum Price.
 - f. For projects requiring coordinating board approval, a final project close-out report entailing a post completion evaluation of the project that includes the following elements that must be reported to the Buildings and Grounds Committee: final project cost, summary of change orders, existence of any liquidated damages, final HUB participation percentages and total value, summary of approvals from any state or federal agencies having jurisdiction, survey summary of evaluation by end users, and summary of final inspection punch list for items needing repair. A warranty inspection will be conducted and major warranty repairs summarized for review by the president and chair of the Buildings and Grounds Committee.
2. Actions relating to university employees, including
 - a. Appointment of full-time faculty
 - b. Faculty promotions
 - c. Awarding of faculty tenure
 - d. Appointment of full-time administrative/professional staff (exempt) excluding those requiring student status
 - e. Change of position status of full-time faculty and administrative/professional (exempt) staff
 - f. Advisement on termination of full-time faculty and administrative/professional (exempt) staff (executive session only, does not require board action for approval)
 - g. Leaves of absence for faculty and administrative/professional (exempt) staff for one semester (four and one-half months) or more

- h. Dual employment (with state agencies) of faculty and administrative/professional (exempt) staff
 - 3. Delegations of administrative authority, including
 - a. Authority to approve travel
 - b. Authority to approve purchases
 - 4. Policy statements when the effect will be to change admission, probation, or suspension regulations; establish or alter policies, regulations, or rules relating to employment or property rights; govern the activities of the entire university or a major section of the university, such as rules for admission into teacher education or any other major curriculum; change long standing and well accepted practices or patterns of behavior; or implement rules, regulations or activities established by external authorities
 - 5. Contracts, purchases, or agreements in the amount of \$100,000 or more, except those that appear in Item B below
 - 6. Any lease of any item (building, equipment, etc.) if the total cost of the lease is expected to be \$100,000 or more without regard to the length of the lease period
 - 7. Purchase, sale or exchange of real property
 - 8. Depository contracts
 - 9. Food service (or similar) contracts, including changes in existing contracts
 - 10. Contracts and agreements with support or development foundations
 - 11. Settlements, consent decrees, authority to enter into litigation (executive session only, does not require board action for approval)
 - 12. Establishment (or change) of tuition, student fees, and room and board rates
 - 13. Curriculum matters, including
 - a. Establishment or elimination of academic programs
 - b. Establishment or elimination of courses
 - c. Major changes in programs or courses
 - 14. Designation of a name for university buildings, facilities, streets, etc.
 - 15. Annual holiday schedule
 - 16. Private, governmental, or foundation grants or agreements if the purpose of the grant, etc. is not designated ("president's discretion" constitutes a designation)
 - 17. Annual operating budget
 - 18. Increases in existing budgets through a "budget adjustment" if over \$100,000, except revolving funds.
 - 19. Biennial legislative request
 - 20. Long range master plan
- B. Items That Do Not Require Approval by the Board of Regents**
- 1. Construction or renovation projects under \$100,000
 - 2. Change orders under \$100,000 as long as the approved budget is not exceeded
 - 3. Appointment, change-of-status, promotion, termination of non-exempt employees

4. Appointment, change-of-status, termination of graduate or student assistants
5. Resignations
6. Contracts, purchases, and agreements when the amount is less than \$100,000
7. Budget transfers that do not increase the board approved budget
8. Private, governmental, and foundation grants, agreements or sub-awards if the purpose of such is stipulated by the grantor. New grants, contract, agreements or sub-awards are to be submitted to the Board of Regents for ratification on a quarterly basis.
9. Materials purchased for resale in auxiliary operations and central stores
10. Materials purchased for inventory stock of physical plant, residence life, or student center operations, such as custodial cleaning products and paper goods
11. Materials purchased for inventory stock from operation and maintenance budgets previously approved by the board, such as food purchases for the Early Childhood Lab and Piney Woods Conservation Center
12. Library subscription services
13. Recurring printing orders
14. Contracts and agreements for athletic events, entertainment concerts, fine arts events, and other similar activities
15. Group travel packages for resale
16. Materials or services purchased for emergencies resulting from disasters, hazards, or other exigent circumstances
- ~~16.17.~~ *Outside counsel contracts for intellectual property matters*
- ~~17.18.~~ Other items approved by the president of the university which are not listed in Section A of this policy
- ~~18.19.~~ Specific commodities or service necessary for day-to-day operations of the university:
 - a. Water utility
 - b. Regulated electricity for beef farm, broiler farm and PWCC
 - c. Gasoline for university vehicles
 - d. Credit card merchant service fees
 - e. Maintenance contracts associated with preventive and/or repair work for on-going maintenance or service provided on a scheduled or as-needed basis for equipment or software
 - f. Asbestos abatement projects as necessary on an “as needed” basis
 - g. Insurance negotiated and/or approved by the State Office of Risk Management
 - h. Temporary staffing services
 - i. Telecommunications and networking services and fees for land-line phones, cell phones and internet service
 - j. Hosted software services and applicable license and maintenance for general business operations such as student bill payment, cashiering and student email
 - k. Television programming services
 - l. Pest Control services

- m. Concrete services not related to a project that requires board approval
- n. Hazardous waste pick-up and disposal services
- o. Radio tower rental for the university radio station
- p. Consultant for annual roof inspections
- q. Fire alarm inspections
- r. Travel-related contracts, including air charter service
- s. Search engine optimization for the university website
- t. Preferred or mandatory use vendor contracts, blanket contracts or standing orders not otherwise requiring board approval, for which multiple purchases made as needed by departments may exceed \$100,000 over the term of the contract including renewals and including, but not limited to, computers, printers, office supplies, promotional products, chemicals and air filters for HVAC systems, etc.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Finance and Audit Committee

POLICY SUMMARY FORM

Policy Name: Library Borrowing

Policy Number: 4.11.2

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

Date of last revision, if applicable: 1/29/2013

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

Purpose of Policy (what does it do): delineates who is eligible to borrow, the process for borrowing, and limitations on borrowing at the Steen Library

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

- 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 UILs for new forms used for borrowing

Specific rationale for deletion of policy:

Additional Comments:

Library Borrowing

Original Implementation: February 11, 1981

Last Revision: ~~January 29, 2013~~ January 26, 2016

Persons who hold Stephen F. Austin State University identification cards or ~~Nacogdoches~~ *Judy P. McDonald* Public Library cards are eligible to borrow materials from Steen Library. Individuals who do not hold either card may be issued a university library card. A unique identification number must be used and an official picture identification must be furnished, e.g., driver's license, before a library card will be issued. Loan periods vary by borrower category and status of material borrowed. Patrons are responsible for all materials borrowed from either library, including the payment of overdue fines, and replacement and repair costs for lost or damaged materials. Borrowing privileges are suspended at both libraries for overdue materials or unpaid charges at either library. Individuals are limited to ninety-nine items on their borrowing record at any one time.

Steen Library recognizes and accepts TexShare reciprocal borrowing cards from participating institutions.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact For Revision: Library Director

Forms:

https://forms.sfasu.edu/libweb/library_registration.html

https://forms.sfasu.edu/libweb/texas_share_card_app.html

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Library Gifts

Policy Number: 4.11.3

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

Date of last revision, if applicable: 1/29/2013

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

Purpose of Policy (what does it do): delineates the process for making gifts to the Steen Library and for the Steen Library accepting gifts

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: no substantive revisions

Specific rationale for deletion of policy:

Additional Comments:

Library Gifts

Original Implementation: March, 1982

Last Revision: ~~January 29, 2013~~ January 26, 2016

The purpose of the Ralph W. Steen Library's gift program is to support the academic mission of the university by accepting materials and/or monetary donations.

The library will decide whether to accept a gift on the basis of the needs of the collection, technical processing costs, physical condition, location and space, maintenance requirements, and donor restrictions. The library reserves the right to determine the retention, cataloging treatment, and other considerations related to the use or disposition of donated materials.

The library director and the vice president for *university* advancement will negotiate and authorize the acceptance of major gifts (i.e., gifts requiring an extraordinary commitment of space or gifts accompanied by specific management requirements), subject to approval by the provost and vice president for academic affairs and the president.

The library does not appraise gifts. The cost of any appraisal is the responsibility of the donor.

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Library Director

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Mail Services

Policy Number: 16.16

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

Date of last revision, if applicable: 10/22/2012

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

Purpose of Policy (what does it do): Governs the handling of university mail

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

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: No revision made during this review.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewed by:

-Sam Smith, Director of Student Services

-Dr. Steve Westbrook, Vice President for University Affairs

Mail Services

Original Implementation: September 1, 1965

Last Revision: ~~October 22, 2012~~ January 26, 2016

U.S. Postal regulations and the following university policy govern the handling of mail:

1. The Stephen F. Austin State University Post Office is considered the official receiving point for all mail for university offices, departments, residence halls and apartments.
2. University departments and administrative offices will use the SFA Post Office for all postal transactions. Departments will not be permitted to purchase or retain stamps without written permission from the university president. A copy of the written permission will be filed in the SFA Post Office.
3. All SFA mail is considered delivered when the Nacogdoches Post Office delivers it to the SFA Post Office.
4. SFA Post Office staff will attempt to deliver incorrectly addressed mail according to USPS requirements. Business mail addressed only to the university will be sent to the Business Office for proper routing.
5. Post Office box numbers must be used on all correspondence.
6. All outgoing mail requiring metered postage, or mailed under SFA permit, must be for official university business and have a complete return address with "Stephen F. Austin State University" and the department of origin used within the address. A completed postage IDT card must be attached to the mail to ensure proper accounting of postal charges. Mail (other than bulk rate) must be received in the post office by 4:00 p.m. for dispatch the same day.
7. Campus mail is defined as mail related to official university business and is delivered to campus boxes without postage. Mail addressed to USPS boxes 4600-4659 and all personal mail requires postage.
8. All campus mail should be enclosed in a campus mail envelope. If other envelopes are used, they must be marked "Campus Mail" and have a complete return address including the department of origin and the box number. Campus mail in plain envelopes without a return address will be delivered postage due.
9. All residents of university-owned housing are required to have a SFA Post Office box and notify correspondents of the box number.
10. Retired faculty or staff members are permitted to retain a box at their own expense on a space-available basis.
11. It is the responsibility of each department to distribute, forward or return mail addressed to personnel within the department.
12. SFA Post Office observes the same holidays as the U.S. Post Office. Morning mail will be boxed on holidays not observed by the university but sales windows will be closed.

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Manager of University Post Office

Forms: Postage IDT Card (available in the SFA Post Office)

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Markers and Monuments

Policy Number: 16.17

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

Date of last revision, if applicable: 1/29/2013

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

Purpose of Policy (what does it do): Limits where and how markers and monuments may be added to campus.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor change made to the reference to policy 16.24.

Specific rationale for deletion of policy:

Additional Comments:

Markers and Monuments

Original Implementation: July 17, 2001

Last Revision: ~~January 29, 2013~~ January 26, 2016

Introduction – Stephen F. Austin State University has a large dynamic campus that is constantly in a state of change to meet the various needs of the diverse departments that make up the university as a whole. In order to not encumber future university needs, there are limitations on where and how markers and monuments may be added to the campus.

Applicability – The rules articulated in this policy apply to all students, faculty, staff and their approved organizations, as well as all other persons and groups.

I. Definitions

Markers and monuments include all types of permanent applications that are placed anywhere on campus. Non-permanent markers or monuments would be those meeting the criteria described in Policy 16.24, Section IV: ~~H~~ concerning signs displayed for 14 days or less.

Signs that are of a permanent nature are covered by this policy. Those included are all signs to be displayed in excess of 14 days.

II. Location, Contact and Limitations

- A. Markers or monuments honoring or in memory of an individual is limited to students, faculty or staff that have passed away while in a student, faculty or staff status. Such monuments are limited to the memorial walk area on the south side of the Ag Pond. Markers or monuments may not be placed at any other location on campus.
- B. Monuments will be purchased by the individual or group desiring to place the monument on the walk.
- C. Installation will be by the Physical Plant Department.
- D. The Physical Plant Department will provide maintenance at the same level as the existing wall.
- E. Markers that are broken or otherwise damaged or lost will not be the responsibility of the Physical Plant Department.
- F. Markers, monuments, including historical markers or signs, may be located at other locations on campus when it is in the best interest of the university. Such marker, monuments or signs are subject to removal or relocation when, and if, space is needed for further campus improvements.

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

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

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: Building and Grounds

POLICY SUMMARY FORM

Policy Name: Misconduct in Scholarly or Creative Activities

Policy Number: 7.19

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

Date of last revision, if applicable: 7/17/2012

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

Purpose of Policy (what does it do): To establish the conditions for a climate that promotes faithful adherence to high ethical standards in scholarship/research/creative activities and to establish the procedures for investigating allegations of misconduct in scholarly activity.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: To clarify corrective actions should faculty be found to have violated ethical standards related to scholarship activities (page 3, letter J); these were removed because it appears that neither have been used as an option in past misconduct hearings; consequently, the committee recommends focusing the corrective actions more narrowly.

Specific rationale for deletion of policy:

Additional Comments:

Misconduct in Scholarly or Creative Activities

Original Implementation: July 17, 2012

Last Revision: ~~None~~ January 26, 2016

I. Introduction

Stephen F. Austin State University (SFA) strives to create a climate that promotes faithful adherence to high ethical standards in scholarly and creative activities without inhibiting the productivity and creativity of the academic community.

Faculty, staff, and students at SFA are expected to comply with generally understood and accepted standards of professional conduct, which include following accepted practices of scholarship and acknowledging collaborators and sources used in reports, publications, and presentations.

Any inquiry or investigation of allegations of misconduct in scholarly or creative activity must proceed promptly and with due regard for the reputation and rights of all individuals involved.

The university ~~shall~~ will take all reasonable steps to assure that the persons involved in evaluating allegations and evidence have appropriate expertise and that no person involved in the procedures is either biased against the accused person(s) or has a conflict of interest.

II. Scope

This policy applies to all non-federally funded research and other scholarly or creative activities (hereafter referred to as “scholarly activity”). Furthermore, this policy applies to any person paid by and/or subject to the rules and policies of SFA, including faculty, research scientists, trainees, technicians and other staff members, students, and visiting professors.

Misconduct in scholarly activity includes fabrication, falsification, or plagiarism in proposing, performing, reviewing, or reporting scholarly results, or in conducting, reporting, and/or publishing scholarly activities. This includes improprieties of authorship, abuse of confidentiality, violation of generally accepted research practices, failure to comply with university requirements affecting research (such as use of human subjects, care and use of animals, and use of hazardous materials), misuse of funds for personal gain, and misrepresentation of qualifications.

Misconduct in scholarly activities does not include honest error or differences of opinion. Procedures for misconduct in research funded by federal agencies are outlined in

Misconduct in Federally Funded Research (8.7). Student academic dishonesty is covered under ~~Academic Integrity~~ *Student Academic Dishonesty* (4.1).

III. Procedures

This policy and its procedures ~~shall~~*will* apply when a university official receives an allegation of possible misconduct in scholarly activity. Circumstances in individual cases may require variation from normal procedures to meet the best interest of the university or an external sponsor, if applicable. Deviation from the normal procedures must ensure fair treatment of the subject of the allegation. Any significant variation should be approved in advance by the scholarly misconduct officer (SMO).

The SMO is the associate provost ~~and graduate dean~~ and has primary responsibility for implementing the university's policies and procedures for allegations of scholarly misconduct. Responsibilities of the SMO include: (1) assessing allegations of scholarly misconduct to determine if they fall within the definition of scholarly misconduct and warrant an inquiry on the basis that the allegation is sufficiently credible and specific so that potential evidence of scholarly misconduct may be identified; (2) overseeing inquiries and investigations; and (3) handling other responsibilities as described in this policy.

- A. Reports of alleged misconduct in scholarly activity may be submitted to any university official, including department chairs, college deans, *graduate school dean*, the director of the Office of Research and Sponsored Programs, the associate provost, ~~and graduate dean~~, and the provost and vice president for academic affairs. The allegation should be submitted in writing and should detail the nature of the allegation and state if any efforts have been made to address the complaint, ~~as applicable~~.
- B. All proceedings ~~shall~~*will* be confidential and ~~shall~~*will* protect the rights and reputations of the individuals involved.
- C. Within 10 working days of receipt of an allegation of misconduct in scholarly activity, the written allegation ~~shall~~*will* be forwarded to the SMO who, in consultation with appropriate individuals, ~~shall~~*will* determine whether misconduct in scholarly activity may have occurred and whether an inquiry is warranted.
- D. If an inquiry is warranted, the SMO will inform the individual of the allegation and will determine if a formal review is required or if the allegation can be resolved by the SMO with the parties involved.
- E. If the need for a formal review is determined, the SMO will establish a three-member investigative committee consisting of one member appointed by the SMO and one member selected by the individual in question. These two members will select the third member. In all cases, the individuals selected should not create, or create the appearance of, a conflict of interest.

- F. The committee ~~shall~~will hear from the complainant and any witnesses, and after reviewing the evidence, ~~shall~~will hear from the individual and review evidence they may provide. Upon conclusion of these activities, the committee ~~shall~~will draft a report of findings to the SMO that states whether in its judgment, misconduct in scholarly activity has occurred, ~~shall~~will detail the evidence that supports the conclusion, and ~~shall~~will make recommendations for appropriate corrective actions.
- G. A copy of the draft report of findings ~~shall~~will be presented to the complainant and the individual for review. The complainant and individual have five working days upon receipt of the report to submit written comments to the committee.
- H. Within 30 calendar days of receiving the draft report, a final report ~~shall~~will be prepared by the committee, including any comments provided by the complainant and the individual.
- I. The final report with recommendations and outcomes ~~shall~~will be reviewed and considered for approval by the SMO. Once approved, the complainant and the individual ~~shall~~will receive a copy of the final report.
- J. Corrective actions may include but are not limited to:
- notification to involved parties, as appropriate;
 - withdrawal or correction of all pending or published abstracts and papers involving the misconduct;
 - removal of the responsible person from the particular project, letter of reprimand, special monitoring of future work, probation, suspension, ~~salary reduction,~~ or initiation of procedures leading to *revocation of tenure* ~~possible rank reduction~~ or termination of employment;
 - restitution of funds to a grantor agency or other entities; and
 - other actions appropriate to the misconduct.

The individual may appeal the decision to the provost and vice president for academic affairs within ten working days of receipt of the final report. In considering the appeal, the provost and vice president for academic affairs ~~shall~~will consider the final report, comments submitted by the individual, and any other evidence deemed relevant.

Cross Reference: ~~Academic Integrity~~*Student Academic Dishonesty* (4.1); *Financial Conflicts of Interest in Sponsored Activities* (8.2); *Misconduct in Federally- funded Research* (8.7); *Ethics* (2.6).

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Moving Expenses

Policy Number: 2.70

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

Date of last revision, if applicable: 4/15/2014

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

Purpose of Policy (what does it do): Provides guidelines for moving expense reimbursements

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Provide guidance that mileage rate per IRS rules for moving expenses will be rate used for mileage reimbursements (unless the department stipulates a lower rate.)

Specific rationale for deletion of policy:

Additional Comments:

We have always reimbursed mileage for moving expenses at the stated IRS rate. However, this has not been effectively communicated to the departments. Now we have included that language in both the form and this policy.

Moving Expenses

Original Implementation: December, 1988

Last Revision: ~~April 15, 2014~~ January 26, 2016

The university may pay reasonable moving expenses for a newly hired faculty or staff member. However, payment of moving expenses is not an entitlement. It is an option, with terms to be agreed upon between the university and the prospective employee in advance. Prior approval of the university president is required.

Departments may negotiate with the new employee to pay full or partial moving expenses. Payments must be made from non-appropriated funds, provided the funds are available in the department's budget. Moving expenses can be paid by either of two methods:

1. Direct payment to vendor (preferred method)
2. Reimbursement to new employee (Receipts documenting moving expenses must be attached to the **Moving Expenses Payment/Reimbursement Form** and submitted to the payroll office. Only actual documented expenses will be reimbursed.)

The controller's office will coordinate all payments for moving expenses, regardless of which method of payment is used. The Electronic Personnel Action Form (EPAF) and the **Moving Expenses Payment/Reimbursement Form** must be completed and signed by the employee and each of the appropriate approvers before any moving expense can be processed for payment. The taxability of any reimbursed moving expense will be determined by Internal Revenue Service (*IRS*) guidelines. *Any mileage reimbursements will be paid at the IRS rate for moving expenses unless a lower rate is negotiated by the department.*

Direct payment to vendors, such as to professional moving companies, are not subject to federal income tax and FICA (social security) withholding. Direct payments to vendors require an approved purchase order and invoice.

Cross Reference: Electronic Personnel Action ~~Request~~ *Form* (11.8)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: Electronic Personnel Action Form (EPAF) (available through Self Service Banner); **Moving Expenses Payment/Reimbursement Form** (available online)

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Norton HPE Complex

Policy Number: 16.18

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

Date of last revision, if applicable: 1/29/2013

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): Policy establishes guidelines for use of space priorities in the HPE complex, which is a shared facility.

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

- 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:

page 1, Facility Usage—paid locker rental by students, faculty, and staff is no longer available, paid rentals are available at the Recreation Center.

page 2, Priority of Use/Scheduling—updating hours, making times consistent, and clarifying department oversight.

Specific rationale for deletion of policy:

Additional Comments:

Dr. Murgia, the chair of Kinesiology and Health Science and Ken Morton, Director of Campus Recreation, have both agreed to the revisions to this policy. They also have been reviewed by:

-Dr. Steve Westbrook, Vice President for University Affairs

-Dr. Steve Bullard, Interim Provost and Vice President for Academic Affairs

Norton HPE Complex

Original Implementation: Summer, 1975

Last Revision: ~~January 29, 2013~~ January 26, 2016

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

~~4.~~ The Lucille Norton HPE Complex is a shared use facility on campus between the Kinesiology and Health Science Department, the Athletic Department, ~~Employee Wellness,~~ and the Campus Recreation Department *which also oversees the Employee Wellness program*. The following guidelines have been created in an effort to maximize the use of available spaces while supporting a collaborative relationship between all users of the facility.

Facility Usage

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

~~Students, faculty, and staff may rent a locker in the locker room. Fees are paid through the university Business Office.~~

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

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

Priority of Use/Scheduling

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

HPE Weight Room	12 am – 6 am	Campus Recreation
	6 am - Noon	Kinesiology & Health Science
	Noon – 1 pm	Employee Wellness <i>Campus Recreation</i>
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Racquetball	12 am – 8 am	Campus Recreation
	8 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	Employee Wellness <i>Campus Recreation</i>
	1 pm – 4pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Indoor Pool	12 am – 8 am	Campus Recreation
	8 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	Employee Wellness <i>Campus Recreation</i>
	1 pm – 5-4 pm	Kinesiology & Health Science
	6:30 4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Big Gym	12 am – 6 am	Campus Recreation
	6 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	Employee Wellness <i>Campus Recreation</i>
	1 pm – 5-4 pm	Kinesiology & Health Science
	5-4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Gymnastics Room	12 am – 6 am	Campus Recreation
	6 am – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE/Shelton Classrooms and Labs	12 am – 12 am	Kinesiology & Health Science
	Weekends	Kinesiology & Health Science
Shelton Gym	12 am – 6 am	Campus Recreation
	6 am – 4 pm	Kinesiology & Health Science
	4 pm – 7 pm	Athletic Department
	7 pm – 12 am	<i>Campus Recreation</i>
	Weekends	<i>Campus Recreation</i>

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

Cross Reference: Use of University Facilities (16.33)

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

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

Forms: *None*

Board Committee Assignment: Building and Grounds

POLICY SUMMARY FORM

Policy Name: Overtime and Compensatory Time

Policy Number: 12.14

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): The policy exists to describe overtime and compensatory time rules for non-exempt and exempt employees to ensure that SFA is complying with state and federal laws.

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

Scheduled Review Change in law Response to audit finding

Internal Review Other, please explain: Clarify requesting and reporting overtime and compensatory time for employees.

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Clarify that requests can be made by completing a paper request form, electronically, or by another method approved by the department head.

Specific rationale for deletion of policy:

Additional Comments:

This policy is being submitted to standardize wording between several policies.

Overtime and Compensatory Time

Original Implementation: Unpublished

Last Revision: ~~January 27, 2015~~ January 26, 2016

This policy does not apply to faculty.

Non-Exempt Employees:

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

1. The employee should be allowed (or required) to take compensatory time off within twelve (12) months following the end of the workweek in which the overtime occurred at the rate of 1-1/2 hours off for each hour of overtime. Time that is to be taken is at the discretion of the supervisor and must be authorized in advance.
2. When granting compensatory time off is impractical, the employee receives pay for the overtime at the rate of 1-1/2 times the employee's regular rate of pay. Payment must be made for all overtime in excess of 240 hours, which is 160 straight time hours.

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

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

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

To receive overtime pay:

1. Semi-monthly and monthly paid non-exempt employees record all time worked in the approved timekeeping system. The system calculates overtime based on the rules established in this policy.
2. Non-exempt employees must obtain approval from their appropriate vice president to receive overtime pay in lieu of compensatory time off. If the employee is to be paid for overtime, the employee's name, CID, and dates worked as overtime are to be recorded on the Time Record (<http://www.sfasu.edu/documents/time-record.pdf>) and submitted to the payroll office. If the overtime is to be paid from a funding source different from the employee's regular task code, the department head must approve and submit a Time Record to the appropriate vice president for signature, then route to the payroll office for payment.

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

Exempt Employees:

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

An exempt employee, may be allowed compensatory time off during the 12-month period following the end of the workweek in which the overtime was accrued, at a rate not to exceed equivalent time, but limited to 80 hours during any one fiscal year. Earned compensatory time not used within 12 months will expire. An exempt employee will not be paid for any unused compensatory time earned in this manner. It is the department head's responsibility to ensure that no more than 80 hours of compensatory time is taken in a fiscal year for each exempt employee. If an employee reports more than 80 hours of compensatory time used, the payroll office will adjust the leave to report it as vacation time used.

With authorization of the president or the president's designee, an employee may be paid for the

hours of compensatory time the employee earns for work directly related to a disaster or emergency declared by the appropriate officer of the state or federal government.

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

Time that is to be taken is at the discretion of the supervisor and must be authorized in advance on ~~a either the Request for Vacation, Compensatory Time, Sick Leave Request-Taken form, by requesting the leave electronically through the system leave request form, or by requesting the leave in a manner established and documented by the department head which is maintained in the employee's departmental file.~~

All Employees:

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

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

Specific instruction on how to report and approve time and leave are available on the controller's website at <http://www.sfasu.edu/controller/payroll/index.asp>.

Cross Reference: Fair Labor Standards Act, 29 U.S.C. § 201 et seq.; Tex. Gov't Code §§ 659.015, .016, .018, .022-.023.

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: *Request for Vacation*, *Compensatory Time*, *Sick Leave Request-Taken* (available from *Human Resources*); *Comp Time Earned Exempt Employees Only*; ~~both forms are~~ (available on the SFA Business Forms website)

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Policy Development and Format

Policy Number: 1.60

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

Date of last revision, if applicable: 7/16/2013

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Provides the format and review period for each policy, and details the process for submitting a policy for board consideration.

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

- Scheduled Review Change in law Response to audit finding
 Internal Review Other, please explain: Review to policy occurring two meetings early.

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Policy modified to permit the general counsel to revise contact information that appears in a policy (ex. update name, phone number, etc.) Also provides that a Policy Summary Form be submitted with each policy to give the board further justification for policy recommendations.

Specific rationale for deletion of policy:

Additional Comments:

Policy Development & Format

Original Implementation: July 16, 2013

Last Revision: ~~None~~ January 26, 2016

A. POLICY FORMAT

Each policy will have a title that is concise but descriptive.

Each policy is indexed with a numeric indicator which indicates the position of the entry within the policy manual. Each policy contains two sets of numbers separated by a period. The number preceding the period refers to the subject area and the number following the period identifies the sequentially numbered policy within that subject area. The index number will be noted in the footer.

Each policy will have the following captions, defined as follows:

- **Original Implementation:** All new policies must be approved by the board of regents. The caption specifies the date of original approval of the policy by the board of regents. If the date of original implementation could not be determined accurately, Unpublished is substituted.
- **Last Revision:** All revisions to policies must be approved by the board of regents. This caption indicates the latest date that the policy was approved by the board of regents; the text of the policy is the latest revision, as of this date.
- **Cross Reference:** These consist of other policies or statutory references that may have a direct impact upon the policy.
- **Responsible for Implementation:** This caption indicates the position title of the senior university administrator who has been delegated by the board of regents and/or the president with the responsibility of administering this policy. This caption should state either the president or the vice president(s) to whom the president has delegated this responsibility. If the policy is a university-wide policy, the responsible office listed is president; if the policy affects or is administered by a division of the university, the vice president of the division is listed.
- **Contact for Revision:** This caption lists the position title of the university employee who directly administers the policy on a day-to-day basis and/or has been assigned the responsibility for revision of the policy. In some cases, there are multiple employees listed as responsible for revision and each must collaborate in the revision to coordinate changes that will impact more than one university division.
- **Forms:** Forms necessary to implement the policy are listed by title, followed by a parenthetical reference which indicates where the form may be obtained.

- Board Committee Assignment: This caption indicates which committee of the Board of Regents is responsible for initial review and recommendation for approval by the board.

Each policy will have a footer containing the page number, title and index number of the policy.

Policies will be styled consistent with the most recent version of the *Associated Press Stylebook*.

The general counsel may modify policies *to revise contact information* or as necessary to ensure compliance with this section. Additionally, the general counsel may modify the structure and format of the policy manual as needed to increase its usability and effectiveness.

B. PROCESS FOR PROPOSAL OR REVISION OF POLICIES

Policies may be revised by the Board of Regents at any time it becomes necessary or advisable. At a minimum, policies are to be reviewed every three years, with the exception of the following policies which require annual review:

- 3.20 Investments – Endowment Funds
- 3.21 Investments
- 10.4 Student Conduct Code
- 13.14 Parking and Traffic Regulations

The employee listed as contact for revision in each policy is responsible for initiating the review process and submitting the suggested policy changes through administrative channels to the president or to the vice president of the appropriate university division. In the academic affairs division, policy revisions should be submitted to the provost/vice president through a policy review committee.

New policies may originate from individual students, faculty or staff members, administrators, or from ad hoc or standing committees, groups, or boards; new policies must be submitted through the same process described above for policy revisions.

New or revised policies should be submitted for approval to the Office of the Board of Regents by the president, vice presidents, general counsel, or director of audit services. The deadline for submission is approximately ~~one and one-half month~~ *six weeks* before each quarterly board meeting. *Each submission must include a completed Policy Summary Form*. The coordinator of board affairs will format the submitted policies for consistency and post online at www.sfasu.edu/regents for campus-wide review and input. Additionally, copies will be sent to the president and vice presidents. All policies are reviewed by the general counsel. Proposed policies or revisions should be submitted to the board members in the agenda book ~~approximately two weeks~~ *ten days* before each

regular board meeting.

~~Immediately~~ Following approval by the Board of Regents, policies are available online at www.sfasu.edu/policies. A campus-wide email will be sent to highlight policy changes after each board meeting. Each university division will brief its staff concerning changes to relevant policies during staff meetings that follow each board meeting.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: General Counsel; Coordinator of Board Affairs

Forms: ~~None~~ *Policy Summary 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: 1/29/2013

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

Purpose of Policy (what does it do): The policy exists to support the university's procurement card program and provides for overall responsibilities at various levels, training requirements and card termination options

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording clarifications. Changed reference of points to demerits to match manual. Removal of \$25 cost reference in policy related to training under Card Termination.

Specific rationale for deletion of policy:

Additional Comments:

Procurement Card

Original Implementation: July 26, 1999

Last Revision: ~~January 29, 2013~~ January 26, 2016

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 ~~daily~~ and monthly limits. The director of procurement, the procurement card coordinator and procurement department purchasers may purchase on behalf of the university any item of any amount using a procurement card if they have determined payment by p-card represents the best value to the university and all procurement policies and rules have been followed.

The terms and conditions of the MasterCard procurement card contract were specified and awarded by the Texas Procurement and Support Services 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

P-Cards will be issued in the name of the employee with the SFA logo and the wording '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. 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.

The department head or his/her designee is responsible for: 1) designating departmental cardholders *and their spending limits*; 2) determining ~~spending limits~~; 3) ~~reviewing~~ yearly encumbrance amounts for each fund/org against which credit card charges will be made; and - 4) 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 ~~credit~~ *spending* limits, establishing and updating restricted merchant category codes, determining compliance with university policies and procedures through periodic cardholder audits, cardholder training, monitoring p-card activity, and other

duties related to p-card administration. *Cardholder limits will be compared to actual expenditures and adjustments will be made as needed by the p-card coordinator in order to limit the university's risk of liability and exposure.*

Card Use by Another Employee or Student

The only person authorized to use the p-card is the cardholder whose name appears on the card. The cardholder may not allow another university employee or a student to use their card unless the cardholder and department head have completed a P-Card Use form and filed it with the p-card coordinator in the procurement office. Refer to the P-Card Program Guide for detailed information on allowing another employee or student to use a card, as specific rules apply.

Training and Issuing Cards

All department heads will be required to attend training and sign the Cardholder Application/Approval Form before any cards will be issued to employees within the department. All employees will be required to attend training and sign a Cardholder Agreement before being issued a card. All cardholders will be required to complete refresher training either in person or on-line with testing every *two* years. Acceptable grades and actions associated with not meeting grade requirements are outlined in the P-Card Program Guide.

Making a Purchase with the P-Card

Refer to the P-Card Program Guide for detailed information related to making a purchase with the p-card. The director of procurement, the procurement card coordinator and procurement department purchasers are not subject to the P-Card Program Guide, but rather to university policies and procedures relating to purchases.

Transaction Detail, Monthly Statement, Reconciliation and Approval

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.

The documentation identified in the P-Card Program Guide must be kept for three (3) years plus the current fiscal year to comply with the state of Texas Records Retention Schedule. These are the official university records. The records for procurement card purchases will be required for periodic audits by the procurement office or when SFA is audited by the Texas Procurement and Support Services Division of the Texas Comptroller's Office, the Texas State Auditor, SFA controller or Department of Audit Services.

Card Termination

Certain p-card rule violations will result in immediate deactivation or cancellation of all of a cardholder's cards. Other violations will be tracked ~~based on a points basis accumulated~~ *demerits accumulated* by cardholder. Each month, ~~points~~ *demerits* accumulated over the previous 6-month period will be reviewed and appropriate action taken. ~~Points~~ *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. ~~Points~~ *Demerits* may be identified during any transaction review, research or audit by either the p-card coordinator or the Department of Audit Services.

Occasionally, exceptions to the p-card rules may be approved by the p-card coordinator prior to the transaction taking place. If so approved, the cardholder and p-card coordinator will have an Exception form on file with the transaction, and the card cancellation, deactivation, or ~~points~~ *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 ~~2nd~~ *second* p-card is lost or stolen within ~~3~~ *three* years after the ~~1st~~ *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 ~~3~~ *three* months: a) transaction details are not posted by the required date for ~~3~~ *three* consecutive months or ~~3~~ *three* months during a ~~6~~ *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 ~~3~~ *three* months and after the cardholder attends *an instructor-led* training.

at a cost of
\$25.

3. **~~POINTS-DEMERIT ACCUMULATION~~** - ~~Points-Demerits~~ will accumulate against each cardholder when various violations are identified (see ~~Points-Demerit~~ Schedule in the P-Card Program Guide). An accumulation of ~~points-demerits~~ over a ~~6six-month~~ period will result in the following actions:

~~4Four~~ ~~points-demerits accumulated within the first 4four months of a 6six-month period~~ – will trigger a need for a full audit of ~~3three~~ months of transactions.

~~6Six~~ ~~points-demerits accumulated within a 6six-month period~~ – will cause all of cardholder's cards to be deactivated for a minimum of ~~3three~~ months. Before any cards will be reactivated, the employee will be required to attend *an instructor-led* training. ~~at a cost of \$25~~

~~10Ten~~ ~~points-demerits accumulated within a 6six-month period~~ – will cause all of cardholder's cards to be cancelled for a minimum of one year. New cards will be issued only after the one-year waiting period and only upon completion of a new P-Card Application/Approval Form and attendance ~~at~~ *of an instructor-led* training.

4. **OTHER CARD CANCELLATIONS AND ACTIONS** -

Non-Use- If the cardholder has not used the procurement card within one year, the p-card will be cancelled. To receive a new card, the cardholder will be required to submit a P-Card Application/Approval Form and attend training.

Termination of University Employment - When a cardholder terminates employment with the university, the department has specific obligation to reclaim the p-card and return it to the p-card coordinator prior to the employee termination date. A request may be made to the p-card coordinator for the card to be shredded by the department head or his/her designee. The request can be granted at the p-card coordinator's discretion. Failure to reclaim or dispose of cards as designated may result in the department being responsible for payment of any fraudulent charges and revocation of all department card privileges. Verification of card return will be part of an employee's exit interview with human resources. Any fraudulent charges made by a terminated employee after the employee's termination will be reported to the University Police Department. The terminated employee will be expected to reimburse the university.

Transfer to a Different University Department - When a cardholder changes employment from one university department to another, the department has specific obligation to reclaim the p-card and return it to the p-card coordinator prior to the effective date of change. A request may be made to the p-card coordinator for the card to be shredded by the department head or his/her designee. The request can be granted at the p-card coordinator's discretion. Failure to reclaim or dispose of cards as designated may result in revocation of all department card privileges.

Failure to Promptly Report a Lost or Stolen Card - If a cardholder fails to make a report of a lost or stolen card immediately upon discovery, the cardholder may be required to reimburse the university for any fraudulent charges made on the card until it has been cancelled. The university will pay the charges and the employee will be required to reimburse the university. The cardholder will be subject to a minimum 3-month waiting period before a new card will be issued and will be required to attend *an instructor-led training*. ~~again at a cost of \$25.~~

Failure to Complete the ~~Required~~ Mandatory Refresher Training – Any cardholder who fails to complete the ~~required~~ mandatory refresher training every ~~2~~two years will have all cards deactivated until the refresher training is complete. If the refresher training is not completed within ~~6~~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 may-determination,~~ or upon the request of the Department of Audit Services or general counsel's office, ~~the has the authority to request that the~~ p-card coordinator *may* 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 cards will be reactivated and/or appropriate action taken as specified herein and in the P-Card Program Guide.

Cross Reference: P-Card Program Guide

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: **Cardholder Application/Approval Form**, Cardholder Procurement Card Agreement, **P-Card Use Form**, **Tax Exempt Letter**, **P-Card Dispute Form**, **P-Card Documentation/Problem Resolution Form**, **P-Card Exception Form**, **HEF Approval Form**

Board Committee Assignment: Finance and Audit

POLICY SUMMARY FORM

Policy Name: Prohibition of Enrollment Inducement of Military Service Members

Policy Number: 6.23

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

Date of last revision, if applicable: 7/16/2013

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

Purpose of Policy (what does it do): Describes prohibited inducements of military service members to enroll at SFA and how to report fraud or ethics concerns related to prohibited inducements.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: reviewed with no revisions

Specific rationale for deletion of policy:

Additional Comments:

Policy required by Voluntary Education Partnership Memorandum Of Understanding (MOU) entered into between the university and Department of Defense. The MOU permits institutions to participate in the Tuition Assistance Program.

Prohibition of Enrollment Inducement of Military Service Members

Original Implementation: July 16, 2013

Last Revision: ~~None~~ January 26, 2016

Stephen F. Austin State University prohibits inducements (including any gratuity, favor, discount, entertainment, hospitality, loan, transportation, lodging, meals, or other items having a monetary value of more than a de minimus amount) to any individual or entity (other than salaries paid to employees or fees paid to contractors in conformity with all applicable laws) for the purpose of securing enrollments of military service members or obtaining access to tuition assistance (TA) funds. This includes:

- Refraining from high-pressure recruitment tactics such as making multiple unsolicited phone calls to military service members for the purpose of securing their enrollment.
- Refraining from providing any commission, bonus, or other incentive payment based directly or indirectly on securing enrollments or federal financial aid (including TA funds) to any persons or entities engaged in any student recruiting, admission activities, or making decisions regarding the award of student financial assistance.

Fraud or ethics concerns should be reported to Audit Services at www.sfasu.edu/audit/fraudreport.asp .

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Research Development Program

Policy Number: 8.10

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): delineate legal use of funds from the Texas Comprehensive Research Fund at SFA

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The title of the policy was changed to comply with changes in the Texas Educational Code and the Texas Administrative Code.

Specific rationale for deletion of policy:

Additional Comments:

~~Research Development Program~~ *Texas Comprehensive Research Fund*

Original Implementation: January 19, 2006

Last Revision: ~~July 28, 2015~~ January 26, 2016

The *Texas Comprehensive Research Development Fund (RDF)* ~~is intended to promote increased research capacity~~ *can only be used for activities at eligible general academic teaching institutions “that promote increased research capacity” at the institution (Texas Education Code §62.0974).*

The *Comprehensive Research Development Program (RDP/CRP)* at Stephen F. Austin State University uses these funds to directly support the university’s research agenda and to increase competitiveness in acquiring external funds for research and development.

~~Therefore, Use of RDP-CRP funds is~~ *will be limited to research and development activities as defined by the Texas Higher Education Coordinating Board (Texas Administrative Code, Part 1, Chapter 13, Subchapter G, Rule §13.122):*

- Research means “a systematic study directed toward fuller scientific knowledge or understanding of the subject studied.”
- Development means “the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.”
- Curriculum development activities are also eligible for funding when “the primary purpose of the project is developing and testing an instructional or educational model through appropriate research methodologies (i.e., data collection, evaluation, dissemination, and publication).”

Comprehensive Research Development Program funds ~~may~~ *cannot be used to supplant funds for research activities or to purchase or maintain equipment supported by other sources.*

In the expenditure of *Comprehensive Research Development Program* funds, recipients are subject to all university policies and procedures, and local, state, and federal regulations.

Before initiating research that involves human subjects, vertebrate animals, or hazardous materials, researchers must obtain written approval from the chair of the appropriate university board or committee.

Recipients of *Comprehensive Research Development Program* funds must meet deadlines for deliverables, including annual reports, as ~~outlined~~ *required* by the Office of Research and Sponsored Programs (ORSP).

Publications resulting from the ~~RDP-CRP~~ will acknowledge the source of funds as the Stephen F. Austin State University *Comprehensive Research Development* Program. Copies of publications will be submitted to ORSP and the Center for Digital Scholarship in the Steen Library.

Deans submit requests for *Comprehensive Research Development* Program funds on behalf of their faculty and research staff to the director of ORSP who makes awards based on criteria established by the director and the provost and vice president for academic affairs. For awards of \$50,000 or greater, the director makes recommendations for funding to the provost and vice president for academic affairs.

Cross Reference: Human Research Subjects Protection (8.4); Institutional Animal Care and Use Committee (IACUC) (8.6); Recombinant DNA and/or Infectious Biohazards in Teaching and Research (8.9); Tex. Educ. Code §§ 62.091-.098; 19 Tex. Admin. Code §§ 13.120-.127

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Director, Office of Research and Sponsored Programs

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Return to Work

Policy Number: 11.24

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

Date of last revision, if applicable: 10/1/2012

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

Purpose of Policy (what does it do): This policy provide a return to work program as the means to return the employees to meaningful, productive employment following an injury or illness.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: To include human resources in the communication effort regarding light duty and ADA accommodations.

Specific rationale for deletion of policy:

Additional Comments:

Return to Work

Original Implementation: January 28, 1997

Last Revision: ~~October 14, 2012~~ January 26, 2016

It is the policy of Stephen F. Austin State University to provide a return to work program as the means to return employees to meaningful, productive employment following injury or illness. To provide the highest level of quality service to the citizens of Texas, the necessity exists for every employee of the university to be available for work, ready, and capable of performing the duties and responsibilities for which the employee was hired.

The return to work program may provide opportunities for any employee of Stephen F. Austin State University who sustains a compensable injury during the course and scope of employment, a disability as defined by the Americans with Disabilities Act Amendments Act of 2008, and/or a serious health condition as defined by the Family and Medical Leave Act, to return to work at full duty. If the employee is not physically capable of returning to full duty, the university may provide opportunities, when available, for the employee to perform a temporary assignment in which the employee's regular position is modified to accommodate the employee's physical capacities, or to perform duty at an alternate position.

Each case will be evaluated on an individual basis according to the limitations of each employee as documented by a physician and the job responsibilities of the position. *In the event of a worker's compensation injury or illness* The physician's documentation must be submitted on the Worker's Compensation Work Status Report DWC073, including a thorough assessment of the employee's specifications considering their official job description. A copy of the job description will be provided to the physician and can be obtained from the director of human resources, if requested. Failure to provide the appropriate documentation for light or medium duty return to work conditions may be grounds, among others, for denial of light or medium duty assignments. Light duty, if offered, is limited to a specific time frame and may not exceed 12 weeks before being upgraded to medium work, then on to regular work. All modified duty or restrictions to the employee's normal job duties as described on the official job description must be approved and accompanied by an Offer of Employment. The Offer of Employment is prepared by the safety officer and presented to the employee by the supervisor or department head. The university will request a release from the employee for direct communication with the physician regarding those matters that directly relate to return to work assessments. The university reserves the right to properly assess and verify the employee's physical capabilities as they relate to the job.

This return to work program shall not be construed as recognition by Stephen F. Austin State University, its management, or its employees that any employee who participates in the program has a disability as defined by the Americans with Disabilities Act Amendments Act of 2008. If an employee sustains an illness or injury that results in a disability under the ADAAA, it is the employee's responsibility to inform the supervisor or a person in a responsible management

position that a disability under the ADAAA exists and that a reasonable accommodation will be necessary to perform the essential functions of the position held. *Once the employee has informed the supervisor, the human resources director must then be informed.* Confirmation of the disability by a licensed physician or other appropriate medical provider as determined by the university is required. Such documentation may be assessed or verified by the university. Reasonable accommodations may be granted in conjunction with the physician's assessment of the employee's capabilities as it relates to the job and the needs of the university- *and as described in the Reasonable Workplace Accommodation for Disabilities policy (11.22).*

As each situation arises the case will be evaluated independently by the supervisor, head of department, safety officer, director of human resources, the physician, and other administrators as necessary. Timely contact of individuals cited in their respective areas of responsibility is required to provide the employee with prompt care and justifiable accommodations. If possible, a modified offer of employment will be proposed. The Offer of Employment form is to be used for this purpose.

Cross Reference: Family and Medical Leave (~~E-57~~);(12.9); Workers' Compensation Coverage (~~E-55~~);(12.23); *Reasonable Workplace Accommodation for Disabilities (11.22)*; Americans with Disabilities Act of 1990, 42 U.S.C. § 12101, as amended by the *Americans with Disabilities Act ADA Amendments Act of 2008*, Pub. L. No. 110-325, 122 Stat. 3553; Family and Medical Leave Act of 1993, 29 U.S.C. §§ 2601-2654

Responsible for Implementation: Vice President for Finance and Administration

Contact For Revision: Environmental Health, Safety, and Risk Management Department *and Human Resources*

Forms: Worker's Compensation Work Status Report DW0C73; Offer of Employment (available in: Environmental Health, Safety, and Risk Management Department)

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Selection of President, General Counsel, Director of Audit Services and Coordinator of Board Affairs

Policy Number: 1.7

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

Date of last revision, if applicable: 1/26/2013

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy specifies that the four positions that report directly to the Board of Regents are selected annual at the meeting when the budget is passed (traditionally July).

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive revisions. This policy has been amended to reflect a change in job title of the internal auditor.

Specific rationale for deletion of policy:

Additional Comments:

Selection of President, General Counsel, ~~Director of Audit Services~~ Chief Audit Executive, and Coordinator of Board Affairs

Original Implementation: April 26, 1975

Last Revision: ~~January 29, 2013~~ January 26, 2016

The Board of Regents selects the president, the general counsel, the ~~director of audit services~~ chief audit executive, and the coordinator of board affairs annually when the budget is passed.

Cross Reference: Board of Regents Rules and Regulations

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee

POLICY SUMMARY FORM

Policy Name: Sick Leave

Policy Number: 12.18

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

Date of last revision, if applicable: 11/2/2015

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

Purpose of Policy (what does it do): The policy exists to describe the accrual and utilization of sick leave for faculty and staff employees.

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

- Scheduled Review Change in law Response to audit finding
 Internal Review Other, please explain: Clarify requesting and reporting sick leave for employees.

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Clarify that requests can be made by completing a paper request form, electronically, or by another method approved by the department head.

Specific rationale for deletion of policy:

Additional Comments:

This policy is being submitted to standardize wording between several policies.

Sick Leave

Original Implementation: Unpublished

Last Revision: ~~November 2, 2015~~ January 26, 2016

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

Accrual of Sick Leave

Employees of the university, whose positions do not require student status as a condition of employment, shall, without deduction in salary, be entitled to sick leave subject to the following conditions. Employees of the SFA Charter School will earn sick leave according to charter school policy.

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

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

Separation from Employment

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

1. The employee is re-employed by the university within 12 months after the end of the month in which the employee separates from employment, but only if there has been a break in employment from the university of at least 30 calendar days; or
2. The employee is re-employed by a different state agency or institution of higher education within 12 months after the end of the month in which the employee separated from the university.

The university has no authority to pay out an employee's accrued but unused sick leave balance

upon termination. An employee who is restored to employment at the university following military service is entitled to have his or her sick leave balance restored. Employee Retirement System (ERS) retirees who return to state employment will not have their sick leave balances restored.

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

Sick Leave Utilization

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

To be eligible for accumulated sick leave with pay during a continuous period of more than three (3) working days, an employee absent due to illness shall send to the administrative department head a doctor's certificate verifying the employee was out due to medical reasons. If an illness results in the absence of three (3) working days or less, the administrative head has the discretion to require documentation verifying the employee was out due to medical reasons. Upon returning to duty after sick leave, an employee shall immediately complete *either a Request for Vacation, Compensatory Time, Sick Leave Taken form, request/report the leave electronically through the system leave request form, or document the leave in a manner established by the department head.*

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

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

entitled to sick leave.

Sick Leave Utilization for Faculty:

Faculty must submit leave forms (*as designated by the department head*) for all sick leave the faculty member takes if the absence occurs during the normal workday for regular employees, even if no classes are missed.

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

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

Extension of Sick Leave:

Pursuant to sections 661.202(i) and (j) of the Texas Government Code, an extension of sick leave may be granted through the university policies of Family and Medical Leave (12.9) or Leave of Absence (12.12 or 12.11) or utilization of the sick leave pool.

Sick Leave for Educational Activities:

An employee may use up to eight (8) hours of sick leave each fiscal year to attend school sponsored educational activities of the employee's children who are in pre-kindergarten through 12th grade, including a parent-teacher conference, tutoring, volunteer program, field trip, classroom program, school committee meeting, academic competition, and athletic, music or theater program.

Donation of Sick Leave to an Employee

Employees may donate any amount of their accrued sick leave to another employee who:

- Is employed by the university;
- Is eligible to accrue and use sick leave; and
- Has exhausted all of their sick leave, including time the employee may be eligible to receive as an award from the sick leave pool.

Employees may not provide or receive remuneration or a gift in exchange for a sick leave donation.

The use of sick leave donated to the recipient employee must follow the same conditions as normal accrued sick leave as outlined in this policy.

Donated sick leave cannot be used towards ERS retirement service credit.

Donated sick leave cannot be transferred to another state agency.

Donated sick leave cannot be paid out to the estate of an employee if the recipient employee passes away.

Donated sick leave hours will be lost when the recipient employee leaves employment and will not be reinstated if the recipient is rehired by the university at a later date.

Donated sick leave hours do not get returned to the donor if the recipient does not use them all.

Sick Leave Pool

The university maintains a sick leave pool to benefit certain regular employees who suffer a catastrophic injury or illness. A sick leave pool has been established and is maintained to provide for the alleviation of the hardship caused to an employee and the employee's family if a catastrophic illness or injury forces the employee to exhaust all accrued leave (including compensatory time, if applicable) and lose compensation with the state.

Definitions:

1. A catastrophic injury or catastrophic illness is defined as a severe condition or combination of conditions affecting the mental or physical health of the employee, or the employee's immediate family, that requires the services of a licensed practitioner for a prolonged period of time and that forces the employee to exhaust all leave time earned by the employee and lose sick leave compensation from the state.
2. A severe condition or combination of conditions is one that:
 - a. will result in death or is a severely debilitating condition that will result in the individual not meeting the essential functions of their job if not treated promptly or at regularly scheduled intervals (e.g. chemotherapy treatments, radiation treatments, etc.);
 - b. has been designated as terminal; or
 - c. fully incapacitates the employee from working for a continuous period of thirty (30) calendar days or more.
3. Licensed practitioner means a practitioner, as defined in the Texas Insurance Code, who is practicing within the scope of his/her license.
4. Immediate family is defined as those individuals related by kinship, adoption, or marriage, or foster children who are so certified by the Texas Health and Human Services Commission who are living in the same household. If not in the same household, an immediate family member is strictly limited to the employee's spouse, child or parent who needs care and assistance as a direct result of a documented catastrophic medical condition. Employees may use sick leave pool hours to care for an

immediate family member only under circumstances for which an employee would be eligible to use regular sick leave, if available.

Eligibility and Other General Provisions:

1. All regular faculty and non-probationary staff members' eligible to accrue and use sick leave in accordance with university sick leave policy 12.18 may apply to use sick leave from the sick leave pool.
2. Employees may use sick leave pool for their own catastrophic illness or injury or for one in their immediate family, as defined above.
3. An employee may submit only one request for sick leave from the sick leave pool per fiscal year for each catastrophic illness or injury.
4. An employee must exhaust all available leave before being eligible to receive sick leave from the sick leave pool.
5. An employee utilizing sick leave from the sick leave pool continues to accrue vacation and sick leave entitlement as if on regular sick leave, provided he or she returns to work following the leave.
6. Employees who are not covered by FMLA (policy 12.9) and who are offered a bona fide job offer under the university's Return to Work (policy 11.24) must accept the offer or sick leave pool benefits will end.
7. Employees who file for Worker's Compensation Benefits are not eligible to use sick leave from the sick leave pool. In no case may sick leave pool time be used in conjunction with a worker's compensation claim.
8. A routine pregnancy is not considered a catastrophic illness or injury.
9. A regular part-time employee is granted pool leave on a pro-rated basis.
10. One sick leave pool will be administered for all regular faculty and staff employees of the university.

Requesting Sick Leave from the Pool

1. A regular employee may apply for sick leave from the sick leave pool by completing a Request for Sick Leave from the Sick Leave Pool form and routing the form to the pool administrator in human resources.
2. Medical certification is required before the sick leave pool request can be reviewed by the administrator. Weekly documentation of appointments and/or treatment must be submitted to the pool administrator. Failure to return the required certification and documentation may result in loss of pool benefits.
3. The pool administrator will approve all or part of the request, or deny the request. All practitioner's statements and medical updates are subject to be referred to and reviewed by a university medical review board.
4. The amount of the pool leave granted for each catastrophic illness or injury will be determined by the pool administrator. The amount granted cannot exceed one-third of the balance of hours in the pool. However, in no case may an employee use more than 90

work days from the pool. Initiation and/or renewal of approval for use of such leave shall be subject to review of a current medical report for each approval period, and subject to availability of appropriate balance in the fund.

5. Medical updates are required every 30 days, unless otherwise indicated. Failure to return required medical documentation may result in delay or loss of pool benefits.
6. Any unused balance of leave granted to an employee from the sick leave pool returns to the pool if the employee returns to work prior to using all days granted.
7. The estate of a deceased employee is not entitled to payment for unused leave requested from the sick leave pool.
8. Employees on sick leave pool who return to work on a part-time basis are not eligible to continue on pool leave to make up the difference between their part-time employment and regular full-time employment.
9. An employee's sick leave pool award will immediately stop once the catastrophic medical condition for which it was granted ceases.

Contributing Sick Leave to the Pool

1. An employee with accrued sick leave may contribute to the sick leave pool in increments of eight hours, with the exception of a retiring employee who may contribute accrued sick leave in increments of less than eight hours.
2. Sick leave contributed to the pool reduces the accrued sick leave balance of the employee making the contribution.
3. Contributions to the pool are strictly voluntary.
4. An employee contributing sick leave to the sick leave pool may not stipulate who is to receive the contribution.
5. An employee who contributes sick leave to the sick leave pool cannot reclaim the contribution unless entitled to use leave from the sick leave pool. An employee who contributes sick leave to the sick leave pool and then exhausts his or her sick leave balance in the same fiscal year may receive the number of hours he or she contributed to the pool in that fiscal year without suffering a catastrophic illness or injury.
6. An employee desiring to contribute sick leave to the sick leave pool should complete an Application to Contribute Sick Leave form, provide a copy to his or her department head, and route the form to the pool administrator in human resources.

Administration of the Pool

1. The pool administrator in the Human Resources Department is responsible for the administration of the sick leave pool. Decisions of the pool administrator may be appealed to the appropriate vice president.
2. Requests for sick leave from the sick leave pool will be forwarded to the pool administrator. Requests will be considered by the pool administrator on a first-come, first-serve basis. Employees may submit a request for sick leave pool hours when they are running out of accrued leave. The request will be considered when they have exhausted

all accrued time.

3. The pool administrator will have five working days from the date a request is received in which to approve all or part of the request or deny the request.
4. The amount of sick leave granted for each catastrophic illness or injury will be determined by the pool administrator. The amount cannot exceed one-third of the balance of hours in the pool, or 90 working days, whichever is less. The pool administrator shall approve the use of not more than thirty (30) days of such leave by one individual at one time. Initiation and/or renewal of approval for use of such leave will be subject to review of a current medical report for each thirty (30) day approval, and is subject to availability of appropriate balance in the fund.
5. The pool administrator shall design and implement a system of records management and reporting of sick leave pool activity. The total leave time available in the sick leave pool shall be reported annually to the director of human resources and be available upon request to faculty and staff.

Cross Reference: Tex. Gov't Code §§ 661.001-.038, .201-2076; Tex. Gov't Code Ch. 617; Non-Academic Employee Handbook; Organized Work Stoppage (11.18); Family and Medical Leave (12.9); Leave of Absence (Faculty and Staff) (12.11); Tex. Educ. Code § 51.961.

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Request for Vacation, Compensatory Time, Sick Leave Taken (available from Human Resources)

Board Committee Assignment: Academic and Student Affairs

POLICY REQUEST FORM

Policy Name: Smoking, Vaping, and Use of Tobacco Products

Policy Number: 13.21

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

Date of last revision, if applicable: 4/1/2015

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Policy establishes guidelines for use of tobacco products on camous property. This revision would make SFA a tabacco free campus.

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

- Scheduled Review Change in law Response to audit finding
 Internal Review Other, please explain: Request of Faculty Seante and Student Governement

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

The SFA Faculty Senate and the SFA Student Government Association approved a joint resolution to establish SFA as a tobacco free campus. The president accepted their resolution and its request that he charge the SFA Employee Wellness Advisory Board with making policy recommendations. The Advisory Board conducted a survey, as well as researched what other campuses across the state and country are doing in regard to this issue. This group also reviewed the Tobacco-Free Campus Policy Implementation Guidelines as well as information from the American College Health Association and their recommendations for Institutions of Higher Education. After this review, with input from SFA legal counsel, the Employee Wellness Advisory Board are recommending these revisions to the SFA policy.

Further rationale:

- Tobacco use is the #1 preventable cause of disease, disability, and death in the U.S. and worldwide. Each year, an estimated 443,000 Americans die prematurely from smoking or exposure to secondhand smoke, and another 8.6 million live with serious illness caused by smoking.
- Even brief exposure to secondhand tobacco smoke can cause harm, as nonsmokers inhale the same toxic chemicals in cigarette smoke as smokers. Exposure to secondhand smoke is known to

cause heart disease, lung cancer, acute respiratory infections, ear problems, and asthma attacks in nonsmokers. Each year, close to 50,000 Americans die from heart disease or lung cancer caused primarily by exposure to secondhand tobacco smoke.

- The annual economic burden of tobacco use includes more than \$96 billion in medical costs and another \$97 billion from loss of productivity. In Texas alone, tobacco use costs the state close to \$6 billion in health care expenditures each year, including about \$315 million in health care expenditures due to exposure to secondhand smoke.
- Effectiveness: Comprehensive tobacco-free campus policies have been proven to:
 1. Increase the number of tobacco users who quit;
 2. Reduce the number of young people who begin smoking;
 3. Reduce the number of casual users who convert to daily tobacco use;
 4. Reduce the amount of tobacco used by tobacco users.
- A reduction in fire hazards and cleaner grounds and air that support the university's sustainability ("Green") efforts.
- Certain research grants are not available to campuses that are not tobacco-free.
- Avoid possible legal liability. According to the Americans with Disabilities Act (ADA) colleges are required to maintain accessible campuses and provide reasonable accommodation for students and employees with medical conditions such as asthma that are triggered by secondhand smoke.
- 70% of the university community who answered the survey were in favor of a tobacco-free campus policy.

Specific rationale for deletion of policy:

Additional Comments:

Smoking, Vaping, and Use of Tobacco Products

Original Implementation: October 22, 1991

Last Revision: ~~April 2015~~ January 26, 2016

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

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

~~Smoking, vaping, and the use of tobacco products are prohibited in all buildings, facilities and vehicles owned or leased by Stephen F. Austin State University, except in areas so designated by the university. Smoking, vaping, and the use of tobacco is further prohibited within 20 feet of any entrance to a building or facility.~~

~~The university shall attempt to maximize reductions in the costs of insurance based upon the non-use of tobacco products.~~

~~The university shall develop on-going educational programs to acquaint students, faculty, and staff with the health risks associated with tobacco use.~~

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

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Building and Grounds

POLICY SUMMARY FORM

Policy Name: Space Assignment, Management and Planning

Policy Number: 16.3

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): Establishes policy for the assignment, re-assignment, management, planning, and modification of university space.

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

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

Please complete the appropriate section:

Specific rationale for new policy: As per Texas Higher Education Coordinating Board peer team audit recommendation, to establish policy to govern the assignment, re-assignment, management, planning, and modification of university space.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Space Assignment, Management and Planning Policy

Original Implementation: January 26, 2016

Last Revision: None

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

Definitions. The following terms whenever used or referred to in this policy shall have the following meanings:

1. Space. "Space" means all interior buildings and facilities and exterior areas owned or leased by the university.
2. Educational and General space. "Educational and General (E&G) space" means an area which is used for academic instruction, research, and support of the institution's mission. It does not include auxiliary enterprise space, space that is permanently unassigned, or space used for operations independent of the institution's mission.
3. Auxiliary Space. "Auxiliary Spaces" means enterprise buildings and facilities, that are managed as essentially self-supporting activities. Examples are residence halls, food services, student health services, intercollegiate athletics, retail spaces, campus recreation, and student center spaces.
4. Space Management. "Space Management" means oversight of all university space and the assignment and reassignment of such to remain in compliance according to this policy and State and federal codes, regulations, and laws.
5. Space Planning. "Space Planning" means the creation of ideas, solutions, and recommendations for space related needs.
6. Space Assignment. "Space Assignment" means allocating/designating space to a particular individual or unit.
7. Space Reassignment. "Space Reassignment" means reallocating/re-designating space from one individual or unit to another.

Responsibilities.

1. Space Management

a. SFA, and not any group, individual, or unit within it, owns and/or controls all interior and exterior spaces on campus as well as additional properties off-campus including leased properties.

b. All space decisions are based upon The Higher Education Coordinating Board (THECB) space utilization requirements and aligned with academic, research, clinical, administrative, or

community engagement needs which are consistent with the strategic initiatives of the university.

c. The assignment, reassignment, alteration, and/or reclassification of space are made to meet the overall needs and best interests of the university.

d. Oversight and management of space will remain in compliance according to this policy and state and federal codes, regulations, and laws.

2. Space Assignment, Reassignment, Construction and/or Renovation

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

b. Space modification or design requests are required for all changes to university space including, but not limited to reassignment, reclassification, and changes to capacity, use, or function, and alteration or renovation not considered routine maintenance. Routine maintenance is expenditures made for the regular upkeep of physical properties (i.e. land, buildings, and equipment) including recurring, preventive and on-going maintenance necessary to delay or prevent the failure of critical and non-critical building systems.

c. Space modification or design requests are reviewed by the space modification committee and recommendations are submitted to the provost and vice president for academic affairs and to the vice president for finance and administration for final approval regarding E&G space and to the vice president for university affairs and to the vice president for finance and administration for final approval regarding auxiliary space.

4. Vacated Space

a. Space vacated within an academic or administrative unit, due to normal employee turnover, may remain internally assigned within that unit at discretion of the president or his/her designee.

b. Space vacated by an academic or administrative unit that occurs due to a permanent reduction in workforce, downsizing or elimination of a unit, reorganization, or relocation reverts to the university administration for re-assignment.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: President

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

Board Committee Assignment: Building and Grounds

POLICY SUMMARY FORM

Policy Name: Student Accounts Receivable

Policy Number: 3.28

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

Date of last revision, if applicable: 4/14/2015

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

Purpose of Policy (what does it do): provides guidelines for collection on delinquent student accounts

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Clarify difference between past due and delinquent accounts, and accounts in default, which are subject to collection. Remove procedures from policy related to when an account will be written off.

Specific rationale for deletion of policy:

Additional Comments:

Written procedures pertaining to the write-off of student accounts will be kept in the business office, but we don't want to include them in the policy since this may incentivize student not to repay the university if they know when we are no longer going to pursue collections. This also allows the university to have some discretion in determining whether to pursue collections or when to write-off an account, depending on the specific circumstances related to the accounts receivable and the documentation we have to support the receivable.

Student Accounts Receivable

Original Implementation: July 15, 2008

Last Revision: ~~April 14, 2015~~ January 26, 2016

PURPOSE

This document establishes guidelines for the prudent collection of student accounts receivable in the best interest of Stephen F. Austin State University and the state of Texas. Although this policy primarily applies to student accounts receivable, including certain university issued short term loans, procedures stated herein may be used to process other delinquent receivables from vendors and non-student accounts. This policy does not apply to the write-off of any federal loans. Policy procedures will be maintained by the controller's office, for at least the following:

- a process to ensure that the requested extension of credit is not a prohibited transaction;
- a procedure to ensure that any extension of credit (installment plan contract, short term loan request, or repayment agreement) is done so in a prudent manner, including the use of standardized credit applications and legal authority required for approval of the requested credit;
- a procedure ~~whereby credit is not extended~~ *to analyze whether credit should be extended* to students who are in default on other obligations or for whom previous obligations have been written off as uncollectible. If a student account is ~~in default~~ *past due*, a transcript and registration hold will be placed on the account;
- procedures for managing and monitoring the billing and collection activities on student accounts;
- procedures for recording and monitoring credit extended and subsequent payments received on student accounts; and
- procedures to ensure that amounts reported as receivables on the financial statement are recorded in accordance with generally accepted accounting principles.

CRITERIA FOR RECOGNIZING AN ACCOUNT RECEIVABLE

A student account receivable will be recognized (recorded in the university's financial records) when:

- a student has enrolled for classes at the university or has been registered for classes by the university;
- a student has incurred charges for costs associated with attendance (tuition, fees, housing and meal charges, post office charges, book purchases, parking permits and fines, etc.) from which a benefit to the student is derived;
- payment is due to the university from the student or a third party;

- ~~the revenue from the transaction has been recognized in the university's books and records;~~
- payment has not been received (collected) by the university from the student or third party;
- the accounts receivable does not represent an extension of credit that is prohibited by law; and,
- the recording is deemed to be appropriate by the university's fiscal officers.

RECORDING AN ACCOUNT RECEIVABLE IN THE FINANCIAL RECORDS

An account receivable is recorded in the financial records automatically by the registration and billing process. These entries credit the appropriate revenue accounts and debit the appropriate account receivable accounts in the university's accounting system.

In the event that a student withdraws during the semester, the accounts receivable outstanding balance is reduced by the appropriate percentage refund rate relevant at the time of withdrawal.

RECONCILING ACCOUNTS RECEIVABLE

The controller's office maintains adequate records of student accounts receivable and prepares a reconciliation of the student receivable records and the financial accounting records on a timely basis.

AGING ACCOUNTS RECEIVABLE

The controller's office also maintains an aging schedule for all student accounts receivable with the total of the aging schedule balanced to the total recorded accounts receivable. The following aging brackets are used:

- Greater than 30 days old
- Greater than 90 days old
- Greater than 1 year old

At year end, other ranges may be analyzed to aid in the process of the calculation of the allowance for doubtful accounts.

COLLECTING ACCOUNTS RECEIVABLE

The size of the account receivable may influence the collection efforts. The expenditure of time, effort, and money to collect large accounts receivable is appropriate; however, the same efforts expended on very small accounts receivable may not be economical. Guidelines as to the level of attention and the efforts expended on accounts receivable will be set by the university based on recommendations from collection agencies and management.

The following steps are conducted in collecting accounts receivable which are delinquent or in default.

An account will be considered delinquent or in default if the following apply:

- the account balance is at least 30 days old;
- the debtor has not exhibited concern regarding the delinquent account (i.e., requested a repayment agreement); and,
- the debtor is not an active student.

An account will be considered delinquent if it is past due.

Billing and Collection Activity on Delinquent Accounts or Accounts in Default

Active Students:

Active Students—students are—will be billed throughout the term with due dates set by the business office. Students may be assessed penalties for late payments, but will not be turned over for collection in the term if they are actively enrolled.

Inactive Students:

Delinquent accounts will be analyzed and processed on a regular basis. Any general deposits will be applied to *inactive* students' outstanding balances to defray the amounts due to the university. After this analysis, *delinquent* accounts on inactive students will be subject to collection activity. Attempts will be made to contact students before delinquent accounts are turned over to collections. Students will not be assessed any collection agency fees or collection costs if they make a payment or request to set up a repayment fee during the communication and contact period(s). After communication and contract periods expire, accounts will be placed with a collection agency or an attorney. The collection agency may give the student an additional period prior to assessing fees. Collection fees will be calculated and added to the student's account either immediately when turned over for collection or after the last warning period has expired. The fees assessed to the student will be negotiated in advance with the collection agencies and are subject to approval from the Texas Attorney General's office. Additionally, accounts may also be reported to the Texas Comptroller of Public Accounts as authorized by Texas Government Code § 403.055 to ensure that no treasury warrants are issued or payments are paid to the debtor until the debt is paid.

If a debtor with a delinquent account establishes a repayment agreement and makes scheduled payments towards the balance within one of the warning periods, the debtor will be treated as an "active" student and will not be turned over to a collection agency unless monthly payments cease before the account balance is paid in full. If the account is turned over for

collection, collection costs, collection agency fees and/or attorney fees will apply. There will be transcript and registration holds placed on the student's account until the balance has been paid in full.

If a debtor has received a warning letter and begins making regular payments but then stops ~~making~~ making regular payments *before the account is paid in full*, the debtor ~~will~~ may be sent to an outside collection agency or attorney without further notice to the debtor.

All demand letters should be mailed in compliance with applicable collection laws. If an address correction is provided by the United States Postal Service, the demand letter should be mailed to the corrected address prior to the referral procedures described above. Demand should be made upon every debtor prior to referral of the account to an outside collection agency and the attorney general.

WRITE-OFF OF AN UNCOLLECTIBLE ACCOUNT

The university will establish procedures to determine when the write-off of an uncollectible account will occur. These write-off procedures will take into account both the age of the account and the amount due from the student. ~~The following accounts may be subject to write-off:~~

- ~~▪ Accounts receivable up to \$10 may be written off by the controller if all collection efforts have been completed and the account has been outstanding for 5 years.~~
- ~~▪ Accounts receivable between \$10 and \$1,000 may be written off by the controller if returned as uncollectible by more than two outside collection agencies (first and second referrals) and the account has been outstanding for 5 years.~~
- ~~▪ Accounts receivable over \$1,000 returned as uncollectible by at least three outside collection agencies (first, second and third referrals) and outstanding for 5 years may be referred to the vice president for finance and administration for write-off approval. Requests for write-off should include name, amount, school term, and a statement as to why that accounts receivable has been determined to be uncollectible.~~

A list of all accounts written off will be filed in the controller's office and all student accounts that have been written off will be flagged in the student system. Additionally, a transcript and registration hold will be placed on these student accounts to prevent these persons from receiving future university services until their balances have been paid in full. Warrant holds placed on the student's account will not be removed until the balance is paid in full.

~~The following accounts will be forgiven and permanently written off, and the student's account will be marked as paid in full:~~

- ~~▪ Deceased debtors. If the debtor is deceased, the delinquent obligation should be classified as uncollectible and permanently written off after the business office receives a copy of the~~

~~death certificate or other proof of death.~~

~~▪ Residual amounts as deemed appropriate by the vice president for finance and administration after application of any property deposit, and within guidelines set by state and federal regulations.~~

FORGIVENESS OF DEBT VERSUS WRITE-OFF OF UNCOLLECTED ACCOUNTS

The write-off of an uncollected account is a bookkeeping entry only and does not relieve the debtor from his financial responsibility to the university. Although the uncollected account has been removed from the financial books and records (i.e., written-off as uncollectible), the university may still have a claim against the debtor and may still seek legal remedy (i.e., file suit for collection in a court of law). Therefore, it is the responsibility of the controller's office to maintain adequate records regarding legal financial obligations (i.e., debts) owed to the university.

~~Student accounts receivable that are forgiven because of the student's death or because the account balance is considered residual will be treated as paid in full, and records will be treated consistent with other student accounts that have been paid in full.~~

ALLOWANCE FOR DOUBTFUL ACCOUNTS

The university records an allowance for doubtful accounts on past due accounts for all accounts that have not been written off or forgiven. Prior to closing each fiscal year's books, the controller's office will analyze and adjust the allowance for doubtful accounts, with offsets to the appropriate revenue accounts or bad debt expense, in accordance with accounting guidelines. An allowance for doubtful accounts will be set up as a contra-receivable in each appropriate general ledger.

Cross Reference: Texas Comptroller of Public Accounts Fiscal Policies & Procedures, Accounting for Uncollectible Accounts (APS 027); Tex. Gov't Code § 403.055; Ch. 2107

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: None

Board Committee Assignment: Finance and Audit

POLICY SUMMARY FORM

Policy Name: Student Records

Policy Number: 2.10

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

Date of last revision, if applicable: 10/22/2012

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

Purpose of Policy (what does it do): delineates how the university grants students the right of access to their individual education records, how students are protected from illegal use of their education records, and restricts the disclosure of students' social security numbers

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

- Scheduled Review
 Change in law
 Response to audit finding
 Internal Review
 Other, please explain: added to AA Policy Committee
 roster of policies to review

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: no substantive revision

Specific rationale for deletion of policy:

Additional Comments:

Student Records

Original Implementation: 1974

Last Revision: ~~October 22, 2012~~ January 26, 2016

The purpose of this policy is to comply with federal law which: (1) grants to students the right of access to their education records, (2) protects students from illegal use of their education records and (3) restricts the disclosure of the social security numbers of students.

I. Definitions

For the purposes of this policy, the university adopts the following definitions:

- A. Student means any person who attends or who has attended the university.
- B. Education records means any record (in handwriting, print, tapes, film, or other medium) maintained by the university or an agent of the university which is directly related to a student, except:
 1. a personal record kept by a staff member, if it is kept in the personal possession of the individual who made the record, and information contained in the record has never been revealed or made available to any other person except the maker's temporary substitute;
 2. an employment record of an individual whose employment is not contingent on the fact that he/she is a student, provided the record is used only in relation to the individual's employment;
 3. records maintained by the University Police Department if the records are maintained solely for law enforcement purposes, are revealed only to law enforcement agencies of the same jurisdiction, and the department does not have access to education records maintained by the university;
 4. records maintained by University Health Services if the records are used only for treatment of a student and made available only to those persons providing the treatment;
 5. records maintained by University Counseling Services if the records are used only for treatment of a student and made available only to those persons providing the treatment; and,
 6. alumni records that contain information about a student after he/she is no longer in attendance at the university and the records do not relate to the person as a student.
- C. A school official is a person employed by the university in an administrative, supervisory, academic, research or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the university has contracted as its agent to provide a service instead of using university employees or

officials (such as an attorney, auditor or collection agent); a person serving on the Board of Regents; a scholarship committee, for the sole purpose of evaluating scholarship recipients; an outside individual/entity involved in the financial aid process reviewing information regarding financial aid eligibility; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks.

A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibilities for the university. *University employees, including student employees, with access to student education records will annually complete Family Educational Rights and Privacy Act (FERPA) training. Initial training must be completed no later than thirty (30) days from start of employment.*

II. Annual Notification

Annual notification is published on the SFA website and in the schedule of classes. Specific information may be obtained by consulting with administrative officials listed in this policy.

III. Student Rights

Each student has the right *to*:

- A. ~~to be provided with~~ receive a list of the types of education records maintained by the university;
- B. ~~to~~ inspect and review the contents of his/her records, excluding the exceptions included in this policy;
- C. ~~to~~ obtain copies of his/her records at personal expense if failure to provide such copy would effectively prevent the student from inspecting or reviewing the record;
- D. ~~receive to~~ explanations and interpretations of his/her records; and,
- E. ~~request to~~ a hearing to challenge the contents of his/her records.

IV. Procedure to Inspect Education Records

Students may inspect and review their education records upon request to the appropriate record custodian.

Students should submit to the record custodian or an appropriate university staff person a written request that identifies as precisely as possible the record or records ~~he/she~~ they wishes to inspect.

The record custodian or an appropriate university staff person will make the needed arrangements for access as promptly as possible and notify the student of the time and place where the records may be inspected. Access must be given in 45 days or less from the receipt of the request.

When a record contains information about more than one student, the student may inspect and review only the records that relate to him/her.

V. Types and Custodians of Student Records

Type of Record	Content	Custodian
Academic	Grades, classification, academic standing, application for admission and admissions scores.	Registrar, Executive Director of Enrollment Management
Financial	Amount of financial assistance given by university and type of assistance.	Director of Financial Aid, Controller
Disciplinary	Nature of offense and type of university action.	Director of Student Rights and Responsibilities
Placement	Academic record and documents of recommendations.	Director of Career Services
Health	Medical history to include all treatment by university physicians.	Director of Health Services
Counseling	Test scores and counseling sessions.	Director of Counseling Services

VI. Fees for Copies of Records

The fee for copies of education records will be ten (10) cents per page.

VII. Right of University to Refuse Access

The university reserves the right to refuse to permit a student to inspect the following records:

- A. the financial statement of the student's parents;
- B. letters and statements of recommendation for which the student has waived his/her right of access, or that were placed on file before January 1, 1975;
- C. records connected with an application to attend the university if that application was denied; and,
- D. those records ~~which~~ that are excluded from the definition of education records.

VIII. Refusal to Provide Copies

The university reserves the right to deny transcripts or copies of records not required to be made available by law in any of the following situations:

- A. ~~The~~ student has an unpaid financial obligation to the university.
- B. ~~There~~ is an unresolved disciplinary action against the student.

IX. Disclosure of Education Records

The university will disclose information from a student's education records only with the written consent of the student, except:

- A. to school officials who have a legitimate educational interest in the records;
- B. to officials of another school, upon request, in which a student seeks or intends to enroll;
- C. to certain officials of the U.S. Department of Education, the Comptroller General, and state and local educational authorities, in connection with certain state or federally supported education programs;
- D. in connection with a student's request for or receipt of financial aid, as necessary to determine the eligibility, amount or conditions of the financial aid, or to enforce the terms and conditions of the aid;
- E. in compliance with a state law requiring disclosure that was adopted before November 19, 1974;
- F. to organizations conducting certain studies for or on behalf of the university;
- G. to accrediting organizations to carry out their functions;
- H. to parents of an eligible student who claim the student as a dependent for income tax purposes;
- I. to comply with a judicial order or a lawfully issued subpoena;
- J. to appropriate parties in a health or safety emergency; and
- K. other disclosures that the Family Educational Rights and Privacy Act (FERPA) authorizes without consent.

Proof of status from the requesting individual or organization will be required to gain access to education records.

X. Record of Requests for Disclosure

The university will maintain a record of all requests for and/or disclosure of information from a student's education records. The record will indicate the name of the party making the request, any additional party to whom it may be disclosed, and the legitimate interest the party had in requesting or obtaining the information. The record of requests may be reviewed by the student.

XI. Directory Information

The university designates the following items as directory information:

- A. name,
- B. all addresses, including university issued email addresses,
- C. all telephone numbers,
- D. major field of study,
- E. academic classification,
- F. participation in officially recognized activities and sports,
- G. weight and height of members of athletic teams,
- H. dates of attendance and enrollment status,
- I. degrees and awards received,
- J. previous schools attended,
- K. photograph, and
- L. class roster.

The university may disclose any of these items without prior written consent, unless the student notifies the registrar in writing to the contrary by the twelfth class day of a regular semester or the fourth class day of a condensed semester.

XII. Review and Destruction of Education Records

The university may destroy obsolete records provided the right to access has been followed as outlined in Section 3 of FERPA.

XIII. Correction of Education Records

A student has the right to request a correction on his/her education records that he/she believes is inaccurate, misleading or in violation of his/her privacy rights. The university shall attempt to settle the disputed contents of an education record by informal proceedings. If informal proceedings fail to achieve a satisfactory settlement, the student may request a formal hearing using the following procedures.

- A. To receive a hearing, a student must file a written request with the president of the university. In so doing, the student should identify the part of the education record he/she wants amended and specify why he/she believes it is inaccurate, misleading or in violation of his/her privacy rights.
- B. Within 10 working days of receiving the request, the president will arrange for a hearing, and notify the student at least five working days in advance of the date, place and time of the hearing.
- C. The hearing will be conducted and the decision rendered by a hearing officer,

appointed by the president, who does not have a direct interest in the outcome of the case. The president shall name the hearing officer in the written notice sent to the student.

- D. The student shall be afforded a full and fair opportunity to present evidence relevant to the issues listed in the original request to amend his/her education records.
- E. The hearing officer will prepare a written decision based solely on the evidence presented at the hearing.
- F. If the hearing officer decides that the disputed contents of the education record are inaccurate, misleading or in violation of the student's right to privacy, ~~he/she~~ *the officer* will amend the record and notify the student in writing that the record has been amended.
- G. If the hearing officer decides that the disputed contents of the education record are not inaccurate, misleading or in violation of the student's right to privacy, ~~he/she~~ *the officer* will notify the student of his/her right to place a statement in the education record commenting on the disputed contents and/or a statement setting forth the student's reasons for disagreeing with the decision.
- H. The student's statement will be maintained as part of the student's education record as long as the disputed contents are maintained by the university. If the university discloses the disputed contents of the education record to any person, it must also disclose the student's statement to the person.

XIV. **Disclosure of Social Security Number**

Federal law requires that when any federal, state or local government agency requests an individual to disclose his/her social security number (SSN), that individual must also be advised whether that disclosure is mandatory or voluntary, by what statutory or other authority the number is solicited, and what uses will be made of it. Accordingly, students, or applicants for admission as students, are advised that disclosure of a student's SSN is mandatory as a condition for participation in certain activities at the university.

Under the mandatory category, the SSN is used to verify the identity of the student, and as an identifier to record necessary data accurately for activities such as admissions; housing and food services; determining and recording eligibility for student financial assistance to include loans, scholarships, and grants; student employment; recording entitlement to and disbursement and repayment of loans; recording entitlement to and payment of scholarships, grant allowances, and official student travel and per diem; determining and recording eligibility for and participation in athletic and similar events; and other related requirements which may arise.

Disclosure of a student's SSN is voluntary for certain other activities. Under the voluntary category, the SSN is used to verify the identity of the student and to record data

accurately for such activities as testing, reporting and evaluation of the ACT and the SAT; recording and reporting student grades and related academic data; registering for placement services to include preparation of resumes and furnishing information to prospective employers and such other related uses which may arise.

Authority for requiring the disclosure of a student's SSN is grounded ~~on~~*in* federal law that provides that an agency may continue to require disclosure of an individual's SSN as a condition for the granting of a right, benefit or privilege provided by law where the agency required this disclosure under statute or regulation prior to January 1, 1975, in order to verify the identity of an individual.

Pursuant to statutes passed by the state of Texas and the federal government and to regulations adopted by agencies of the state of Texas and the federal government, and by the Board of Regents of the university, The university has for several years requested the disclosure of the SSN may be required on student application forms and other necessary student forms and documents. used pursuant to statutes passed by the state of Texas and the federal government and to regulations adopted by agencies of the state of Texas and the federal government, and by the Board of Regents of the university.

Cross Reference: Family Educational Rights and Privacy Act of 1974, 20 U.S.C. § 1232g; 34 C.F.R. Part 99; 5 U.S.C. § 552a

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs; General Counsel

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Telecommunication Services

Policy Number: 6.28

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

Date of last revision, if applicable: 4/23/2013

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

Purpose of Policy (what does it do): identifies ITS as responsible for the administration of telecommunications services and delineates the roles and responsibilities of ITS in performing its duties

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: no substantive revision

Specific rationale for deletion of policy:

Additional Comments:

Telecommunication Services

Original Implementation: December 8, 1987

Last Revision: ~~April 23, 2013~~ January 26, 2016

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

TELEPHONE USAGE

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

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

EQUIPMENT MAINTENANCE

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

LONG DISTANCE ACCESS CODE

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

TOLL-FREE TELEPHONE NUMBERS

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

Discontinuance of the toll-free service or changes to the ring extension require a memorandum from the unit head (or account custodian) to ITS.

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

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: ~~Director of Information Technology Services~~ *Chief*

Information Officer

Forms: None

Board Committee Assignment: Building and Grounds

POLICY SUMMARY FORM

Policy Name: Transfer Admission and Credits

Policy Number: 6.20

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

Date of last revision, if applicable: 4/23/2013

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

Purpose of Policy (what does it do): delineates the conditions under which students applying to SFA who have attended other accredited institutions of higher education may transfer credits to SFA

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: On page 2, Transfer Credits, inserted language, requested by the nursing program in the College of Sciences and Mathematics, to reduce the number of in-residence credits at SFA to earn the RN-BSN degree, making the nursing program more competitive with other RN-BSN programs across the state.

Specific rationale for deletion of policy:

Additional Comments:

Transfer Admission and Credits

Original Implementation: September 8, 1978

Last Revision: ~~April 23, 2013~~ January 26, 2016

Transfer Admission

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 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 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* ~~awarded~~ when the content of the transfer course is equivalent, and when the course was taught on the same level. ~~and in the same department at the transferring institution.~~
- General enbloc 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 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, ~~or junior~~ 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 ~~senior colleges~~ *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 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.

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)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs; Dean of the Graduate School

Forms: None

Board Committee Assignment: Academic and Student Affairs

POLICY SUMMARY FORM

Policy Name: Use of University Facilities

Policy Number: 16.33

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

Date of last revision, if applicable: 1/29/2013

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Governs the use of university facilities

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

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:

Modification made to the Norton HPE Complex section under "Reservations and Use" to comply with the revisions made to Policy 16.18, Norton HPE Complex

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewed by:

-Dr. Bake Pattillo, President

-Dr. Danny Gallant, Vice President for Finance and Administration

-Dr. Steve Westbrook, Vice President for University Affairs

-Dr. Steve Bullard, Interim Provost and Vice President for Academic Affairs

Use of University Facilities

Original Implementation: April 11, 1980

Last Revision: ~~January 29, 2013~~ January 26, 2016

All Stephen F. Austin State University buildings, facilities, equipment, and grounds will be used only in the pursuit of the stated objectives of the university -- academic, cultural, and public service. Groups not affiliated with the university may be granted use of university facilities according to the general policies provided herein and an agreement to adhere to the specific rules and procedures governing the use of the individual facilities.

It is the responsibility of the user to become acquainted with and abide by these specific rules.

Definitions:

1. "Student" means a person who is currently enrolled for academic instruction or research at the university.
2. "Campus" will mean all real property over which the university has possession and control by law.
3. "University group" will mean a registered student organization, other student group, or faculty and staff group. No group shall be considered a university group if it includes a person who is not a student, faculty member, or employee of the university unless that person is a member of the immediate family of a student, faculty member, or employee of the university.
4. "Outside group" will mean any organization or group that is not included within the term "university group."
5. "Sponsoring organization" will mean a university group that vouches for an outside group's use of university facility.
6. "University official" means a person charged with the responsibility for supervising the use of a university facility.
7. "University agency" will mean an academic school, department, or program, or a university council, committee or auxiliary enterprise.

Priorities and Limitations for Use of University Facilities

1. Mission of the University

Nothing contained in this policy will be construed to prohibit or hinder operation of the university in fulfilling its mission as a public institution of higher education. All activities associated with that mission will have priority in the use of the university's facilities.

2. Individuals

Individuals engaged in the educational mission of the university will have the right to use the university's facilities in accordance with federal, state, and local laws, as well as the rules and regulations of the university.

As a general rule, priority for the use of the university's facilities will go first to the students and second to the faculty and staff. Exceptions to this rule may be made in certain instances by the university administration.

Immediate family members of students, faculty, and staff may be granted limited use of university facilities through established programs designed to promote the enrichment of campus life and to enhance the living-learning environment of the university.

3. Groups

- a. Only organized groups (no individuals) sponsored by a university agency conducting an activity that is within its established role and scope may be allowed the use of university facilities.
- b. Outside groups without a sponsor may be permitted to use the facilities of the student center, subject to all other appropriate guidelines contained in this policy.

Reservations and Use

1. Application

- a. Application for use of university facilities by university agencies will be made to the appropriate university official as follows:

Facility	Appropriate University Official
Academic classroom, auditorium, office space and off-campus facilities	Dean of school having jurisdiction over that space
Student Center	Director, Student Center
Residence Halls	Director, Residence Life
Library Carrels and Seminar Rooms	Director, University Libraries
Johnson Coliseum and Homer Bryce Stadium	Coordinator of Athletic Operations
Health and Physical Education Complex	Chairman , Department of Kinesiology <i>Department Chair or Director of Campus Recreation; as outlined in Policy 16.18</i>
Student Recreation Center, Intramural Fields	Director, Campus Recreation

and Other Outside Recreational Areas	
Other Outside Areas of the Campus	Dean, Student Affairs

b.

eb. Application for use of university facilities by outside groups will be made to the vice president for finance and administration, except for the coliseum, stadium, student recreation center, and student center, which will be made to the individual indicated above.

2. Usage

- a. The university may establish additional procedures and/or policy for the reservation and use of each university facility.
- b. Consumption of food or beverages in SFA academic buildings is permitted subject to the approval of the appropriate dean or designee, provided such permission does not conflict with other policies or laws.

3. Identification of Sponsor

The user may not assign or delegate any control or responsibility to any other user or co-sponsor, agent, or third party without prior written approval of the appropriate university official. All users or co-sponsors of an event must be clearly identified prior to confirmation of a reservation. Reservations for presenting one event may not be used for presenting a different event without written approval by the appropriate university official.

4. Fees for Use

Fees for outside groups are established at rates which will, at a minimum, ensure recovery of that part of the operating cost of the facility that is attributable directly or indirectly to such use by an outside group. The current fee schedule will be available from the appropriate university official. An advance deposit (specified in the fee schedule) may be required for reservations for an event conducted by an outside group.

5. Bond and insurance

Outside groups using a university facility may be required to provide a contract performance bond as well as evidence of appropriate levels of liability insurance in amounts and under policies satisfactory to the vice president for Finance and Administration. Copies of such policies will be furnished to the vice president for Finance and Administration no later than thirty (30) days prior to the event and in all cases prior to announcement of the event.

Financial Policies

1. University agency/groups

Excess income over expenses, including the fee for use of the facility derived from an event sponsored by a university agency/group, may be retained by the university agency/group to further its activities and programs. Excess expenses over income of an event will be absorbed by the sponsoring university agency/group. Additional cost of maintenance, including standbys, custodial and utilities will be considered an expense of the event.

2. Outside group

If an outside group (other than a public entity or summer camp) using a university facility charges those attending an event any admission or registration fee, or accepts donations from those in attendance, a complete accounting of all funds collected and of the actual cost of the event must be submitted upon request to the vice president for Finance and Administration within (30) days after the event. If the funds collected exceed the actual cost of the event, the user is required to remit such excess funds to Stephen F. Austin State University as an additional charge for use of the facility. The university reserves the right to audit all records pertaining to income and expenses, to prescribe methods of collection, and to participate in audits of funds at the point of receipt. Additional cost of maintenance, including standbys, custodial and utilities will be considered an expense of the event.

3. Payment for damages

All users and sponsors will be responsible for payment for damages to the university facility, its fixtures, and equipment, whether caused by the user or its patrons, ordinary wear and tear excepted.

4. Broadcast and recording rights

The university reserves all rights and privileges for radio and television broadcasts, whether live or transcribed for delayed transmission, and all visual or audio recordings originating from the university facility. Should the university grant to the user such privilege, the university has the right to require advance payment of any estimated related costs to the university, such as installation of equipment. Such permission must be granted in writing by the university president in advance of broadcast or recording.

Policies for Outside Users

Any proposed use of the university facility must be appropriate and suited to the size, structure, purpose and operating costs of the facility. For outside groups, there must be good reason to

expect that a proposed event will require features unique to the facility or which are otherwise unavailable in the community. All proposed events must be conducted in accord with applicable state and federal laws and regulations, as well as the rules, regulations and policies of the university Board of Regents. Users must demonstrate to the satisfaction of the appropriate university official that they have the staff, experience, contracting authority, financial status and other qualifications necessary for carrying out the proposed events in a satisfactory manner.

1. Review of contracts

All contracts related to the presentation of an event, including contracts between user and performers, speakers, sub-contractors, managers, and others, are subject to review and approval by the general counsel and the appropriate vice president.

2. Hazards

If the university, in its sole discretion, determines that a proposed event poses a potential hazard to public safety, the event may be canceled or denied. No user may install or operate any equipment, fixture or device, nor operate or permit to be operated any engine, motor or other machinery, or use gas, electricity or flammable substances in the facility except with prior written approval of the appropriate university official, and then under such conditions and restrictions as the university official may specify. All electrical connections must be made by university personnel under direction of the staff of the appropriate university official and all house equipment must be operated by university personnel. No equipment, device or fixture may be used which, in the opinion of the university official, endangers the structural integrity of the facility.

3. Conflict with university activities

An event will not be permitted for any purpose which, although in accord with the general purposes of the university, is of such character or occurs at such circumstances that they are likely to interfere or cause major conflict with any university activity, program or event, or are inimical to the interests of the university.

4. Management functions

Management functions are retained by the university and may be delegated to users or others only with the written permission of the appropriate vice president. The functions include, but are not limited to, all facets of ticketing and ticket policies, including scaling, acquisition, distribution, and sale; and all matters of staffing, crowd control, technical arrangements, promotions, and advertising.

5. Concessions and catering

Use of the university facility does not carry the right for the user to control concessions. Sale and distribution of food, beverages, souvenirs, or other concession items are reserved to the university or its concessionaires.

6. Signs and displays

No signs, messages or other materials may be posted, displayed, distributed or announced in, on or adjacent to, the university facility by user or sponsor without prior written approval of the university official. Such materials may not be fastened to any part of the facility except in spaces provided for this purpose and may not be permitted to interfere with crowd movement and safety.

7. Religious organizations

A religious organization applying for use of a facility must submit written evidence to the appropriate university official from the Internal Revenue Service that organization has been granted an exemption from taxation under Section 501(c)(3) of Title 26 of the United States code (Internal Revenue Code), and will be permitted to use the facility no more than one (1) time during a calendar year.

8. Political organizations

A political organization applying for use of the facility must present written evidence to the appropriate university official that the organization had candidates for either national, state, district or local offices listed on the ballot at the last general election, and will be permitted to use the facility no more than one (1) time during a calendar year.

9. Individual candidates for political office

Individual political candidates and their election organizations are not permitted to reserve a university facility. However, if a candidate is invited by a university group, then he or she may appear in the facility, provided that the group extending the invitation is responsible for reserving the facility and meeting all costs related to the event.

10. Advertising

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 a university facility must carry a disclaimer, approved by the general counsel, to the effect that use of

Stephen F. Austin State University facilities does not imply endorsement of the event or the sponsoring organization by the university.

11. Amplified Sound

Amplified sound may only be used at indoor campus facilities with prior authorization of the university. Use of these devices is restricted to specific areas. Decibel limits may be imposed on the use of amplified sound at any event. Any event exceeding these sound limits will be first asked to turn the volume down; if the problem persists, the university reserves the right to immediately terminate the event. Use of amplified sound on campus grounds is governed by policy 16.31, Use of Amplified Sound on Campus Grounds.

Penalty and Hearing

1. Suspension

If a user or sponsor violates the provisions of this policy, or the laws regulating the use of state property, the appropriate university official with the approval of the vice president to whom he/she reports may suspend the use of university facilities, or certain university facilities, by the user or sponsor for a specified period of time not to exceed one (1) year. Suspension will mean that reservation requests by the user or sponsor will be denied by the university during the specified period of time.

2. Notice of Suspension

When a university official suspends a user or sponsor from the use of university facilities, the official will notify in writing, the user or sponsor, and the vice president who has responsibility for space assignment, of the suspension. The written notice will contain all the following:

- a. that the user or sponsor may not use university facilities, or certain designated university facilities, for a specified period of time, not to exceed one (1) year from receipt of the notice;
- b. the name and title of the university official imposing the suspension, along with an address where the university official may be contacted during regular working hours;
- c. a brief statement of the acts or omissions resulting in the suspension; and
- d. notification that the suspended user or sponsor is entitled to a hearing on the suspension.

3. Request for Hearing

- a. A suspended user or sponsor may submit a written request for a hearing on the suspension to the appropriate university official within fourteen (14) days from the date of receipt by the user or sponsor of the notice of suspension. The university official will grant a hearing not later than seven (7) days from the date of the request and will immediately mail written notice of the time, place, and date of the hearing to the person.
- b. The hearing will be held before a discipline committee reviewing the suspension in question.

Cross Reference: Turner Auditorium (16.30); Norton HPE Complex (16.18); Kennedy Auditorium Reservation and Use (16.14); Homer Bryce Stadium and William R. Johnson Coliseum (16.13); Piney Woods Conservation Center (16.21); The Ed and Gwen Cole Art Center and the Griffith Gallery (16.27); Austin Building Conference Rooms (16.5); Academic Facilities for Non-Academic Activities (16.1); Use of Amplified Sound on Campus Grounds (16.31)

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

Contact for Revision: President

Forms: None

Board Committee Assignment: Building and Grounds

POLICY SUMMARY FORM

Policy Name: Vacation Leave

Policy Number: 12.21

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

Date of last revision, if applicable: 4/15/2015

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

Purpose of Policy (what does it do): The policy exists to describe rules for vacation accruals and usage for staff employees.

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

- Scheduled Review Change in law Response to audit finding
 Internal Review Other, please explain: Clarify requesting and reporting vacation leave for employees.

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Clarify that requests can be made by completing a paper request form, electronically, or by another method approved by the department head.

Specific rationale for deletion of policy:

Additional Comments:

This policy is being submitted to standardize wording between several policies.

Vacation Leave

Original Implementation: Unpublished

Last Revision: ~~April 15, 2014~~ January 26, 2016

Employees of the university, other than faculty with appointments of less than twelve months, shall, without deduction in salary, be entitled to a vacation in each fiscal year. SFA Charter School teachers are excluded from this policy. Additionally, this policy will not apply if alternative leave benefits were negotiated in a contract agreement with an employee.

Additionally, employees excluded from this policy include those who do not work at least 20 hours per week for a period of at least 4.5 months or employees in positions that require student status. An employee will earn vacation entitlement beginning on the first day of employment with the state and terminating on the last day. Vacation with pay may not be granted until the employee has had continuous employment with the state for six (6) months, although credit will be accrued during that period. Such entitlement shall be earned as listed below:

Employees with Total State Employment of:	Hours Accrued Per Month	Maximum Hours to Carry Forward from One Fiscal Year to Next Fiscal Year
0 but less than 2 years	8	180
2 but less than 5 years	9	244
5 but less than 10 years	10	268
10 but less than 15 years	11	292
15 but less than 20 years	13	340
20 but less than 25 years	15	388
25 but less than 30 years	17	436
30 but less than 35 years	19	484
35 and over years	21	532

Vacation credit for the higher rate of accrual as shown on the chart above shall be given on the first calendar day of the month if the employee's anniversary date falls on the first calendar day of the month; otherwise, the increase will occur on the first calendar day of the following month.

Part-time employees are also eligible for annual leave, but their accrual rate and maximum annual leave carryover amounts are proportionate to the number of hours they work. For example, half-time employees earn and carry over annual leave at one-half the rate authorized for full-time employees.

The annual leave hours in excess of the maximum allowable carryover left at the end of a fiscal year shall be credited to the employee's sick leave balance. If the employee is on any type paid leave that extends into the following month, the accrual will not be posted until the employee returns to duty. An employee forfeits this accrual if he or she fails to return to duty.

Time during which any employee is excused from work because of holidays shall not be vacation.

If a state employee transfers directly from one state agency to another, they shall be entitled to credit with the newly employing agency for accumulated but unused vacation entitlement, provided that employment with the state is uninterrupted. A state employee who resigns, is dismissed, or departed from state employment shall be entitled to be paid for all vacation time duly accrued at the time of separation from state employment, provided the employee has had continuous employment with the state for six (6) months.

Vacation leave for -non-faculty employees must be approved in advance by the appropriate supervisor. Non-faculty employees must request vacation using ~~the appropriate system access method designated by human resources~~ *either a Request for Vacation, Compensatory Time, Sick Leave Taken form, the system leave request form (electronically), or document the leave in a manner established and documented by the department head.* Every effort should be made to accommodate the vacation requests, but supervisors may request that such leave be taken during periods other than departmental peak work periods.

Cross Reference: Tex. Gov't Code §§ 661.152-.153

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: ~~None~~ *Request for Vacation, Compensatory Time, Sick Leave Taken form (available from Human Resources)*

Board Committee Assignment: Finance and Audit

POLICY SUMMARY FORM

Policy Name: Work Requests

Policy Number: 16.37

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

Date of last revision, if applicable: 1/29/2013

Unit(s) Responsible for Policy Implementation: Physical Plant

Purpose of Policy (what does it do): Requires units/departments to use the university work management system to initiate requests for routine physical plant maintenance.

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

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

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The current version of the policy contains out of date information regarding how to submit work requests. New work management software and updated work control procedures have changed the way work requests are submitted and processed. The re-written version has procedures removed (including phone numbers). Clarifying information was added regarding Physical Plant responsibilities, space modification process and interdepartmental transfers.

Specific rationale for deletion of policy:

Additional Comments:

Work Requests

Original Implementation: December 7, 1987

Last Revision: ~~January 29, 2013~~ January 26, 2016

The Physical Plant Department (PPD) is responsible for maintaining all Education & General (E&G) space at the university. In addition, PPD may perform work for auxiliary departments upon request or where service efficiency or practicality dictates; this work is billed accordingly through the SFA inter-department transfer (IDT) process. Work performed by PPD includes mechanical maintenance (electrical, electronics, HVAC, plumbing); building trades (carpentry, painting, graphics, locksmith); custodial services; special services (waste management, move/event services); transportation services (auto repair and rental); grounds maintenance; and special and capital construction project management.

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

ROUTINE MAINTENANCE

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

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

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

EMERGENCIES

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

During normal working hours (Monday – Friday, 7:00 a.m. through 4:00 p.m.): contact PPD

During evenings, weekends, holidays, shut-down periods: contact University Police Department
~~The Physical Plant Department does routine preventive maintenance based on importance, priority and available manpower. Maintenance is performed by the Physical Plant Department in response to requests made by individuals authorized to expend university funds. The Physical Plant Department will respond to the following categories of requests:~~

1. Routine Maintenance

~~2. Custodial Services~~

~~3. Special Services~~

~~4. Emergencies~~

~~2. Routine Maintenance. These requests should include anything of a normal nature that will not require emergency attention or alter the structure. Such requests include temperature control, minor plumbing or custodial problems, and minor electrical problems. Requests of this nature should be directed to the Physical Plant Department by telephone at 468-3206 or by submitting a request online through the computerized maintenance management system (AiM).~~

~~3. Custodial Services. Requests for custodial services beyond normal cleaning activities by custodial personnel should be directed to Custodial Services at 468-3905.~~

~~4. Special Services. Special Services are administered by the Physical Plant Department at 468-5107 and include move/event support, delivery services, disposal services and other services as needed.~~

~~5. Emergencies. These requests, in the opinion of the requester, require immediate action to prevent endangerment of life and/or property damage.~~

~~a. Broken water lines (inside or out)~~

~~b. Utilities off~~

~~c. Smell of natural gas or burning materials~~

~~d. Broken windows~~

~~e. Commodes overflowing~~

~~f. Water spills on floors~~

~~g. Hazardous conditions~~

~~Between the hours of 7 a.m. and 4 p.m. emergency requests should be reported immediately to the Physical Plant Department at 468-3206. All after hours emergencies should be reported immediately to the University Police Department at 468-2608.~~

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Physical Plant

Forms: None

Board Committee Assignment: Building and Grounds

POLICY SUMMARY FORM

Policy Name: Withdrawal without Financial Clearance

Policy Number: 6.22

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

Date of last revision, if applicable: 1/29/2013

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

Purpose of Policy (what does it do): Provides guidance on the sanctions related to leaving the university when the student owes the university money.

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

- 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 language to be consistent with what we actually do when a student owes the university money.

Specific rationale for deletion of policy:

Additional Comments:

Withdrawal without Financial Clearance

Original Implementation: October 26, 1978

Last Revision: ~~January 29, 2013~~ January 26, 2016

When students graduate, withdraw or otherwise leave the university, they must clear their financial ~~record~~ *obligations*, return university property and settle other financial matters with the university. Students failing to fulfill these obligations will be subject to sanctions until such time as the *financial record is obligations are* cleared. Sanctions will be imposed when a student does not return university property or is otherwise indebted to the university ~~beyond a minimal amount established by university administration for unpaid fines, etc.~~ Upon graduation or withdrawal, the university will apply the student's general deposit to any unpaid obligations on his/her business office student account. If the general deposit is sufficient to cover these obligations, no sanction will be imposed.

SANCTIONS:

1. The student will not be permitted to ~~re-enroll~~ *register for classes*.
2. The student will not be eligible to receive an official transcript of academic work completed.

PROCEDURES FOR IMPLEMENTATION:

When a student withdraws, notification will be sent by the registrar to:

- a. The dean of the appropriate academic college,
- b. The business office,
- c. The financial aid office,
- d. The housing office and
- e. The Ralph W. Steen Library.

Each department in which the student has a financial ~~deficiency~~ *obligation* requiring the imposition of sanctions will either notify the business office, citing the nature of the ~~deficiency~~ *financial obligation*, or will place a registration and transcript hold on the student's record. It will be the student's responsibility to contact the appropriate office to clear his/her record. These offices will then release the hold or notify the registrar's office once the ~~deficiency~~ *financial obligation* has been resolved.

The ~~registrar~~ *university* will impose sanctions specified in the policy until the student's ~~record~~ *financial obligations is-are* cleared. *Delinquent accounts will be handled in accordance with the university's policies and procedures.*

Cross Reference: ~~General Bulletin, Graduate Bulletin~~ *Student Accounts Receivable (3.28)*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller, Registrar

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Worker's Compensation Coverage

Policy Number: 12.23

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

Date of last revision, if applicable: 11/28/2012

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

Purpose of Policy (what does it do): Provide injured employees and departments injury/incident documentation and Worker's Compensation claim information and timeline limitations

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

Scheduled Review Change in law Response to audit finding
 Internal Review Other, please explain: SORM form titles are changing, a new reporting 24 hour quick link has been added.

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Provides departments with a timeline for reporting injuries and incidents so as not to miss SORM claim deadlines. Requires the supervisor to accompany the injured so the information and requirements given to the employee at the time they file the claim is understood by both parties. Deletes specific document numbers to accommodate SORM changes.

Specific rationale for deletion of policy:

Additional Comments:

Workers Compensation Coverage

Original Implementation: September 1, 1975

Last Revision: ~~January 29, 2013~~ January 26, 2016

All employees of the university are covered by the State Employees Worker's Compensation Act. All claims for benefits under this coverage are processed by the safety officer in the Environmental Health, Safety, and Risk Management Department. All injuries or accidents involving university employees in the course and scope of their assigned duties shall be reported on an ~~"Employee's First Report of Injury or Illness" (SORM 29)~~, *the Accident/Injury 24 Hour Report Quick Link located on the safety website to document the incident. If a claim is necessary, then the injured employee, accompanied by their supervisor, will file the required SORM paperwork with the safety officer, EHS&RM Department, 430 E. Austin Street, extension 4514. The safety officer will file the ~~DWC-1S form and~~ all required reports with the State Office of Risk Management, Workers' Compensation Division electronically.*

Responsibility for the timely reporting of on-the-job injuries rests jointly with the employee and his/her supervisor. All incidents must be reported ~~immediately~~ *within 24 hours or as soon as possible. If work is missed or immediate medical attention is required, the claim must be processed within 24 hours. Once an injury is reported, the employee has 30 days to obtain medical treatment. No claim is valid if reported more than 30 days after the incident.*

Employees unable to work due to a worker's compensation injury, are required to use their accrued sick leave. If all accrued sick leave is exhausted before the employee is ~~allowed~~ *approved to return to work by a certified Worker's Compensation Physician, the employee has the option of using all or a portion of their accrued vacation leave by completing the SORM 80 form (available in the Environmental Health, Safety and Risk Management Department).* If the employee has exhausted all sick leave and the elected amount of vacation, the employee's status will be leave without pay (LWOP). Once an employee's status is leave without pay (LWOP), the employee must submit a written request to the university president for a leave of absence (LOA). ~~The leave of absence cannot exceed a 12-month period from the beginning of their Family and Medical Leave Act (FMLA) leave~~ *See Leave of Absence (Faculty and Staff), policy 12.11. FMLA leave runs concurrently with leave taken for a worker's compensation injury.*

Additional information is available from the safety officer in the Environmental Health, Safety and Risk Management Department.

Cross Reference: Family and Medical Leave (12.9); Leave of Absence (~~Non-Academic Faculty and Staff~~) (12.121); Tex. Lab. Code ~~§~~ Ch. 501; Tex. Gov't Code § 661.909

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Environmental Health, Safety, and Risk Management Department

Forms: ~~Employee's First Report of Injury or Illness (SORM-29); Election Form (SORM-80)~~*Accident/Injury 24 Hour Quick Link*

Board Committee Assignment: Academic and Student Affairs