

# **Stephen F. Austin State University**

## **MINUTES OF THE BOARD OF REGENTS**



**Nacogdoches, Texas  
January 27 – 29, 2019  
Volume 322**

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**Stephen F. Austin State University  
Minutes of the Meeting of the Board of Regents  
Nacogdoches, Texas  
January 27, 28 and 29, 2019  
Austin Building 307  
Meeting 322**

**Sunday, January 27, 2019**

The regular meeting of the Board of Regents was called to order in open session at 2:30 p.m. on Sunday, January 27, 2019, by Chair Brigittee Henderson.

**PRESENT:**

Board Members:                   Mr. Brigittee Henderson, Chair  
  Mr. David Alders  
  Mrs. Nelda Blair  
  Dr. Scott Coleman  
  Mrs. Karen Gantt  
  Mr. Bob Garrett  
  Mr. Tom Mason  
  Mr. Ken Schaefer  
  Ms. Kate Childress, student member

Interim President:               Dr. Steve Westbrook

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

Interim Vice President:        Dr. Adam Peck

General Counsel:                Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regent Alton Frailey was unable to attend the meeting.

**BOARD ORDER 19-13**

Upon motion by Regent Garrett, seconded by Regent Schaefer, with all members voting aye, the Board of Regents ordered that the following agenda item be approved:

**APPROVAL OF THE SFA CHARTER SCHOOL 2017-2018 AUDITED FINANCIAL STATEMENTS**

The Board of Regents approved the August 31, 2018, SFA Charter School audit financial statements, as presented.

The chair called for an executive session at 3:00 p.m. to consider the following items:

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

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

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

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

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

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

The executive session ended at 7:52 p.m. The Board of Regents meeting returned to open session

#### **BOARD ORDER 19-14**

Upon motion by Regent Blair, seconded by Regent Alders, with all members voting aye, the Board of Regents ordered that the following agenda item be approved:

#### **SELECTION OF PRESIDENTIAL SEARCH FIRM**

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

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

The board meeting was recessed for the evening at 7:55 p.m.

## **Monday, January 28, 2019**

The regular meeting of the Board of Regents was called to order in open session at 8:04 a.m. on Monday, January 28, 2019, by Chair Brigettee Henderson.

### **PRESENT:**

Board Members:                    Mr. Brigettee Henderson, Chair  
   Mr. David Alders  
   Mrs. Nelda Blair  
   Dr. Scott Coleman  
   Mrs. Karen Gantt  
   Mr. Bob Garrett  
   Mr. Tom Mason  
   Mr. Ken Schaefer  
   Ms. Maggie Wright, student member

Interim President:                Dr. Steve Westbrook

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

Interim Vice-President:        Dr. Adam Peck

General Counsel:                Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regent Alton Frailey was unable to attend the meeting.

*The board recessed at 8:05 a.m. for committee meetings. The Building and Grounds Committee convened at 8:05 a.m. and adjourned at 8:36 a.m. The Finance and Audit Committee convened at 8:36 am and adjourned at 10:59 a.m. The Academic and Student Affairs Committee convened at 10:59 a.m. and adjourned at 11:30 a.m.*

The meeting recessed for lunch at 11:30 a.m. and reconvened at 3:25 p.m. The chair immediately called for an executive session to consider the following items:

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

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

Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations (Texas

Government Code, Section 551.073)

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

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

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

The executive session ended at 5:30 p.m. The Board of Regents meeting returned to open session and recessed for the evening with no further action.

## **Tuesday, January 29, 2019**

The regular meeting of the Board of Regents was called to order in open session at 9:03 a.m. Tuesday, January 29, 2019, in the Austin Building Board Room by Chair Brigettee Henderson.

### **PRESENT:**

Board Members:                    Mr. Brigettee Henderson, Chair  
   Mr. David Alders  
   Mrs. Nelda Blair  
   Dr. Scott Coleman  
   Mr. Alton Frailey  
   Mrs. Karen Gantt  
   Mr. Bob Garrett  
   Mr. Tom Mason  
   Mr. Ken Schaefer  
   Ms. Maggie Wright, student member

Interim President:                Dr. Steve Westbrook

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

Interim Vice-President:        Dr. Adam Peck

General Counsel:                Mr. Damon Derrick

Other SFA administrators, staff, and visitors

SFA ROTC Cadet Jareck White led the pledges to the flags and Regent Henderson led those in attendance in a moment of silence in memory of Dr. Baker Pattillo.

## **RECOGNITIONS**

Dr. Peck introduced the members of the Freshman Leadership Academy and the Student Financial Advisors. Dr. Bullard recognized Dr. DawnElla Rust, Regents Professor for 2019. Dr. Westbrook introduced Major James Attaway to speak about the 50<sup>th</sup> Anniversary of the SFA ROTC. The 2018-19 Ladyjack Volleyball Team was congratulated on their Southland Conference Championship and their NCAA Tournament bid. Dr. David Campo announced that the Lumberjack Marching Band will visit Rome, Italy in January of 2021. Dr. Westbrook recognized the outgoing board members, David Alders, Bob Garrett, and Ken Schaefer.

## **APPROVAL OF MINUTES**

### **BOARD ORDER 19-15**

Upon motion by Regent Coleman, seconded by Regent Frailey, with all members voting aye, it was ordered that the minutes of the October 28 and 29, 2018, October 30, 2018, December 14, 2018, and January 16, 2019, board meetings be approved as presented.

## **PERSONNEL**

### **BOARD ORDER 19-16**

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

### **FACULTY APPOINTMENTS**

The following faculty appointments were approved.

#### **COLLEGE OF EDUCATION**

Yuan He, Ph.D. (Nanjing Normal University), Assistant Professor of Elementary Education, at an academic year salary of \$44,000 for 100 percent time, effective November 1, 2018.

#### **COLLEGE OF FORESTRY AND AGRICULTURE**

Jessica Glasscock, M.S. (Sul Ross University), Instructor of Forestry, at an academic year salary of \$50,000 for 100 percent time, effective January 1, 2019.

#### **COLLEGE OF SCIENCES AND MATHEMATICS**

Timothy Nix, Ph.D. (Texas A & M University), Associate Professor of Computer Science, at an academic year salary of \$93,000 for 100 percent time, effective January 1, 2019.

Collin Timmons, M.S. (Stephen F. Austin State University), Lecturer of Physics, Engineering and Astronomy, at an academic year salary of \$44,000 for 100 percent time, effective September 1, 2018.

#### **LIBRARY**

Shannon Bowman, MLIS (University of Oklahoma), Librarian II, at an annual salary of \$47,000 for 100 percent time, effective November 1, 2018.

## STAFF APPOINTMENTS

The following staff appointments were approved:

### ACADEMIC AFFAIRS

Alisha Windham, Budget Analyst, at an annual salary of \$62,000 for 100 percent time, effective November 7, 2018.

### ATHLETICS

Freddie Banks, Assistant Football Coach, at an annual salary of \$45,000 for 100 percent time, effective December 17, 2018.

Kevin Bleil, Assistant Football Coach, at an annual salary of \$61,250 for 100 percent time, effective December 10, 2018.

Chance Chapman, Assistant Soccer Coach, at an annual salary of \$35,000 for 100 percent time, effective January 7, 2019.

Wendel Davis, Assistant Football Coach, at an annual salary of \$60,000 for 100 percent time, effective January 3, 2019.

Kincaid Faske, Assistant Football Coach, at an annual salary of \$55,000 for 100 percent time, effective December 8, 2018.

Nathaniel Johnson, Assistant Football Coach, at an annual salary of \$63,500 for 100 percent time, effective December 10, 2018.

Malcolm Kelly, Assistant Football Coach, at an annual salary of \$45,000 for 100 percent time, effective December 23, 2018.

Alex Luna, Assistant Volleyball Coach, at an annual salary of \$45,000 for 100 percent time, effective December 3, 2018.

Jared May, Assistant Football Coach, at an annual salary of \$61,250 for 100 percent time, effective December 8, 2018.

Brian Natkin, Assistant Football Coach, at an annual salary of \$70,000 for 100 percent time, effective December 14, 2018.

Scott Power, Assistant Football Coach, at an annual salary of \$112,500 for 100 percent time, effective December 8, 2018.

Matthew Storm, Assistant Football Coach, at an annual salary of \$112,500 for 100 percent time, effective December 8, 2018.

#### DEVELOPMENT

Rayburn Mitchum, Development Officer II, at an annual salary of \$65,000 for 100 percent time, effective October 8, 2018.

#### INFORMATION TECHNOLOGY SERVICES

Taylor Day, Programmer/Analyst I, at an annual salary of \$41,000 for 100 percent time, effective January 14, 2019.

Michael Deruiter, Programmer/Analyst I, at an annual salary of \$41,000 for 100 percent time, effective January 14, 2019.

Justin Mlinar, Programmer/Analyst I, at an annual salary of \$41,000 for 100 percent time, effective January 14, 2019.

#### RESIDENCE LIFE

Jacqueline Conde, Hall Director, at an annual salary of \$30,330 for 100 percent time, effective January 7, 2019.

#### STUDENT ENGAGEMENT

Benjamin Tucker, Student Engagement Coordinator, at an annual salary of \$37,000 for 100 percent time, effective November 7, 2018.

#### UNIVERSITY POLICE DEPARTMENT

John Fields, Chief of Police, at an annual salary of \$110,000 for 100 percent time, effective January 21, 2019.

Craig Goodman, Assistant Chief of Police, at an annual salary of \$90,000 for 100 percent time, effective January 2, 2019.

#### CHANGES OF STATUS

The following changes of status were approved:

#### ACADEMIC AFFAIRS

Sahitya Neeli, from Research Analyst in Institutional Research, at an annual salary of \$57,413 for 100 percent time, to Senior Research Analyst at an annual salary of \$57,413 for 100 percent time, effective January 1, 2019.



Katelyn Childress, from Graduate Assistant in Student Affairs Programming at an academic year salary of \$10,125 for 50 percent time, to Coordinator of Student Success in the Student Success Center at an annual salary of \$43,000 for 100 percent time, effective January 1, 2019.

#### ATHLETICS

Cody Clark, from Assistant Track Coach at an 11-month salary of \$32,518 for 100 percent time, to Assistant Track Coach with a change in job assignment at an 11-month salary of \$53,500 for 100 percent time, effective October 1, 2018.

Michael Courtney, from Assistant Track Coach at an annual salary of \$52,450 for 100 percent time, to Assistant Track Coach with a change in job assignment at an annual salary of \$41,972 for 100 percent time, effective September 1, 2018.

Ashley Schevers, from Assistant Soccer Coach at an annual salary of \$33,000 for 100 percent time, to Assistant Soccer Coach with a change in job assignment at an annual salary of \$35,000 for 100 percent time, effective December 10, 2018.

#### COLLEGE OF LIBERAL AND APPLIED ARTS

Katie McLain, from Analyst in Human Resources at an annual salary of \$57,200 for 100 percent time, to Lecturer of Government at an academic year salary of \$40,000 for 100 percent time, effective January 1, 2019.

#### CONTROLLER'S OFFICE

Dedra Michalowski, from Clerk II at an annual salary of \$31,848 for 100 percent time, to Accountant II at an annual salary of \$47,000 for 100 percent time, effective January 1, 2019.

#### FINANCE AND ADMINISTRATION

Jessica Barrett, from Budget Analyst at an annual salary of \$70,003 for 100 percent time, to Budget Director at an annual salary of \$115,000 for 100 percent time, effective December 1, 2018.

#### INFORMATION TECHNOLOGY

Tristan Adams, from Programmer/Analyst III at an annual salary of \$61,395 for 100 percent time, to Manager of ITS Development at an annual salary of \$72,800 for 100 percent time, effective October 1, 2018.

Michael Carmical, from Programmer/Analyst I at an annual salary of \$40,448 for 100 percent time, to Programmer/Analyst II at an annual salary of \$46,058 for 100 percent time, effective January 1, 2019.

William Croft, from System Programmer II at an annual salary of \$63,621 for 100 percent time, to Systems Programmer III at an annual salary of \$66,150 for 100 percent time, effective November 1, 2018.

Daniel Davis, from Programmer/Analyst II at an annual salary of \$47,840 for 100 percent time, to Programmer/Analyst III at an annual salary of \$54,080 for 100 percent time, effective October 1, 2018.

Tracey Foster, from Programmer/Analyst IV at an annual salary of \$72,013 for 100 percent time, to Manager of IT Applications at an annual salary of \$78,013 for 100 percent time, effective October 1, 2018.

Charles Fox, from Programmer/Analyst I at an annual salary of \$40,058 for 100 percent time, to Programmer/Analyst II at an annual salary of \$46,058 for 100 percent time, effective October 1, 2018.

Joseph Jacobs, from Network Support Specialist I at an annual salary of \$45,000 for 100 percent time, to Network Support Specialist II at an annual salary of \$48,000 for 100 percent time, effective November 1, 2018.

Travis Killen, from Systems Programmer II at an annual salary of \$63,621 for 100 percent time, to Manager ITS Systems at an annual salary of \$70,000 for 100 percent time, effective October 1, 2018.

Stacy Little, from Programmer/Analyst II at an annual salary of \$46,800 for 100 percent time, to Programmer/Analyst III at an annual salary of \$54,080 for 100 percent time, effective January 1, 2019.

Kreg Mosier, from Manager of Library Web Services at an annual salary of \$63,660 for 100 percent time, to Programmer II Systems at an annual salary of \$63,660 for 100 percent time, effective December 1, 2018.

Cathy Rhodes, from Senior Specialist Security Access at an annual salary of \$50,792 for 100 percent time, to Analyst Identity Management III at an annual salary of \$54,590 for 100 percent time, effective December 1, 2018.

Karrie Roberson, from Administrator of Library Database at an annual salary of \$55,120 for 100 percent time, to Systems Programmer I at an annual salary of \$55,120 for 100 percent time, effective December 1, 2018.

Scott Speichert, from Database Administrator III at an annual salary of \$67,466 for 100 percent time, to Manager of Database Administration at an annual salary of \$73,500 for 100 percent time, effective November 1, 2018.

Brandon Stringfield, from Specialist II at an annual salary of \$69,000 for 100 percent time, to Interim Chief Information Security Officer at an annual salary of \$69,000 for 100 percent time

with an additional stipend of \$1,000 per month for 10 months for interim duties, effective November 1, 2018.

Henry Wiederhold, from Systems Programmer I at an annual salary of \$52,250 for 100 percent time, to Systems Programmer II at an annual salary of \$55,250 for 100 percent time, effective November 1, 2018.

Tracy Wilbanks, from Specialist Security Access at an annual salary of \$44,359 for 100 percent time, to Analyst Identity Management II at an annual salary of \$45,200 for 100 percent time, effective September 1, 2018.

#### PHYSICAL PLANT

John Branch, from Senior Associate Athletic Director External Affairs at an annual salary of \$83,585 for 100 percent time, to Assistant Director at an annual salary of \$83,585 for 100 percent time, effective January 1, 2019.

Jeffrey Ghiringhelli, from Assistant Director at an annual salary of \$81,838 for 100 percent time, to Associate Director at an annual salary of \$86,000 for 100 percent time, effective January 1, 2019.

#### STUDENT AFFAIRS

Lacey Folsom, from Director of Office of Student Engagement at an annual salary of \$61,400 for 100 percent time, to Interim Assistant Dean Student Affairs Programs at an annual salary of \$61,400 for 100 percent time, with an additional stipend of \$1,000 per month for three months for interim duties, effective November 14, 2018.

Hollie Gammel Smith, from Assistant Dean at an annual salary of \$82,742 for 100 percent time, to Interim Dean of Student Affairs at an annual salary of \$82,742 for 100 percent time, with an additional stipend of \$1,500 per month for three months for interim duties, effective November 14, 2018.

Adam Peck, from Dean of Student Affairs and Assistant Vice President at an annual salary of \$121,245 for 100 percent time, to Interim Vice President for University Affairs at a salary of \$121,245 for 100 percent time, with an additional stipend of \$2,500 per month for three months, effective November 14, 2018.

#### TITLE IX COMPLIANCE

Melissa Turner, from Career Coordinator at an annual salary of \$36,400 for 100 percent time, to Compliance Specialist at an annual salary of \$47,000 for 100 percent time, effective October 6, 2018.

## UNIVERSITY POLICE DEPARTMENT

Marcus Madden, from Lieutenant at an annual salary of \$62,367 for 100 percent time, to Interim Assistant Chief at an annual salary of \$62,367 for 100 percent time with an additional stipend of \$1,000 per month for four months, effective September 1, 2018.

## RETIREMENTS

The following retirements were accepted:

Chris Barker, Associate Professor of Geology, effective December 31, 2018, with 20 years of service.

Jack Ethridge, Professor of Accounting, effective December 31, 2018, with 35 years of service.

David Justus, ITS Compliance Coordinator, effective October 31, 2018, with 27 years of service

Donna Mettier, ITS Programmer/Analyst III, effective December 31, 2018, with 10 years of service.

## ACADEMIC AND STUDENT AFFAIRS

### **BOARD ORDER 19-17**

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

### ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 1:

- Affirmative Action 11.1
- Continuing Education 5.3
- Course Add/Drop 6.10
- Course Grades 5.5
- Curriculum Reviews, Modifications and Approvals 5.7
- Discontinuance of Program or Academic Unit 5.9
- Discrimination Complaints 2.11
- Effort Reporting and Certification for Sponsored Activities 8.1
- Employee Affirmative Action/Recruitment Plan 11.9
- Facilities and Administrative (Indirect) Cost Recovery, Distribution and Use 8.5
- Faculty Code of Conduct 7.11
- Faculty Compensation 12.6
- Faculty/Staff Athletic Ticket Purchases 12.8
- File Maintenance for Faculty Personnel Files 4.6
- Final Examination Scheduling 7.14
- Fixed Amount Awards 8.12

Grants and Contracts Administration 8.3  
Health and Safety 13.10  
Illicit Drugs and Alcohol Abuse 13.11  
Institutional Animal Care and Use Committee 8.6  
Mail Services 16.16  
Meeting and Conducting Classes 7.18  
Payments to Human Research Subjects 8.8  
Return to Work 11.24  
Satisfactory Academic Progress for Financial Aid Recipients 6.16  
Selection of President, General Counsel, Chief Audit Executive and Coordinator  
of Board Affairs 1.7  
Student Medical Appeal 6.24 NEW  
Telecommuting 11.27 NEW  
Vacation Leave 12.21

## **BUILDING AND GROUNDS**

### **BOARD ORDER 19-18**

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

#### **NAMING OF THE REX ENGELHARDT LABORATORY ON THE FIRST FLOOR, ED AND GWEN COLE SCIENCE, TECHNOLOGY, ENGINEERING AND MATHEMATICS (STEM) BUILDING (EXECUTIVE SESSION ITEM)**

WHEREAS, the board members considered the following: In accordance with Board Rules and Regulations and university policy 1.5, Naming Guidelines, buildings and other facilities may be named for persons, both living and deceased, who make a significant donation to the University. The Board will consider the appropriate naming of a laboratory located on the first floor of the Ed and Gwen Cole Science, Technology, Engineering and Mathematics (STEM) Building located at 1720 Clark Boulevard, which houses the College of Sciences and Mathematics STEM programs on the campus of Stephen F. Austin State University.

THEREFORE, it was ordered that the laboratory (Room 111) located on the first floor of the Ed and Gwen Cole STEM Building on the campus of Stephen F. Austin State University be named the Rex Engelhardt Laboratory and that the following resolution be adopted:

Whereas, Rex W. Engelhardt was raised in Waxahachie, Texas, and attended Stephen F. Austin State University where he was a Lumberjack football player in 1982 and 1983; and

Whereas, during his college career, he was a member of the Delta Sigma Phi fraternity; and

Whereas, in December 1986, Engelhardt received a bachelor of business administration degree in finance from Stephen F. Austin State University; and

Whereas, he was part owner of Documation, a company specializing in copiers and document management, whose name was changed in 2017 to UBEO and was purchased by private equity in early 2018; and

Whereas, Rex Engelhardt has faithfully served and continues to serve Stephen F. Austin State University with distinction and honor as a dedicated alum; and

Whereas, in his loyal dedication to SFA and his generous spirit of service and standards of excellence, he is setting a distinguished example for others;

Now, therefore, let it be resolved, the Board of Regents expresses its admiration, gratitude and high regard for Rex Engelhardt by naming Room 111 situated on the first floor of the Ed and Gwen Cole STEM Building the **Rex Engelhardt Laboratory**.

#### **BOARD ORDER 19-19**

Upon motion by Regent Garrett, seconded by Regent Blair, with all members voting aye, it was ordered that the following building and grounds affairs items be approved.

#### **WALTER C. TODD AGRICULTURAL RESEARCH CENTER LIVESTOCK FACILITY ARCHITECTURAL DESIGN**

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

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

THEREFORE, it was ordered that an architectural firm be selected from the current pool of Indefinite Delivery/Indefinite Quantity (IDIQ) architects to design the facility.

#### **INDEFINITE DELIVERY/INDEFINITE QUANTITY ENGINEERING SERVICES CONTRACTS**

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

THEREFORE, it was ordered that the firms listed below be selected for negotiation of contracts for one year with the option to renew for two additional one year periods with the fee structure to be

negotiated annually and subject to administrative approval. The president was authorized to sign purchase orders and any associated contract documents.

Campos Engineering Inc.

Estes McClure & Associates Inc.

Jones DBR Engineering Company LLC

Purdy-McGuire Inc.

Two Fifteen Consulting LLC

## **APPROVAL OF BUILDING AND GROUNDS POLICY REVISIONS**

The Board of Regents adopted the following policy revisions as presented in Appendix 1:

Issuance and Control of Campus Keys 14.7

Markers and Monuments 16.17

Norton HPE Complex 16.18

Smoking, Vaping and Use of Tobacco Products 13.21

Student Center Operations 16.26

Space Assignment, Management, and Planning 16.3

Telecommunication Services 16.28

Work Requests 16.37

## **FINANCIAL AFFAIRS**

### **BOARD ORDER 19-20**

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

### **ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT**

The Board of Regents acknowledged receipt of the audit services report as presented including the following:

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

### **APPROVAL OF THE 2017-18 ANNUAL FINANCIAL REPORT**

WHEREAS, the board members considered the following: As required by state law, Stephen F. Austin State University submitted the August 31, 2018, Annual Financial Report on November 20, 2018, to the Office of the Governor, Comptroller of Public Accounts, Legislative Budget

Board, Texas Higher Education Coordinating Board, Legislative Reference Library, Texas State Library and Texas State Auditor's Office. The report reflected the university's financial activities for the period September 1, 2017, through August 31, 2018.

THEREFORE, the Board of Regents approved the Stephen F. Austin State University 2017-18 annual financial report.

#### **BOARD ORDER 19-21**

Upon motion by Regent Frailey, seconded by Regent Alders, with all members voting aye, it was ordered that the following financial affairs item be approved.

#### **CHANGES IN COURSE FEES FOR FY2019-20**

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 changes in course and lab fees for fiscal year 2019-20 as presented in Appendix 2 be approved.

#### **BOARD ORDER 19-22**

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

#### **APPROVAL OF FY2019-20 BOARD RATES**

Whereas, the board members considered the following: Projected food service operating costs support the need for revised board rates for the 2019-20 fiscal year.

Pursuant to the relevant provisions of our food service contract, the administration and Aramark annually negotiate necessary rate increases for the upcoming fiscal year. Our contract uses the percentage increase in the Food and Beverage element of the Consumer Price Index (CPI) published by the Bureau of Labor Statistics, U.S. Department of Labor, for urban consumers ("CPI-U") in the South as a benchmark for any rate increase considered.

The proposed board rates for 2019-20 are presented following and reflect a 2.1% increase in the board plans. These revised rates will become effective for the fall semester of 2019.

Therefore, it was ordered that there be a 2.1% increase for Aramark services for FY2019-20 as presented below.



Meal Plans (rates include sales tax)

Campus Resident	All Access Premium w/\$275 \$2,002	All Access w/\$50 \$1,800	7/14 Premium w/\$350 \$1,955	Basic 7/14 w/\$125 \$1,753
Commuter	7/5 w/\$100 \$740	50 Block w/\$100 \$489	25 Block w/\$100 \$309	\$325 DD \$325
Summer Resident	7/14 w/\$75 \$644	7/20 w/\$50 \$805		
Summer Commuter	50 Block w/\$100 \$489	25 Block w/\$100 \$309		\$325 DD \$325

**BOARD ORDER 19-23**

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

**DESIGNATED TUITION INCREASE FOR FY2019-20**

WHEREAS, the board members considered the following: To support academic delivery and operations, the administration proposes a designated tuition increase. The proposed increase will be used to support a faculty and staff salary pool.

THEREFORE, it was ordered that a \$12 per semester credit hour designated tuition increase begin in fiscal year 2019-20.

**FIXED-RATE TUITION INCREASE FOR FY2019-20**

WHEREAS, the board members considered the following: Texas Education Code (TEC) 54.017 provides the opportunity for entering undergraduate or transfer undergraduate students the opportunity to select a fixed-rate tuition plan (FRTP) under which the institution agrees not to increase tuition charges per semester credit hour for a participating student for at least the first 12 consecutive semesters that occur after the date of the student's initial enrollment at any public or private institution of higher education. Under the FRTP arrangement, a student who selects the plan pays a premium to freeze tuition costs for the term of the plan. The legislative requirement to offer a fixed-cost option applies to tuition only.

THEREFORE, it was ordered that designated tuition be increased to \$233 per semester credit hour for eligible students who enter the university in the fall 2019 semester and who wish to enter into a fixed-rate tuition plan.

**BOARD ORDER 19-24**

Upon motion by Regent Frailey, seconded by Regent Alders, with all members voting aye, it was ordered that the following financial affairs item be approved.

**APPROVAL TO WAIVE CERTAIN STUDENT RECREATION CENTER AND STUDENT CENTER FEES FOR SUMMER STUDY ABROAD STUDENTS**

WHEREAS, the board members considered the following: The Board of Regents has waived the recreation center and student center fees for online-only students. Similarly, students who enroll in summer semester programs that are outside the country do not have access to the recreation and student centers.

THEREFORE, it was ordered that the Recreational Sports Fee and Student Center Fee be waived for study abroad students who participate in semester-long study abroad programs in Maymester, Summer I, and Summer II semesters.

**BOARD ORDER 19-25**

Upon motion by Regent Frailey, seconded by Regent Alders, with all members voting aye, it was ordered that the following financial affairs item be approved.

**RESOLUTION TO ACKNOWLEDGE REVIEW OF THE 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 acknowledges the board's annual review of Policy 3.21, Investments. Policy 3.21 is included in the policy revisions.

Therefore, it was ordered that the Resolution to Acknowledge Review of Investment Policy and Strategy be adopted.

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

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

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on January 29, 2019, and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 29, 2019 meeting of the board.

**BOARD ORDER 19-26**

Upon motion by Regent Frailey, seconded by Regent Alders, with all members voting aye, it was ordered that the following financial affairs items 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.

Therefore, it was ordered that the following resolution of the financial institutions, investment managers and brokers be adopted.

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

WHEREAS, the following firms are approved investment brokers:

Texas A&M University State System  
Bank of America

WHEREAS, the following firms are approved financial institutions:

Citizens 1st Bank  
Austin Bank  
BancorpSouth Bank  
Bank of America  
Commercial Bank of Texas NA  
Southside Bank (formerly First Bank and Trust)  
Regions Bank  
Regions Morgan Keegan Trust  
Huntington State Bank  
Wells Fargo  
US Bank  
Texas Bank  
Texpool  
Texpool Prime  
Texstar  
Texas Class  
Texas Term  
JPMorgan Chase & Co  
Wilmington Trust, N.A.  
UBS Financial Services Inc.

FTN Financial Capital Markets  
Stephens Inc.  
Drexel Hamilton, LLC  
Deutsche Bank Securities Inc.  
Bayerische Landesbank  
Societe Generale  
Citigroup Global Markets, Inc.  
Societe Generale  
Deutsche Bank Securities, Inc.  
Citigroup Global Markets, Inc.  
Natixis Funding Corporation  
Bayerische Landesbank  
Barclays Bank PLC  
Bank of Tokyo-Mitsubishi  
Goldman Sachs & Co LLC  
Massachusetts Mutual Life Insurance Co.  
Morgan Stanley  
RBC Capital Markets LLC  
Sumitomo Mitsui Banking Corp  
CIBC  
Wells Fargo Bank, 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 29, 2019 meeting of the board.

#### TEXPOOL INVESTMENTS AUTHORIZED REPRESENTATIVES

WHEREAS, the university uses TexPool as an investment entity for public fund investments. As a result of university administrative changes, a resolution is necessary to amend authorized institutional representatives. A resolution is presented that revises university authorized investment signatories.

THEREFORE, the Texpool Resolution Amending Authorized Representatives in Appendix 3 was adopted.

#### GRANT AWARDS RATIFICATION

WHEREAS, the board members considered the following: In fiscal year 2019, the university received multi-year grant awards totaling \$8,434,097. Of that total, grants awarded allocable to fiscal year were \$4,939,336, an increase of \$1,457,737 since the last report.

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

THEREFORE, it was ordered that the grant awards for fiscal year 2019 that total \$1,457,737 be approved and ratified. The grant awards are detailed in Appendix 4.

#### **BOARD ORDER 19-27**

Upon motion by Regent Frailey, seconded by Regent Coleman, with all members voting aye, it was ordered that the following financial affairs item be approved.

#### **COMMENCEMENT CHAIRS AND EQUIPMENT PURCHASE**

WHEREAS, the board members considered the following: The university has had increases in its graduating classes for a number of years. To accommodate the number of graduates and visitors, the university began holding two graduation ceremonies for each fall and spring graduating class. The commencement chairs and equipment are old and need to be replaced.

In July 2018, the Board of Regents approved replacement of the chairs and equipment at a cost not to exceed \$105,330. Vendor prices increased from the original price quote, and the department reexamined the order. In the reexamination process, the department selected chairs that are more durable and have higher safety requirements. Consequently, additional funds of \$29,670 are needed.

THEREFORE, it was ordered that the commencement chairs and equipment purchase be approved using the higher education fund (HEF) in the amount of \$105,330, and pledged auxiliary funds in the amount of \$29,670, with a total amount not to exceed \$135,000. The president was authorized to sign associated contracts and purchase orders that total \$100,000 or more.

#### **BOARD ORDER 19-28**

Upon motion by Regent Frailey, seconded by Regent Mason, with all members voting aye, it was ordered that the following financial affairs item be approved.

#### **APPROVAL OF FINANCIAL AFFAIRS POLICY REVISIONS**

The Board of Regents adopted the following policy revisions as presented in Appendix 1:

- Investments 3.21
- Investments – Endowment Funds 3.20
- Moving Expenses 3.23
- Procurement Card 17.11
- Receipts and Deposits 3.26
- Student Accounts Receivable 3.28
- Withdrawal without Financial Clearance 6.22

## **REPORTS**

Dr, Steve Westbrook, interim president, reported to the regents on the following topics:

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

Dr. Jason Reese, faculty senate chair, gave a report on the following topics:

- Faculty Senate Activities
- Faculty Accomplishments

Mr. Jeffrey Agouna Deciat, SGA president, gave a report on the following topics:

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

Chair Henderson called for a report from the nominating committee appointed at the October 2018 meeting. Scott Coleman, chair, reported on behalf of the committee, which also included Tom Mason and Ken Schaefer. The following officers were nominated to serve during 2019-2020, assuming a new term of office on April 30, 2019:

Brigettee Henderson, Chair

Alton Frailey, Vice Chair

Nelda Blair, Secretary

### **BOARD ORDER 19-29**

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

The meeting was adjourned by Chair Henderson at 11:17 a.m.

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Selection of President, General Counsel, Chief Audit Executive, and Coordinator of Board Affairs

**Policy Number:** 1.7

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

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

**Unit(s) Responsible for Policy Implementation:** President

**Purpose of Policy (what does it do):**

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

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

☐ Internal Review ☐ Other, please explain:

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:**

**Specific rationale for deletion of policy:** Duplicates material already contained in Board Rules and Regulations.

*Additional Comments:*

Reviewers:

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

**~~Selection of President, General Counsel, Chief Audit Executive, and  
Coordinator of Board Affairs~~** (Policy to be Deleted)

**~~Original Implementation:~~** April 26, 1975

**~~Last Revision:~~** January 26, 2016

~~The Board of Regents selects the president, the general counsel, the chief audit executive, and the coordinator of board affairs annually when the budget is passed.~~

**~~Cross Reference:~~** Board of Regents Rules and Regulations

**~~Responsible for Implementation:~~** President

**~~Contact for Revision:~~** President

**~~Forms:~~** None

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



STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Discrimination Complaints

**Policy Number:** 2.11

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

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

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

**Purpose of Policy (what does it do):** Provides guidelines for filing a discrimination complaint, investigating a complaint and appealing the findings of a discrimination complaint.

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

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

☐ Internal Review      ☐ Other, please explain:

*Please complete the appropriate section:*

**Specific rationale for new policy:** Not applicable

**Specific rationale for each substantive revision:** Changes were made to the investigation process, the process for identifying appeal board members and presenting information before the appeal board to ensure objectivity and an open process.

**Specific rationale for deletion of policy:** Not applicable

*Additional Comments:*

Reviewers:

Loretta C. Doty, Director of Human Resources  
Dr. Steve Westbrook, Acting President  
Damon Derrick, General Counsel

## Discrimination Complaints

**Original Implementation:** September 1990/February 2, 1982

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

### General Policy Guidelines

#### Purpose:

*This policy affirms Stephen F. Austin State University's intent to provide an educational and working environment free of unlawful discrimination or harassment to all members of the university community. This policy applies to visitors, applicants for admission to or employment with the university, ~~and~~ students, and employees of the university who allege discrimination by university employees, students, visitors, or contractors.*

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

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

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

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

## Definitions

***Complaint*** means a signed document or a communication submitted electronically from an account assigned to complainant alleging discrimination under this policy.

***Complainant*** means a person who submits a written complaint alleging discrimination under this policy. As there may be more than one complainant in an unlawful discrimination case, the term "complainant" as used herein shall refer to one or more complainants. In the event of a third party charge, the university may serve as the complainant.

**Discrimination** is defined as conduct directed at a specific individual or a group of identifiable individuals that subjects the individual or group to treatment that adversely affects their employment or education because of their race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age, disability, genetic information, citizenship, or veteran status.

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

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

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

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

## General

**~~Non-discrimination Statement:~~** *It is the policy of Stephen F. Austin State University, in accordance with federal and state law, to prohibit unlawful discrimination on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status. Unlawful*

*discrimination based on sex includes discrimination defined as sexual harassment. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression. Stephen F. Austin State University is committed to the principles of Equal Employment Opportunity (EEO) law. An employee who violates this policy is subject to disciplinary action up to and including termination. A student that violates this policy is subject to disciplinary action up to and including expulsion.*

*The president or designee will be responsible for overseeing this policy and procedures and for ensuring compliance with EEO laws. The human resources director or designee will annually review all personnel policies and procedures to ensure compliance with EEO laws and present any recommendations for changes to the president. All employment related documents will be maintained in accordance with the university's Texas State Record Retention Schedule.*

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

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

#### **Procedures**

#### **Reporting:**

A person who believes that he or she has been subjected to any type of discrimination should report the incident to any university official, administrator, or supervisor. Students are encouraged to report such incidents to the dean of student affairs. Employees and visitors are encouraged to report to the director of human resources. Reports of sexual harassment or other forms of sexual misconduct should be reported in accordance with the Sexual Misconduct policy (2.13). Incidents should be reported as soon as possible after the time of their occurrence. No person is required to report discrimination to the alleged offender. Any allegations of sex--based discrimination may also be directed to the attention of the Title IX coordinator; allegations of disability-based discrimination may also be directed to the ADA coordinator but will be investigated in accordance with this policy.

#### **Referral Responsibility:**

Every supervisor, administrator, department head, and university official is responsible for promptly reporting incidents of discrimination that come to his or her attention to the appropriate university official. Student-to-student complaints should be reported to the dean of student affairs. All other complaints should be reported to the director of human resources. Any allegations of sex--based discrimination may also be directed to the attention of the Title IX coordinator and allegations of disability-based discrimination may also be referred to the ADA coordinator but will be

investigated in accordance with this policy. Every attempt should be made to keep the information confidential and restricted to only those who have an absolute need to know.

## **Complaint Resolution Procedures**

### **Definitions**

**Complaint** means a signed document alleging discrimination under this policy.

**Complainant** means a person who submits a written complaint alleging discrimination under this policy. As there may be more than one complainant in an unlawful

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

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

### **Complaint Procedure**

**Complaint:** A complaint alleging discrimination or harassment must be submitted in writing. The complaint must contain the following information:

- Name of the complainant;
- Contact information, including address, telephone number, email address;
- Name of person(s) directly responsible for alleged violations(s);
- Date(s) and place(s) of alleged violation(s);
- Nature of alleged violation(s) as defined in this policy;
- Detailed description of the specific conduct that is the basis of alleged violation(s);
- Copies of documents pertaining to the alleged violation(s);
- Names and contact information (if known) of any witnesses to alleged violation(s);
- Action requested to resolve the situation;
- Complainant's signature and date of filing;
- Any other relevant information.

**Time Limit:** *In some cases, the Equal Employment Opportunity Commission (EEOC) requires that a written* A written complaint should be filed within 180 calendar days of the occurrence of the alleged violation. Depending on the circumstances, the university may accept and investigate a complaint even if filed after 180 calendar days.

**Third Party Charge:** If a pattern of harassment appears to exist but no complainant files charges,

the university may file a third-party charge against an individual. Such charges will be handled with as much care and control as any other complaint so as to avoid acting on rumor or unjustified accusation.

### **Investigative Process for Employee and Third-Party Related Complaints**

~~The dean or director (or other An appropriate administrator) for the area involved~~ from within the division whereof the complaint was filed, but not within the unit involved will investigate, not as a representative of the complainant, but as an impartial party. *Notwithstanding, the university reserves the right to appoint an external investigator or investigator from a different division in its discretion. If the director is the direct supervisor of the respondent (accused), the vice president will assign an alternative director from within their division so the investigator is not investigating his or her own department.* The investigation shall normally be conducted within 20 business days from when the ~~investigation~~investigator is appointed to the dean or director. Case complexity will vary and the termination of the investigation will depend on case circumstances; however, the investigation will conclude under normal circumstances within 20 business days. It is incumbent upon the investigator ~~ing official to~~ document a reasonable justification for extending an investigation beyond 20 business days.

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

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

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

*Report of Findings and Recommendations:* The investigator is responsible for preparing a report responding to each allegation that the complainant has made. This report should describe the investigator's findings and conclusions to each allegation. The report should also include a brief overview of the investigative process including the category and number of individuals interviewed,

timelines, and a summary of each allegation. Finally, the report should contain the investigator's recommendations for resolution of the matter. This report should be addressed to the appropriate vice president (*or president if the complaint concerns a unit reporting directly to the president, or chair of the Board of Regents if the complaint concerns an employee reporting directly to the Board of Regents or a member of the Board of Regents*) with copies provided to the general counsel, the director of human resources, and the Title IX or ADA coordinator, as applicable.

The vice president/*president* shall review the findings and recommendations of the investigator and take such action deemed appropriate. Such action shall be communicated in a letter to the complainant and respondent with copies to the general counsel, director of human resources, and the Title IX or ADA coordinator, as applicable, ~~within~~ *within five (5) business days* of receipt from the investigator.

*Appeal Process:* If the decision of the vice president/*president* is not satisfactory to the complainant or respondent, that individual has five (5) business days in which to request a formal hearing of the discrimination complaint review board ("review board"). The request must be put in writing to the vice president/*president* issuing the decision. If the vice president/*president* concludes that the charges are serious enough to require termination or suspension, the faculty or staff member may be placed on a leave of absence with pay, pending a hearing by the review board and ~~action by the president~~ *final determination*.

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

The chair of the review committee is responsible for coordinating the hearing. The complainant, the respondent, and the university all have the right to be advised by counsel, but lawyers will not be allowed to conduct or participate in the hearing. ~~The day~~ *At least five (5) business days prior* to the scheduled review committee hearing, each side shall submit a list of its witnesses and four copies of its evidence to the chair. *The list of witnesses should contain a short description of the testimony each witness is expected to provide.* A list of witnesses and copy of the evidence will be provided to each side. ~~The rest of the review committee will not receive the material until the time of the hearing.~~ All materials presented must be maintained in a confidential manner by all

parties involved.

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

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

***Review by the President:*** The president may accept, reject, or modify the decision of the review board and will have access to all evidence, both parties, and witnesses as deemed appropriate. In all instances except those that involve the revocation of tenure or termination with an unexpired appointment extending beyond the date of the proposed dismissal, the decision of the president is final. In cases that involve the revocation of tenure or termination with an unexpired appointment extending beyond the date of the proposed dismissal, termination proceedings shall commence under university policy 7.29. Such termination proceedings shall not reconsider whether discrimination occurred, but rather determine if good cause exists for dismissal. Pending termination proceedings, a faculty member may be suspended and removed from the university or assigned to other duties with pay at the president's discretion. Final disposition of the case will be communicated to the respondent and the complainant.

## **Sanctions**

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

***Civil:*** Unlawful discrimination is illegal under state and federal law. Official governmental investigations by the Equal Employment Opportunity Commission, the Texas Commission on



Human Rights, and/or the Office of Civil Rights of the Department of Education may result in civil lawsuits against any person guilty of unlawful discrimination.

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

### **Investigative Process for Student-to-Student Complaints**

The dean for student affairs, or their appointee, shall investigate student to student complaints and follow the timeframes described in the preceding guidelines for employees. If student discipline is recommended, policy 10.45, Student Discipline-Code of Conduct will guide the proceedings. Informal and formal disposition procedures are outlined within the policy; and it contains full due process procedures.

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

### **Retaliation**

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

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

### **Training**

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

employee's personnel file.

Additional training shall be provided in accordance with applicable law.

**Cross Reference:** Faculty Code of Conduct (7.11); Tenure *and Continued Employment* (7.29); Discipline and Discharge (11.4); Student ~~Discipline~~ (*Code of Conduct* (10.45); Sexual Misconduct (2.13); 42 U.S.C. § 2000e, e-2, e-3; 42 U.S.C. § 1981; 20 U.S.C. §§ 1681, 1684; 42 U.S.C. § 12101; 29 U.S.C. § 623; 29 U.S.C. § 794; 29 U.S.C. § 206(d); 8 U.S.C. § 1101; Tex. Lab. Code Ch. 21; Tex. Penal Code § 39.03; Pub. L. 88-352; Pub. L. 102-166; Pub. L. 110-233

**Responsible for Implementation:** President

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

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Investments-Endowment Funds

**Policy Number:** 3.20

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

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

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

**Purpose of Policy (what does it do):** This policy provides guidance for the investment of all university endowment funds.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive revisions; formatting changes and minor wording changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Judi Krewell, Director of Financial Services  
Michaelyn Greene, Director of Administrative Services  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Investments - Endowment Funds

**Original Implementation:** Unpublished

**Last Revision:** ~~January 30, 2018~~ January 29, 2019

### ***Purpose***

*This policy applies to all Stephen F. Austin State University endowment funds. The policy states the boards' attitudes, goals and objectives in the investment of the endowment assets and is intended to provide guidance to the finance committee, the university administration, and the investment consultant(s)/manager(s) in the management of the endowment assets. University funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act are invested in accordance with Investments policy (3.21).*

### ***Definitions***

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

***Quasi-Endowment Funds*** are funds for which the governing body of the university, rather than a donor has determined that the corpus is to be retained and invested. Since these funds are internally designated rather than externally restricted, the university has the right to expend principal with approval from the governing body.

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

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

### **~~GENERAL~~General**

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

~~The investment of endowment funds is~~ University endowment funds are not considered to be public funds but instead are governed by Section 51.0031 of the Texas Education Code. This section of the Texas Education Code states that the university "... with regard to donations, gifts and trusts, may establish endowment funds that operate as trusts and are managed under prudent person standards". ~~As used in this section, 'prudent person standard' is the standard of care described in~~

~~Article VII, Section 11b, of the Texas Constitution, and means that standard of judgment and care that prudent investors, exercising reasonable care, skill, and caution, would acquire or retain in light of the purposes, terms, distribution requirements, and other circumstances of the fund then prevailing, taking into consideration the investment of all the assets of the fund rather than a single investment."~~

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

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

## Investment Objectives

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

## Investment Risk Tolerance

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

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

Avoiding large risks is essential. The university ~~will assume~~~~is willing to trade off some potential opportunities for gain from high-risk investments (with high loss potential) by assuming a~~

moderate-risk posture in order to have a more stable positive return. This may result in sacrificing some potential opportunities for gain during rising markets in order to avoid large short-term declines in market value during falling markets. Since the university is averse to large downward fluctuations in the value of its investments resulting from volatile market value fluctuations, such year-to-year volatility should be minimized.

## **Prudence**

*The 'prudent person standard' is defined by Texas Education Code 51.0031(d) and described in Article VII, Section 11b, of the Texas Constitution, and means that standard of judgment and care that prudent investors, exercising reasonable care, skill, and caution, would acquire or retain in light of the purposes, terms, distribution requirements, and other circumstances of the fund then prevailing, taking into consideration the investment of all the assets of the fund rather than a single investment.*

## **DEFINITIONS**

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

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

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

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

## **Responsibility and Delegation of Authority**

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

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

### **The Board**

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

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

### **University Administration**

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

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

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

### **Qualifying Institution**

The board may contract to invest its funds with another Texas public institution. Endowment funds invested with a qualifying institution will be invested in accordance with the institution's Investment Policy and the asset allocation of the institution's policy will supersede the Investment Guidelines Section of this policy. The university's investment officer(s) will provide investment performance reports to the board.

### **Investment Consultant**

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

Specifically, the consultant will:

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

### **Investment Managers**

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

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

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

The investment manager(s) will:

- Be registered as an investment adviser under the Investment Advisers Act of 1940 (where applicable);
- Maintain adequate fiduciary liability insurance and bonding for the management of this account;
- Acknowledge in writing that it is a fiduciary with respect to the assets under its control;
- 
- Be responsible for making decisions on a discretionary basis. This includes buy, hold, sell and timing decisions. The external manager(s) must make responsible decisions in the selections of specific securities and the general timing of purchases and sales necessary to invest only into the security class(es) for which they were retained to manage.



Custodian:

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

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

**Investment Policy Guidelines**

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

Authorized Investments: *The endowment's assets may be invested in the following:*

- a. Direct obligations of the United States government or its direct agencies.
- b. Direct obligations of federally-sponsored agencies in accordance with the above paragraph.
- c. Obligations of states, agencies, counties, cities, and other political subdivisions of any state in accordance with the above paragraph.
- d. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.
- e. Debentures or obligations, and preferred or common stock of international governments and corporations. International preferred and common stock issues must be listed on an organized stock exchange.
- f. Common stock and preferred stock issued by United States domiciled corporations and common stocks of ~~international~~ foreign companies listed on the major U.S. or ~~international~~ foreign security exchanges.
- g. Certificates of Deposit issued by federally insured state banks, federally insured savings and loan associations and saving banks or federally insured credit unions. Amounts over the insurance limit of the institutions must be secured by pledged securities.
- h. Bankers' acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.
- i. Money Market Mutual Funds. Funds must be registered with the Securities and Exchange Commission, have a maximum dollar weighted average maturity of no longer than 13 months, and be no-load funds. Funds must have assets

consisting of securities described in the paragraphs above and seek to maintain a stable net asset value of \$1.00 per share (or unit).

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

### **Unauthorized Investments:**

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

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

### **Asset Allocation:**

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

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

The allowable asset mix for fixed income and equities is:

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

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

### **Interest Rate, Credit and Foreign Currency Risks:**

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

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

Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of

investment. In order to mitigate this risk, ~~international foreign~~ equity investments are limited to a maximum of 30% of the equity portfolio.

### **Gifts ~~Of~~ Individual Securities**

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

### **~~Quasi-Funds Functioning As (Quasi)-Endowments~~**

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

### **Distribution Policy**

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

### **Performance Evaluation**

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

### **Conflicts Of Interest**

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

- 1.—A member of the board shall not direct nor participate in the decision to

purchase or sell securities of a firm with which such member is affiliated;  
and

- 
- Investments will not be purchased from or sold to a member of the board.
- 

## **Audits**

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

## ***Investment Policy Adoption and Certification***

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

**Cross Reference:** Tex. Educ. Code § 51.0031; 15 U.S.C. §§ 80a-1 – 80a-64; Tex. Prop. Code Ch. 163, *Investments* (3.21)

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

**Contact for Revision:** Vice President for Finance and Administration

**Forms:** None

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Investments

**Policy Number:** 3.21

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

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

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

**Purpose of Policy (what does it do):** This policy provides guidance for the investment of all university funds that are governed by the Public Funds Investment Act.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive revisions; formatting changes and minor wording changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Judi Krewell, Director of Financial Services  
Michaelyn Greene, Director of Administrative Services  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Investments

**Original Implementation:** April 30, 1996

**Last Revision:** ~~January 30, 2018~~ January 29, 2019

### *Purpose*

*This policy establishes guidance for the investment of all university funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act, and certain portions of the Texas Education Code. Endowment funds are invested in accordance with Investments – Endowment Funds policy (3.20) approved by the Board of Regents (board) annually. Quasi-endowment funds that are considered to be public funds will be governed by this policy.*

### *Definitions*

~~A.~~ **Short-Term** investments have a maturity of less than 90 days. Funds needed to meet short-term operating requirements will be primarily invested in either investment pools or overnight sweep accounts established with banking institutions. The benchmark is the average three-month Treasury bill yield.

**Intermediate--Term** investments have a maturity of 90 days to one year. United States Treasury and Agency securities, or United States Agency Discount Notes are the primary investment vehicles. United States Treasury securities are preferable because of their low risk and the ease with which they are traded. The benchmark is 95 percent of the average one-year Treasury bill yield.

**Long-Term** investments have a maturity over one year. United States Treasury and Agency securities are the primary investment vehicles. The 30 Year Treasury Bond rate is the benchmark for long term funds.

### ~~Policy Statement~~ **General**

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

### **Scope**

~~This policy establishes rules for the investment of all university funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act, and certain portions~~

~~of the Texas Education Code. Endowment funds are invested in accordance with policy 3.20, Investments—Endowment Funds, approved by the Board of Regents (board) annually. Quasi-endowment funds that are considered to be public funds will be governed by this policy.~~

## Objectives

The foremost objective of all investment decisions shall be safety of principal. All investments must be undertaken with the fiduciary responsibility associated with that of a reasonable and prudent person. Investments must be in accord with Texas law. Investment maturity must be diversified to match the university's liquidity requirements *and to meet all reasonably anticipated operating requirements*. Investments shall incur no unreasonable risk in order to maximize potential income. ~~Investments shall remain sufficiently liquid to meet all reasonably anticipated operating requirements.~~

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

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

## Investment Strategy

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

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

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

~~Investments may be categorized and described as:~~

~~B.—— Short Term—less than 90 days: Funds needed to meet short term operating requirements normally will be invested in either investment pools or overnight sweep accounts established with banking institutions. The benchmark is the average three month Treasury Bill yield.~~

~~C.—— Intermediate Term—90 days to one year: United States Treasury and Agency securities, United States Agency Discount Notes are the primary investment vehicles. United States Treasury securities are preferable because of their low risk and the ease with which they are traded. The benchmark is 95 percent of the average one year Treasury Bill yield.~~

~~D.—— Long Term—over one year: United States Treasury and Agency securities are the primary investment vehicles. The 30 Year Treasury Bond rate is the benchmark for long~~



~~term funds.~~

~~The length of time for investments within this policy will vary according to needs.~~

### **Investment Authority**

The vice president for finance and administration, the director of financial services, and the director of administrative services shall be designated as the university's investment officers and are responsible for the duties outlined herein. The names and titles of the investment officers shall be filed with the Board of Regents. Changes of names and/or titles must be filed with the Board of Regents as they occur. The vice president for finance and administration, the director of financial services, and the director of administrative services may only invest funds regulated by this policy and purchase securities authorized by this policy.

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

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

### **Investment Responsibilities**

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

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

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

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

### **Prudence**

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

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

## Investment Guidelines

### Authorized Investments:

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

- ~~A~~.a. obligations, including letters of credit, of the United States of America, or its agencies and instrumentalities;
- ~~B~~.b. direct obligations of the state of Texas or its agencies and instrumentalities;
- ~~C~~.c. collateralized mortgage obligations directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America;
- ~~D~~.d. other obligations, the principal and interest of which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, the state of Texas or the United States of America or their agencies and instrumentalities, including obligations that are fully guaranteed or insured by the Federal Deposit Insurance Corporation or by the explicit full faith and credit of the United States;
- obligations of states, agencies, counties, cities, and other political subdivisions of any state rated as to investment quality by a nationally recognized investment rating firm of not
- e. less than A or its equivalent;
- ~~F~~.f. certificates of deposit and share certificates issued by a depository institution that conforms to Section 2256.010 of the Texas Government Code.
- ~~G~~.g. fully collateralized repurchase agreements that conform to Section 2256.011 of the Texas Government Code;
- ~~H~~.h. bankers' acceptances that conform to Section 2256.012 of the Texas Government Code;
- ~~I~~.i. commercial paper that conforms to Section 2256.013 of the Texas Government Code;
- ~~J~~.—no-load money market mutual funds and no-load mutual funds registered and regulated by the Securities and Exchange Commission and conform to Section
- j. 2256.014 of the Government Code;
- ~~K~~.k. guaranteed investment contracts that conform to Section 2256.015 of the Government Code;
- ~~L~~.l. investment pools that conform to Sections 2256.016 and 2256.019 of the Government Code;
- ~~M~~.m. cash management and fixed income funds sponsored by organizations exempt from federal income taxation under Section 501(f), Internal Revenue Code of 1986 (26 U.S.C. Section 501(f));

~~N.n.~~ negotiable certificates of deposit issued by a bank that has a certificate of deposit rating of at least 1 or the equivalent by a nationally recognized credit rating agency or that is associated with a holding company having a commercial paper rating of at least A-1, P-1, or the equivalent by a nationally recognized credit rating agency;

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

Unauthorized Investments: *The following investments are prohibited:*

~~A.a.~~ obligations whose payment represents the coupon payments on the outstanding principal balance of the underlying mortgaged-backed security collateral and pay no principal;

~~B.b.~~ obligations whose payment represents the principal stream of cash flow from the underlying mortgage-backed security collateral and bear no interest;

~~C.c.~~ collateralized mortgage obligations that have a stated final maturity date of greater than 10 years; and

~~D.d.~~ collateralized mortgage obligations with an interest rate determined by an index that adjusts in an opposite direction to the change in a market index.

Asset Allocation: ~~Diversification:~~

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

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

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

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

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

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

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

Collateral Defined: Collateral Defined:-

The university shall accept only the following securities as collateral:

- ~~A.a.~~ FDIC insurance coverage;
- ~~B.b.~~ United States Treasury, Agency, or Instrumentality securities;
- ~~C.c.~~ Direct obligations of the state of Texas or its agencies and instrumentalities;
- ~~D.d.~~ Other obligations, the principal of and interest on which are unconditionally guaranteed or insured by the State of Texas or the United States of America;
- ~~E.e.~~ Obligations of states, agencies thereof, counties, cities, and other political subdivisions of any state having been rated as to investment quality by a nationally recognized investment rating firm and having received a rating of no less than A or its equivalent;

- a.f. Collateralized mortgage obligations (CMO) directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America. CMO must have a stated final maturity date of less than 10 years.

### **Authorized Financial Dealers and Institutions**

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

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

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

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

### **External Financial Advisor Contract Renewal or Extension**

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

### **Disclosure Requirements for Outside Financial Advisor**

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

### **Performance Evaluation**

The vice president for finance and administration and director of financial services or director of administrative services shall submit quarterly reports to the Board of Regents and the president of the university in the format prescribed by the Public Funds Investment Act, within a reasonable time after the end of the quarter. The reports must:

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

## Internal Controls

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

## Disclosure Requirements for Investment Officers

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

- ~~(1)~~• the investment officer owns 10 percent or more of the voting stock or shares of the business organization or owns \$5,000 or more of the fair market value of the business organization;
- ~~(2)~~• funds received by the investment officer from the business organization exceed 10 percent of the investment officer's gross income for the previous year; or
- ~~(3)~~• the investment officer has acquired from the business organization during the previous year investments with a book value of \$2,500 or more for the personal account of the investment officer.

## **Training**

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

## **Audits**

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

## **Investment Policy Adoption and Certification**

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

**Cross Reference:** Tex. Gov't Code Ch. 573, 2256-2257, 2263; 26 U.S.C. § 501(f); Tex. Educ. Code § 51.0031-.0032, *Investments-Endowment Funds (3.20)*

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

**Contact for Revision:** Vice President for Finance and Administration

**Forms:** None

**Board Committee Assignment:** Finance and Audit



## APPENDIX A

### INTERNAL CONTROLS

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

## APPENDIX B

### ADMINISTRATIVE PROCEDURES

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



STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Moving Expenses

**Policy Number:** 3.23

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

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

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

**Purpose of Policy (what does it do):** Provides guidance on when and how SFA will pay/reimburse for newly hired faculty or staff moving expenses.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive revisions. Made minor corrections; added clarification that any mileage reimbursement will be paid at the IRS rate in effect on the date of the move.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Dannette Sales, Controller

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

## Moving Expenses

**Original Implementation:** December, 1988

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

### Purpose

This policy establishes the guidelines whereby Stephen F. Austin State University may pay moving expenses for a newly hired faculty or staff member.

### General

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

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

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

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

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

**Cross Reference:** Electronic Personnel Action Form (11.8); *Internal Revenue Service website*

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

**Contact for Revision:** Controller

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

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Receipts and Deposits

**Policy Number:** 3.26

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

**Date of last revision, if applicable:** 4/25/2017

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

**Purpose of Policy (what does it do):** Provides procedures and guidelines to all SFA departments on the proper handling of receipts and deposits.

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

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

☐ Internal Review                      ☒ Other, please explain: Revised to reflect improved procedures to protect personal confidential information.

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Clarified that deposit documentation retention should not include copies of checks and other confidential information. Removed the directive that departments accepting checks should record driver's license number, date of birth, and employee's initials on the face of the check. Added business office will establish time of day deposits must be received and that deposit should include calculator tape. Other minor word changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

STEPHEN F. AUSTIN  
STATE UNIVERSITY  

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Office of the General Counsel

Dannette Sales, Controller

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

## Receipts and Deposits

**Original Implementation:** Unpublished

**Last Revision:** ~~April 25, 2017~~ January 29, 2019

### Purpose

This policy provides ~~guidance procedures and guidelines~~ to all Stephen F. Austin State University (SFA) departments handling receipts and deposits. ~~The policy also Procedures have been established to~~ encourages effective administration and internal control of receipt-handling operations throughout the university. Note: The term “receipts,” as referenced in this policy, is deemed to include currency, coins, personal checks, bank drafts, money orders, traveler’s checks, cashier’s checks, credit card transactions, debit card transactions, wire transfers, and any other method of receiving funds.

### Definitions

*The **custodian** is anyone who handles cash and receipts.*

*A **refund** is the return of funds for a transaction that occurred on a prior business day.*

***Cashier's check** is a check purchased at a bank for any amount; the bank completes all information on the face of the check with a bank officer signing as the maker.*

***Certified check** is a personal check guaranteed by the bank; the check is stamped "certified" and signed by a bank officer.*

***Money order** is an instrument purchased at a bank, post office, or other business establishment for any amount that orders a sum of money to be paid to someone else.*

***Traveler's check** is a special check supplied by banks or other companies for the use of travelers; these checks already bear the purchaser's signature and must be countersigned in the cashier's presence.*

***Personal check** is a written order payable on demand, drawn on a bank by a depositor; a personal check is written against an individual's funds as opposed to a cashier's check, certified check, money order, or traveler's check, all of which are written against or guaranteed by bank funds.*

***Starter check** is a non-personalized encoded check that a person receives from a bank when they establish a checking account. These are for the person's use prior to receiving encoded checks from the bank. Starter checks should only be accepted if the bank has encoded the routing number and account number on the bottom of the check.*

***Counter check** is a non-personalized, non-encoded check that is available at most banks.*

**Third-party check** is a check made payable to a person or organization other than the one accepting or cashing the check (e.g. a paycheck).

**Foreign check** is a check written on a foreign bank (e.g., a Canadian bank) not specifically prepared as U.S. currency. The maker's address might be outside the United States; however, it is the bank's address that must be examined.

## **Authority and Responsibility**

### **General**

The university has delegated the authority and responsibility for establishing ~~policies and~~ procedures for all receipt-handling activities to the controller's office. In carrying out this duty, the controller's office is responsible for:

1. Establishing and enforcing ~~policies and~~ procedures governing the receipt, handling, custody, and disbursement of funds.
2. Requiring the establishment and maintenance of records accounting for funds received and paid by the university.
3. Opening and closing bank accounts and transferring funds among such accounts as necessary and prudent, considering current interest rates and collateral levels.
4. Establishing and authorizing procedures for granting, maintaining, and terminating the departmental collection of university funds.

#### **4. Applicability**

This policy is applicable to every university department, administrative office, and affiliated organization that handles receipts for any university-related function. Employees that handle receipts on behalf of the university are required to be familiar with the provisions of this policy. Additionally, the controller's office or audit services may perform periodic audits of any department with receipt-handling operations.

*Any individual handling university receipts is responsible to the university for proper security and accountability. Due to the personal liability involved in performing receipt-handling functions, it is important that only authorized employees accept funds for university business. In rare instances, non-employees (i.e. students or volunteers) may be authorized to accept fund for the university if written approval is obtained from the bursar. In these cases, an employee is responsible for ensuring that these persons are properly trained and receipts are handled appropriately. All persons accepting funds for the university are required to appropriately safeguard, account for, and document all receipts received on behalf of the university. Applicable university discipline and/or discharge policies will be followed in the imposition of sanctions related to a violation of this policy.*

### **Summary**

~~Any individual handling university receipts is responsible to the university for proper security and accountability. Due to the personal liability involved in performing receipt-handling functions, it is important that only authorized employees accept funds for university business. In rare instances, non-employees (i.e. students or volunteers) may be authorized to accept funds for the university if written approval is obtained from the bursar. In these cases, an employee is~~

~~responsible for ensuring that these persons are properly trained and receipts are handled appropriately. All persons accepting funds for the university are required to appropriately safeguard, account for, and document all receipts received on behalf of the university. Applicable university discipline and/or discharge policies will be followed in the imposition of sanctions related to a violation of this policy.~~

## Segregation of Duties

### Guidelines

Receipt-handling operations must be subject to daily supervisory review and management. To minimize the potential for mistakes or misappropriation of receipts, the segregation of receipt handling duties is recommended. The duties of collecting receipts, maintaining documentation, preparing deposits, and reconciling records should be separated among different individuals. In departments where the separation of duties is not feasible, strict individual accountability and thorough management supervision and review is required.

### Written Departmental Procedures

In addition to the receipt-handling ~~policies~~ procedures established in this document, each department that handles receipts is required to have its own internal ~~policies and~~ procedures for receipts. Written procedures should minimally include authorization of person(s) to collect receipts; maintenance of receipt books; security and reconciliation of receipts; preparing, approving, and depositing receipts at the business office; over/short procedures; and a procedure to notify the appropriate campus authority in the event of a loss.

In addition, it is the responsibility of the department head or supervisor to ensure that all employees with receipt-handling responsibilities have receipt-handling duties included in their job description.

### Safekeeping

Departments handling receipts are responsible for the safekeeping of these university assets. Physical security should be emphasized to every employee involved in receipt handling. The following general guidelines should be followed to help maintain the integrity of those areas handling receipts:

- Unauthorized persons are not allowed in areas where receipts are handled.
- If possible, doors should be locked at all times in areas where receipts are handled. Safe doors should be kept closed during working hours and locked at times when it is not necessary to be in and out of the safe.
- All forms of payment including cash, checks, and credit card receipts should be counted and handled out of sight of the general public.
- Individuals should keep working funds to a minimum at all times. Excess funds should be in a locked device or deposited with the business office.
- Cash and receipts should **NEVER** be unattended. This applies to cash registers, desktops, cash drawers, and any other place in which cash is located. If an employee leaves his or her



workstation for any reason, regardless of how briefly, cash and receipts must be appropriately secured in a locked place.

- For overnight storage and during other periods when cash is not being used, it should be kept in a secure place, either a safe or locked container.
- If a safe location is not available within the department, the cash and receipts should be brought to the business office on campus for safekeeping. The cash and receipts should be kept in a locked bank bag provided by the business office. The department name and responsible party should be noted on the outside of the locked bag.
- If a safe location is not available within the department, and the business office is not open, the cash and receipts should be taken to the University Police Department (UPD) in a locked bag.
- Under no circumstances should an individual keep university cash with their own personal funds, deposit university funds in a personal bank account, or take university funds to one's home for safekeeping.
- Checks should always be properly restrictively endorsed upon receipt (see Endorsement Stamps, below).

### **Prohibition Against Transactions Involving Family Members**

Employees may not receipt, accept, or handle checks, cash, or deposits from a relative, as defined by policy 11.16, Nepotism. Family member status is not terminated by death or divorce.

### **Custodian Responsibilities**

*The adequate and appropriate safekeeping of the university monies:* While using cash funds for daily operational activities, procedures should be established to maintain a safe and secure working environment to ensure the safeguarding of funds and safety of personnel. Employees should be well informed of their responsibilities for handling cash and receipt transactions and being accountable for those funds. The custodian must see that appropriate internal control measures are enforced.

When not being used for operational activities, all cash and receipts should be kept in a safekeeping device, either a safe or locked container. Lock combinations and the custody of keys should be maintained by one person. These items should not be stored in an unlocked desk drawer or unsupervised area. For strictly emergency situations, the department head or other designated employee should have the safe combination or an extra set of keys.

*Maintaining current and accurate records of the funds:* The records should provide clear documentation of receipts from the time of collection to the time of deposit. This documentation should always be readily available for audit by the controller's office, internal or external auditors, or the department head. Specific information on appropriate documentation can be found under Receipts Procedures, below.

*Overages and Shortages:* Both overages and shortages should be noted and tracked by the custodian and then reviewed and certified by a supervisor or department head. Significant amounts should be immediately reported to the department head and the controller's office. If there appears to be a growing pattern or anything unusual or abnormal about the overages and shortages, that information

must be disclosed immediately.

**Refunds:** ~~A refund is the return of funds for a transaction that occurred on a prior business day.~~

Refunds cannot be made directly through the use of petty cash funds, change funds or funds received from cash receipts, unless specifically authorized by the business office. All refunds should be processed by the completion of a purchase voucher in adherence to the procedures as established by the controller's office, depending upon the type of transaction involved. Petty cash funds, change funds, or funds received from cash receipts must not be used to reimburse employees for out-of-pocket expenditures. These reimbursements will be made in accordance with procedures developed by the controller's office. All funds must be deposited into a university account before a department may use the receipted funds.

**Training Requirements:** Mandatory receipts training is required of all employees whose job duties include the acceptance, record keeping, and deposit of university receipts. Additionally, separate training is required for employees who handle payment cards. Receipts and payment card training is required on an annual basis and should be coordinated through the business office.

## **Receipting Revenues**

University departments that collect receipts must have an established departmental procedure for documenting all receipts. Computer generated receipts, cash register receipts, or pre-numbered receipt books or tickets are acceptable forms of documentation. All pre-numbered receipt books are issued by the business office. All other receipts issued must be approved by the business office as to format.

As a minimum, receipt documentation should include:

1. Payer's name
2. Amount of payment
3. Mode of payment (cash, check, credit card, money order, etc.)
4. Check or money order number, if applicable
5. Purpose of payment
6. Date of payment
7. Initials of employee collecting funds

The above applies to receipts collected directly from individuals, as well as receipts received through the mail, over the Internet or by phone. With prior approval by the business office, departments that receive large volumes of checks by mail ~~(such as application fees)~~ may document their receipts by creating a spreadsheet which contains the information above. The check number, date of receipt, initials of the employee, and the amount must be noted on the face of the application or documentation received with the payment. The spreadsheet must be reconciled to the group of checks.

## **Canceled/Voided Transactions**

The same-day cancellation of a transaction must be approved by a supervisor. Upon approval, the original receipt should be voided and the payment returned to the customer. The customer should

sign the voided receipt acknowledging the transaction.

### Manual Cash Receipt Books

Manual pre-numbered cash receipt books may be obtained from the business office only. Receipt books will not be placed in campus mail. The business office will document the distribution of each receipt book. Documentation will include:

- 1.—Department name
- ~~2.1. Department account number~~
- 3.2. Numbers of each book distributed
- 4.3. Signature by the person receiving the book(s)
- 5.4. Description of what the receipts book(s) will be used for

Each person issuing receipts and/or making deposits **MUST** have receipt training in order to ensure the proper procedures are followed. The business office will provide this training (see Training Requirements above).

The receipts **MUST** be used in consecutive order. All receipts, including voided receipts, **MUST** be accounted for. The original (white) receipt is given to the customer. The -green copy of each receipt is to be sent to the business office along with a Deposit Summary -form (approved by the business office as to format). The yellow copy of each receipt should remain in the receipt book for reference purposes.

Note: It is the department's responsibility to retain all documentation pertaining to deposits. Record retention schedules (see Records Management (2.9)) must be adhered to for all receipts, receipt books, Deposit Summary Forms, and any other backup. *Copies of checks and other confidential information should not be retained.* Documentation should be destroyed in accordance with the approved SFA Records Retention Schedule.

### Reconciling Cash and Receipts

Cash receipts **must** be reconciled. On days when cash is collected, a reconciliation must be performed at the close of the business day when possible, and no later than the beginning of the next business day. Cash, checks and credit cards must reconcile with the daily receipts. All receipt numbers (including voids) utilized for the day's business must be accounted for.

At a minimum, the supervisor must perform a monthly reconciliation of receipts to deposits, verifying that the amounts receipted were actually deposited and credited to the appropriate accounts in the Banner System. Depending upon the volume of transactions, weekly or daily reconciliations may be more appropriate. The business office can assist in determining the frequency. Under no circumstance should this reconciliation be performed by the same individual who receipted the funds. The supervisor must keep written documentation of the reconciliations and report any discrepancies to the controller's office immediately.

## ***Payment Acceptance***

~~Payment Acceptance~~ Acceptable forms of payment with ~~p~~Proper ~~i~~Identification:

- *Cashier's Check*
- *Certified Check*
- *Money Order*
- *Traveler's Check*
- *Personal Check*
- *Starter Check*

~~Cashier's Check~~ A check purchased at a bank for any amount; the bank completes all information on the face of the check with a bank officer signing as the maker.

~~Certified Check~~ A personal check guaranteed by the bank; the check is stamped "certified" and signed by a bank officer.

~~Money Order~~ An instrument purchased at a bank, post office, or other business establishment for any amount that orders a sum of money to be paid to someone else.

### ***Traveler's Check***

~~Unacceptable forms of payment~~ A special check supplied by banks or other companies for the use of travelers; these checks already bear the purchaser's signature and must be countersigned in the cashier's presence.

~~Personal Check~~ A written order payable on demand, drawn on a bank by a depositor; a personal check is written against an individual's funds as opposed to a cashier's check, certified check, money order, or traveler's check, all of which are written against or guaranteed by bank funds.

~~Starter Check~~ A non-personalized encoded check that a person receives from a bank when they establish a checking account. These are for the person's use prior to receiving encoded checks from the bank. Starter checks should only be accepted if the bank has encoded the routing number and account number on the bottom of the check.

~~Unacceptable~~ without permission of the business office:

- *Counter Check*
- *Third-Party Check*
- *Foreign Check*

**~~Counter Check~~** A non-personalized, non-encoded check that is available at most banks.

**Third-Party Check** ~~A check made payable to a person or organization other than the one accepting or cashing the check (for example, a paycheck).~~

**Foreign Check** ~~A check written on a foreign bank (e.g., a Canadian bank) not specifically prepared as U.S. currency. The maker's address might be outside the United States; however, it is the bank's address that must be examined.~~

Every check or money order must be reviewed for completeness as follows:

Item	Verification
<b>Account holder's name, address, phone number</b>	Verify the information is included on the check. A daytime phone number is preferred.
<b>Bank coding and holder's account number</b>	Observe that the check has the customer's bank account and routing number encoded on the bottom along with the bank and check number.
<b>Payee</b>	Must be payable to Stephen F. Austin State University, SFA, or SFASU.
<b>Date</b>	Verify check is not stale dated or postdated.
<b>Amount</b>	Verify that numerical amount is same as written amount.
<b>Signature</b>	Observe that check is signed.
<b>Information</b>	<del>Departments accepting checks in person should record legibly the following items on the face of the check: the issuing person's driver's license number, date of birth (DOB), the accepting department, and the accepting employee's initials.</del>

### Credit Cards:

Stephen F. Austin State University accepts the following credit cards:

- Visa
- American Express
- MasterCard
- Discover

When accepting credit cards, the following guidelines should be observed:

- Credit cards shall be accepted for no more than the amount of purchase.
- The expiration date and security code are required.
- If information is received by phone, a contact phone number must be included.

- All credit card information should be considered confidential and must be protected (see Payment Card Acceptance and Security (14.8)).

Specific instructions for handling credit card transactions will be provided during receipt training and payment card training (see Training Requirements, above).

### Signage

At the location where funds are collected, each department must have signage in place with the following information:

- MAKE CHECKS PAYABLE TO SFASU
- PLEASE ASK FOR A RECEIPT
- RETURNED CHECK FEE WILL BE CHARGED
- NO FUNDS LEFT OVERNIGHT

### Endorsement Stamps

Each department must restrictively endorse all checks *immediately* upon receipt. This prohibits the negotiation of the check if it is stolen. Endorsement stamps can be obtained from Printing Services and read: “Stephen F. Austin State University, For Deposit Only”. The department should include the department’s name under the endorsement, so lost or stolen checks can be traced back to the department if found.

### Deposits of Cash and Checks

Some university departments are authorized to make deposits directly to the bank in a locked bag via courier service provided by the UPD. These departments include: student center business office, Fine Arts ticket office, and Athletics. Other departments may request such authorization from the business office. All other departments will hand deliver their deposits in a locked bag to the business office or to one of the above named departments (upon approval by the business office). Each department that makes deposits shall submit the following to the business office on the deposit date:

- Deposit Summary form
- The green copies of the receipts or the cash register tapes

Deposits must be brought to the business office (or above named departments) within five (5) calendar days or when \$100 or more in receipts have accumulated, whichever comes first. *The business office will establish the time of day that deposits must be received.* Deposits must not be mailed to the business office.

All checks must be restrictively endorsed immediately upon receipt (see Endorsement Stamps above).

### Preparing and Making the Deposit

It is the responsibility of the department to accurately count all currency and checks collected. *All*

*currency must be separated by denomination and a calculator tape should be included to reflect this itemization.* It is recommended that a second individual recount the currency and checks before completing the deposit. A Deposit Summary form must be completed and submitted to the business office with each deposit. The green copies of the receipts or the cash register tapes must also be included.

**Sales Tax**

Departments are responsible for collecting any applicable sales tax and reporting it to the business office on the Deposit Summary Form.

**Cross Reference:** Records Management (2.9); Payment Card Acceptance and Security (14.8); Returned Payments (3.27); Nepotism (11.16)

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

**Contact for Revision:** Controller

**Forms:** Deposit Summary Form

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Student Accounts Receivable

**Policy Number:** 3.28

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

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

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

**Purpose of Policy (what does it do):** Establishes guidelines for the prudent collection of student accounts receivable, as well as delinquent receivables from vendors and non-student accounts.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Made minor spacing, punctuation, formatting and wording changes. Removed the reference to specific aging brackets that the controller's office will maintain. Removed the sentence stating collection fees are added to accounts immediately when turned over for collection, since that is no longer the procedure.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Dannette Sales, Controller

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel



## Student Accounts Receivable

**Original Implementation:** July 15, 2008

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

### Purpose

This ~~policy document~~ establishes guidelines for the prudent collection of student accounts receivable in the best interest of Stephen F. Austin State University and the state of Texas. Although this policy primarily applies to student accounts receivable, including certain university issued short-term loans, ~~processes~~ ~~procedures~~ stated herein may be used ~~for to process~~ other delinquent receivables from vendors and non-student accounts. This policy does not apply to the write-off of any federal loans.

### ~~Definitions~~ General

~~Policy~~ procedures will be maintained by the controller's office, for at least the following:

- ~~a process~~ to ensure that the requested extension of credit is not a prohibited transaction.;
- ~~a procedure~~ to ensure that any extension of credit (installment plan contract, short-term loan request, or repayment agreement) is done so in a prudent manner, including the use of standardized credit applications and legal authority required for approval of the requested credit.;
- ~~a procedure~~ to analyze whether credit should be extended to students who are in default on other obligations or for whom previous obligations have been written off as uncollectible. If a student account is past due, a transcript and registration hold will be placed on the account.;
- ~~procedures~~ for managing and monitoring the billing and collection activities on student accounts.;
- ~~procedures~~ for recording and monitoring credit extended and subsequent payments received on student accounts.;
- ~~procedures~~ to ensure that amounts reported as receivables on the financial statement ~~are recorded~~ *are recorded* in accordance with generally accepted accounting principles.

### Criteria ~~For~~ Recognizing ~~An~~ Account Receivable

~~A~~ student account receivable will be recognized (recorded in the university's financial records) when:

- 
- a student has enrolled for classes at the university or has been registered for classes

by the university;

- a student has incurred charges for costs associated with attendance (tuition, fees, ~~housing and~~ *housing and* meal charges, post office charges, book purchases, parking permits and fines, etc.) -from which a benefit to the student is derived;
- payment is due to the university from the student or a third party;
- payment has not been received (collected) by the university from the student or third party;
- the accounts receivable does not represent an extension of credit that is prohibited by law; and,
- the recording is deemed to be appropriate by the university's fiscal officers.

### **Recording ~~Anan~~ Account Receivable ~~In The~~ Financial Records**

An account receivable is recorded in the financial records automatically by the registration and billing process. These entries credit the appropriate revenue accounts and debit the appropriate account receivable accounts in the university's accounting system.

In the event that a student withdraws during the semester, the accounts receivable outstanding balance is reduced by the appropriate percentage refund rate relevant at the time of withdrawal.

### **Reconciling Accounts Receivable**

The controller's office maintains adequate records of student accounts receivable and prepares a reconciliation of the student receivable records and the financial accounting records on a timely basis.

### **Aging Accounts Receivable**

The controller's office also maintains an aging schedule for all student accounts receivable with the total of the aging schedule balanced to the total recorded accounts receivable. ~~The following aging brackets are used:~~

~~Greater than 30 days old~~

~~Greater than 90 days old~~

~~Greater than 1 year old~~

At year end, *the aging schedule* ~~other ranges~~ may be analyzed to aid in the process of the calculation of the allowance for doubtful accounts.

## Collecting Accounts Receivable

The size of the account receivable may influence the collection efforts. The expenditure of time, effort, and money to collect large accounts receivable is appropriate; however, the same efforts expended on very small accounts receivable may not be economical. Guidelines as to the level of attention and the efforts expended on accounts receivable will be set by the university based on recommendations from collection agencies and management.

~~The following steps are conducted in collecting accounts receivable which are in default.~~

An account will be considered in default if the following apply:

- the account balance is at least 30 days old;
- the debtor has not exhibited concern regarding the delinquent account (i.e., requested a repayment agreement); and,
- the debtor is not an active student.

An account will be considered delinquent if it is past due.

## Billing and Collection Activity on Delinquent Accounts or Accounts in Default

### Active Students:

Active students will be billed throughout the term with due dates set by the business office. Students may be assessed penalties for late payments, but will not be turned over for collection in the term if they are actively enrolled.

### Inactive Students:

Delinquent accounts will be analyzed and processed on a regular basis. Any general deposits will be applied to inactive students' outstanding balances to defray the amounts due to the university. After this analysis, delinquent accounts on inactive students will be subject to collection activity. Attempts will be made to contact students before delinquent accounts are turned over to collections. Students will not be assessed any collection agency fees or collection costs if they make a payment or request to set up a repayment *agreement* ~~fee~~ during the communication and contact period(s). After communication and contract periods expire, accounts will be placed with a collection agency or an attorney. The collection agency may give the student an additional period prior to assessing fees. ~~Collection fees will be calculated and added to the student's account either immediately when turned over for collection or after the last warning period has expired.~~ The fees assessed to the student will be negotiated in advance with the collection agencies and are subject to approval from the Texas Attorney General's office. Additionally, accounts may also be reported to the Texas Comptroller of Public Accounts as authorized by Texas Government Code § 403.055 to ensure that no treasury warrants are

issued or payments are paid to the debtor until the debt is paid.

If a debtor with a delinquent account establishes a repayment agreement and makes scheduled payments towards the balance within one of the warning periods, the debtor will be treated as an “active” student and will not be turned over to a collection agency unless monthly payments cease before the account balance is paid in full. If the account is turned over for collection, collection costs, collection agency fees and/or attorney fees will apply. There will be transcript and registration holds placed on the student’s account until the balance has been paid in full.

If a debtor has received a warning letter and begins making regular payments but then stops making regular payments before the account is paid in full, the debtor may be sent to an outside collection agency or attorney without further notice to the debtor.

All demand letters should be mailed in compliance with applicable collection laws. If an address correction is provided by the United States Postal Service, the demand letter should be mailed to the corrected address prior to the referral procedures described above. Demand should be made upon every debtor prior to referral of the account to an outside collection agency and the attorney general.

### **Write-Off ~~Of~~ ~~An~~ Uncollectible Account**

The university will establish procedures to determine when the write-off of an uncollectible account will occur. These write-off procedures will take into account both the age of the account and the amount due from the student.

A list of all accounts written off will be filed in the controller’s office, and all student accounts that have been written off will be flagged in the student system. Additionally, a transcript and registration hold will be placed on these student accounts to prevent these persons from receiving future university services until their balances have been paid in full. Warrant holds placed on the student’s account will not be removed until the balance is paid in full.

### **Forgiveness ~~Of~~ Debt ~~Versus~~ ~~versus~~ Write-Off ~~Of~~ Uncollected Accounts**

The write-off of an uncollected account is a bookkeeping entry only and does not relieve the debtor from his financial responsibility to the university. Although the uncollected account has been removed from the financial books and records (i.e., written-off as uncollectible), the university may still have a claim against the debtor and may still seek legal remedy (i.e., file suit for collection in a court of law). Therefore, it is the responsibility of the controller’s office to maintain adequate records regarding legal financial obligations (i.e., debts) owed to the university.

## **Allowance ~~For~~ Doubtful Accounts**

The university records an allowance for doubtful accounts on past due accounts for all accounts that have not been written off or forgiven. Prior to closing each fiscal year's books, the controller's office will analyze and adjust the allowance for doubtful accounts, with offsets to the appropriate revenue accounts or bad debt expense, in accordance with accounting guidelines. An allowance for doubtful accounts will be set up as a contra-receivable in each appropriate general ledger.

**Cross Reference:** Texas Comptroller of Public Accounts Fiscal Policies & Procedures, Accounting for Uncollectible Accounts (APS 027); Tex. Gov't Code § 403.055; Ch. 2107

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

**Contact for Revision:** Controller

**Forms:** None

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** File Maintenance for Faculty Personnel Files

**Policy Number:** 4.6

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

**Date of last revision, if applicable:** 7/28/2015

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

**Purpose of Policy (what does it do):** To meet SACs requirements, the following guidelines have been established to address the contents of the file and the designated office responsible for maintaining the file.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Updated titles.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## File Maintenance for Faculty Personnel Files

**Original Implementation:** October 31, 2000

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

The Southern Association of Colleges and Schools requires the university to keep documentation on file of academic preparation for all full-time and part-time faculty members. Documentation includes official transcripts, and, if appropriate for demonstrating competency, official documentation of professional and work experience, technical and performance competency, records of publications, certifications, and other qualifications. To meet this requirement, the following guidelines have been established to address the contents of the file and the designated office responsible for maintaining the file.

### Filed in the Office of the Provost and Vice President for Academic Affairs:

Full-time academic rank faculty

- Recommendation for Appointment form
- Signed contract issued by the Office of the Provost and Vice President for Academic Affairs
- Curriculum vitae
- Official transcripts from all degree granting institutions attended
- Three letters of reference
- Faculty Certification of Credentials form for those faculty who do not hold the terminal degree or whose terminal degree is outside the discipline in which they are teaching

### Filed in the Office of the College Dean:

Adjunct faculty, designated 4.5 to 9 months faculty, non-tenure track faculty

- Signed contract issued by the dean's office
- Curriculum vitae
- Official transcripts from all degree granting institutions attended or verification that official transcripts are in the Office of the Provost and Vice President for Academic Affairs
- Three letters of reference
- Faculty Certification of Credentials form for those faculty who do not hold the terminal degree or whose terminal degree is outside the discipline in which they are teaching

Graduate teaching assistants (when instructor of record)

- Curriculum vitae
- Official transcripts from all degree granting institutions attended or verification that official transcripts are in the ~~Office of the Dean of the Graduate School~~ Office of Research and

*Graduate Studies.*

- Three letters of reference
- Faculty Certification of Credentials form

**Note:** See Academic Appointments and Titles (7.2) for definition of titles.

**Cross Reference:** Academic Appointments and Titles (7.2); Faculty Handbook

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

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

**Forms:** Recommendation for Appointment form, Faculty Certification of Credentials form

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



STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Continuing Education

**Policy Number:** 5.3

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

**Date of last revision, if applicable:** 11/2/2015

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

**Purpose of Policy (what does it do):** To support the public service and outreach responsibilities of Stephen F. Austin State University.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Revisions include basic edits for clarification purposes. Added policy 3.26 Receipts and Deposits as a cross reference.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee

Steve Bullard, Provost and Vice President for Academic Affairs

Damon Derrick, General Counsel

## Continuing Education

**Original Implementation:** March 9, 1978

**Last Revision:** ~~November 2, 2015~~ January 29, 2019

The purpose of continuing education and community/public service activities is to support the public service and outreach responsibilities of Stephen F. Austin State University.

### Definitions

Continuing education (~~CE~~) activities are defined as organized public activities sponsored by the university, or a constituent unit of the university, that provide participants some type of non-academic credit, continuing education credit or certification. Continuing education activities may include short courses, seminars, workshops, training sessions, conferences or institutes.

Community/public (~~CP~~) service activities are organized public educational activities, sponsored by the university or a constituent unit of the university, that do not offer any type of credit or certification. Community/public service activities may include camps, speaker series, travel experiences or leisure learning.

Class projects/assignments, internships/practicums, class guest lectures, individual faculty presentations for community organizations, student activity programs or student organization service projects are not covered by this policy.

### Responsibility

Units offering ~~CE/CP~~ continuing education and community/public service activities ~~shall~~ will have administrative, assessment and programming responsibilities. All activities must be submitted by the administrator to ~~his or her~~ the appropriate supervisor for approval.

A reasonable fee may be charged for ~~CE/CP~~ continuing education and community/public service activities.

To bear the name of the university or any of its units, fees must be received and accounted for ~~by~~ in accordance with university accounting procedures as outlined in *Receipts and Deposits* (3.26).

Facilities for continuing education and community/public service ~~CE/CP~~ activities must be reserved in accordance with university policies covering Use of University Facilities (16.33) and Academic Facilities for Non-Academic Activities (16.1). Academic programs will always be given priority for the use of university facilities.

## Oversight

Direct oversight of *continuing education and community/public service CE/CP* activities is the responsibility of the units offering the activity. Deans/~~and~~ non-academic directors must approve *continuing education and community/public service CE/CP* activities before these activities are conducted. The Continuing Education and Community/Public Service Activities Approval form is posted at the Academic Affairs website; this form should be submitted to the appropriate dean or *non-academic* director's office at least two weeks before the activity occurs. Deans/~~and~~ non-academic directors are responsible for collecting copies of the records of *continuing education and community/public service CE/CP* activities offered within their areas of responsibility and for submitting these records annually to the office of the vice president to whom they report. The appropriate vice president will ensure that all ongoing *continuing education and community/public service CE/CP* activities are assessed on a regular basis and that assessment results are used to improve the programs.

## Awarding Continuing Education Units

When activities result in the awarding of non-academic credit, such as Continuing Education Units, it is the responsibility of the unit offering the continuing education activity to meet the guidelines established by the Texas Higher Education Coordinating Board and the Southern Association of Colleges and Schools. It is the responsibility of the unit awarding the non-academic credit to establish a transcript and keep the records on file.

**Cross Reference:** Use of University Facilities (16.33); Academic Facilities for Non-Academic Activities (16.1); *Receipts and Deposits* (3.26); Tex. Educ. Code § 54.545

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

**Contact for Revision:** Provost and Vice President for Academic Affairs; Vice President for University Affairs; Vice President for Finance and Administration

**Forms:** Continuing Education and Community/Public Service Activities Approval

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Course Grades

**Policy Number:** 5.5

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

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

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

**Purpose of Policy (what does it do):** Defines/outlines recorded grades, withheld grades, grade point average, repeat grades, mid-semester grades, final grade reporting, and grade changes.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor wording change.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Course Grades

**Original Implementation:** January 25, 2000

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

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

### Recorded Grades

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

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

### Withheld Grades

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

## **Grade Point Average**

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

- A = four grade points per semester hour;
- B = three grade points per semester hour;
- C = two grade points per semester hour;
- D = one grade point per semester hour; and
- F, QF, and WF result in zero grade points.

The GPA is determined by dividing the sum of the grade points earned at SFA by the total number of GPA eligible hours recorded on the SFA transcript. In addition, repeating a course may affect the grade point calculation.

## **Repeat Grades**

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

## **Mid-Semester Grades**

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

## **Final Grade Reporting**

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

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

Course grades may not be posted publicly.

## Grade Changes

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

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

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

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

**Forms:** WH and Grade Change Form

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Curriculum Reviews, Modifications and Approvals

**Policy Number:** 5.7

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

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

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

**Purpose of Policy (what does it do):** It is the responsibility of each academic unit of the university to maintain current curricula and engage in continuous review of its curricula.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Basic edits for clarification purposes

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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



## Curriculum Reviews, Modifications and Approvals

**Original Implementation:** October 17, 1978

**Last Revision:** ~~January 27, 2015~~ January 29, 2019

### Introduction

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

### Curricular Modification Procedures

Curricular modifications include:

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

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

- the academic unit's ~~curriculum committee~~;
- the academic unit head;
- appropriate councils or committees in the college [~~e.g., Professional Educators' Council (5.16) for teacher certification~~];
- the college dean;
- the university Undergraduate Council or Graduate Council;
- the Deans Council; and
- the provost and vice president for academic affairs.

New courses and new, modified or deleted undergraduate and graduate programs and changes in mode of delivery will then be considered for approval by:

- the university president; and
- the Board of Regents.

Where appropriate, approval will then be sought from (and/or notification will be made to) the Texas Higher Education Coordinating Board (THECB), the Texas Education Agency, the Southern Association of Colleges and Schools, or other outside agencies and organizations.

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

### **Substantive Change**

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

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

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

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

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

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Discontinuance of Program or Academic Unit

**Policy Number:** 5.9

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

**Date of last revision, if applicable:** 10/27/2014

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

**Purpose of Policy (what does it do):** This policy will govern the discontinuance of a program or academic unit for reasons other than financial exigency.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Basic edits for clarification purposes

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Discontinuance of Program or Academic Unit

**Original Implementation:** October 18, 2011

**Last Revision:** ~~October 27, 2014~~ January 29, 2019

This policy will govern the discontinuance of a program or academic unit for reasons other than financial exigency.

Termination of an appointment with tenure, or of a probationary or special appointment before the end of the specified term may occur as a result of ~~bona fide formal~~ discontinuance of a program or academic unit.

The ~~decision to formally~~ *recommendation to* discontinue a program or academic unit will be based on educational consideration as determined by the university administration after consultation with the affected faculty and appropriate standing or ad hoc committees and will be subject to approval by the Board of Regents.

Before the administration issues notice to a faculty *and/or staff* member of its intention to terminate an appointment because of ~~formal~~ discontinuance of a program or academic unit, the university will make every reasonable effort to place the *affected faculty and/or staff* member ~~concerned~~ in another position for which the individual is professionally qualified.

In each case of termination of appointment because of program discontinuance, probationary faculty members will be given notice as prescribed in policy 7.29, Tenure. Tenured faculty members will be given notice at least twelve months prior to termination of appointment.

A faculty member who alleges discrimination or abridgement of constitutional guarantees or academic freedom will be afforded due process.

**Cross Reference:** Tenure (7.29)

**Responsible for Implementation:** President

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

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Course Add/Drop

**Policy Number:** 6.10

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

**Date of last revision, if applicable:** 7/28/2015

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

**Purpose of Policy (what does it do):** Policy provides rules related to students adding and/or dropping courses.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Deleted the fifth rule and created a new policy specific to student medical appeals. Other revisions include basic edits for clarification purposes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee

Steve Bullard, Provost and Vice President for Academic Affairs

Damon Derrick, General Counsel

## Course Add/Drop

**Original Implementation:** April 27, 1986

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

Students may add courses through the second class day during the summer semesters and through the fourth class day during the fall or spring semesters. Academic unit chairs/directors will reconcile class schedules by the official reporting date. Students may drop classes through five working days past mid-semester or mid-session as applicable. A student may not drop a course after these dates, unless withdrawing from the university. *For withdrawals related to medical concerns see policy 6.24.*

The following rules apply:

1. A withdrawal or course dropped by the official reporting date will not be recorded on a student's transcript.
2. After the official reporting date, a drop or withdrawal will be noted as a "W" grade on the student's official transcript. Undergraduate students who enrolled in a Texas public institution of higher education for the first time in the fall 2007 or thereafter may not drop more than six courses with a "W" grade. This number includes any course dropped at another Texas public institution but excludes full semester withdrawals and exceptions as defined in Texas law (Education Code section 51.907). After six withdrawals, the student will receive the grade awarded for each attempted course.
3. Beginning on the sixth working day after mid-term for full semester courses or mid-session for partial semester courses, a drop will not be permitted unless the student withdraws from all courses for the term. This withdrawal will be noted on the transcript as a "WP" if the student is passing at the time or a "WF" if the student is failing at the time.
4. If a student has been found guilty of academic dishonesty, a grade of "WP" or "WH" may be changed to "WF" at the discretion of the faculty member. In the case of a grade change to "WF," the course will not count toward the six course drop limit since the student is incurring an academic penalty.
5. ~~Approved medical withdrawals may be granted for medical conditions that prevent the student from completing the semester (see policy 6.24). Medical withdrawals are not intended to shield a student from unsatisfactory progress. Medical withdrawal requests must be made to the Office of the Registrar within six months of the illness or incident cited in the medical withdrawal request, and will be considered by a committee comprised of the registrar and other appropriate university officials.~~

**Cross Reference:** General Bulletin; Graduate Bulletin; Schedule of Classes; Tex. Educ. Code § 51.907; Tex. Admin. Code § 4.10; Academic Integrity (4.1); Military Service Activation (6.14); *Student Medical Appeal* (6.24)

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

**Contact for Revision:** Registrar

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Course Add/Drop

**Policy Number:** 6.10

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

**Date of last revision, if applicable:** 7/28/2015

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

**Purpose of Policy (what does it do):** Policy provides rules related to students adding and/or dropping courses.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Deleted the fifth rule and created a new policy specific to student medical appeals. Other revisions include basic edits for clarification purposes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee

Steve Bullard, Provost and Vice President for Academic Affairs

Damon Derrick, General Counsel



## Course Add/Drop

**Original Implementation:** April 27, 1986

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

Students may add courses through the second class day during the summer semesters and through the fourth class day during the fall or spring semesters. Academic unit chairs/directors will reconcile class schedules by the official reporting date. Students may drop classes through five working days past mid-semester or mid-session as applicable. A student may not drop a course after these dates, unless withdrawing from the university. *For withdrawals related to medical concerns see policy 6.24.*

The following rules apply:

1. A withdrawal or course dropped by the official reporting date will not be recorded on a student's transcript.
2. After the official reporting date, a drop or withdrawal will be noted as a "W" grade on the student's official transcript. Undergraduate students who enrolled in a Texas public institution of higher education for the first time in the fall 2007 or thereafter may not drop more than six courses with a "W" grade. This number includes any course dropped at another Texas public institution but excludes full semester withdrawals and exceptions as defined in Texas law (Education Code section 51.907). After six withdrawals, the student will receive the grade awarded for each attempted course.
3. Beginning on the sixth working day after mid-term for full semester courses or mid-session for partial semester courses, a drop will not be permitted unless the student withdraws from all courses for the term. This withdrawal will be noted on the transcript as a "WP" if the student is passing at the time or a "WF" if the student is failing at the time.
4. If a student has been found guilty of academic dishonesty, a grade of "WP" or "WH" may be changed to "WF" at the discretion of the faculty member. In the case of a grade change to "WF," the course will not count toward the six course drop limit since the student is incurring an academic penalty.
5. ~~Approved medical withdrawals may be granted for medical conditions that prevent the student from completing the semester (see policy 6.24). Medical withdrawals are not intended to shield a student from unsatisfactory progress. Medical withdrawal requests must be made to the Office of the Registrar within six months of the illness or incident cited in the medical withdrawal request, and will be considered by a committee comprised of the registrar and other appropriate university officials.~~

**Cross Reference:** General Bulletin; Graduate Bulletin; Schedule of Classes; Tex. Educ. Code § 51.907; Tex. Admin. Code § 4.10; Academic Integrity (4.1); Military Service Activation (6.14); *Student Medical Appeal* (6.24)

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

**Contact for Revision:** Registrar

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Satisfactory Academic Progress for Financial aid Recipients

**Policy Number:** 6.16

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

**Date of last revision, if applicable:** 7/28/2018

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

**Purpose of Policy (what does it do):** Federal regulations mandate minimum standards of satisfactory progress for students receiving financial assistance.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Basic edits for clarification purposes

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Satisfactory Academic Progress for Financial Aid Recipients

**Original Implementation:** September, 1985

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

Federal regulations mandate minimum standards of satisfactory progress for students receiving financial assistance. Satisfactory academic progress (SAP) is the term used to denote a student's successful completion of coursework toward a certificate or degree. These standards apply to the student's entire academic history, whether financial aid was received or not, and to all types of aid: grants, loans, and work-study. The standards for determining progress for continued financial aid at the university are composed of three separate measurements: grade point average (GPA), pace of completion, and maximum hours allowed for a degree level. All students must be enrolled in a degree or certificate program *to be eligible to receive state or federal financial aid*.

Satisfactory academic progress will be evaluated after each fall, spring and summer terms. Although summer terms include Maymester, Summer I and Summer II, the summer SAP evaluation will only occur at the end of Summer II. Students who fall behind in their coursework or fail to achieve minimum standards for grade point average and completion of classes may lose their eligibility for all types of federal, state and university aid. Students will be notified of their financial aid eligibility via university email. Students can find their SAP status within the financial aid menu on the university student portal.

Students who are admitted to Stephen F. Austin State University (SFA) as non-degree, provisional, transient, career interest or self-improvement, course audit, or concurrent enrollment shall NOT be eligible to receive *state or federal* financial aid. When the student is admitted to a degree program or special student status has changed, a student may then be considered for financial assistance. The U.S. Department of Education does not recognize academic fresh start and requires an institution to count courses applicable to a student's major (regardless of whether or not financial aid was received) in evaluating a student's SAP.

Financial aid probation/suspension is different from academic probation/suspension. Students on academic suspension who are allowed by their academic dean to attend may receive financial aid only if they meet the financial aid satisfactory academic requirements.

SAP standards apply to all federal, state, and institutional financial assistance programs with exceptions as defined by applicable law.

### GRADE POINT AVERAGE (GPA)

For financial aid purposes, an undergraduate student must maintain a cumulative GPA of 2.0,

and graduate or doctoral students must maintain a cumulative GPA of 3.0. Grade point averages are verified at the end of each semester.

## **PACE OF COMPLETION**

For financial aid purposes, students must complete 67% of the cumulative hours attempted at SFA, including accepted transferred hours. Pace of completion is measured at the end of each semester.

Grades of A, B, C, D, RA, RB, RC, RP or P denote satisfactorily completed credit hours. Repeated and remedial courses are counted in the calculation of pace of completion. Grades of F, W, WH, WF, WP, RD, RF, RWH, RWP, RWF, RW, or QF are not satisfactory.

## **MAXIMUM HOURS ALLOWED FOR DEGREE OR CERTIFICATE**

For financial aid purposes, the maximum number of hours allowed is one-and-a-half times the minimum program length for all degree programs and allowable certificate programs. A student's entire academic record is used in calculating maximum hours allowed. Maximum hours allowed are verified at the end of each semester and students exceeding the allowable number of hours will be denied further financial aid and will not be eligible for a warning period.

## **WARNINGS**

Students will be given a warning semester when the required GPA or pace of completion is not met. At the end of the warning semester, students not in compliance are not eligible for financial aid. Students who have reached the maximum hours allowed are not eligible for a warning semester.

## **APPEALS**

Students who are not making satisfactory academic progress and have had a warning semester may file an appeal with the financial aid office within thirty (30) days after the first class day of the semester. Appeals should state why the student failed to meet satisfactory academic progress and what has changed that would allow the student to fulfill the requirements at the end of the next semester.

Appeals will only be accepted in the case of extenuating circumstances, such as death in the family, illness or injury to the student or immediate family member, or mitigating circumstances beyond the student's control. Appeals based solely on financial and/or emotional needs without sufficient explanation or documentation will not be ~~accepted~~ *approved*. Appeals must include documentation to support extenuating circumstances. All decisions on appeals are final. Students will be notified of the disposition of their appeal in writing. A student who filed a financial aid

appeal must be prepared to pay registration costs regardless of any pending appeal status. If an appeal is granted, *and the student can regain eligibility in one semester*, the student is placed on financial aid probation. A student who is placed on financial aid probation may receive financial aid for one subsequent semester. If an appeal is denied or is not submitted the student must meet the minimum SAP standards at the end of the next evaluation period in order to regain financial aid eligibility.

## **ACADEMIC PLAN**

Students may be given an academic plan if they cannot meet the minimum SAP requirements at the end of the next evaluation period. The plan will specify the number of hours that must be completed and/or the grade point average that will be necessary to bring the record back into compliance. Failure to meet the standards established in the academic plan will result in the loss of future financial aid eligibility.

## **DEFINITIONS**

### **Audited Courses**

Students may audit regular academic courses; however, these courses are not eligible for financial aid. Audited courses will not impact a student's SAP eligibility.

### **Change of Major**

Students are allowed to make changes in their course of study and major for purposes of this policy; however, all changes will count in a student's SAP calculation. Change of major can result in a possible overage of attempted credit hours which would impact the maximum time frame component.

### **Conflicting Information**

All conflicting information is reviewed for SAP monitoring. For example, late posted grades or grade changes will not automatically change current status. Students may request that the SAP status be recalculated after they have confirmed with the registrar that the grade change has been posted to their academic record.

### **Evaluation**

Loss of Title IV eligibility occurs immediately if SAP is not met. If the student's appeal is successful, the student is placed on financial aid probation and Title IV funds are disbursed for the next payment period only. The student must meet SAP at the end of each fall, spring or summer

term or comply with the requirements of the academic plan designed to ensure the student will make SAP by a specified point in time.

### **Incompletes**

Incompletes (grade of WH) do not affect a student's cumulative GPA for SAP, but count as credit hours attempted toward both pace and maximum time frame. Students with a grade of incomplete are encouraged to contact the financial aid office for further evaluation.

### **Pass/Fail Courses**

In some classes students receive a grade of either pass or fail. A passing grade will be included in the student's pace of completion and maximum time frame calculations. A grade of F will be included in the student's GPA, pace of completion and maximum time frame calculations.

### **Financial Aid Probation**

If an appeal is granted, the student is placed on financial aid probation. A student who is placed on financial aid probation may receive financial aid for one semester. At the conclusion of the financial aid probation period, the student must meet the SAP standards or will no longer be eligible for financial aid.

### **Developmental Courses**

Students are eligible to receive financial aid for developmental courses. These courses are counted in the calculation of both attempted and earned hours for determining satisfactory progress.

### **Repeated Coursework**

Students are allowed to repeat a course and, if passed, have it count toward enrollment for financial aid eligibility once. Each course attempt will count toward a student's pace of completion and all prior attempts with lower grades will count as unsuccessful credit hours attempted.

### **Transfer Credits**

Transfer credit grades will not count toward a student's cumulative GPA; however, these will count as both attempted and earned hours toward both pace of completion and maximum time frame for SAP.

**Withdrawals**

Withdrawals do not affect a student's cumulative GPA for SAP, but count as credit hours attempted toward both pace of completion and maximum time frame. A withdrawal (grade of W) is different from a course which is dropped (no grade and no record of attempt). Students who withdraw prior to the first class date will not be penalized for SAP purposes. Should a student withdraw after the first class date, those hours will count towards a student's pace of completion and time frame calculation.

**Financial Aid Warning**

Students will be given a warning semester when the required GPA or pace of completion is not met. At the end of the warning semester, students not in compliance are not eligible for financial aid. Students who have reached the maximum hours allowed are not eligible for a warning semester.

**Cross Reference:** 20 U.S.C. 1091(a)(2), (c); 34 CFR 668.16(e), 668.32(f), 668.34; Military Service Activation (6.14)

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

**Contact for Revision:** Director of Financial Aid; Provost and Vice President for Academic Affairs

**Forms:** None

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



STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Withdrawal without Financial Clearance

**Policy Number:** 6.22

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

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

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

**Purpose of Policy (what does it do):** Establishes sanctions on students who leave the university with unsettled financial obligations, fail to return university property, or are otherwise indebted to the university.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Removed the section about the registrar's office notifying specific offices when a student withdraws, as this is not the current procedure.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Dannette Sales, Controller

Lynda Langham, Registrar

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

## Withdrawal without Financial Clearance

**Original Implementation:** October 26, 1978

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

### *Purpose*

*This policy establishes the sanctions and the process by which they will be imposed when a student leaves the university without financial clearance.*

### *Definitions* ~~General~~

When students graduate, withdraw, or otherwise leave the university, they must clear their financial obligations, return university property, and settle other financial matters with the university. Students failing to fulfill these obligations will be subject to sanctions until such time as the financial obligations are cleared. Sanctions will be imposed when a student does not return university property or is otherwise indebted to the university. Upon graduation or withdrawal, the university will apply the student's general deposit to any unpaid obligations on his/her business office student account. If the general deposit is sufficient to cover these obligations, no sanction will be imposed.

*If the general deposit is insufficient to cover all financial obligations, the following sanctions will be imposed:* **Sanctions:**

- The student will not be permitted to register for classes.
- The student will not be eligible to receive an official transcript of academic work completed.
- ~~\_\_\_\_\_~~
- **Procedures ~~For Implementation:~~**
  - a. \_\_\_\_\_
  - b. \_\_\_\_\_
  - c. \_\_\_\_\_ ~~When a student withdraws, notification will be sent by the registrar to:~~
  - d. \_\_\_\_\_
  - e. \_\_\_\_\_
  - f. \_\_\_\_\_ ~~The dean of the appropriate academic college,~~
  - g. \_\_\_\_\_ ~~The business office,~~
  - h. \_\_\_\_\_ ~~The financial aid office,~~
  - i. \_\_\_\_\_ ~~The housing office and~~
  - j. \_\_\_\_\_ ~~The Ralph W. Steen Library.~~

### *Implementation*

Each ~~area~~ department in which the student has a financial obligation requiring the imposition of sanctions will either notify the business office, citing the nature of the financial obligation,

or will place a –registration and transcript hold on the student's record. It will be the student's responsibility to contact the appropriate office to clear his/her record. These offices will then release the hold ~~or notify~~ *and notify* the registrar's office once the financial obligation has been resolved, *if needed*.

The university will impose sanctions specified in this policy until the student's financial obligations are cleared. Delinquent accounts will be handled in accordance with the university's policies and procedures.

**Cross Reference:** Student Accounts Receivable (3.28)

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

**Contact for Revision:** Controller, Registrar

**Forms:** None

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Student Medical Appeal

**Policy Number:** 6.24

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

**Date of last revision, if applicable:** NA

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

**Purpose of Policy (what does it do):** Provides a method for students to appeal a withdrawal based on a medical condition or related incident.

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

☐ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☒ Other, please explain: The verbiage outlining the procedure was located in the Add/Drop policy, which made it very difficult for students to locate. Additionally, the verbiage regarding a “medical withdrawal” was inaccurate.

*Please complete the appropriate section:*

**Specific rationale for new policy:** The new policy corrects the verbiage and makes the information more accessible.

**Specific rationale for each substantive revision:**

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee

Steve Bullard, Provost and Vice President for Academic Affairs

Damon Derrick, General Counsel

## **Student Medical Appeal**

**Original Implementation:** January 29, 2019

**Last Revision:** None

Approved medical appeals may be granted for medical conditions that prevent the student from completing the semester. Medical appeals are not intended to shield a student from unsatisfactory progress. Medical appeals will be considered by a committee comprised of the registrar and other appropriate university officials.

The following rules apply:

1. Medical withdrawal requests must be made to the Office of the Registrar within six months of the semester affected by the medical condition.
2. The medical condition must have occurred to the student.
3. Upon receipt of the completed medical appeal, the committee has 30 days to make a decision.

Specific procedures and the appeal form for making an appeal are located at the registrar's office.

**Cross Reference:** None

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

**Contact for Revision:** Registrar/Controller

**Forms:** Request for Medical Withdrawal available in the registrar's office

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Faculty Code of Conduct

**Policy Number:** 7.11

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

**Date of last revision, if applicable:** 7/28/2015

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

**Purpose of Policy (what does it do):** Tax-supported colleges and universities must function in accordance with the public trust, and actions by faculty within them must be consistent with the execution of that trust. This policy outlines offenses representing breaches of that trust and violations of the SFASU Faculty Code of Conduct.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Added a statement related to collegiality and minor edits for clarification purposes

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Faculty Code of Conduct

**Original Implementation:** April 28, 2005

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

Tax-supported colleges and universities must function in accordance with the public trust, and actions by faculty within them must be consistent with the execution of that trust. The following offenses represent breaches of that trust and violations of the Stephen F. Austin State University Faculty Code of Conduct:

- A. Plagiarism;
- B. Forgery or unauthorized alteration or use of university documents, records or identification materials;
- C. Knowingly furnishing false information to the university, or failure to acquire and maintain appropriate licensure and certification required for supervision and practice;
- D. The use of violent or other forceful methods to obstruct the functions of the university, which include teaching, research, administration, public service, presentations by guest lecturers and speakers, and other authorized activities;
- E. Physical abuse of any person on university-owned or controlled property or at university-sponsored or supervised functions, or conduct that threatens or endangers the health or safety of any such person;
- F. Executing professional responsibilities related to teaching, research supervision, committee work, and similar faculty responsibilities that involve a student related to the faculty member within the second degree of affinity or third degree of consanguinity as defined in university policy 11.16, Nepotism;
- G. Theft of or negligent damage to the university or to the property of a member of the university community or a campus visitor;
- H. Unauthorized entry to or use of university facilities or resources;
- I. Unlawful manufacture, distribution, dispensing, possession, or use of controlled substances, or any substance the possession or distribution of which is regulated by federal or Texas law, except where the manufacture, distribution, dispensing, possession, or use are in accordance with the laws of each (See Illicit Drugs and Alcohol Abuse (13.11));
- J. Discrimination and/or sexual misconduct as determined under university policy (See Discrimination Complaints (2.11), Sexual Misconduct (2.13));

K. Lewd, indecent, or obscene conduct or language on university-owned or controlled property or at a university-sponsored or supervised function;

L. *Unprofessional conduct; that is, behavior that a reasonable person in a professional setting would find inappropriate, rude, disorderly, or offensive, and that is persistent, destructive and/or intimidating;*

M. Violation of other promulgated university policies or rules;

~~M~~N. Conviction of a criminal or civil offense that reflects negatively upon the university.

## Procedures

1. Each faculty member is required to notify his or her immediate supervisor of any felonious criminal conviction no later than five days after such conviction. Additionally, each faculty member is required to notify his or her immediate supervisor of alleged violations of D, E, F, I, J or M no later than five days after any faculty member becomes aware of such alleged violation.
2. Faculty members are required to abide by the terms of this policy as a condition of employment.
3. Alleged violations of the standards established in this policy should immediately be brought to the attention of the academic unit head to whom the individual is responsible. The academic unit head will then immediately notify the dean of the college, if part of a college. The dean of the college, or academic unit head if not part of a college, will inform the provost and vice president for academic affairs of the alleged violation without delay. The provost and vice president for academic affairs will immediately notify the president and general counsel. The general counsel will determine whether the alleged violation should be investigated pursuant to the Faculty Code of Conduct or other applicable policy. If the investigation is to proceed under the Faculty Code of Conduct, the provost and vice president for academic affairs or his or her designee will immediately investigate the incident and promptly provide a written report to the president which includes the allegation, scope, findings and results of the investigation, and recommendation for action, if any. The president may accept, modify, or reject the report and/or recommendation. The faculty member will be notified in writing of the president's determination and any action to be taken.
4. Violations of the standards established in this policy can result in the assessment of a penalty ranging from an oral reprimand to termination. Tenured and tenure-track faculty members are also subject to standards and procedures in the Tenure policy (7.29).



5. Faculty members may appeal disciplinary action, other than dismissal or non-renewal, taken pursuant to this policy by following the appeal procedure outlined in Faculty Disagreements (7.25). If the president determines that dismissal or non-renewal is appropriate, the procedures outlined in Termination and Non-Renewal of Contracts Procedural Guarantees in Tenure (7.29) will control.

**Cross Reference:** Tenure (7.29); Discrimination Complaints (2.11); Sexual Misconduct (2.13); Property Inventory and Management (17.14); Use of University Facilities (16.33); Illicit Drugs and Alcohol Abuse (13.11); Faculty Disagreements (7.25); Misconduct in Scholarly or Creative Activities (7.19); Misconduct in Federally Funded Research (8.7); Ethics (2.6)

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

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

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Final Examination Scheduling

**Policy Number:** 7.14

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

**Date of last revision, if applicable:** 11/2/2015

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

**Purpose of Policy (what does it do):** To ensure that faculty members hold class during finals week according to the official final exam schedule.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor edits for clarification purposes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Final Examination Scheduling

**Original Implementation:** June 16, 1982

**Last Revision:** ~~November 2, 2015~~ January 29, 2019

Faculty members will hold class during finals week according to the official final exam schedule. Any exceptions must be approved by the academic unit head prior to the start of the semester.

Class meetings during finals week, for courses taught at times not listed in the final exam schedule, including but not limited to distance education courses, online courses, and evening or weekend courses, should be scheduled in consideration of resource availability.

All final examinations or ~~instructional-course~~ activities must be scheduled to conclude by midnight on the last day of the final exam schedule. Exceptions may be made by the appropriate academic dean.

**Cross Reference:** Faculty Handbook; Dead Week (7.8)

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

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

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Meeting and Conducting Classes

**Policy Number:** 7.18

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

**Date of last revision, if applicable:** 11/2/2015

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

**Purpose of Policy (what does it do):** To ensure that faculty members will meet their assigned classes at the officially scheduled times and places.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

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

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Meeting and Conducting Classes

**Original Implementation:** June 16, 1982

**Last Revision:** ~~November 2, 2015~~ January 29, 2019

Faculty members will meet their assigned classes at the officially scheduled times and places. When a faculty member cannot meet an assigned class, the faculty member will notify the academic unit head prior to the scheduled class meeting, or as soon as possible after the start time of the class, so that a timely announcement can be made to the students. Courses will be conducted in accordance with the descriptions contained in the university's General Bulletin and Graduate Bulletin.

Exceptions to the above may be made with appropriate academic unit head approval.

**Cross Reference:** General Bulletin, Graduate Bulletin, Faculty Handbook

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

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

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Effort Reporting and Certification for Sponsored Activities

**Policy Number:** 8.1

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

**Date of last revision, if applicable:** 7/28/2015

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

**Purpose of Policy (what does it do):** This policy establishes requirements to facilitate compliance with laws and regulations concerning employee effort for salary expenditures and cost-sharing requirements related to grants, contracts and other sponsored agreements (grants).

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Revisions include basic updates and edits for clarification purposes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Effort Reporting and Certification for Sponsored Activities

**Original Implementation:** January 29, 2008

**Last Revision:** July 28, 2015

This policy establishes requirements to facilitate compliance with laws and regulations concerning employee effort for salary expenditures and cost-sharing requirements related to grants, contracts and other sponsored agreements (grants).

Recipients of federal funds must maintain a system of internal controls that provide reasonable assurance that payroll charges are accurate, allowable, necessary, and properly allocated among grant and institutional activities. Recipients of grants must exercise due diligence in the review and certification of effort reports.

*Effort expended for extra compensation as defined in the Salary Supplements, Stipends and Additional Compensation policy (12.16), or for work not compensated by the university, is not included in effort calculations. Refer to Compensation from Grants, Contracts and Other Sponsored Agreements (12.1).*

1. Effort is defined as the percent of time spent on a particular activity and is not based on a traditional 40-hour work week. The total effort associated with institutional base salary (IBS) is defined as 100% effort. This includes instruction, departmental administration, departmental research, grants, and other institutional activities.

~~Effort expended for extra compensation as defined in the Salary Supplements, Stipends and Additional Compensation policy (12.16), or for work not compensated by the university, is not included in effort calculations. Refer to Compensation from Grants, Contracts and Other Sponsored Agreements (12.1).~~

The federal government recognizes that decisions made in the certification of effort percentages to individual sponsored activities are based on reasonable estimates. It is recognized that, in an academic setting, teaching, research, service, and administration are often inextricably intermingled. Therefore, a precise assessment of factors that contribute to costs is not always feasible, nor is it expected. Reliance, therefore, is placed on estimates in which a degree of tolerance is appropriate.

Tolerance is defined by the university as +/- five percent (5%) of the committed effort. Therefore, if the percentage on the effort report reasonably reflects one's effort within this variance, the effort percentage may be confirmed as a reasonable estimate. Effort certification report adjustments may be required when: a) effort does not match salary expenditures within the tolerance limit for the time period covered by the report; b) there are payroll cost transfers; or c) revised personnel actions are generated.

2. Effort certification reports are required for ~~faculty, staff, and students~~ *all employees* who devote effort (paid or cost-shared) to one or more grants. These records are generated by and retained in the Banner effort system for salaried individuals. For hourly paid individuals, certified time records are generated and retained in the TimeClock Plus system or recorded manually on time sheets retained by the department, and serve as alternate official effort certification records.
3. After-the-fact effort reporting is required for all sponsored projects grants regardless of the source of funds (Federal, state, or private). *After-the-fact reporting is defined as certification reports originated after the work has been performed.*
4. Project directors (PDs) or principal investigators (PIs) are responsible for ensuring that effort certification reports are completed accurately and in a timely manner for each individual subject to this policy from a grant for which they serve as PD/PI.

Effort reports must be certified by a person having either firsthand knowledge of the work performed or a suitable means of verification that the work performed was related to the specific sponsored activities. Normally, this certification is performed by the employee, PD or PI. If one of these persons is unable to certify the effort report, a surrogate with firsthand knowledge or who has a suitable means of verification as described above may certify the report (e.g., the unit head, a co-investigator). The PD/PI will certify effort for graduate students.

5. Effort attributed to any grant must represent work specific to the agreement. Intentional falsification, forgery, or fraudulent alteration of effort certification reports constitutes fraud. Non-compliance with this policy and related procedures may result in penalties levied against the departments, divisions, schools and/or the university. Individuals with roles and responsibilities in the certification process are held responsible for any instances of non-compliance. Criminal and/or employee discipline measures may be pursued.

If effort reports are not certified in a timely manner, the Office of Research and ~~Sponsored Programs~~ *Graduate Studies* will take actions to assist with compliance of this federal requirement. These actions may include, but are not limited to: a) withholding submission of proposals, project applications or other documents such as material transfer agreements; b) freezing active grant funds; or c) adjusting uncertified labor distributions and the effort they represent to non-sponsored Banner funds managed by the administrative unit.

6. Each individual with responsibilities related to effort certification must thoroughly understand the proper method of reviewing and certifying the effort reports to ensure the reports reasonably reflect effort expended toward grants and other activities during the report period. Thus, effort training is mandatory for all employees who certify payroll expenses.



Procedures for effort reporting and certification are outlined in the Grants and Contracts Procedures Manual published by the Office of Research and ~~Sponsored Programs~~ *Graduate Studies*.

**Cross Reference:** 2 C.F.R. § 200.430; ~~A-~~ Texas Uniform Grant Management Standards, II.B(11)(h)(1-5,7); ORGSSP Grants and Contracts Procedures Manual; Salary Supplements, Stipends and Additional Compensation (12.16); Compensation from Grants, Contracts and Other Sponsored Agreements (12.1)

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

**Contact for Revision:** ~~Director~~Dean, Office of Research and ~~Sponsored Programs~~ *Graduate Studies*

**Forms:** Banner Effort Certification Reports; TimeClock Plus records; time sheets

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Grants and Contracts Administration

**Policy Number:** 8.3

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

**Date of last revision, if applicable:** 7/28/2015

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

**Purpose of Policy (what does it do):** The Office of Research and Graduate Studies establishes and makes available procedures for the programmatic administration of grants, contracts and other sponsored agreements.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Updates of titles

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Grants and Contracts Administration

**Original Implementation:** August 1, 2000

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

The ~~provost and vice president for academic affairs~~ *dean of research and graduate studies* establishes and makes available procedures for the programmatic administration of grants, contracts and other sponsored agreements. These procedures are outlined in the **Grants and Contracts Procedures Manual** published by the Office of Research and ~~Sponsored Programs (ORSP)~~ *Graduate Studies (ORGS)*. The controller establishes internal controls for the fiscal administration and reporting of grants, contracts and other sponsored agreements and is responsible for the negotiation of facilities and administrative (indirect) cost rate agreements with the federal cognizant agency.

These controls and procedures are designed to ensure that sponsored activities are conducted in accordance with university policies and procedures, with laws and regulations, and with the provisions of the grants, contracts and sponsored agreements themselves.

**Cross Reference:** 2 C.F.R. Part 200; ORGSSP Grants and Contracts Procedures Manual.

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

**Contact for Revision:** ~~Director~~ *Dean*, Office of Research and ~~Sponsored Programs~~ *Graduate Studies*

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Grants and Contracts Administration

**Policy Number:** 8.3

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

**Date of last revision, if applicable:** 7/28/2015

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

**Purpose of Policy (what does it do):** The Office of Research and Graduate Studies establishes and makes available procedures for the programmatic administration of grants, contracts and other sponsored agreements.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Updates of titles

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Grants and Contracts Administration

**Original Implementation:** August 1, 2000

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

The ~~provost and vice president for academic affairs~~ *dean of research and graduate studies* establishes and makes available procedures for the programmatic administration of grants, contracts and other sponsored agreements. These procedures are outlined in the **Grants and Contracts Procedures Manual** published by the Office of Research and ~~Sponsored Programs (ORSP)~~ *Graduate Studies (ORGS)*. The controller establishes internal controls for the fiscal administration and reporting of grants, contracts and other sponsored agreements and is responsible for the negotiation of facilities and administrative (indirect) cost rate agreements with the federal cognizant agency.

These controls and procedures are designed to ensure that sponsored activities are conducted in accordance with university policies and procedures, with laws and regulations, and with the provisions of the grants, contracts and sponsored agreements themselves.

**Cross Reference:** 2 C.F.R. Part 200; ORGSSP Grants and Contracts Procedures Manual.

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

**Contact for Revision:** ~~Director~~ *Dean*, Office of Research and ~~Sponsored Programs~~ *Graduate Studies*

**Forms:** None

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

## Facilities and Administrative (Indirect) Cost Recovery, Distribution and Use

**Original Implementation:** October 26, 1999

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

Facilities and administrative (F&A) costs, also known as indirect costs (IDC) are expenses that cannot be directly charged or easily allocated to a specific externally sponsored grant, contract, or other sponsored agreement (grant). Examples of F&A costs include facilities expenses such as utilities, custodial services, and physical plant; and administrative expenses such as salaries and operating costs for departments such as human resources, the controller, payroll, accounts payable, legal counsel, procurement/property services, travel, technology services, library, audit services, and sponsored projects. They may also include departmental and college administrative costs such as clerical support, telephone, and copying.

F&A cost rates are negotiated by the university with a federal cognizant agency, which for SFA is the Department of Health and Human Services. In accordance with 2 C.F.R. § 200.414(c), federal agencies must accept these negotiated rates unless a different rate is required by regulation, statute, or program.

### F&A Cost Recovery

The principal investigator (PI) or project director (PD) must include F&A cost rates in a proposed budget for all grants and will use the university's full, federally negotiated F&A rate unless a sponsor has a formal, written policy that specifically limits or disallows payment of F&A costs.

In extraordinary circumstances, a PI/PD may request a reduction of F&A costs. *As such a reduction is a financial loss to the university, all reduction requests must be approved by the provost and vice president for academic affairs, and the vice president for finance and administration before a budget with a reduced F&A rate is submitted to a sponsor for consideration.* This applies to all forms of grants, contracts, and other sponsored agreements (grants). Failure to comply may require a budget revision and/or renegotiation of a grant and may jeopardize or delay receipt of an award. A PI/PD is not authorized to negotiate an F&A rate reduction with a sponsor.

### Recovered F&A Distribution and Use

Recovered F&A is subject to the provisions of the Texas Education Code, Section 145.001:

“The retained funds are subject to the following requirements:

- (1) The funds shall be expended under guidelines approved by the institution's governing board for projects encouraging further research at the unit, agency, or department level at which the research was conducted, including:
- (A) conducting early pre-grant feasibility studies;
  - (B) preparing competitive proposals for sponsored programs;
  - (C) providing carryover funding for research teams to provide continuity between externally funded projects;
  - (D) supporting new researchers pending external funding;
  - (E) engaging in research programs of critical interest to the general welfare of the citizens of this state;
  - (F) purchasing capital equipment directly related to expanding the research capability of the institution; and
  - (G) research or project administrative costs; and
- (2) the funds remaining after the application of Subdivision (1) shall be used by a general academic teaching institution or a medical or dental unit to support research as approved by a general academic teaching institution or a medical or dental unit.”

*If a project includes the full F&A rate as allowed by the sponsor, the academic units that generate the recovered F&A costs from restricted research will receive fifty percent of the total a portion of the F&A recovered in a fiscal year. The university retains 55% of recovered F&A for university expenses with the remainder distributed based on a formula recommended by the University Research Council and approved by the provost and vice president for academic affairs. If an F&A rate reduction was granted for a project, the amount recovered from that project will be excluded from the distribution formula. The distributions are made after the close of each fiscal year based on F&A costs recovered the previous fiscal year. Reports summarizing the use of these funds must be submitted to the controller's office annually. The administrative cost allowance generated by financial aid programs is not considered in the distribution formula.*

The university will report the actual amounts of money retained and expended under this policy and the estimated amounts for the next biennium in its report to the Legislative Budget Board as part of the biennial budget reporting process.

**Cross Reference:** 2 C.F.R. §§ 200.56,.57,.306,.414; Tex. Educ. Code § 145.001; ORGSSP Grants and Contracts Procedures Manual

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

**Contact for Revision:** ~~Director~~ Dean, Office of Research and Sponsored Programs ~~Graduate Studies~~

**Forms:** ~~Request for F&A Rate Reduction~~ *Facilities and Administration (F&A/Indirect Cost, IDC)*  
*Reduction Request*

**Board Committee Assignment:** Finance and Audit



STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Institutional Animal Care and Use Committee (IACUC)

**Policy Number:** 8.6

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

**Date of last revision, if applicable:** 7/28/2015

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

**Purpose of Policy (what does it do):** The IACUC ensures that all university activities comply with government regulations set forth by the United States Department of Health and Human Services, Office of Laboratory Animal Welfare (OLAW) and by the United States Department of Agriculture-Animal and Plant Health Inspection Service (USDA-APHIS) under the Animal Welfare Act (AWA).

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Revisions include change of institutional official (IO) from provost and vice president of academic affairs to dean of research and graduate studies, addition of IACUC manual to cross references, and revised contact to dean of research and graduate studies.

**Specific rationale for deletion of policy:**

*Additional Comments:*

STEPHEN F. AUSTIN  
STATE UNIVERSITY  

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Office of the General Counsel

Reviewers:

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

## Institutional Animal Care and Use Committee (IACUC)

**Original Implementation:** April 17, 2012

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

The Stephen F. Austin State University Institutional Animal Care and Use Committee (IACUC) is responsible for the review of research and teaching activities that involve vertebrate animals.

This review process ensures that all university activities comply with government regulations set forth by the United States Department of Health and Human Services, Office of Laboratory Animal Welfare (OLAW) and by the United States Department of Agriculture-Animal and Plant Health Inspection Service (USDA-APHIS) under the Animal Welfare Act (AWA).

The IACUC will consist of a minimum of five (5) members, including: at least one faculty member representing an academic department utilizing vertebrate animals for research, testing, or training; one member from a department that does not utilize animals in research; one doctor of veterinary medicine; and one member of the community not associated with the university. The committee will meet at least twice per year and on an as-needed basis to review faculty research proposals that involve vertebrate animals and complete any additional tasks required by law.

The IACUC will establish and publish the processes that must be followed when vertebrate animals are to be used in research. The ~~provost and vice president for academic affairs~~ *dean of research and graduate studies* will serve as the institutional official (IO). The IACUC reports to the IO, who possesses administrative and operational authority to ensure compliance with relevant policies from OLAW and the AWA.

No activities involving vertebrate animals can be carried out without approval from the IACUC. This includes activities that may be considered exempt activities and/or exempt animals.

This policy applies to all activities, teaching and research, that involve vertebrate animals that are: sponsored by the university; conducted by university faculty, staff, visitors, or students; and conducted using property and/or facilities owned by the university.

Failure to comply with applicable federal policies related to animal care and use may result in civil and/or criminal penalties, and may also result in loss of federal funding to the university.

**Cross References:** 9 C.F.R. § 2.31; Animal Welfare Act, 7 U.S.C. 2131 et. seq.; Office of Laboratory Animal Welfare, *Guide for the Care and Use of Laboratory Animals*, 8th edition; Office of Laboratory Animal Welfare, *Institutional Animal Care and Use Committee Guidebook*, 2nd edition; ORSP Grants and Contracts Procedures Manual; *SFASU IACUC*

*Policies and Procedures Manual*

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

**Contact for Revision:** ~~Dean of the Director, Office of Research and Sponsored Programs~~  
*Graduate Studies*

**Forms:** Animals in Research Protocol; IACUC Application – short form

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Payments to Human Research Subjects

**Policy Number:** 8.8

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

**Date of last revision, if applicable:** 7/28/2015

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

**Purpose of Policy (what does it do):** At the time of application to the Stephen F. Austin State University (SFA) Institutional Review Board (IRB) for approval of the conduct of research studies with human subjects, the principal investigator must present a rationale to establish the appropriate level of compensation for participants in the study.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Document retention requirements changed to be consistent with federal guidelines. Revisions include other basic edits for clarification purposes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Payments to Human Research Subjects

**Original Implementation:** July 21, 2009

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

During the conduct of research studies with human subjects, it is recognized that participants may incur personal costs for which they are entitled to reimbursement. It is also desirable in some instances to provide a reward or recognition to participants for the time and effort they have devoted to participate in a research project.

At the time of application to the Stephen F. Austin State University (SFA) Institutional Review Board (IRB) for approval of the conduct of research studies with human subjects, the principal investigator must present a rationale to establish the appropriate level of compensation for participants in the study.

Any reimbursement or incentive to participants in a research study must not involve coercion or constitute undue inducement or influence an individual's decision to participate in the study.

Subject to university policy, cash, gift cards and gifts such as t-shirts or coffee mugs may be used for compensation and/or personal expenses such as travel and child care costs may be reimbursed. Gifts must be provided to participants at the completion of the relevant activity. Payments by check should be avoided as they require disclosure of personal information to the business office.

Use of Grant Funds – Reimbursements or incentives for participation in a research study must be detailed in the grant application and in the application to the IRB by method and amount. The payments must be approved by the funding agency and the IRB.

Informed Consent - It is critical that participants are informed during the consent process that if, either in one or multiple studies in a given calendar year, the total payments and/or gift values exceed \$100, their social security number and contact information will be provided to the SFA business office in order to comply with Internal Revenue Service regulations. Further, study participants must be informed that if they receive payments that total more than \$599, they will receive a tax form from SFA at the end of the calendar year.

Finally, participants must be told that they can elect not to receive payments to avoid disclosure of this information to the SFA business office.

Documentation – Principal investigators are required to maintain a tracking list or spreadsheet with individual code numbers and payments *of any value. Once compensation exceeds a total of \$100 in a calendar year*. ~~If compensation is by gift or gift card,~~ the principal investigator must record the individual's name, social security number, address, and signature at the time of

payment. Unless the study guarantees participant anonymity, the principal investigator must also keep a master list linking code numbers and individual participant names, which must be kept in a password-protected computer file and/or locked filing cabinet. The tracking spreadsheet or other documentation with study and individual code numbers must be retained by the principal investigator for a minimum of *five* ~~seven~~ years after completion of the study or the requirements of the specific grant award, whichever is longer.

**Cross Reference:** Ethical Principles and Guidelines for the Protection of Human Subjects in Research: The Belmont Report; 45 C.F.R. § 46; Gifts, Prizes and Awards (3.18).

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

**Contact for Revision:** ~~Director of the~~ *Dean of the* Office of Research and Graduate

*Studies* ~~Sponsored Programs~~

**Forms:** SFA business office and Institutional Review Board forms

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Fixed Amount Awards

**Policy Number:** 8.12

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

**Date of last revision, if applicable:** 7/28/2015

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

**Purpose of Policy (what does it do):** Defines fixed amount awards both to the university (federal and non-federal) and from the university.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Revisions include basic edits for clarification purposes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee

Steve Bullard, Provost and Vice President for Academic Affairs

Damon Derrick, General Counsel



## Fixed Amount Awards

**Original Implementation:** July 28, 2015

**Last Revision:** ~~None~~ January 29, 2019

Fixed amount awards, also known as fixed-price agreements, are awards in which a price is agreed to in advance for a specific scope of work that is payable based on performance and deliverables rather than the actual costs incurred during the conduct of the work.

Fixed amount awards may include grants, cooperative agreements, contracts, research agreements, and subawards (grants) from federal and non-federal sources to the university, as well as fixed amount subawards from the university to a subrecipient.

### Fixed Amount Awards to the University

A fixed amount award to the university should reflect an accurate estimate of anticipated direct costs for the efficient and effective conduct of the project plus the university's full federally negotiated facilities and administrative (F&A, indirect) cost rate. The ~~Principal Investigator (PI) or Project Director (PD)~~ *Principal Investigator/Project Director (PI/PD)* is responsible for ensuring that a fixed amount award is accurately estimated.

The Office of Research and ~~Sponsored Programs~~ *Graduate Studies (ORGSP)* requires an internal operating budget for fixed amount awards and awarded funds must be used during the term of the agreement in support of the specific statement of work. The ~~Principal Investigator/Project Director (PI/PD)~~ *Principal Investigator/Project Director (PI/PD)* is responsible for charging all appropriate operating expenses to the award, including salary and associated benefits at a level commensurate with the effort committed to the project.

In the event that there is a negative balance at the conclusion of a fixed amount award project, the managing administrative unit is responsible for covering the shortage from an appropriate source of funds.

In the event that a residual balance remains after all allocable expenses have been recorded to the project fund, the following processes apply:

### Non-Federal Awards

1. The PI/PD will certify that the sponsor has accepted all required deliverables, the controller's office will confirm that the sponsor has made final payment. *If the remaining balance exceeds \$500, and* the full federally-negotiated F&A rate will be charged against the award. Any residual balance should be no more than 20% of the original award.

2. If the residual balance is less than 20% of the original award; (up to \$10,000 or 25% of the residual balance, whichever is less); ~~is then the amount is~~ transferred to a fixed-price residual (FPR) fund for the PI/~~or~~ PD, or into an FPR fund established for a university-recognized center. The remaining balance in excess of 25% or \$10,000 is transferred to a designated fund pool to be used in support of research and development.

If the residual balance exceeds 20% of the original award, the sponsor is contacted to determine the disposition of the balance. If the sponsor allows residual amounts to be retained by the university, the amounts are distributed as described above.

*If the residual balance is \$500 or less, the entire amount may be transferred to the individual PI/PD Fixed-Price Residual Fund.*

3. Fixed-price residual funds must be used for on-going research activities or to support the goals and objectives of the PI, PD, or center, in accordance with state and university regulations, policies, and procedures.

### Federal Awards

1. For fixed amount awards originating from federal sources, there should be “no increment above actual cost” [2 C.F.R. § 200.201(b)(1)].
2. The university must certify in writing to the federal agency or pass-through entity that the project was completed or the level of effort expended.
3. If both of the above requirements cannot be met, the amount of the award must be adjusted [2 C.F.R. § 200.201(b)(3)].

### **Fixed Amount Awards from the University**

The amount of a fixed amount award to a subrecipient from the university should reflect an accurate estimate of anticipated costs for the efficient and effective conduct of the project. ~~ORSP~~ ORGS may require a budget detail and justification from a potential subrecipient.

Fixed amount subawards from federal sources are allowable with prior written approval from the federal awarding agency in an amount up to \$150,000 [2 C.F.R. § 200.88, .332]. Such awards are subject to the terms and conditions detailed in 2 C.F.R. § 200.201(b).

**Cross Reference:** 2 C.F.R. §§ 200.45, .88, .201, .332; ~~ORSP~~ Grants and Contracts Procedures Manual

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

**Contact for Revision:** ~~Director~~*Dean, Office of Research and Sponsored Programs-Graduate Studies*

**Forms:** Fixed Amount Award Close-out Certification Form; Fixed Amount Award Close-out Form

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Affirmative Action

**Policy Number:** 11.1

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

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

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

**Purpose of Policy (what does it do):** The policy outlines the guidelines for affirmative action

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Formatting changes only.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Loretta Doty, Director of Human Resources  
Anthony Espinoza, Chief Information Officer, Information Technology Services  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Affirmative Action

**Original Implementation:** Unpublished

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

### *Purpose*

*Stephen F. Austin State University is fully committed to the national and state goal of affording equal employment opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status.*

### *Definitions*

***Affirmative action** means that a search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups as required by federal regulations.*

### *General*

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

1. Provide equal pay for equal work.
2. Provide hiring standards that do not discriminate on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, or gender expression.
3. *In general, an employer may hire the individual best qualified to perform a particular job but must t*~~ake affirmative action that will open up job opportunities on all levels to women, minorities, disabled individuals and veterans. In general, an employer may hire the individual best qualified to perform a particular job. Federal regulations require~~

~~proof that the search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups.~~

4. Requirements must be job related and qualifications must be the minimum needed for entrance to a given job.
5. Recruiting efforts must reach minority and women applicants.
6. Selections must be made following strict guidelines that prevent discrimination in all phases of the selection process: job analysis, uniform classification, retention and maintenance of applications, interview practices, and notification of results of the selection process. Appointments must be made considering only job related factors.

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

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

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

**Contact for Revision:** Director of Human Resources and General Counsel

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Affirmative Action Recruitment

**Policy Number:** 11.9

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

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

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

**Purpose of Policy (what does it do):** The policy outlines the guidelines for affirmative action

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor wording changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Loretta Doty, Director of Human Resources  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Employee Affirmative Action/Recruitment Plan

**Original Implementation:** February 3, 2005

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

### Purpose

Stephen F. Austin State University affirms its intention to comply with an affirmative action/recruitment plan developed to assure equal access to employment opportunities.

### Definitions

**Affirmative action** means that a search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups as required by federal regulations.

### General

Equal opportunity is the law of the land. In the public sector of our society this means that all persons, regardless of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, or veteran status shall have equal access to positions in public service limited only by their ability to do the job. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression.

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

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

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



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

~~In keeping with the spirit of that Act,~~ Stephen F. Austin State University affirms that it shall be its public policy not to discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, or veteran status. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression. Further, the university shall take all necessary steps to ensure the employment and promotion of otherwise qualified classes who may be underrepresented in the *university*~~agency~~'s workforce.

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

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

### **Program Responsibilities**

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

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

*The hHuman rResources office* should be contacted for specific procedures related to recruitment of faculty and staff.

### **Program Goal**

*The program's goal is to ensure objectivity, consistency, uniformity and job relatedness through design and implementation of appropriate personnel policy and procedural systems that affect the equal employment opportunities of the university's employees and applicants for employment.*

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

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

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

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Return to Work

**Policy Number:** 11.24

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

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

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

**Purpose of Policy (what does it do):** The policy outlines the guidelines for the return to work program.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Formatting and minor word changes only.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Loretta Doty, Director of Human Resources  
Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Return to Work

**Original Implementation:** January 28, 1997

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

### *Purpose*

*It is the policy of Stephen F. Austin State University to provide a return to work program as the means to return employees to meaningful, productive employment following injury or illness. To provide the highest level of quality service to the citizens of Texas, the necessity exists for every employee of the university to be available for work, ready, and capable of performing the duties and responsibilities for which the employee was hired.*

### *Definitions*

#### *General*

~~It is the policy of Stephen F. Austin State University to provide a return to work program as the means to return employees to meaningful, productive employment following injury or illness. To provide the highest level of quality service to the citizens of Texas, the necessity exists for every employee of the university to be available for work, ready, and capable of performing the duties and responsibilities for which the employee was hired.~~

The return to work program may provide opportunities for any employee of Stephen F. Austin State University who sustains a compensable injury during the course and scope of employment, a disability as defined by the Americans with Disabilities Act Amendments Act of 2008, and/or a serious health condition as defined by the Family and Medical Leave Act, to return to work at full duty. If the employee is not physically capable of returning to full duty, the university may provide opportunities, when available, for the employee to perform a temporary assignment in which the employee's regular position is modified to accommodate the employee's physical capacities, or to perform duty at an alternate position.

Each case will be evaluated on an individual basis according to the limitations of each employee as documented by a physician and the job responsibilities of the position. In the event of a worker's compensation injury or illness, the physician's *restrictions must be* documented ~~and~~ must be submitted on the Worker's Compensation Work Status Report DWC-0073, including a thorough assessment of the employee's specifications considering their official job description. A copy of the job description will be provided to the physician and can be obtained from the director of human resources, if requested. Failure to provide the appropriate documentation for light or medium duty return to work conditions may be grounds, among others, for denial of light or medium duty assignments. Light duty, if offered, is limited to a specific time frame and may not exceed 12 weeks before being upgraded to medium work, then on to regular work. All modified duty or restrictions to the employee's normal job duties as described on the official job

description must be approved and accompanied by an Offer of Employment. The Offer of Employment is prepared by the safety officer and presented to the employee by the supervisor or department head. The university will request a release from the employee for direct communication with the physician regarding those matters that directly relate to return to work assessments. The university reserves the right to properly assess and verify the employee's physical capabilities as they relate to the job.

This return to work program shall not be construed as recognition by Stephen F. Austin State University, its management, or its employees that any employee who participates in the program has a disability as defined by the Americans with Disabilities Act Amendments Act (ADAAA) of 2008. If an employee sustains an illness or injury that results in a disability under the ADAAA, it is the employee's responsibility to inform the supervisor or a person in a responsible management position that a disability under the ADAAA exists and that a reasonable accommodation will be necessary to perform the essential functions of the position held. Once the employee has informed the supervisor, the human resources director must then be informed. ~~Confirmation of the disability by a licensed physician or other appropriate medical provider as determined by the university is required. Such documentation may be assessed or verified by the university.~~ Reasonable accommodations may be granted in conjunction with the physician's assessment of the employee's capabilities as it relates to the job and the needs of the university and as described in the Reasonable Workplace Accommodation for Disabilities policy (11.22).

As each situation arises, the case will be evaluated independently by the supervisor, head of department, safety officer, director of human resources, the physician, and other administrators as necessary. Timely contact of individuals cited in their respective areas of responsibility is required to provide the employee with prompt care and justifiable accommodations. ~~If possible, a modified offer of employment will be proposed. The Offer of Employment form is to be used for this purpose.~~ *Human resources conveys the conditions and requirements of accommodations granted to the employee.*

**Cross Reference:** Family and Medical Leave (12.9); Workers Compensation Coverage (12.23); Reasonable Workplace Accommodation for Disabilities (11.22); Americans with Disabilities Act of 1990, 42 U.S.C. § 12101, as amended by the Americans with Disabilities Act Amendments Act of 2008, Pub. L. No. 110-325, 122 Stat. 3553; Family and Medical Leave Act of 1993, 29 U.S.C. §§ 2601-2654

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

**Contact For Revision:** Environmental Health, Safety, and Risk Management Department and Human Resources

**Forms:** Worker's Compensation Work Status Report ~~DWC-73~~ *DWC-073*; Offer of Employment (available in: Environmental Health, Safety, and Risk Management Department)

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Telecommuting

**Policy Number:** 11.27

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

**Date of last revision, if applicable:**

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

**Purpose of Policy (what does it do):** The policy outlines the guidelines for requesting and approving a telecommuting agreement.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:** To allow the option of telecommuting to be utilized by management when it is in the best interest of SFA.

**Specific rationale for each substantive revision:**

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Loretta Doty, Director of Human Resources  
Anthony Espinoza, Chief Information Officer, Information Technology Services  
Damon Derrick, General Counsel

## Telecommuting

**Original Implementation:** January 29, 2019

**Last Revision:** None

### Purpose

The purpose of this policy is to establish guidelines for utilizing a telecommuting option for staff employees at Stephen F. Austin University (SFA) that optimizes costs, increases effectiveness and allows for efficient use of SFA resources and time.

### Definitions

**Telecommuting** is an option for performing the employee's job duties and tasks at a remote work location rather than traveling to SFA facilities. The employee performs their job duties and interacts with other SFA employees using advance technology.

**Remote workplace** is a location other than SFA premises, where telecommuting employees utilize technology to perform their job duties and communicate with other employees.

### General

Telecommuting is not an SFA job entitlement. It is an option that must be requested by an employee, reviewed and approved by the department head, human resources, vice president and the president. Employees must complete and submit a Telecommuting Request form and, if approved, a Telecommuting Agreement. The criteria used by the approvers to determine if the position is appropriate for telecommuting includes but is not limited to the following considerations:

1. The job duties of the position can be performed at a remote site without diminishing the quality of the work or disrupting the productivity of the department.
2. The confidentiality of information connected to the position and the ability to maintain confidentiality at a remote location will not be compromised.
3. A supervisor must have the ability to establish work expectations and a method to measure employee productivity.
4. A supervisor must establish the amount of time the employee is required to physically interact with other SFA staff.
5. A justification that provides a benefit to SFA, its customers, and other department employees.

The criteria used by approvers to evaluate an employee requesting consideration for a telecommuting option include but is not limited to whether the employee:

1. Consistently demonstrates satisfactory performance as noted on their last performance evaluation.
2. Demonstrates the ability to work with minimal supervision, ability to establish priorities and manage time effectively, and thorough knowledge of telecommuting work tasks.



3. Provides a remote workplace at which SFA equipment and work related materials will be safe and where required job duties can be performed.
4. Complies with the university's policy on Ethics (2.6).
5. The employee's supervisor must ensure that the appropriate type of secure equipment and software necessary to perform the job is used. When SFA equipment, software, and supplies are used, personal use is restricted. If the telecommuting employee will be working with or dealing with category 2 or higher data, the employee must utilize the SFA VPN to work with the data.

The following constraints apply to the employee's telecommuting work hours.

1. Telecommuting employees will work hours that comply with the work hours established by policy for all SFA employees as stated in Working Hours and Holidays policy (12.24). The employee's schedule must be approved by his or her supervisor and must meet the operational needs of SFA.
2. Telecommuting employees are not eligible to claim or earn state compensatory time unless it is approved by the president in compliance with Texas Government Code, 659.018b.

A telecommuting agreement can be terminated at any time at the discretion of the supervisor for unsatisfactory performance, failure to adhere to SFA policies and procedures, disciplinary action, when no longer beneficial to SFA, and any other relevant reason.

**Cross Reference:** Tex. Gov't Code §§ 658.010, 659.018b; Ethics (2.6); Overtime and Compensatory Time (12.14); Working Hours and Holidays (12.24); Acceptable Use of Information Resources (14.2).

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

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

**Forms:** Request for Approval of Telecommuting form and Telecommuting Agreement form are available on the human resources website.

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Faculty Compensation

**Policy Number:** 12.6

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

**Date of last revision, if applicable:** 7/28/2015

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

**Purpose of Policy (what does it do):** Stephen F. Austin State University (SFA) is responsible for securing a qualified and competent faculty and for utilizing public funds for faculty salaries and wages in an effective manner.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Revisions include basic edits for clarification purposes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Faculty Compensation

**Original Implementation:** February 3, 2005

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

Stephen F. Austin State University (SFA) is responsible for securing a qualified and competent faculty and for utilizing public funds for faculty salaries and wages in an effective manner.

### 1. Faculty Employee

Faculty personnel are any university employees with academic rank or duties that include teaching, research, academic administration, or other scholarly activity and who are paid in full or in part from the line item "Faculty Salaries" or from *another* academic funding source. The provost and vice president for academic affairs, associate provost, and academic deans are considered staff for purposes of this policy.

### 2. Authority to Set Compensation

The Board of Regents has the authority to set compensation levels paid to faculty members through review and adoption of the annual operating budget. The itemized budget specifies the salary authorized for each position. The provost and vice president for academic affairs must give initial approval of all changes to budgeted faculty positions outside of the annual operating budget.

### 3. General Compensation

It is the policy of the university to distribute *funds for salaries and wages* fairly and equitably. ~~funds available for salaries and wages~~. Initial faculty salaries are determined based on a combination of factors, including the funding available for the position, the academic discipline, faculty rank at the time of appointment [see Academic Appointments and Titles (7.2)], highest degree earned, the job description, professional experience, market value, and the needs of the department and college. ~~Upon the Salary~~ *re*recommendations ~~by of the chair-academic unit head and dean are submitted to the~~ provost *for approval.* ~~es all faculty salaries prior to hiring.~~

### 4. Non-Discrimination

All position and salary range assignments will be made on the basis of the work to be performed without regard to race, color, religion, sex, age, disability, national origin, genetic information, citizenship, veteran status, ~~or~~ marital status, *sexual orientation, gender identity, or gender expression*, and in accordance with the laws, policies, and regulations of the United States government, the state of Texas, and the ~~Board of Regents~~

of SFA university.

## 5. Administration of Faculty Compensation

The provost and vice president for academic affairs, in conjunction with the academic deans, has responsibility for the administration of this policy. *Academic Unit* heads will recommend compensation for their employees in accordance with university policies, procedures, and guidelines.

## 6. Faculty Compensation

- a. General Information: Faculty salaries are normally budgeted for a 9-month period. Faculty members are compensated on the basis of a fair and reasonable workload. See Faculty Workload (7.13). Under the Federal Wage and Labor Law, faculty employees are exempt from overtime regulations.
- b. Market Data: University administrators will use the College and University Professional Association for Human Resources (CUPAHR) as its primary determinant of the market value for faculty salaries. Other relevant market data will be considered when appropriate.
- c. Compensation for Summer Teaching: Summer teaching is not guaranteed. See Summer Teaching Appointments (7.28). ~~Normally, faculty members are compensated for summer teaching at a rate of 1/6 of their 9-month teaching salary for a 100% teaching assignment for each summer session. In certain budgetary circumstances, the rate of compensation may be adjusted. Compensation is prorated for assignments less than two teaching units.~~ Compensation for summer teaching is provided through the SFA summer budget.
- d. Compensation for Adjunct Faculty: When considered necessary to hire adjunct faculty to teach courses, the compensation should be based on the following ranges:

Years of Experience Salary Range (per course)	
Zero to Six	\$2,500 - \$3,000
Seven to Ten	\$2,650 - \$3,200
Over Ten	\$2,800 - \$3,800

e. Stipends may vary by college, discipline, need, and the educational level of the proposed adjunct faculty member. Any variation must be recommended by the chair and dean and approved by the provost and vice president of academic affairs prior to appointment.

f.e. Additional Compensation: In instances where faculty members provide services outside of their normal teaching duties, they may be eligible for additional

compensation. See Salary Supplements, Stipends and Additional Compensation (12.16).

~~g.f.~~ Overload Compensation: In instances where faculty members are needed to teach an overload, they may be eligible for overload compensation. At a minimum, the overload compensation will be comparable to that of an adjunct faculty member. Upon the recommendation of the ~~department~~ *academic unit* head and dean and approval of the provost and vice president of academic affairs, overload compensation may vary based on the funding available, needs of the department, and qualifications of the faculty member.

~~h.g.~~ Associate Dean, Assistant Dean or ~~Department~~ *Academic Unit* Head Compensation: When appointed as an associate dean, assistant dean, or *academic unit* ~~department~~ head, a faculty member may receive a combination of a stipend and reassignment time for performing administrative duties. See Academic Unit Head Appointments (4.2).

~~i.h.~~ Grants, Endowments, and Other Arrangements: Grants, endowments, awards and other arrangements may provide for an additional stipend or salary support for a faculty member within applicable regulatory parameters. See Compensation from Grants, Contracts and Other Sponsored Agreements (12.1).

## 7. Increases in Compensation

- a. General Increases: All salary increases for faculty members, unless otherwise mandated by the state's legislature, will be based on merit and/or equity. Quality of teaching, research, scholarly/creative activity, administrative responsibilities, and service may be considered in the merit process. Equity adjustments may be awarded based on the recommendations of the ~~department~~ *academic unit* head and dean, subject to the approval of the provost and vice president of academic affairs.
- b. Recommendations: *Academic unit* ~~Department~~ heads will recommend salary rates, equity adjustments, and merit increases in the annual department budget request based on the budget guidelines issued by the president. The recommendations will, in turn, be submitted to the appropriate academic dean and the provost and vice president of academic affairs for approval. Each faculty member is to provide an annual performance report to the ~~department~~ *academic unit* head for use in consideration of a merit increase. See ~~Consideration for~~ Faculty Merit Pay (7.6).
- c. Salary Increases for Promotion: Faculty members, through the promotion process [see Academic Promotion (7.4)], are awarded increases in the subsequent budget year based on budgeted resources and the promotion rank.

**Cross Reference:** Academic Appointment and Titles (7.2); Academic Promotion (7.4); Academic Unit Head Appointments (4.2); ~~Faculty Compensation (12.6)~~; Faculty Workload (7.13); Salary Supplements, Stipends and Additional Compensation (12.16); Compensation from Grants, Contracts and Other Sponsored Agreements (12.1); ~~Consideration for Faculty Merit Pay (7.6)~~; Summer Teaching Appointments (7.28).

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

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

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Faculty/Staff Athletic Ticket Purchases

**Policy Number:** 12.8

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

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

**Unit(s) Responsible for Policy Implementation:** President

**Purpose of Policy (what does it do):** Allows for discounted ticket prices for university faculty/staff.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Clarifying that eligibility for discounted season tickets is limited to faculty, staff, and retirees. Such individuals may continue to purchase as many season tickets as they desire. Deleted procedure from policy.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Ryan Ivey, Director of Athletics  
Dr. Steve Westbrook, Acting President  
Damon Derrick, General Counsel

## Faculty/Staff Athletic Ticket Purchases

**Original Implementation:** Unpublished

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

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

~~Season ticket applications are mailed annually to each faculty/staff member who purchased tickets the previous year. Information on season tickets is distributed annually to each employee via a campus wide email and in SFA Today in order to contact as many new faculty/staff members as possible and to offer faculty/staff who did not purchase tickets the previous year a chance to do so. The Department of Intercollegiate Athletics will inform university faculty and staff of the availability of discounted season tickets on at least an annual basis. Faculty/staff season tickets are not honored during post-season play.~~

**Cross Reference:** None

**Responsible for Implementation:** President

**Contact for Revision:** Director of Intercollegiate Athletics

**Forms:** None

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



STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Vacation Leave

**Policy Number:** 12.21

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

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

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

**Purpose of Policy (what does it do):** The policy outlines the guidelines for eligibility to accrue and use vacation leave.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Formatting and minor word changes only.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Loretta Doty, Director of Human Resources  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Vacation Leave

**Original Implementation:** Unpublished

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

### *Purpose*

*This policy establishes the eligibility to earn vacation leave, defines the rates of accrual, and describes related requirements.*

### *Definitions*

#### *General*

Employees of the university, other than faculty with appointments of less than twelve months, shall, without deduction in salary, be entitled to a vacation *leave* in each fiscal year. SFA Charter School teachers are excluded from this policy. Additionally, this policy will not apply if alternative leave benefits were negotiated in a contract agreement with an employee. Additionally, employees excluded from this policy include those who do not work at least 20 hours per week for a period of at least 4.5 months or employees in positions that require student status. An employee will earn vacation entitlement beginning on the first day of employment with the state and terminating on the last day. Vacation with pay may not be granted until the employee has had continuous employment with the state for six (6) months, although credit will be accrued during that period. Such entitlement shall be earned as listed below:

Employees with Total State Employment of:	Hours Accrued Per Month	Maximum Hours to Carry Forward from One Fiscal Year to Next Fiscal Year
0 but less than 2 years	8	180
2 but less than 5 years	9	244
5 but less than 10 years	10	268
10 but less than 15 years	11	292
15 but less than 20 years	13	340
20 but less than 25 years	15	388
25 but less than 30 years	17	436
30 but less than 35 years	19	484
35 and over years	21	532

Vacation credit for the higher rate of accrual as shown on the chart above shall be given on the first calendar day of the month if the employee's anniversary date falls on the first calendar day of the

month; otherwise, the increase will occur on the first calendar day of the following month.

Part-time employees are also eligible for annual leave, but their accrual rate and maximum annual leave carryover amounts are proportionate to the number of hours they work. For example, half-time employees earn and carry over annual leave at one-half the rate authorized for full-time employees.

The annual leave hours in excess of the maximum allowable carryover left at the end of a fiscal year shall be credited to the employee's sick leave balance. If the employee is on any type *of* –paid leave that extends into the following month, the accrual will not be posted until the employee returns to duty. An employee forfeits this accrual if he or she fails to return to duty.

~~Time during which any employee is excused from work because of holidays shall not be vacation.~~

If a state employee transfers directly from one state agency to another, they shall be entitled to credit with the newly employing agency for accumulated but unused vacation entitlement, provided that employment with the state is uninterrupted. A state employee who resigns, is dismissed, or departed from state employment shall be entitled to be paid for all vacation time duly accrued at the time of separation from state employment, provided the employee has had continuous employment with the state for six (6) months.

Vacation leave for non-faculty employees must be approved in advance by the appropriate supervisor. Non-faculty employees must request vacation using either a Request for Vacation, Compensatory Time, Sick Leave Taken form, the system leave request form (electronically), or document the leave in a manner established and documented by the department head. Every effort should be made to accommodate the vacation requests, but supervisors may request that such leave be taken during periods other than departmental peak work periods.

**Cross Reference:** Tex. Gov't Code §§ 661.152-.153

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

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

**Forms:** *Vacation/Comp Time/Sick Leave Request form* ~~for Vacation, Compensatory Time, Sick Leave Taken form (available from Human Resources)~~

**Board Committee Assignment:** Finance and Audit

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Health and Safety

**Policy Number:** 13.10

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

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

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

**Purpose of Policy (what does it do):** This policy establishes SFA's commitment to employee, student, and visitor health and safety, while meeting OSHA's requirements.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** The purpose of the policy and general information were edited to better reflect the requirements of OSHA and to establish the authority and responsibility for the management of SFA's Health and Safety Program.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Dr. Jeremy K. Higgins, Director of Environmental Health, Safety and Risk Management  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Health and Safety

**Original Implementation:** February 11, 1977

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

### Purpose

This policy affirms the university's commitment to protect *the health and safety of its employees, students, and the general public, as well as the university's physical and financial assets. This document establishes the authority and responsibility for the proper management of the university's health and safety program, which is achieved through appropriate compliance with university policies, procedures, and applicable laws and regulations. its human and physical resources and to maintain a safe and healthful environment that allows the university to accomplish its goals.* It also intends to create an awareness of and a commitment to an effective safety program among all members of the university community.

### Definitions

**Risk Management for Texas State Agencies (RMTSA) Guidelines** is the *primary* program document for the university's safety and health program. It is developed by the State Office of Risk Management and provides the direction and basis for developing and implementing a comprehensive risk management program.

### General

The primary concern of ~~this~~ *health and safety* program is the safety and well-being of the students, faculty, staff, and visitors. The program is promoted through safety procedures, *hazard identification, training, identification of hazards, and initiation of loss-control measures aimed at the focused on the overall* reduction of accidents and risk. *This policy applies to all university employees, students, university affiliates, visitors, and owned or leased facilities, buildings, or property.*

Responsibility and coordination of various aspects of the university's *health and safety* program is vested in the Environmental Health, Safety, & Risk Management (EHS&RM) Department that reports to the vice president for finance and administration of the university. *EHSRM will ensure the university is compliant with all applicable federal and state laws and regulations relating to health and safety. The Risk Management for Texas State Agencies Guidelines, published by the State Office of Risk Management, is the primary program document for the university's safety and health program. While health and safety compliance rests primarily with EHSRM, it is also the responsibility of all university members to comply with the health and safety policy, procedures, trainings, and inspections.*

Responsibilities are assigned to individuals at appropriate levels of authority and expertise as follows:

- ~~The responsibility for physical safety, fire and life safety protection and emergency protocols, occupational health and safety, emergency procedures, risk management, safety training and inspections, workers' compensation, acquiring adequate property insurance~~

coverage, environmental safety, hazardous and radioactive materials, asbestos management, laboratory safety, and accident prevention and investigation is assigned to the director of environmental health, safety, and risk management (EHS&RM), who reports to the vice president for finance and administration. The director of EHS&RM also serves as the official university contact for federal and state agencies regarding environmental and occupational safety and health.

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

### Providing a Safe Workplace

Facilities will be designed in a manner consistent with health and safety regulations and standards of good design. University departments responsible for the design, construction, and/or renovation of facilities shall consult *in a timely manner* with EHS&RM to ensure that there is appropriate health and safety review of facility concepts, designs, *fire protections*, and plans.

*Faculty and staff supervisors, in coordination with EHSRM, shall ensure that personnel receive proper safety training as required by their job task or by result of hazard identification. SFA encourages employees and students to report health and safety hazards to their supervisors or EHS&RM. Employees and students shall not be retaliated against in any manner for bona fide reporting of health and safety hazards to SFA.*

Faculty and staff supervisors, in coordination with EHS&RM, shall ensure that regular, periodic inspections of workplaces are conducted to identify and evaluate workplace hazards and unsafe work practices. Means of correcting discovered hazards and/or protecting individuals shall be determined and implemented appropriately and in a timely manner. Unsafe conditions which cannot be corrected by the supervisor must be reported to ~~the next higher level of department management~~ *and EHSRM*.

Any individual who becomes aware of a ~~serious concealed danger to~~ *situation immediately dangerous to* health or safety shall ~~immediately~~ *promptly* report the danger to ~~the EHS&RM Department~~ and to the faculty, staff, and students who may be affected. The director of EHS&RM has the authority to intervene or shut down any university activity considered to present a clear and imminent danger to health or safety. This shall remain in effect until the danger has passed or been mitigated to the extent that the imminent danger no longer exists.

### Support

In addition to these ~~specific~~ *—aforementioned and specifically assigned* responsibilities, it shall

be the general responsibility of all SFA employees and students to keep themselves informed of conditions affecting their health and safety; to comply with SFA health and safety policies, programs, procedures, and practices; to participate in training *and inspection* programs provided by their supervisors and EHS&RM; and to adhere to healthy and safe practices in their workplace, classroom, and laboratories.

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

### **Implementation**

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

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

**Responsible for Implementation:** President

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

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Illicit Drugs and Alcohol Abuse

**Policy Number:** 13.11

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

**Date of last revision, if applicable:** 7/1/2015

**Unit(s) Responsible for Policy Implementation:** President

**Purpose of Policy (what does it do):** Define and state federal, state and local laws

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Updated terminology and definitions.  
Updated services provided by departments, procedures, and building/services names.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Jill Milem, Director of Counseling Services  
Hollie Smith, Acting Dean of Student Affairs  
Michael Walker, Assistant Dean of Student Affairs for Support Services  
Peggy Scott, Director of Office of Student Rights and Responsibilities  
Dr. Steve Westbrook, Acting President  
Damon Derrick, General Counsel



## Illicit Drugs and Alcohol Abuse

**Original Implementation:** September 1, 1986

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

It is the declared policy of the United States government to create a drug-free America. As a part of that policy, the Drug-Free Workplace Act of 1988, 41 U.S.C. §§ 701-707, was adopted. On December 12, 1989, President Bush signed the Drug-Free Schools and Communities Act Amendment of 1989, 20 U.S.C. § 1011i, which amends provisions of the Drug-Free Schools and Communities Act of 1986 and the Higher Education Act of 1965. University policies relating to the use of illegal drugs and alcoholic beverages have been established by the Board of Regents of Stephen F. Austin State University in compliance with state and federal law.

### Definitions

1. Controlled substance means a controlled substance in schedules I through V of the Schedules of controlled substances, 21 U.S.C. § 812. Examples include, but are not limited to: heroin, marijuana, mescaline, peyote and cocaine. This definition does not include medication prescribed by a physician.
2. Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes.
3. Criminal drug statute means a criminal statute involving manufacture, distribution, dispensation, use or possession of any controlled substance.
4. Federal agency means an agency as that term is defined in 5 U.S.C. § 551(1).

### Standards of Conduct

It is the university's policy that all members of the university community and guests are required to comply with federal, state and local laws regarding the possession, consumption and distribution of alcoholic beverages. All employees (full-time and part-time faculty, staff and students) are prohibited from engaging in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcoholic beverage in the workplace, or reporting to work under the influence of alcoholic beverages or illegal drugs. None of the funds appropriated to the university by the state legislature for travel expenses may be expended for alcoholic beverages.

Alcoholic beverages will be permitted at authorized events on university controlled property only as allowed under ~~the Alcohol Service policy (13.7)~~ university policy. The unauthorized use of intoxicating beverages on university-controlled property or at university-sponsored activities, including, but not limited to, intercollegiate and intramural athletic events is prohibited. Alcoholic beverages are not permitted in university residence halls.

It is the policy of Stephen F. Austin State University that any unlawful manufacture, possession or

delivery of any controlled substance or illegal drug is strictly prohibited. Moreover, it is the policy of the state of Texas and of this university that this institution will be as free of illegal drugs as it can possibly be.

## Health Risks

### ALCOHOL ABUSE

Alcohol is a primary and continuous depressant of the central nervous system. Impairment of judgment and of recently learned, complex and finely tuned skills begins to occur at blood alcohol concentrations as low as 0.025 percent. These impairments are followed by the loss of more primitive skills and functions, such as gross motor control and orientation at concentrations in excess of 0.05 percent. Alcohol in moderate doses impairs nearly every aspect of information processing, including the ability to abstract and conceptualize, the ability to use large numbers of situational cues presented simultaneously, and the cognitive ability to determine meaning from incoming information. Alcohol consumption can therefore promote action on impulse without full appreciation of, or concern about, the potential negative consequences of such action. Chronic long-term effects of heavy drinking over a period of years can result in brain damage; cancer of the mouth, esophagus or stomach; heart disease; liver damage resulting in cirrhosis, alcoholic hepatitis, and cancer of the liver; peptic ulcer disease; and possible damage of the adrenal and pituitary glands. Prolonged, excessive drinking can shorten life span by 10 to 12 years.

### ILLICIT DRUGS

Illicit drugs include narcotics, such as heroin or morphine; depressants, such as barbiturates, *quaaludes*, or valium; stimulants, such as cocaine or "crack"; hallucinogens, such as PCP, LSD or mescaline; cannabis, such as marijuana or hashish; inhalants, such as nitrous oxide, amyl nitrite (poppers) or various hydrocarbon solvents; and designer drugs, such as  $\alpha$ -methylfentanyl (China White), methamphetamine (*Meth/Crank/Speed*), 3,4-methylenedioxy-methamphetamine (*MDMA*/Ecstasy) or meperidine (Demerol).

Narcotics. Narcotics initially produce a feeling of euphoria that is often followed by drowsiness, nausea and vomiting. Tolerance may develop rapidly and dependence is likely. The use of contaminated syringes may result in diseases such as human immunodeficiency virus (HIV), endocarditis (inflammation of the lining of the heart) and hepatitis.

Depressants. The effects of depressants are in many ways similar to the effects of alcohol. Small amounts can produce calmness and relaxed muscles, but a somewhat larger dose can cause slurred speech, ataxia or unstable gait, and altered perception. Very large doses can cause respiratory depression, coma and death. The combination of depressants and alcohol can multiply the effects of the drugs, thereby multiplying the risks. The use of depressants can cause both physical and psychological dependence.

**Stimulants.** Cocaine stimulates the central nervous system. Its immediate effects include dilated pupils; elevated blood pressure, heart and respiratory rate; and increased body temperature. Occasional use can cause a stuffy or runny nose, while chronic use can ulcerate the mucous membrane of the nose with long-term use eroding the nasal septum. The injection of cocaine with unsterile equipment can cause human immunodeficiency virus (HIV), hepatitis and other diseases. Preparation of freebase, which involves the use of volatile solvents, can result in death or injury from fire or explosion. Cocaine can produce psychological and physical dependency. In addition, tolerance develops rapidly. Crack or freebase rock is extremely addictive. The physical effects include dilated pupils, increased pulse rate, elevated blood pressure, insomnia, loss of appetite, tactile hallucinations, paranoia and seizures. Overdoses occur easily.

**Hallucinogens.** *Include a diverse group of drugs that alter perception (awareness of surrounding objects and conditions), thoughts, and feelings. They cause hallucinations, or sensations and images that seem real though they are not. Hallucinogens can be found in some plants and mushrooms (or their extracts) or can be human-made. Common hallucinogens include the following: ayahuasca, DMT, D-lysergic acid diethylamide (LSD), peyote (mescaline), and 4-phosphoryloxy-N,N-dimethyltryptamine (psilocybin). Some hallucinogens also cause users to feel out of control or disconnected from their body and environment.* Phencyclidine (PCP) users frequently report a sense of distance and estrangement. Time and body movement are slowed down. Muscular coordination worsens, and senses are dulled. Speech is blocked and incoherent. Chronic PCP users report persistent memory problems and speech difficulties. Mood disorders, such as depression, anxiety and violent behavior, may also occur. In late stages of chronic use, users often exhibit paranoid and violent behavior and experience hallucinations. Large doses may produce convulsions and coma, heart failure, lung problems and/or ruptured blood vessels in the brain. Lysergic acid (LSD), mescaline and psilocybin cause *perceptual distortions (mixed senses, such as "seeing" sounds or "hearing" colors)* illusions and hallucinations. The physical effects may include dilated pupils, elevated body temperature, increased heart rate and blood pressure, loss of appetite, sleeplessness and tremors. Sensations and feelings may change rapidly. It is common to have ~~adverse~~ psychological reaction to LSD, mescaline and psilocybin. The user may experience panic, confusion, suspicion, anxiety and loss of control. Delayed effects or flashbacks can occur even after use has ceased.

**Inhalants.** The chemicals in most inhalants are rapidly absorbed in the lungs and exert their central nervous system effects within seconds, producing an altered mental state for about five to fifteen minutes. Immediate effects of inhalants include nausea, sneezing, coughing, nose bleeds, fatigue, lack of coordination and loss of appetite. Solvents and aerosol sprays can decrease the heart and respiratory rates and impair judgment. Amyl and butyl nitrite can cause rapid pulse, headaches, and involuntary passing of urine and feces. Inhalation of toluene as well as other hydrocarbons has been associated with kidney and liver damage, peripheral nerve problems, convulsions, encephalopathy (organic brain damage) and other central nervous system disorders. Sudden death associated with both glue sniffing and especially the inhalation of aerosols containing halogenated hydrocarbons

(Freon) has been reported and is thought to be secondary to cardiac arrhythmias (abnormal electrical conduction patterns in the heart).

**Marijuana.** The short term effects of marijuana include distortion of time perception, increased heart rate, dilation of blood vessels and loss of short-term memory. Also decreased are visual perception and psychomotor skills, which have adverse effects on driving ability. The effects of long-term use include loss of motivation, chronic bronchitis, decreased vital lung capacity and an increased risk of lung cancer. Tolerance and psychological dependence develop with marijuana.

~~Designer~~ **Other Illegal Drugs.** Designer drugs are synthetic chemical modifications of older drugs of abuse that are designed and manufactured in covert laboratories and sold at great profit for recreational use. These drugs can be several hundred to several thousand times stronger than the drugs they are designed to imitate. Designer drugs similar to opiates include fentanyl, demerol, and "china white." The narcotic analogs of designer drugs can cause symptoms such as those seen in Parkinson's disease - uncontrollable tremors, drooling, impaired speech, paralysis and irreversible brain damage. Analogs of amphetamines and methamphetamines cause nausea, blurred vision, chills or sweating and faintness. Psychological effects include anxiety, depression and paranoia. Withdrawal problems include sweating, diarrhea, fever, insomnia, irritability, nausea and vomiting, and muscle and joint pain. *Flunitrazepam (Rohypnol) is a benzodiazepine chemically similar to prescription sedatives such as Valium and Xanax but much more powerful and has been used to commit sexual assaults due to its ability to sedate and incapacitate unsuspecting victims. Similarly, Gamma-hydroxybutyrate (GHB) is a depressant and is sometimes used as a date rape drug.*

*Synthetic cannabinoids are part of a group of drugs called new psychoactive substances (NPS). NPS are unregulated mind-altering substances that have become newly available on the market and are intended to produce the same effects as illegal drugs. Synthetic cannabinoids are marketed under a wide variety of specific brand names, including K2, Spice, Joker, Black Mamba, Kush, and Kronik. Synthetic cannabinoids are not safe and may affect the brain much more powerfully than marijuana; their actual effects can be unpredictable and, in some cases, more dangerous or even life-threatening. Synthetic cathinones, more commonly known as "bath salts," are human-made stimulants and are include in the group of NPS. Common effects of synthetic cathinones included elevated heart rate, blood pressure, and chest pain. Other effects include delirium, dehydration, breakdown of skeletal muscle tissue, and kidney failure. Intoxication from synthetic cathinones can result in death.*

### University Penalties

#### STUDENTS

Any student who is determined, through the regular disciplinary procedures of the university, to have violated the policy on the use of illicit drugs will be suspended from the university for no

more than two years and no less than the remainder of the current semester. *This includes suspension for possession of illegal drugs and the potential for expulsion for the sale or distribution on campus.* At the discretion of the vice president for university affairs or his/her designee, a student suspended under this policy may, under certain conditions, remain enrolled at the university on disciplinary probation. These conditions can include substance abuse evaluation, treatment and/or counseling. Any cost for services or treatment not offered as a student service on campus will be the responsibility of the student.

University sanctions imposed for alcohol possession or consumption can include progressive levels of probation leading to suspension for multiple offenses, attendance at an alcohol education class offered by the university, community service, substance abuse evaluation, treatment and/or counseling. Any cost for services or treatment not offered as a student service on campus will be the responsibility of the student.

#### EMPLOYEES

All employees (full-time and part-time faculty, staff and students) are prohibited from engaging in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcoholic beverage in the workplace, or reporting to work under the influence of alcoholic beverages or illegal drugs. None of the funds appropriated to the university by the state legislature for travel expenses may be expended for alcoholic beverages.

Observance of the policy regarding alcoholic beverages and illegal drugs is a condition of employment for all university employees. An employee violating this policy shall be subject to employment discipline up to and including termination, or shall be required to undergo satisfactory participation in a drug abuse assistance or rehabilitation program, such as the Employee Assistance Program of the university.

Any employee directly engaged in the performance of work pursuant to the provision of a federal grant or contract who is convicted of violating a criminal drug statute shall notify his/her immediate supervisor of the conviction no later than five days after the conviction. The immediate supervisor shall promptly report the conviction to the appropriate vice president and the ~~director~~-~~dean~~ of research and ~~sponsored programs~~*graduate studies*. On behalf of the university, the ~~director~~-~~dean~~ of research and ~~sponsored programs~~*graduate studies* ~~shall~~-*will* notify the federal agency grantor or contractor of the conviction within ten days of the university's receipt of notice from the employee or of receipt of other actual notice.

#### Good Faith Effort

Stephen F. Austin State University shall make a good faith effort to maintain a drug-free workplace by implementing and enforcing this policy. The university shall also comply with United States Department of Transportation regulations regarding drug testing of drivers with a commercial

driver's license.

### Federal Law

Offense	Minimum Punishment	Maximum Punishment
Manufacture, distribution or dispensing drugs (includes marijuana)	A term of imprisonment not more than 20 years, and a minimum fine of \$1,000,000	A term of life imprisonment without release (no eligibility for parole) and a fine not to exceed \$4,000,000 (for an individual) or \$20,000,000 (if other than an individual)
Possession of drugs (including marijuana)	Civil penalty in amount not to exceed \$10,000	Imprisonment for not more than 20 years or not less than 5 years, a fine of not less than \$5,000 plus costs of investigation and prosecution
Operation of a common carrier under the influence of alcohol or drugs		Imprisonment for up to 15 years and a fine not to exceed \$250,000

### Texas Law

Offense	Minimum Punishment	Maximum Punishment
Manufacture or delivery of controlled substances (drugs)	Confinement in the Texas Department of Criminal Justice State Jail facility for a term of not more than two years or less 180 days, or confinement in a community correctional facility for not more than 1 year, and a fine not to exceed \$10,000	Confinement in TDCJ for life or for a term of not more than 99 years or less than 15 years, and a fine not to exceed \$250,000
Possession of controlled substances (drugs)	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000	Confinement in TDCJ for life or for a term of not more than 99 years or less than 15 years, and a fine not to exceed \$250,000
Delivery of marijuana	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000
Possession of marijuana	Confinement in jail for a term of not more than 180 days, and a fine not to exceed \$2,000	Confinement in jail for a term of not more than 2 years or less than 30 days, or confinement in TDCJ for a term of not more

		than 10 years or less than 2 years and a fine of not more than \$10,000
Driving while intoxicated (includes intoxication from alcohol, drugs, or both)	Confinement in jail for a term of not more than two years or less than 72 hours, and a fine of not more than \$2,000, possible loss of driver's license and license surcharge up to \$2,000 per year for three years.	Confinement in jail for a term of not more than two years or less than 30 days, or confinement in TDCJ for a term of not more than ten years or less than two years and a fine of not more than \$10,000
Public intoxication		A fine not to exceed \$500
Purchase or consumption or possession of alcohol by a minor	Fine of not more than \$500	For a subsequent offense a fine of not less than \$250 nor more than \$2000
Sale of alcohol or furnishing alcohol to a minor	Fine of up to \$4,000 and/or up to 1 year in jail	Both
Purchase of alcohol or furnishing alcohol to a minor at a gathering involving abuse of alcohol, including binge drinking or coercion	In addition to any other penalty, community service for not less than 20 hours, attendance at an alcohol awareness program, and suspension of driver's license for 180 days.	In addition to any other penalty, community service for not more than 40 hours, attendance at an alcohol awareness or driving awareness program, and suspension of driver's license for 180 days.
Driving under the influence of alcohol by a minor	Fine of not more than \$500 and community service related to education about or prevention of misuse of alcohol.	A fine of not less than \$500 or more than \$2,000, confinement in jail not to exceed 180 days and/or both; community service related to education about or prevention of misuse of alcohol.

### Limited Immunity When Requesting Medical Assistance

A minor does not commit an offense for consumption or possession of an alcoholic beverage if the minor: (1) requests emergency medical assistance in response to the possible alcohol overdose of the minor or another person; (2) was the first person to make a request for medical assistance; and (3) if the minor requested emergency medical assistance for the possible alcohol overdose of another person, the minor remained on the scene until medical assistance arrives and cooperated with medical assistance and law enforcement personnel.

This immunity shall also apply to the imposition of any university sanction.

#### Limited Immunity When Reporting Sexual Assault

*A minor does not commit an offense for consumption or possession of an alcoholic beverage if the minor reports the sexual assault of the minor or another person, or is the victim of a sexual assault reported by another person, to: (1) a health care provider treating the victim of sexual assault; (2) an employee of a law enforcement agency, including the University Police Department; or (3) the Title IX Coordinator or other university employee responsible for responding to reports of sexual assault. The alleviation of sanctions will not apply to any student found to be responsible for committing a sexual assault.*

*This immunity shall also apply to the imposition of any university sanction.*

#### Counseling, Treatment and Rehabilitation

##### STUDENTS

Stephen F. Austin State University, through the counseling services office, *provides individual and group counseling, including counseling for alcohol/other drug prevention and intervention, which is available to all students.* ~~alcohol/drug abuse prevention service which is available to all students.~~ Services include assistance in abstaining from the use of chemical substances, early intervention when chemical abuse is detected, and referral to ~~a campus support system and/or a community referral resources~~ for inpatient/outpatient services not available on campus. Medical counseling and printed information on chemical dependency are available through ~~University Health Services, the campus student health facility~~ *the Student Health Clinic*. Students may seek individual counseling or request printed information at either campus location.

##### Prevention/Education.

*Consistent with the overall objective of this policy to prevent the unlawful possession, use, or distribution of illicit drugs and alcohol by students and employees on campus, prevention and education initiatives are designed to: increase awareness of the students, faculty, and staff concerning the psychological and health risks associated with chemical use; provide information to students regarding a variety of wellness issues which promote successful college adjustment; and, orient students, faculty and staff to the services available on campus and locally for treatment options. The Lumberjacks Care Peer Educator program (Student Wellness Action Team) offer presentations to student groups on a variety of topics including alcohol and substance abuse, adult children of alcoholics, assertiveness skills, stress and time management, self-esteem and related issues. Public programing occurs throughout the year across campus including but not limited to, wellness fairs, campus events, passive tabling, and Residence life programs. In addition, student groups, departments, or individual courses, may request private trainings addressing the risk of substance abuse and other wellness programing by contacting the Lumberjacks Care office.*



*On request, Counseling Services provides presentations on a variety of topics including healthy stress management techniques, maintaining personal wellness, and other mental health related topics, which include information designed to increase awareness of the psychological and health risks associated with chemical use.*

#### Referral/Assessment.

Any SFA student requiring information about, or assistance with, a chemical abuse problem may be referred to ~~the assistance program~~ *counseling services*. A student may initiate a self-referral by contacting the counseling office; university faculty and staff may initiate a student referral.

Participation by a student is voluntary, except when mandated by the student conduct authority. A counselor conducts an assessment interview on the student's initial visit and provides the student with details regarding confidentiality and record keeping requirements. The counselor informs the student of alternatives and makes recommendations based on the student's needs.

#### Campus Support System.

*Counseling services can assist students in accessing support systems on campus, including providing group counseling support as needed. Support groups function under guidelines established by counseling services.*

~~Counseling services serves as a link between the individual student and support groups which are available for chemical dependency, adult children of alcoholics and victims of sexual abuse. Support groups function under guidelines established by counseling services.~~

#### Community Referral.

Services for chemical dependency are available in the Nacogdoches community and include: private practitioners offering individual counseling or intellectual/psychological assessment; *and agencies (such as the Alcohol and Drug Abuse Council) which provide a variety of services such as individual counseling, self-help groups such as Alcoholics Anonymous and Narcotics Anonymous, and inpatient or outpatient treatment.* ~~self-help groups such as Alcoholics Anonymous and Narcotics Anonymous; and inpatient/outpatient treatment.~~

#### EMPLOYEES

University employees with supervisory responsibilities should be cognizant of employee behavior related to unacceptable job performance which may result from drug or alcohol abuse. Any decision to initiate employee counseling or a referral to human resources should be based on the employee's unacceptable job performance (which may include violations of this policy). Employee counseling, referral and related record keeping should be conducted with the degree of care and confidentiality appropriate to such personnel matters. ~~Alcohol and drug abuse seminars are among the services provided cost free to university employees. Other s~~Services for employees with a chemical dependency are available in the community, including private practitioners offering individual counseling, self-help groups such as Alcoholics Anonymous and Narcotics Anonymous,

and inpatient/outpatient treatment at various health care facilities.

### Review and Assessment

It is the intent of Stephen F. Austin State University to continue to strive for a drug-free campus and to comply with state and federal regulations regarding prevention programs established to eliminate the illegal use of drugs and alcohol abuse. To this end, SFA will provide written notice to each student and employee a copy of this policy. Students will receive written notice according to the following schedule:

- On *the first business day following* the 12<sup>th</sup> class day of each long semester
- On *the first business day following* the 8<sup>th</sup> class day following mid-term in each long semester
- On *the first business day following* the 2<sup>nd</sup> class day of Maymester
- On *the first business day following* the 4<sup>th</sup> class day of Summer I and II semesters

Employees will receive written notice no later than October 31<sup>st</sup> of each year, and all new employees will be notified during new employee orientation.

In addition, the university will conduct a biennial review of the program implemented to provide a learning and working environment free of drug and alcohol use. The purposes of the biennial review will be to: 1) determine the effectiveness of the program and implement needed changes; and 2) ensure that the sanctions included in the program are consistently enforced. The university's dean of student affairs will be responsible for initiating the biennial review. The results of this review will be released in July of even numbered years.

**Cross Reference:** Drug-Free Workplace Act of 1988, 41 U.S.C. §§ 701-707; Drug-Free Schools and Communities Act Amendments of 1989, 20 U.S.C. § 1011i, 34 C.F.R. §§ 86.1-.411; 21 U.S.C. §§ 812, 841-865; 5 U.S.C. § 551(1); General Appropriations Act; Texas Gov't Code § 2113.012; OMB Circular A-21; Tex. Transp. Code § 708.102; Tex. Alco. Bev. Code §§ 106.01-.15; Tex. Penal Code §§ 12.01-.49, 49.01-.12; State of Texas Travel Allowance Guide; Faculty Code of Conduct (7.11); Student Code of Conduct (10.4); Drug and Alcohol Testing (11.6); Discipline and Discharge (11.4); Alcohol Service (13.7)

**Responsible for Implementation:** President

**Contact for Revision:** ~~General Counsel~~ *Director of Human Resources, Dean of Student Affairs*

**Forms:** None

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Smoking, Vaping and Use of Tobacco Products

**Policy Number:** 13.21

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

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

**Unit(s) Responsible for Policy Implementation:** President

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

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

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

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Smoking, Vaping and Use of Tobacco Products

**Original Implementation:** October 22, 1991

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

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

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

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

**Responsible for Implementation:** President

**Contact for Revision:** President

**Forms:** None

**Board Committee Assignment:** Building and Grounds

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Issuance and Control of Campus Keys

**Policy Number:** 14.7

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

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

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

**Purpose of Policy (what does it do):**

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor wording changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Issuance and Control of Campus Keys

**Original Implementation:** Unpublished

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

### *Purpose*

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

### *Definitions*

#### *General*

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

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

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

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

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

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

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

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

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

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

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

The ~~PPDPhysical-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 ~~PPDPhysical-Plant Department~~. The ~~PPDPhysical-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 ~~UPDUniversity Police Department~~.

**Cross Reference:** None

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

**Contact for Revision:** Director of Physical Plant Department

**Forms:** None

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



STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Space Assignment, Management and Planning

**Policy Number:** 16.3

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

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

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

**Purpose of Policy (what does it do):**

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor wording changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Space Assignment, Management, and Planning

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

**Last Revision:** None

### Purpose

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

### Definitions

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

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

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

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

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

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

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

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

### General

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

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

### **Space Assignment, Reassignment, Construction and/or Renovation**

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

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

### **Vacated Space**

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

**Cross Reference:** None

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

**Contact for Revision:** President

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

**Board Committee Assignment:** Building and Grounds

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Mail Services

**Policy Number:** 16.16

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

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

**Unit(s) Responsible for Policy Implementation:** Student Services

**Purpose of Policy (what does it do):** Delineates the authority for on campus mail service

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor revisions for clarification

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Gavin McCarty, Director of Printing and Postal Services

Sam Smith, Director Student Services/Student Center

Dr. Adam Peck, Acting Vice President for University Affairs

Damon Derrick, General Counsel

## Mail Services

**Original Implementation:** September 1, 1965

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

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

The Stephen F. Austin State University Post Office is considered the official receiving point for all mail *and packages not requiring SFA inventory tags on behalf of* ~~for~~ university offices, departments, residence halls and apartments.

University departments and administrative offices will use the SFA Post Office for all postal transactions. Departments will not be permitted to purchase or retain stamps without written permission from the university president. A copy of the written permission will be filed in the SFA Post Office.

All SFA mail is considered delivered when the Nacogdoches Post Office delivers it to the SFA Post Office.

SFA Post Office staff will attempt to deliver incorrectly addressed mail according to USPS requirements. Business mail addressed only to the university will be sent to the Business Office for proper routing.

Post Office box numbers must be used on all correspondence.

All outgoing mail requiring metered postage, or mailed under SFA permit, must be for official university business and have a complete return address with "Stephen F. Austin State University" and the department of origin used within the address. A completed postage IDT card must be attached to the mail to ensure proper accounting of postal charges. Mail (other than bulk rate) must be received in the post office by 4:00 p.m. for dispatch the same day.

Campus mail is defined as mail related to official university business and is delivered to campus boxes without postage. Mail addressed to USPS boxes 4600-4659 and all personal mail requires postage.

All campus mail should be enclosed in a campus mail envelope. If other envelopes are used, they must be marked "Campus Mail" and have a complete return address including the department of origin and the box number. ~~Campus mail in plain envelopes without a return address will be delivered postage due.~~

All residents of university-owned housing are required to have a SFA Post Office box and notify correspondents of the box number.

Retired faculty or staff members are permitted to retain a box at their own expense on a space-available basis.

It is the responsibility of each department to distribute, forward or return mail addressed to personnel within the department.

~~SFA Post Office observes the same holidays as the U.S. Post Office. Morning mail will be boxed on holidays not observed by the university but sales windows will be closed. SFA Post Office will remain open on U.S. Post Office holidays not observed by the university, unless notification is made in advance, but mail will not be delivered or picked up on that day. Instead it will be delivered or postmarked on the first normal day of business following the holiday.~~

**Cross Reference:** None

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

**Contact for Revision:** Manager of University Post Office

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

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

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Markers and Monuments

**Policy Number:** 16.17

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

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

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

**Purpose of Policy (what does it do):**

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

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

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## **Markers, ~~and~~ Monuments, and Artwork**

**Original Implementation:** July 17, 2001

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

### **Purpose**

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

### **Definitions**

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

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

### **General**

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

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

### **Committee**

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



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

### ***New Marker, Monument, or Artwork***

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

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

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

### ***Deaccession***

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

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

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

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

### **~~General~~Exceptions to Committee Review**

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

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

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

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

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

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

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

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

**Contact for Revision:** Vice President for Finance and Administration

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

**Board Committee Assignment:** Building and Grounds

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Norton HPE Complex

**Policy Number:** 16.18

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

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

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

**Purpose of Policy (what does it do):**

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

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

☐ Internal Review      ☐ Other, please explain:

*Please complete the appropriate section:*

**Specific rationale for new policy:**

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

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Norton HPE Complex

**Original Implementation:** Summer, 1975

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

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

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

### Facility Usage

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

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

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

### Priority of Use/Scheduling

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

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

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

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

**Cross Reference:** Use of University Facilities (16.33)

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

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

**Forms:** None

**Board Committee Assignment:** Building and Grounds

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Student Center Operations

**Policy Number:** 16.26

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

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

**Unit(s) Responsible for Policy Implementation:** Student Services

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

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

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

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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



## Student Center Operations

**Original Implementation:** 1966

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

### GENERAL OPERATIONS

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

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

### GENERAL OPERATIONS

1. *Because the student center is intended as a non-academic space, no classes, lectures, laboratories, tests or any type of class for credit shall be scheduled in the student center, except under extenuating circumstances.*
- ~~1. Reservations in the student center (SC) are made through the coordinator of university reservations and conferences (coordinator).~~
2. *For any events presented in the student center, it is the responsibility of the sponsoring agency to ensure that the programs, related activities and printed material are accessible to persons with disabilities. The university does not accept responsibility for ensuring that the programs or activities of the group are in compliance with the provisions of the Americans with Disabilities Act. Questions regarding accessibility of facilities for a specific program being held in the student center should be directed to the coordinator.*
- ~~3. Lounges are primarily intended for general use by the university community. Limited use of the areas for active programming will be allowed upon approval of the director of the student center. Approval will depend upon several variables that will include time, size and type of program.~~
- ~~4.~~3. *Animals or pets of any kind, excluding service animals, shall not be permitted in the building at any time.*
- ~~5.~~4. *Individuals or groups reserving space in the student center shall be responsible for the behavior of their members and guests and also shall be responsible for any damage caused by their guest or members.*
- ~~6.~~5. *Failure to comply with the operations policy, *procedures* or with requests of the persons enforcing this policy may result in suspension of privileges to use the student center and/or lead to action under the university disciplinary code.*
- ~~7.~~6. *Disorderly conduct and disturbing the peace shall not be permitted in the student center and may lead to disciplinary action.*

- ~~8. Card playing or table games may be played only in rooms reserved for such purposes. No such games will be played in any food service areas or lounge areas. Gambling in the building is prohibited.~~
- ~~9.1. No classes, lectures, laboratories, tests or any type of class for credit shall be scheduled in the student center, except under extenuating circumstances.~~

## **RESERVATIONS**

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

### ***FACILITY USAGE BY APPROVED STUDENT ORGANIZATIONS AND UNIVERSITY DEPARTMENTS***

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

### ***FACILITY USAGE BY OFF-CAMPUS GROUPS***

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

### **SOLICITATION**

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

### **~~—BUILDING HOURS~~**

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

### ~~—DECORATIONS~~

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

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

## **RESERVATIONS**

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

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

### **~~TECHNICAL SERVICES~~**

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

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

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

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

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

### **~~FACILITY USAGE BY OFF-CAMPUS GROUPS~~**

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

### **~~CATERING~~**

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

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

### **~~CAMPUS LOST AND FOUND~~**

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

### **~~CHARGES~~**

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

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

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

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

**Forms:** None

**Board Committee Assignment:** Building and Grounds

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Telecommunication Services

**Policy Number:** 16.28

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

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

**Unit(s) Responsible for Policy Implementation:** President

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

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

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

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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



## Telecommunication Services

**Original Implementation:** December 8, 1987

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

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

### TELEPHONE USAGE

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

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

### EQUIPMENT MAINTENANCE

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

### LONG DISTANCE ACCESS CODE

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

## **TOLL-FREE TELEPHONE NUMBERS**

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

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

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

**Contact for Revision:** Chief Information Officer

**Forms:** None

**Board Committee Assignment:** Building and Grounds

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Work Requests

**Policy Number:** 16.37

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

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

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

**Purpose of Policy (what does it do):**

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

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

☐ Internal Review      ☐ Other, please explain:

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor wording changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Work Requests

**Original Implementation:** December 7, 1987

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

### *Purpose*

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

### *Definitions*

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

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

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

### *General*

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

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

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

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

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

## **Routine Maintenance**

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

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

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

## **Emergencies**

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

During normal working hours (Monday – Friday, 7:00 a.m. through 4:00 p.m.): contact PPD

During evenings, weekends, holidays, shut-down periods: contact University Police Department

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

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

**Contact for Revision:** Director of Physical Plant

**Forms:** None

**Board Committee Assignment:** Building and Grounds

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** Procurement Card

**Policy Number:** 17.11

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

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

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

**Purpose of Policy (what does it do):** The policy exists to support the university's procurement card program and provides for overall responsibilities at various levels, training requirements and card termination options

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Added responsibility for uploading pcard receipts into electronic portal. Other minor wording clarifications.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Kay Johnson, Director of Procurement and Property Services  
Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Procurement Card

**Original Implementation:** July 26, 1999

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

### Purpose

This policy establishes guidelines for university purchases using a procurement card (p-card) and related requirements and activities.

### Definitions

**Procurement Cards (p-cards)** will be issued in the name of the employee with the ~~SFA logo~~ *state of Texas seal* and the wording 'For Official Use Only' clearly indicated on the card. The p-card is to be used for official university business purposes only and may not be used for any personal transactions.

### General

Approved university employees may use the university procurement card (p-card) in accordance with the P-Card Program Guide to order supplies and small items in amounts not exceeding per transaction and monthly limits. The director of procurement, the procurement card coordinator and procurement department purchasers may purchase on behalf of the university any item of any amount using a procurement card if they have determined payment by p-card represents the best value to the university and all procurement policies and rules have been followed.

The terms and conditions of the MasterCard procurement card contract were specified and awarded by the Texas ~~Procurement and Support Services~~ *Comptroller of Public Accounts* for the state of Texas. In addition to internal policies and procedures, Stephen F. Austin State University will comply with the terms and conditions of the state contract.

### Responsibilities

The cardholder is responsible and accountable for the security and documentation associated with the use of the SFA ~~pProcurement c~~Card and for complying with all policies and procedures related to the p-card program. Documentation shall include providing transaction detail information for each transaction through the university's financial system and keeping documentation of all transactions including returns, credits and disputed charges as required in the ~~Pp-C~~Card Program Guide, *and for uploading p-card transaction records monthly into the university's electronic records portal.*

The department head or his/her designee is responsible for: 1) designating departmental cardholders



and their spending limits; 2) determining yearly encumbrance amounts for each fund/org against which credit card charges will be made; and 3) approving monthly reconciliations of p-card cardholder statements and supporting documentation to ensure purchases are within SFA policies and procedures, and departmental budgets. Department heads are responsible for ensuring that all employees issued a card understand the departmental budget constraints under which they are to use the card.

The procurement office is responsible for maintaining complete and accurate information regarding p-card users and associated spending limits, establishing and updating restricted merchant category codes, determining compliance with university policies and procedures through periodic cardholder audits, cardholder training, monitoring p-card activity, and other duties related to p-card administration. Cardholder limits will be compared to actual expenditures and adjustments will be made as needed by the p-card coordinator in order to limit the university's risk of liability and exposure.

### **Card Use by Another Employee or Student**

The only person authorized to use the p-card is the cardholder whose name appears on the card. The cardholder may not allow another university employee or a student to use their card unless the cardholder and department head have completed a P-Card Use form and filed it with the p-card coordinator in the procurement office. Refer to the P-Card Program Guide for detailed information on allowing another employee or student to use a card, as specific rules apply.

### **Training and Issuing Cards**

All department heads will be required to attend training and sign the Cardholder Application/Approval Form before any cards will be issued to employees within the department. All employees will be required to attend training and sign a Cardholder Agreement before being issued a card. All cardholders will be required to complete refresher training either in person or on-line with testing every two years. Acceptable grades and actions associated with not meeting grade requirements are outlined in the P-Card Program Guide.

### **Making a Purchase with the P-Card**

Refer to the P-Card Program Guide for detailed information related to making a purchase with the p-card. The director of procurement, the procurement card coordinator and procurement department purchasers are not subject to the P-Card Program Guide, but rather to university policies and procedures relating to purchases.

### **~~Transaction Detail, Monthly Statement, Reconciliation and Approval~~ Monthly Card Reconciliation**

The transaction detail entries are required and provide an accounting and audit trail for expenditures made with the p-card. Each individual purchase must be detailed in the university's

financial system. See the P-Card Detail Training Manual for detailed instructions on completing the transaction detail entries on-line through the university's financial system.

Upon receipt of the monthly statement from the credit card vendor, the cardholder shall reconcile the statement with the Transaction Detail Summary and forward the reconciled statement, Transaction Detail Summary and all supporting documentation to the department head for review and signature. If the department head is the cardholder, the department head must sign as the cardholder, and another employee within the department must sign as the reviewer. The department head or reviewer is responsible to review all transactions listed on the Transaction Detail Summary to verify that all purchases are appropriate expenditures for the department and fund/org charged. If the department head/reviewer questions any transaction, they should bring it to the attention of the department head or p-card coordinator, or it may be reported anonymously through the university's fraud and ethics reporting process. Reported transactions will be audited and appropriate action taken as specified herein and in the P-Card Program Guide.

*P-card transaction documentation records, as identified in the P-Card Program Guide, are to be uploaded in the university's p-card records portal each month, and will be retained according to the Texas Records Retention Schedule. These are the official university records. Reference the P-Card Program Guide P-Card Records Portal instructional guide for procedures and detailed instructions. Paper records retained by departments must be kept for three (3) years plus the current fiscal year to comply with the state of Texas Records Retention Schedule. These are the official university records.* The records for procurement card purchases will be required for periodic audits by the procurement office or when SFA is audited by the Texas Procurement and Support Services Division of the Texas Comptroller's Office, the Texas State Auditor, SFA controller or Department of Audit Services.

## **Card Termination**

Certain p-card rule violations will result in immediate deactivation or cancellation of all of a cardholder's cards. Other violations will be tracked based on demerits accumulated by the cardholder. Each month, demerits accumulated over the previous 6-month period will be reviewed and appropriate action taken. Demerits will not carry over from one 6-month period to another. Note the reasons for cancellation or deactivation of cards should not be considered all inclusive. Demerits may be identified during any transaction review, research, or audit by either the p-card coordinator or the Department of Audit Services.

Occasionally, exceptions to the p-card rules may be approved by the p-card coordinator prior to the transaction taking place. If so approved, the cardholder and p-card coordinator will have an Exception form on file with the transaction, and the card cancellation, deactivation, or demerits will be waived.

### **1. Immediate Card Cancellation with no Option to ever Receive Another Card - When**

there is intentional abuse or fraud of a p-card to make personal purchases, the p-card is used to secure a cash advance, or a second p-card is lost or stolen within three years after the first lost or stolen card, all of the cardholder's cards will be cancelled with no option to ever receive another card.

2. **Immediate deactivation** – If all transactions on the cardholder's p-card statement have not been detailed in Banner by the required deadlines as outlined in the P-Card Program guide, their p-card will be deactivated until all transactions have been detailed in Banner to the satisfaction of the p-card coordinator. When a cardholder commits the following violations, all of the cardholder's cards will be deactivated for a period of three months: a) transaction details are not posted by the required date for three consecutive months or three months during a six-month period; b) second offense of splitting purchases to avoid purchasing procedures; c) failure to provide documentation within the requested timeframe for a p-card audit. Cards will only be reactivated after three months and after the cardholder attends an instructor-led training.

3. **Demerit Accumulation** - Demerits will accumulate against each cardholder when various violations are identified (see Demerit Schedule in the P-Card Program Guide). An accumulation of demerits over a six-month period will result in the following actions:

Four demerits accumulated within the first four months of a six-month period —will trigger a need for a full audit of three months of transactions.

Six demerits accumulated within a six-month period— will cause all of cardholder's cards to be deactivated for a minimum of three months. Before any cards will be reactivated, the employee will be required to attend an instructor-led training.

Ten demerits accumulated within a six-month period— will cause all of cardholder's cards to be cancelled for a minimum of one year. New cards will be issued only after the one-year waiting period and only upon completion of a new P-Card Application/Approval Form and attendance of an instructor-led training.

4. **Other Card Cancellations and Actions** -

Non-Use:- If the cardholder has not used the procurement card within one year, the p-card will be cancelled. To receive a new card, the cardholder will be required to submit a P-Card Application/Approval Form and attend training.

Termination of University Employment: —When a cardholder terminates employment with the university, the department has specific obligation to reclaim the p-card and return it to the p-card coordinator prior to the employee termination date. A request may be made to the p-card coordinator for the card to be shredded by the department head or his/her designee. The request can be granted at the p-card coordinator's discretion. Failure to reclaim or dispose of cards as designated may result in the department being responsible for payment of any fraudulent charges and revocation of all department card privileges. Verification of card return will be part of an employee's exit interview with human resources. Any fraudulent charges made by a terminated employee after the employee's termination will be reported to the University Police Department. The

terminated employee will be expected to reimburse the university.

**Transfer to a Different University Department:**— When a cardholder changes employment from one university department to another, the department has specific obligation to reclaim the p-card and return it to the p-card coordinator prior to the effective date of change. A request may be made to the p-card coordinator for the card to be shredded by the department head or his/her designee. The request can be granted at the p-card coordinator's discretion. Failure to reclaim or dispose of cards as designated may result in revocation of all department card privileges.

**Failure to Promptly Report a Lost or Stolen Card:**— If a cardholder fails to make a report of a lost or stolen card immediately upon discovery, the cardholder may be required to reimburse the university for any fraudulent charges made on the card until it has been cancelled. The university will pay the charges and the employee will be required to reimburse the university. The cardholder will be subject to a minimum 3-month waiting period before a new card will be issued and will be required to attend an instructor-led training.

**Failure to Complete the Mandatory Refresher Training:** —Any cardholder who fails to complete the mandatory refresher training every two years will have all cards deactivated until the refresher training is complete. If the refresher training is not completed within six months of card deactivation, all cards will be cancelled, and the employee will be required to submit a P-Card Application/Approval Form and attend an instructor-led training before receiving new cards.

**Administrative Authority:**— The department head or supervising dean, vice president, or president has the authority to request that the p-card coordinator deactivate or cancel an employee's cards at any time for any reason. Any cards so deactivated or cancelled may be reactivated or new cards issued only with approval by the position that originally requested the deactivation or cancellation. Upon the p-card coordinator's determination or upon the request of the Department of Audit Services or general counsel's office, the p-card coordinator may deactivate an employee's card while transactions are being researched, investigated, or an audit is being conducted. At the conclusion of the research, investigation or audit, the cards will be reactivated and/or appropriate action taken as specified herein and in the P-Card Program Guide.

**Cross Reference:** P-Card Program Guide, P-Card Record Portal instructional guide

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

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

**Forms:** Cardholder Application/Approval Form, Cardholder Procurement Card Agreement, P-Card Use Form, Tax Exempt Letter, P-Card Dispute Form, P-Card Documentation/Problem Resolution Form, P-Card Exception Form, HEF Approval Form

**Board Committee Assignment:** Finance and Audit

Changes in Course Fees 2019-20							
College of Business							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Management & Marketing	MKT	353		Personal Selling	\$0	\$30	New
College of Education							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Agriculture	AGD	491	050-099	Student Teaching	\$0	\$135	new
Agriculture	AGD	491	150-199	Student Teaching	\$0	\$246	new
Elementary Education	ECH	328	face to face	Foundations of ECH	\$20	\$5	modify
Elementary Education	ECH	328	online only	Foundations of ECH	\$20	\$7	modify
Elementary Education	ECH	331	face to face	Child-Centered Environments	\$20	\$13	modify
Elementary Education	ECH	331	online only	Child-Centered Environments	\$20	\$15	modify
Elementary Education	ECH	332	face to face	ECH Theory and Practice	\$20	\$5	modify
Elementary Education	ECH	332	online only	ECH Theory and Practice	\$20	\$0	Delete
Elementary Education	ECH	350	face to face	EC-6 Field Experience I	\$10	\$71	modify
Elementary Education	ECH	350	online only	EC-6 Field Experience I	\$10	\$40	modify
Elementary Education	ELE	301	face to face	Teaching Science in EC-6	\$25	\$20	modify
Elementary Education	ELE	301	online only	Teaching Science in EC-6	\$25	\$0	Delete
Elementary Education	ELE	302	face to face	Teaching Social Studies in EC-6	\$30	\$15	modify
Elementary Education	ELE	302	online only	Teaching Social Studies in EC-6	\$30	\$0	Delete
Elementary Education	ELE	303	face to face	Teaching Mathematics in EC-6	\$23	\$20	modify
Elementary Education	ELE	303	online only	Teaching Mathematics in EC-6	\$23	\$15	modify
Elementary Education	ELE	304	online only	Technology in Teaching	\$0	\$7	new
Elementary Education	ELE	441	001-049 (3 credits)	Student Teaching in the Elementary School	\$100	\$0	Delete
Elementary Education	ELE	441	050-099 (6 credits)	Student Teaching in the Elementary School	\$100	\$135	modify
Elementary Education	ELE	441	100-149 (3 credits)	Student Teaching in the Elementary School	\$100	\$0	Delete
Elementary Education	ELE	441	150-199 (6 credits)	Student Teaching in the Elementary School	\$100	\$246	modify
Elementary Education	ELE	441	200-249 (3 credits)	Student Teaching in the Elementary School	\$100	\$135	modify
Elementary Education	ELE	441	250-299 (3 credits)	Student Teaching in the Elementary School	\$100	\$246	modify
Elementary Education	ELE	450	face to face	EC-6 Field Experience II	\$0	\$5	new
Elementary Education	ELE	450	online only	EC-6 Field Experience II	\$0	\$7	New
Elementary Education	ELE	555	050-099	Student Teaching	\$100	\$135	modify
Elementary Education	ELE	555	150-199	Student Teaching	\$100	\$246	modify
Elementary Education	MLG	400	face to face	The Adolescent Learner	\$15	\$5	modify
Elementary Education	MLG	400	online only	The Adolescent Learner	\$15	\$0	Delete
Elementary Education	MLG	401	face to face	The Middle-Level Learning Community	\$40	\$44	modify
Elementary Education	MLG	401	online only	The Middle-Level Learning Community	\$40	\$46	modify
Elementary Education	MLG	401P	face to face	The Middle-Level Learning Community	\$0	\$20	New
Elementary Education	MLG	402	face to face	Learner-Centered Middle Schools	\$30	\$5	modify
Elementary Education	MLG	402	online only	Learner-Centered Middle Schools	\$30	\$0	Delete
Elementary Education	MLG	403	face to face	Integrating Middle Grades Learning	\$40	\$15	modify
Elementary Education	MLG	403	online only	Integrating Middle Grades Learning	\$40	\$17	modify
Elementary Education	MLG	403P	face to face	Integrating Middle Grades Learning	\$0	\$33	New
Elementary Education	MLG	422	face to face	Science in the Middle Grades	\$20	\$5	modify
Elementary Education	MLG	422	online only	Science in the Middle Grades	\$20	\$0	Delete
Elementary Education	MLG	423	face to face	Social Studies in the Middle Grades	\$15	\$5	modify
Elementary Education	MLG	423	online only	Social Studies in the Middle Grades	\$15	\$0	Delete
Elementary Education	MLG	424	face to face	Mathematics in the Middle Grades	\$20	\$5	modify
Elementary Education	MLG	424	online only	Mathematics in the Middle Grades	\$20	\$0	Delete

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Elementary Education	RDG	318	face to face	Survey of Reading	\$5	\$5	modify
Elementary Education	RDG	318	online only	Survey of Reading	\$5	\$0	Delete
Elementary Education	RDG	320	face to face	Language and Literacy I	\$14	\$5	modify
Elementary Education	RDG	320	online only	Language and Literacy I	\$14	\$0	Delete
Elementary Education	RDG	322	face to face	Language and Literacy II	\$10	\$5	modify
Elementary Education	RDG	322	online only	Language and Literacy II	\$10	\$0	Delete
Elementary Education	RDG	390	face to face	Content Area Reading and Writing	\$10	\$5	modify
Elementary Education	RDG	390	online only	Content Area Reading and Writing	\$10	\$0	Delete
Elementary Education	RDG	415	face to face	Language and Literacy III	\$10	\$10	modify
Elementary Education	RDG	416	face to face	Reading as a Language Process	\$0	\$15	New
Elementary Education	RDG	416	online only	Reading as a Language Process	\$0	\$10	New
Human Sciences	HMS	113	001-099	Pre Portfolio Development	\$0	\$18	new
Human Sciences	HMS	113	601-699	Pre Portfolio Development	\$0	\$21	new
Human Sciences	HMS	139	001-099	Management in Meal Production	\$34	\$40	modify
Human Sciences	HMS	139	500-599	Management in Meal Production	\$34	\$0	Delete
Human Sciences	HMS	204		Aesthetics and Trends in Merchandising	\$46	\$49	modify
Human Sciences	HMS	212		History of Interior Furniture, Furnishings & Architecture	\$75	\$53	modify
Human Sciences	HMS	232		Twentieth Century Costume	\$41	\$111	modify
Human Sciences	HMS	233		Apparel Design	\$0	\$86	new
Human Sciences	HMS	311		Interior Materials & Cabinetry	\$70	\$59	modify
Human Sciences	HMS	323		Specialty Merchandising	\$41	\$78	modify
Human Sciences	HMS	343		Visual Merchandising	\$114	\$150	modify
Human Sciences	HMS	404		Advanced Culinary Planning & Preparation	\$30	\$45	modify
Human Sciences	HMS	407		Customer Relations Hospitality Industry	\$55	\$60	modify
Human Sciences	HMS	409		Community Nutrition	\$0	\$6	new
Human Sciences	HMS	413	501-599	Portfolio Development	\$120	\$0	delete
Human Sciences	HMS	452		Specialty Merchandising	\$62	\$51	modify
Human Sciences	HMS	463		Specialty Merchandising	\$62	\$51	modify
Human Services	COU	524		The School Counselor	\$25	\$0	delete
Human Services	CSD	300		Speech Disorders	\$5	\$0	delete
Human Services	RHB	220		Introduction to Rehabilitation Services	\$0	\$10	new
Human Services	SPE	439	all sections	ABA Applied Behavior Analysis	\$20	\$0	delete
Human Services	SPE	443	050-099	Student Teaching in Special Education	\$100	\$135	modify
Human Services	SPE	443	150-199	Student Teaching in Special Education	\$100	\$246	modify
Human Services	SPE	554	all sections	Practicum in Professional and Ethical Practice	\$0	\$85	new
Human Services	SPE	555	all sections	Practicum in Diagnostic Evaluation	\$75	\$0	delete
Human Services	SPE	564	all sections	Early Childhood Special Education	\$30	\$0	delete
Human Services	SPH	471		Advanced Language Development for the Deaf	\$64	\$47	modify
Human Services	SPH	504		Clinical Practicum	\$40	\$0	Delete
Human Services	SPH	514		Clinical Practicum: Early Childhood Intervention	\$0	\$163	new
Human Services	SPH	554		Clinical Practicum: Praxis Prep & Case Studies in Communication Disorders	\$0	\$23	new
Kinesiology & Health Science	DAN	380		Dance Company	\$120	\$140	modify
Kinesiology & Health Science	HSC	151		ARC First Aid for Health Emergencies	\$20	\$38	modify
Kinesiology & Health Science	KIN	115		Bowling	\$0	\$30	new
Kinesiology & Health Science	KIN	206		Basic Rifle Marksmanship	\$0	\$47	new
Kinesiology & Health Science	KIN	353L		Physiology of Exercise	\$30	\$20	modify
Kinesiology & Health Science	KIN	433		Coaching Practicum	\$0	\$13	new
Kinesiology & Health Science	KIN	508		Emergency Care	\$0	\$36	new
Kinesiology & Health Science	KIN	521		Athletic Training Clinical I	\$110	\$168	modify

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Kinesiology & Health Science	KIN	541		Athletic Training Clinical III	\$30	\$67	modify
Kinesiology & Health Science	KIN	560		Psychophysiology	\$20	\$0	Delete
Kinesiology & Health Science	KIN	551		Athletic Training Clinical IV	\$30	\$37	modify
Kinesiology & Health Science	SED	442	001-049 (3 credits)	Student Teaching in a Secondary Learning Community	\$100	\$135	modify
Kinesiology & Health Science	SED	442	050-099 (6 credits)	Student Teaching in a Secondary Learning Community	\$100	\$135	modify
Kinesiology & Health Science	SED	442	100-149 (3 credits)	Student Teaching in a Secondary Learning Community	\$100	\$246	modify
Kinesiology & Health Science	SED	442	150-199 (6 credits)	Student Teaching in a Secondary Learning Community	\$100	\$246	modify
Kinesiology & Health Science	SED	442	200-249 (3 credits)	Student Teaching in a Secondary Learning Community	\$100	\$246	modify
Kinesiology & Health Science	SED	442	250-299 (3 credits)	Student Teaching in a Secondary Learning Community	\$100	\$135	modify
Kinesiology & Health Science	SED	443	all sections	Education in a Global Society	\$0	\$25	new
Kinesiology & Health Science	SED	443	001 & 002	Education in a Global Society	\$11	\$0	delete
Kinesiology & Health Science	SED	544	001-049	Student Teaching	\$100	\$135	modify
Kinesiology & Health Science	SED	544	100-149	Student Teaching	\$100	\$246	modify
College of Liberal & Applied Arts							
<b>Department</b>	<b>Course</b>	<b>Course #</b>	<b>Section</b>	<b>Description</b>	<b>Present Amount</b>	<b>Proposed Amount</b>	<b>Status</b>
Psychology	PSY	497		Research Seminar	\$40	\$40	Modify
Psychology	PSY	507		Design & Analysis II	\$40	\$40	Modify
Psychology	PSY	585		Graduate Research Seminar	\$10	\$10	Modify
Psychology	PSY	133		General Psychology	\$3	\$5	modify
Psychology	PSY	350		Biopsychology	\$0	\$9	new
Government	CJS	460		Internship in Criminal Justice	\$50	\$50	modify
English	IRW	99		Developmental English	\$10	\$5	modify
English	ENG	131	001-300	Rhetoric and Composition	\$10	\$5	modify
English	ENG	132	001-300	Research and Argument	\$7	\$5	modify
English	ENG	273	001-300	Technical and Scientific Writing	\$7	\$5	modify
English	ENG	381	001-300	Writing About Literature	\$7	\$5	modify
English	ENG	382		Reasoning and Writing	\$7	\$5	modify
English	ENG	473		Advanced Technical Writing	\$7	\$5	modify
English	ENG	481		Advanced Composition	\$7	\$5	modify
English	ENG	261		Introduction to Creative Writing	\$10	\$5	modify
English	ENG	359		Intermediate Poetry Workshop	\$10	\$5	modify
English	ENG	361		Intermediate Fiction Workshop	\$10	\$5	modify
English	ENG	362		Intermediate Non-Fiction Workshop	\$10	\$5	modify
English	ENG	459		Advanced Poetry Workshop	\$10	\$5	modify
English	ENG	461		Advanced Fiction Workshop	\$10	\$5	modify
English	ENG	462		Advanced Non-Fiction Workshop	\$10	\$5	modify
English	ENG	463		Elements of Craft	\$10	\$5	modify
English	ENG	559		Graduate Poetry Workshop	\$10	\$5	modify
English	ENG	561		Graduate Fiction Workshop	\$10	\$5	modify
Mass Communication	MCM	2015		Media Writing	\$0	\$5	new
Mass Communication	MCM	212		Audio Production	\$50	\$136	modify
Mass Communication	MCM	250		Photographic Journalism	\$0	\$53	new
Mass Communication	MCM	300		Single Camera Productions	\$35	\$123	modify
Mass Communication	MCM	302		Studio Productions	\$35	\$123	modify
Mass Communication	MCM	305		Convergence Reporting	\$0	\$53	new
Mass Communication	MCM	350		Photographic Journalism	\$0	\$53	new
Mass Communication	MCM	353		Social Media Content Production	\$0	\$53	new
Mass Communication	MCM	381		Public Relations Writing	\$0	\$5	new
Mass Communication	MCM	383		Public Relations Campaigns	\$0	\$53	new



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Mass Communication	MCM	404	Media Graphics	\$0	\$53	new
Mass Communication	MCM	420	Broadcast Practicum	\$0	\$136	new
Mass Communication	MCM	440	Backpack Journalism	\$0	\$53	new
Mass Communication	MCM	456	Advanced Television Productions	\$0	\$123	new
History	HIS	133	US History to 1877	\$5	\$0	delete
History	HIS	134	US History since 1877	\$5	\$0	delete
History	HIS	151	Western Civilization to 1500	\$5	\$0	delete
History	HIS	152	Western Civilization since 1500	\$5	\$0	delete
History	HIS	161	World History to 1500	\$5	\$0	delete
History	HIS	162	World History since 1500	\$5	\$0	delete
History	HIS	210	The Craft o History	\$5	\$0	delete
History	HIS	300	US Diplomatic History	\$5	\$0	delete
History	HIS	303	Global Diplomacy	\$5	\$0	delete
History	HIS	304	History of Science	\$5	\$0	delete
History	HIS	308	Introduction to Public History	\$5	\$0	delete
History	HIS	310	Topics in US History	\$5	\$0	delete
History	HIS	312	Topics in World Regional History	\$5	\$0	delete
History	HIS	313	Topics in Comparative and/or Global History	\$5	\$0	delete
History	HIS	314	Women's History	\$5	\$0	delete
History	HIS	315	Modern South Asia	\$5	\$0	delete
History	HIS	316	History of the Islamic World	\$5	\$0	delete
History	HIS	317	Ancient Greece	\$5	\$0	delete
History	HIS	318	Ancient Rome	\$5	\$0	delete
History	HIS	319	Middle Ages	\$5	\$0	delete
History	HIS	320	Modern East Asia	\$5	\$0	delete
History	HIS	324	Renaissance and Reformation, 1350-1648	\$5	\$0	delete
History	HIS	325	Age of Absolutism, 1648-1789	\$5	\$0	delete
History	HIS	326	Age of Absolutism, 1815-1914	\$5	\$0	delete
History	HIS	328	Contemporary Europe	\$5	\$0	delete
History	HIS	330	European Popular Culture, 1500-1800	\$5	\$0	delete
History	HIS	332	History of Latin America	\$5	\$0	delete
History	HIS	333	History of Mexico	\$5	\$0	delete
History	HIS	334	US Mexico Borderlands	\$5	\$0	delete
History	HIS	335	History of Texas	\$5	\$0	delete
History	HIS	336	Latino History, 1848-Present	\$5	\$0	delete
History	HIS	341	Origins of Medieval Britain	\$5	\$0	delete
History	HIS	342	The Making of Modern Britain	\$5	\$0	delete
History	HIS	343	Colonial America	\$5	\$0	delete
History	HIS	344	The American South	\$5	\$0	delete
History	HIS	345	The American West	\$5	\$0	delete
History	HIS	349	African-American History	\$5	\$0	delete
History	HIS	350	US Military History	\$5	\$0	delete
History	HIS	352	Twentieth-Century Russia	\$5	\$0	delete
History	HIS	376	Teaching History and Social Studies in Secondary Schools	\$5	\$0	delete
History	HIS	417	Early Christianity	\$5	\$0	delete
History	HIS	426	French Revolution and Napoleon	\$5	\$0	delete
History	HIS	438	American Cities and Suburbs	\$5	\$0	delete
History	HIS	440	American Revolution	\$5	\$0	delete
History	HIS	443	The Early Republic	\$5	\$0	delete

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History	HIS	445		Civil War and Reconstruction (1850-1877)	\$5	\$0	delete
History	HIS	448		The Making of Modern America (1865-1921)	\$5	\$0	delete
History	HIS	449		United States in World War II	\$5	\$0	delete
History	HIS	450		The Roaring Twenties and Great Depression	\$5	\$0	delete
History	HIS	451		America Since 1945	\$5	\$0	delete
History	HIS	452		Vietnam War	\$5	\$0	delete
History	HIS	457		Europe and World War I	\$5	\$0	delete
History	HIS	459		Nazi Germany	\$5	\$0	delete
History	HIS	460		Cold War Cultures (1945-1991)	\$5	\$0	delete
History	HIS	461		History of American Sports	\$5	\$0	delete
History	HIS	463		American Legal and Constitutional History	\$5	\$0	delete
History	HIS	464		American Popular Culture	\$5	\$0	delete
History	HIS	470		Senior Seminar	\$5	\$0	delete
English	ENG	131	492	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	493	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	494	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	495	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	496	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	497	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	499	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	504	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	505	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	506	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	507	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	508	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	509	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	701	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	702	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	703	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	704	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	500	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	501	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	502	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	503	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	500	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	501	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	502	Rhetoric and Composition	\$10	\$0	delete
English	ENG	131	503	Rhetoric and Composition	\$10	\$0	delete
English	ENG	273	590	Technical Writing	\$7	\$0	delete
English	ENG	273	591	Technical Writing	\$7	\$0	delete
English	ENG	273	592	Technical Writing	\$7	\$0	delete
English	ENG	273	595	Technical Writing	\$7	\$0	delete
English	ENG	273	273	Technical Writing	\$7	\$0	delete
English	ENG	273	495	Technical Writing	\$7	\$0	delete
English	ENG	273	496	Technical Writing	\$7	\$0	delete
English	ENG	273	593	Technical Writing	\$7	\$0	delete
English	ENG	273	594	Technical Writing	\$7	\$0	delete
English	ENG	273	596	Technical Writing	\$7	\$0	delete
English	ENG	273	597	Technical Writing	\$7	\$0	delete

## Appendix 2

English	ENG	381	500	Into to Lit. Analysis	\$7	\$0	delete
English	ENG	132	490	Research and Argument	\$7	\$0	delete
English	ENG	132	491	Research and Argument	\$7	\$0	delete
English	ENG	132	492	Research and Argument	\$7	\$0	delete
English	ENG	132	493	Research and Argument	\$7	\$0	delete
English	ENG	132	495	Research and Argument	\$7	\$0	delete
English	ENG	132	496	Research and Argument	\$7	\$0	delete
English	ENG	132	497	Research and Argument	\$7	\$0	delete
English	ENG	132	499	Research and Argument	\$7	\$0	delete
English	ENG	132	498	Research and Argument	\$7	\$0	delete
English	ENG	132	504	Research and Argument	\$7	\$0	delete
English	ENG	132	505	Research and Argument	\$7	\$0	delete
English	ENG	132	508	Research and Argument	\$7	\$0	delete
English	ENG	132	510	Research and Argument	\$7	\$0	delete
English	ENG	132	511	Research and Argument	\$7	\$0	delete
English	ENG	132	700	Research and Argument	\$7	\$0	delete
English	ENG	132	107	Research and Argument	\$7	\$0	delete
English	ENG	132	702	Research and Argument	\$7	\$0	delete
English	ENG	132	703	Research and Argument	\$7	\$0	delete
English	ENG	132	704	Research and Argument	\$7	\$0	delete
English	ENG	132	705	Research and Argument	\$7	\$0	delete
English	ENG	132	706	Research and Argument	\$7	\$0	delete
English	ENG	132	500	Research and Argument	\$7	\$0	delete
English	ENG	132	502	Research and Argument	\$7	\$0	delete
English	ENG	132	503	Research and Argument	\$7	\$0	delete
English	ENG	132	509	Research and Argument	\$7	\$0	delete
SFA 101	SFA	101	90-99	Freshman Seminar (Rec Center Ropes Course)	\$0	\$15	New
College of Forestry & Agriculture							
<u>Department</u>	<u>Course</u>	<u>Course #</u>	<u>Section</u>	<u>Description</u>	<u>Present Amount</u>	<u>Proposed Amount</u>	<u>Status</u>
Agriculture	ANS	542L		Equine Production and Management	\$10	\$30	Modify
Agriculture	ANS	542		Equine Production and Management	\$4	\$50	Modify
Agriculture	ANS	442L		Equine Production and Management	\$10	\$30	Modify
Agriculture	ANS	442		Equine Production and Management	\$4	\$50	Modify
Agriculture	ANS	345		Small Ruminant Production	\$0	\$50	New
Forestry	FOR	310		Field Silviculture	\$70	\$90	Modify
Forestry	FOR	323		Land Measurement	\$70	\$90	Modify
Forestry	FOR	325		Timber Cruising	\$70	\$90	Modify
Forestry	FOR	329		Harvesting and Processing	\$70	\$90	Modify
Forestry	FOR	335		Non-timber Resources Management	\$70	\$90	Modify
Forestry	FOR	336		Field Wildlife Techniques	\$70	\$90	Modify
Forestry	FOR	610		Research Methods in Forestry	\$0	\$15	New
Forestry	FOR	627		Intensive Silviculture	\$0	\$50	New
Forestry	FOR	504		Southern Hardwood Silviculture	\$5	\$225	Modify
Forestry	FOR	604		Southern Hardwood Silviculture	\$5	\$225	Modify
Environmental Science	ENV	503		Remediation and Reclamation of Disturbed Land	\$0	\$20	New
Environmental Science	ENV	503L		Remediation and Reclamation of Disturbed Land Lab	\$0	\$10	New
Environmental Science	ENV	514		Wetland Delineation and Functional Assessment	\$0	\$20	New
Environmental Science	ENV	514L		Wetland Delineation and Functional Assessment Lab	\$10	\$10	Modify
Environmental Science	ENV	412		Environmental Hydrology Lab	\$0	\$25	New

## Appendix 2

Environmental Science	ENV	412L		Environmental Hydrology	\$0	\$10	New
College of Science & Math							
Department	Course	Course #	Section	Description	Present Amount	Proposed Amount	Status
Chemistry & Biochemistry	CHE	111L	5xx online sections	Introductory Chemistry Lab	\$30	\$0	delete
Geology	GOL	243	all sections	Sedimentary Petrology	\$0	\$190	new
Geology	GOL	132L	5xx online sections	Earth Through Time Lab	\$0	\$60	new
Geology	GOL	101L	040 ONLY	Fundamentals of Earth Science Laboratory	\$0	\$260	new
Geology	GOL	131L	040 ONLY	Introductory Geology Lab	\$0	\$280	new
Geology	GOL	420	all sections	Geochemistry	\$0	\$40	new
Geology	GOL	440	all sections	Earth Resources	\$0	\$170	new
Geology	GOL	505	all sections	Stratigraphy of North America	\$0	\$170	new
Geology	GOL	506	all sections	Sequence Stratigraphy	\$0	\$280	new
Geology	GOL	507	all sections	Sedimentology	\$0	\$210	new
Geology	GOL	508	all sections	Depositional Systems	\$0	\$180	new
Geology	GOL	515	all sections	Sedimentary Petrology	\$0	\$250	new
Geology	GOL	542	all sections	Exploration of Ore Resources	\$0	\$250	new
Geology	GOL	432	all sections	Petroleum Geology and Fossil Fuels	\$0	\$40	new
Geology	GOL	532		Petroleum Geology and Fossil Fuels	\$0	\$40	new
Geology	GOL	242	all sections	Igneous & Metamorphic Petrology	\$205	\$280	Modify
Geology	GOL	241	all sections	Mineralogy	\$0	\$155	new
Geology	GOL	445	all sections	Geochronology	\$0	\$125	new
Geology	GOL	540	all sections	Metamorphic Basement Geology	\$0	\$280	new
Geology	GOL	545	all sections	Geochronology	\$0	\$125	new
Mathematics & Statistics	MTH	233L		Calculus I Lab	\$10	\$20	Modify
Mathematics & Statistics	MTH	234L		Calculus II Lab	\$10	\$20	Modify
Mathematics & Statistics	MTH	333L		Calculus III Lab	\$10	\$20	Modify
Physics, Engineering & Astronomy	PHY	215L		Linear Circuit Analysis Lab	\$0	\$20	new
Physics, Engineering & Astronomy	ECR	210L		Geo Model for Mech Design Lab	\$0	\$20	new
Physics, Engineering & Astronomy	AST	105		Classical & Modern Astronomy	\$5	\$3	Modify
Nursing	NUR	305		Introduction to Nursing	\$38	\$46	Modify
Nursing	NUR	306		Basic Care of Adults	\$138	\$147	Modify
Nursing	NUR	308		Pharmacology	\$47	\$17	Modify
Nursing	NUR	330		Nursing Care young Adult to Elderly	\$250	\$231	Modify
Nursing	NUR	332		Nursing Care in Promotion of Mental Illness	\$47	\$57	Modify
Nursing	NUR	406		Nursing Care of Clients with Complex Health Needs	\$128	\$148	Modify
Nursing	NUR	407		Nursing Care Women and Children 2	\$110	\$101	Modify
Nursing	NUR	408		Nursing Care of Clients with Complex Health Needs	\$81	\$90	Modify
Nursing	NUR	431		Care of Community Populations	\$217	\$203	Modify
Nursing	NUR	432		Leadership and Coordination of Care	\$82	\$92	Modify
Nursing	NUR	437		RN-BSN Assessment Across the Lifespan	\$98	\$130	Modify
Nursing	NUR	438		RN-BSN Pathophysiology	\$66	\$91	Modify
Nursing	NUR	440		RN_BSN Care of Community Populations	\$66	\$91	Modify
Nursing	NUR	441		RN-BSN Leadership and Coordination of Care	\$66	\$91	Modify
Nursing	NUR	475		Special Problems	\$74	\$82	Modify
Nursing	NUR	531		Advanced Pathophysiology	\$70	\$158	Modify
Nursing	NUR	532		Advanced Health Assessment	\$102	\$197	Modify
Nursing	NUR	541		Advance Pharmacology	\$70	\$158	Modify
Nursing	NUR	542		Diagnostics and Procedures	\$189	\$283	Modify
Nursing	NUR	551		Primary Care I	\$33	\$108	Modify

Appendix 2

Nursing	NUR	561		Primary Care II	\$37	\$112	Modify
Nursing	NUR	570		MSN FNP Capstone	\$181	\$310	Modify



# Resolution Amending Authorized Representatives

Please use this form to amend or designate Authorized Representatives.

This document supersedes all prior Authorized Representative forms.

**\* Required Fields**

## 1. Resolution

WHEREAS,

Stephen F. Austin State University

Participant Name\*

7 8 0 5 0

Location Number\*

("Participant") is a local government of the State of Texas and is empowered to delegate to a public funds investment pool the authority to invest funds and to act as custodian of investments purchased with local investment funds; and

WHEREAS, it is in the best interest of the Participant to invest local funds in investments that provide for the preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act; and

WHEREAS, the Texas Local Government Investment Pool ("TexPool/ Texpool Prime"), a public funds investment pool, were created on behalf of entities whose investment objective in order of priority are preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act.

NOW THEREFORE, be it resolved as follows:

- A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.
- B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and
- C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

List the Authorized Representative(s) of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

1. Steven Westbrook Interim President  
 Name Title  
 9 3 6 4 6 8 2 2 0 1 9 3 6 4 6 8 2 2 0 2 swestbrook@sfasu.edu  
 Phone Fax Email  
 Signature
2. Danny R. Gallant Vice President of Finance and Administration  
 Name Title  
 9 3 6 4 6 8 2 3 5 0 9 3 6 4 6 8 7 0 2 7 dgallant@sfasu.edu  
 Phone Fax Email  
 Signature
3. Dannette Sales Controller  
 Name Title  
 9 3 6 4 6 8 2 3 5 4 9 3 6 4 6 8 2 2 0 7 salesdl@sfasu.edu  
 Phone Fax Email  
 Signature



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**\* Required Fields**

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Stephen F. Austin State University

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List the Authorized Representative(s) of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

1. 

Judith Kruwell	Director of Financial Services
Name	Title
9 3 6 4 6 8 4 5 4 1	9 6 8 4 6 8 7 0 2 7
Phone	Fax
	kruwelljf@sfasu.edu
	Email
Signature	
2. 

Jessica Barrett	Director of Budget
Name	Title
9 3 6 4 6 8 2 1 1 6	9 3 6 4 6 8 7 0 2 7
Phone	Fax
	barrettj1@sfasu.edu
	Email
Signature	
3. 

Eric Ashworth	Assistant Controller
Name	Title
9 3 6 4 6 8 2 2 1 8	9 3 6 4 6 8 2 2 0 7
Phone	Fax
	ashworther@sfasu.edu
	Email
Signature	

### 1. Resolution (continued)

4. 

Name	Title	
Phone	Fax	Email
Signature		

List the name of the Authorized Representative listed above that will have primary responsibility for performing transactions and receiving confirmations and monthly statements under the Participation Agreement.

## Danny R. Gallant

Name

In addition and at the option of the Participant, one additional Authorized Representative can be designated to perform only inquiry of selected information. This limited representative cannot perform transactions. If the Participant desires to designate a representative with inquiry rights only, complete the following information.

Pamela Corman

## Bursar

Name \_\_\_\_\_

Title

9 3 6 4 6 8 3 9 9 2      9 3 6 4 6 8 7 2 1 3      pcorman@sfasu.edu

Phone      Fax      Email

D. That this Resolution and its authorization shall continue in full force and effect until amended or revoked by the Participant, and until TexPool Participant Services receives a copy of any such amendment or revocation. This Resolution is hereby introduced and adopted by the Participant at its regular/special meeting held on the            day of           , 20.

**Note: Document is to be signed by your Board President, Mayor or County Judge and attested by your Board Secretary, City Secretary or County Clerk.**

Name of Participant\*

**SIGNED**

Signature\*

Brigettee Henderson

Printed Name\*

## Board of Regents President

Title\*

**ATTEST**

Signature\*

Nelda Blair

Printed Name\*

Board of Regents Secretary

Title\*

## 2. Mailing Instructions

The completed Resolution Amending Authorized Representatives can be faxed to TexPool Participant Services at 1-866-839-3291, and mailed to:

TexPool Participant Services  
1001 Texas Avenue, Suite 1400  
Houston, TX 77002

**ORIGINAL SIGNATURE AND DOCUMENT REQUIRED**

**TEX-REP**

3 OF 3

**TexPool Participant Services**  
1001 Texas Avenue, Suite 1400 • Houston, TX 77002  
Phone: 1-866-TEXPOOL (839-7665) • Fax: 1-866-839-3291 • [www.texpool.com](http://www.texpool.com)

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**Report to the Board of Regents – January 2019**  
 Grants<sup>1</sup> awarded between September 22, 2018 and December 31, 2018

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**Fiscal Year 2019 – as of December 31, 2018**

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**Amounts allocable to FY19** (detailed in this report)

Direct Federal	\$ 276,269
Federal Pass-through	\$ 778,637
State and State Pass-through	\$ 21,000
Private and Local Government	\$ 381,831
<b>TOTAL</b>	<b>\$ 1,457,737</b>

**Cumulative amount allocable to FY19** **\$ 4,939,336**

**New awards** (detailed in this report, all project years) **\$ 1,076,022**

**Cumulative award total, all project years** **\$ 8,434,097**

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

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*New, Additional, or Previously Unreported Awards for FY 2019*

**Direct Federal**

**Previously Described Awards**

*\*Collaborative Research: UTMOST 3.0 Undergraduate Teaching and Learning in Mathematics with Open Software and Textbooks (Phase III)*

**Award Total:** \$95,745 **Amount allocable to FY 2019:** \$26,551

**Previously Described Awards with Modifications**

*Certified Orientation and Mobility Instructor Training (COMIT)*

**Award Total:** \$750,000 **Amount allocable to FY 2019:** \$150,000

***OVW Relationship Violence Program FY18-21***

**Award Total:** \$300,000 **Amount allocable to FY 2019:** \$99,718

**Subtotal Amounts Allocable to FY2019 (this report) = \$276,269**

**Subtotal New Direct Federal Awards (total award) = \$95,745**

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

***Department of Education federal work-study allocation***

**FY2019 Award** \$586,747

**Agency:** Department of Education

**Manager:** Rachele Garrett, Financial Aid

*This program funds work-study students.*

*\*New awards or additional funds added to a current award*

<sup>1</sup>*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.*

**Report to the Board of Regents – January 2019**  
 Grants<sup>1</sup> awarded between September 22, 2018 and December 31, 2018

**Federal Pass-through**

**Title:** *\*Ideal Temperatures for Applying Salvicide III to Control Giant Salvinia*

**Sponsor:** Fish and Wildlife Service, US Department of the Interior  
Award FWS-800-037-2018, CFDA 15.608

**Award Term:** July 1, 2018 – December 31, 2019

**PI/PD:** Dr. Shiyu Li, National Center for Pharmaceutical Crops, College of Forestry and Agriculture

**Total Award:** \$25,037 **Amount Allocable to FY 2019:** \$25,037

**Previously Described Awards*****\*Visually Impaired Preparation (VIP) FY19***

**Award Total:** \$602,000 **Amount allocable to FY 2019:** \$602,000

***\*Texas AHEC East, Piney Woods Region, Federal FY19***

**Award Total:** \$151,600 **Amount allocable to FY 2019:** \$151,600

***Subtotal Amounts Allocable to FY2018 (this report) = \$778,637***  
***Subtotal New Direct Federal Pass-Through awards (total award) = \$778,637***

**State and State Pass-through Awards**

**Title:** *\*Sculpture for All*

**Sponsor:** Texas Commission on the Arts

**Award Term:** September 1, 2018 – August 31, 2019

**PI/PD:** Dr. John Handley, School of Art

**Total Award:** \$3,000 **Amount Allocable to FY 2019:** \$3,000

*Grant funds provide partial funding for the Sculpture for All Competition and Exhibition which include 10 artists from across the nation who will showcase sculptures in the SFASU Gardens between 2019 and 2021.*

**Previously Described Awards*****\*JAMP Special Projects: JAMP Camp 2019***

**Award Total:** \$18,000 **Amount allocable to FY 2019:** \$18,000

***Subtotal Amounts Allocable to FY 2018 (this report) = \$21,000***  
***Subtotal New State and State Pass-through Awards (total award) = \$21,000***

*\*New awards or additional funds added to a current award*

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**Report to the Board of Regents – January 2019**  
 Grants<sup>1</sup> awarded between September 22, 2018 and December 31, 2018

**Private Entity and Local Government Awards**

**Previously Described Awards**

***Master of Science in Nursing – Family Nurse Practitioner Program Development***

**Award Total:** \$750,000 **Amount allocable to FY 2019:** \$172,000

***\*Welch Departmental Research Grant: Basic Chemical Research, FY20-22***

**Award Total:** \$135,000 **Amount allocable to FY 2019:** \$45,000

**Previously Described Awards with Modifications**

***Tallow Control on the Greens Bayou Wetlands Mitigation Bank***

**Award Total:** \$150,000 **Amount allocable to FY 2019:** \*\$30,000

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

**Award Total:** \$75,000 **Amount allocable to FY 2019:** \*\$12,000

***Economics Reading Group***

**Award Total:** \$37,420 **Amount allocable to FY 2019:** \*\$3,640

***Bees of the Big Thicket National Preserve (Insecta: Hymenoptera: Apoidea)***

**Award Total:** \$12,247 **Amount allocable to FY 2019:** \*\$-809

***Subtotal Amounts Allocable to FY2019 (this report) = \$381,831***  
***Subtotal New Private and Local Awards (total award) = \$179,831***

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

*\*New awards or additional funds added to a current award*

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