

# **Stephen F. Austin State University**

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



**Nacogdoches, Texas  
January 30 and 31, 2017  
Volume 308**

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**Stephen F. Austin State University  
Minutes of the Meeting of the Board of Regents  
Nacogdoches, Texas  
January 30 and 31, 2017  
Austin Building 307  
Meeting 308**

**Monday, January 30, 2017**

The regular meeting of the Board of Regents was called to order in open session at 8:02 a.m. on Monday, January 30, 2017, by Chair Scott Coleman.

**PRESENT:**

Board Members:      Dr. Scott Coleman, Chair  
                             Mr. David Alders  
                             Mrs. Nelda Blair  
                             Mr. Alton Frailey  
                             Mr. Bob Garrett  
                             Mr. Chad Huckaby, student member  
                             Mr. Ken Schaefer  
                             Mr. Ralph Todd

President:              Dr. Baker Pattillo

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

General Counsel:     Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regent Brigitte Henderson joined the meeting at 8:06 a.m.

The meeting was recessed for committee meetings.

*The Building and Grounds Committee meeting convened at 8:02 a.m. and adjourned at 8:37 a.m. The Finance and Audit Committee convened at 8:37 a.m. and adjourned at 3:13 p.m. During a recess of the Finance and Audit Committee, the Academic and Student Affairs Committee convened at 10:48 a.m. and adjourned at 10:54 a.m.*

The chair called for an executive session at 3:25 p.m. to consider the following items:

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

- Update from the interim chief information officer
- Information technology security
- Bursar's office security

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

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 interim chief information officer, football coaches, vice presidents and the president (Texas Government Code, Section 551.074)

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

- Possible naming opportunities

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, personnel policies and procedures, *Countnay Christensen v. SFASU, et al.*, and *Timothy Dugger v. SFASU* (Texas Government Code, Section 551.071)

The executive session ended at 7:50 p.m. The Board of Regents meeting returned to open session and recessed for the evening with no further action.

**Tuesday, January 31, 2017**

The regular meeting of the Board of Regents was called to order in open session at 9:00 a.m. Tuesday, January 31, 2017, in the Austin Building Board Room by Chair Scott Coleman.

**PRESENT:**

Board Members:      Dr. Scott Coleman, Chair  
                             Mr. David Alders  
                             Mrs. Nelda Blair  
                             Mr. Alton Frailey  
                             Mr. Bob Garrett  
                             Mrs. Brigettee Henderson  
                             Mr. Chad Huckaby  
                             Mr. Ken Schaefer  
                             Mr. Ralph Todd

President:              Dr. Baker Pattillo

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

General Counsel:      Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regent Huckaby led the pledge to the flags and Regent Frailey provided the invocation.

**NAMING OF THE ROBERT AND KATHY LEHMANN CHEMISTRY BUILDING**

**BOARD ORDER 17-16**

Upon motion by Regent Todd, seconded by Regent Schaefer, with all members voting aye, the Board of Regents ordered that the existing chemistry building located on the Stephen F. Austin State University campus be named for Robert and Kathy Lehmann and approved the following resolution:

WHEREAS, Robert and Kathy Lehmann have a distinct long-standing relationship, both personally and professionally, with Stephen F. Austin State University; and

WHEREAS, Dr. Robert Lehmann is recognized for his contributions in the advancement of surgical techniques in the management of eye diseases, and has been instrumental in bringing new technology to the field of ophthalmology; and

WHEREAS, Kathy Lehmann, a nurse and the administrator of the family business, Lehmann Eye Center, attended SFA completing her prerequisites for a BSN prior to the university having a nursing program; and

WHEREAS, the Lehmanns are dedicated friends and supporters of fine arts, nursing, modern languages, hospitality, student scholarships, sciences, mathematics, Women in STEM initiative, and athletic programs at Stephen F. Austin State University; and

WHEREAS, they have seen the value of this institution and embraced it with their time, efforts and resources; and

WHEREAS, in their loyal dedication to Stephen F. Austin State University through their generous gifts of support and standards of excellence, they have set a distinguished example for others;

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Robert and Kathy Lehmann by naming the existing chemistry building on the Stephen F. Austin State University campus the Robert and Kathy Lehmann Chemistry Building.

## **RECOGNITIONS**

Robert Hill introduced 2016 Southland Conference Champion SFA Women's Cross-Country Track Team. He then introduced student athletes who were outstanding scholars for the year. Dr. Bullard recognized Dr. Shiyu Li from the Department of Forestry. Gina Oglesbee recognized Justin McAninch from the Department of Audit Services. Dr. Gallant recognized Beverly Smith, executive assistant to the vice president for finance and administration.

## **APPROVAL OF MINUTES**

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

Upon motion by Regent Schaefer, seconded by Regent Todd, with all members voting aye, it was ordered that the minutes of the November 6 and 7, 2016, regular meeting be approved as presented.

## **PERSONNEL**

### **BOARD ORDER 17-18**

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

## **FACULTY APPOINTMENTS**

### **FINE ARTS**

Jack Heifner, B.F.A. (Southern Methodist University), Visiting Professor of Theatre, at a 4.5-month salary of \$40,760, effective January 1, 2017.

## STAFF APPOINTMENTS

### ATHLETICS

Benjamin Beasley, Assistant Football Coach, at an annual salary of \$57,000 for 100 percent time, effective January 14, 2017.

William Best, Assistant Football Coach, at an annual salary of \$84,000 for 100 percent time, effective February 1, 2017.

Jake Brown, Assistant Football Coach, at an annual salary of \$57,000 for 100 percent time, effective January 14, 2017.

Jeffrey Byrd, Assistant Football Coach, at an annual salary of \$93,000 for 100 percent time, effective December 15, 2016.

David Gary Crowton, Assistant Football Coach, at an annual salary of \$93,000 for 100 percent time, effective February 1, 2017.

Jeremy Hammock, Assistant Football Coach, at an annual salary of \$59,000 for 100 percent time, effective February 1, 2017.

Thomas Howe, Assistant Football Coach, at an annual salary of \$64,000 for 100 percent time, effective February 1, 2017.

Joshua Lawson, Assistant Football Coach, at an annual salary of \$70,000 for 100 percent time, effective January 10, 2017.

Terry Mills, Assistant Football Coach, at an annual salary of \$57,000 for 100 percent time, effective February 1, 2017.

Jeremy Moses, Assistant Football Coach, at an annual salary of \$55,000 for 100 percent time, effective February 1, 2017.

### STUDENT SUCCESS CENTER

Monique Nunn, Coordinator (Transfer Students), at an annual salary of \$58,500 for 100 percent time, effective November 1, 2016.

### STUDENT AFFAIRS SUPPORT SERVICES

Samantha Hosea, Counselor, at an annual salary of \$42,000 for 100 percent time, effective October 24, 2016.

## CHANGES OF STATUS

### COLLEGE OF EDUCATION

Flora Farago, from Instructor of Human Sciences at an annual salary of \$55,000 for 100 percent time, to Assistant Professor of Human Sciences at an academic year salary of \$56,000 for 100 percent time, effective January 1, 2017.

### COLLEGE OF SCIENCES AND MATHEMATICS

William Bruton, from Professor and Associate Dean at an 11-month salary of \$99,681 for 100 percent time, to Professor and Associate Dean with a change in job responsibilities at an 11-month salary of \$106,861 for 100 percent time, effective September 1, 2016.

Colin Timmons, from Visiting Lecturer of Physics, Engineering and Astronomy at a 4.5-month salary of \$22,000 for 100 percent time, to Visiting Lecturer of Physics, Engineering and Astronomy at an academic year salary of \$44,000 for 100 percent time, effective September 1, 2016.

Alexandra Van Kley, from Professor of Biology at an academic year salary of \$66,925 for 100 percent time, to Professor of Biology with a change in job responsibilities at an academic year salary of \$75,925 for 100 percent time, effective September 1, 2016.

### STUDENT SERVICES

Gavin McCarty, from Manager of the Post Office at an annual salary of \$46,512 for 100 percent time, to Manager of the Post Office and Interim Director of Printing Services at an annual salary of \$46,512 for 100 percent time with an additional stipend of \$500 per month for six months for interim duties, effective September 1, 2016.

### UNIVERSITY MARKETING COMMUNICATIONS

Christopher Scott, from Web Design Specialist at an annual salary of \$50,006 for 100 percent time, to Coordinator of Web Services at an annual salary of \$53,600 for 100 percent time, effective November 28, 2016.

## ACADEMIC AND STUDENT AFFAIRS

### BOARD ORDER 17-19

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.

REQUEST FOR NAME CHANGE FOR THE MASTER OF SCIENCE IN RESOURCE INTERPRETATION

WHEREAS, the board members considered the following: The interim dean and faculty of the Arthur Temple College of Forestry and Agriculture request a name change to the Master of Science in Resource Interpretation (MSRI) to Master of Science in Resource Communications (MSRC). This program has been in existence since 2003. Based on several changes in the field of human dimensions in forestry, to remain relevant SFA will need to update the range and scope of draw and content.

THEREFORE, it was ordered that the name of the Master of Science in Resource Interpretation (MSRI) be changed to Master of Science in Resource Communications (MSRC)

#### **BOARD ORDER 17-20**

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 8:

Academic Appointments and Titles 7.2

Academic Facilities for Non-Academic Activities 16.1

Academic Probation, Suspension and Reinstatement for Undergraduates 6.4

Administration of Academic Units 4.4

Administrative Evaluation of Adjunct Faculty Performance 7.5

AIDS and HIV 13.1

Annual Disclosure of Crime Statistics 13.3

Certificate Programs 5.2

Course Scheduling 4.13

Credit and Contact Hours 5.4

Designation of School Status 4.5

Developmental Education and Texas Success Initiative 5.8

Doctoral Students: Allowable Credit Hours and Completion Times 6.11

Faculty Development Leaves 12.7

Faculty Disagreements 7.25

Faculty Search 7.12

Fair Labor Standards 11.14

Guest Lecturers 7.15

Laboratory Fees 3.22

Library Faculty 7.17

Overtime and Compensatory Time 12.14

Out-of-State Course Delivery 5.15

Part-Time Faculty 7.21

Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs 4.8

Purchased Instructor-Generated Materials 7.16

Recombinant DNA and/or Infectious Biohazards in Teaching and Research 8.9

Records Management 2.9

Selection of Academic Deans 4.9

Small-Size Classes 7.26  
Student Academic Dishonesty 4.1  
Student Evaluation of Instruction 7.27  
Student Media 10.8  
Student Service Fee Allocations 10.11  
Student Travel 10.12  
Substantive Change 4.10  
Summer Teaching Appointments 7.28

## **FINANCIAL AFFAIRS**

### **BOARD ORDER 17-21**

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

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

WHEREAS, the audit services report as presented included a Library Departmental Audit, an Office of Institutional Research Departmental Audit, a Bond Compliance Audit, a Learning Management System Audit, a Bursar Cash Count, a NCAA Compliance Agreed Upon Procedures Review, and an update on annual audit plan.

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

### **APPROVAL OF THE FISCAL YEAR 2016-17 ANNUAL FINANCIAL REPORT**

WHEREAS, the board members considered the following: As required by state law, Stephen F. Austin State University submitted the August 31, 2016, Annual Financial Report on November 20, 2016, 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, 2015, through August 31, 2016.

THEREFORE, it was ordered that the August 31, 2016 Stephen F. Austin State University Annual Financial Report be approved as submitted.

### **RESOLUTION TO ACKNOWLEDGE REVIEW OF INVESTMENT POLICY AND STRATEGY**

WHEREAS, the board members considered the following: In accordance with Chapter 2256 of the Texas Government Code, the university's investment policy and strategy must be annually reviewed by the governing board of the institution. In addition, the law requires the governing body to adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and strategy. The resolution, included in Appendix 1, acknowledges the board's annual review of Policy 3.21, Investments. Policy 3.21 is included in the policy revisions, Appendix 8.

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

#### **BOARD ORDER 17-22**

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

#### **RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS**

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

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

#### **BOARD ORDER 17-23**

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

#### **EDUCATION ADVISORY BOARD STUDENT SUCCESS COLLABORATIVE CONTRACT AMENDMENT**

WHEREAS, the board members considered the following: At the July 28, 2015, Board of Regents meeting, a Student Success Collaborative contract with the Education Advisory Board (EAB) was approved at a cost not to exceed \$714,935 through December 30, 2020. As a part of the EAB relationship with SFA, the firm requires annual travel reimbursement of \$7,500. For the length of the contract, that total cost is \$30,000.

THEREFORE, it was ordered that the EAB Student Success Collaborative contract be amended to include the \$30,000 total travel cost to increase the contract through December 30, 2020, from \$714,935 to \$744,935. The president was authorized to sign the contract.

#### **GRANT AWARDS RATIFICATION**

WHEREAS, the board members considered the following: To date, the university has received multi-year grant awards applicable to fiscal year 2016-17 totaling \$15,166,052, an increase of

\$324,689 since the last report. Of this total, grant awards allocable to fiscal year 2017 are currently \$5,999,552, an increase of \$486,689 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 additional grant awards allocable to fiscal year 2016-17 that total \$486,689 be approved and ratified. These grant awards are detailed in Appendix 3.

#### TUITION FOR EXCESSIVE HOUR OR REPEATED COURSE UNDERGRADUATE HOURS

WHEREAS, the board members considered the following: Texas Education Code 54.014 authorizes a public institution of higher education to charge a tuition rate not to exceed the non-resident tuition rate for excessive hour or repeated course enrollment. Excessive hour enrollment applies to students who have previously attempted a number of semester credit hours for courses taken at any Texas public institution of higher education that exceeds by at least 30 hours the number of semester credit hours required for completion of the degree program in which a student is enrolled.

The penalty for repeated enrollment applies to any course in which a student enrolls that is the same as or substantively identical to a course for which the student previously completed. At the April 13, 2006 meeting, the regents approved a statutory tuition rate for excessive hour and repeated courses at a level not to exceed the non-resident statutory tuition rate.

For a number of years, the university has charged the statutory non-resident tuition rate established by the Texas Higher Education Coordinating Board to students that meet the excessive hour criteria. That rate typically changes each year. The fiscal year 2016-17 non-resident statutory tuition rate is \$458 per semester credit hour. A repeated course rate of \$100 per semester credit hour is charged for the third time a student enrolls for a course that is the same as or substantively identical to a course that the student previously completed. The university does not receive formula funding for either of these enrollments.

THEREFORE, it was ordered that the Texas Education Code Section 54.014 excessive hour tuition and the tuition charges for repeated course be established at \$200 per semester credit hour. These charges are in addition to the regular tuition and fees that the student would otherwise be subject to. The change is effective with the summer 2017 semester(s).

#### DESIGNATED TUITION FIXED-RATE FOR 2017-18 ENTERING STUDENTS

WHEREAS, the board members considered the following: Pursuant to Texas Education Code 54.017, the university will offer undergraduate students the opportunity to participate in a fixed-rate tuition plan for those who enter the university during the 2017-18 fiscal year. The following fixed designated tuition rates apply for up to 12 semesters (four years) from the point of initial enrollment at a public or private institution, regardless of whether the student enrolls at any institution during those semesters. Therefore, the 2017-2018 Fixed Rate Tuition Plan is based on

the semester an undergraduate student initially enrolled at any university. (For purpose of this plan, summer is treated as one semester.)

Fiscal Year 2015 cohort - \$196

Fiscal Year 2016 cohort - \$202

Fiscal Year 2017 cohort - \$208

Fiscal Year 2018 cohort - \$216

THEREFORE, it was ordered that the fixed-rate tuition amounts associated with the respective fiscal year cohorts presented above for undergraduate students who enter the university during the 2017-18 fiscal year be adopted. The fixed rates will apply from the point of initial enrollment at a public or private institution for up to twelve semesters, with summer enrollment counting as one semester.

#### DESIGNATED TUITION RATE

WHEREAS, the board members considered the following: At the January 26, 2016 meeting, the Board of Regents approved a designated tuition rate for FY 2016-2017 of \$192 per semester credit hour, except for those entering students who choose a fixed-rate tuition plan whose rates were set through separate board action.

THEREFORE, it was ordered that the designated tuition rate continue at \$192 per semester credit hour except for students who are on a fixed-rate tuition plan.

#### ROOM AND BOARD RATES FY 2017-18

WHEREAS, the board members considered the following: Projected student housing and food service operating costs support the need for revised room and board rates for the 2017-18 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 room and board rates for FY 2017-18 are presented in Appendix 4 and reflect a 1.7% increase in the board plans (excluding dining dollars) and a 0.5% increase in the general room rate with a specific enhanced rate for Hall 20 to fund significant on-going upgrades to that particular facility.

These revised rates will become effective for the fall semester of 2017.

THEREFORE, it was ordered that a 1.7% increase for ARAMARK and the proposed room and board rates for FY 2017-18 as presented in Appendix 4 be approved.

## CHANGES IN COURSE AND LAB FEES FY 2017-18

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

THEREFORE, it was ordered that the changes in course and lab fees for fiscal year 2017-18 shown in Appendix 5 be approved.

## APPROVAL OF FINANCIAL AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 8:

Central Receiving 17.2  
Compensation Plan for Exempt and Non-Exempt Staff 12.2  
Gifts, Loans, Endowments and Bequests 3.17  
Investments 3.21  
Investments-Endowment Funds 3.20  
Prompt Payment to Vendors and Employees 17.13  
Property Liability 16.22  
Proprietary Purchases 17.15  
Purchase of Surplus Property 17.17  
Safe and Vault Combinations 14.9  
Student Fiscal Appeals 6.19

### **BOARD ORDER 17-24**

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

## UNRESTRICTED GIFT FROM THE ESTATE OF ALFRED E. DANHEIM, JR.

WHEREAS, the board members considered the following: According to university policy 3.17, Gifts, Loans, Endowments and Bequests, utilization of unrestricted gifts of \$100,000 or more shall be as directed by the Board of Regents. The university has received an unrestricted gift from the Estate of Alfred E. Danheim, Jr. in the amount of \$188,803.24.

THEREFORE, it was ordered that the unrestricted funds be used as the university deems most appropriate and that the president be delegated authority to determine the best use of those funds.

## **BUILDING AND GROUNDS**

### **BOARD ORDER 17-25**

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

## ONCOR ELECTRIC EASEMENT AT THE HOUSING OPERATIONS FACILITY

WHEREAS, the board members considered the following: The new housing operations facility is located on University Drive, across from the William R. Johnson Coliseum. The facility requires a new electric feed to provide the proper amount of reliable electrical power. The proposed easement begins near the facility's entrance and extends to the building. Oncor Electric will own and maintain the underground power line, switchgear, and transformer. The easement documents are included as Appendix 6.

THEREFORE, it was ordered that an easement be granted to Oncor Electric to serve the housing operations facility on University Drive. The president was authorized to sign associated documents.

## WATER WELL TRANSFER FROM SND OPERATING, LLC TO STEPHEN F. AUSTIN STATE UNIVERSITY

WHEREAS, the board members considered the following: The university owns 729 acres that are used for agricultural farm operations. SFA does not own any mineral rights associated with the property. SND Operating, LLC is a firm that has been engaged in natural gas extraction at the farm. The firm owns the water wells and used them in the extraction of natural gas from the property. At this time SND Operating, LLC has discontinued natural gas drilling and must either cap the water wells or transfer the wells to the university. The university is interested in utilizing one of the water wells for farm operations support.

THEREFORE, it was ordered that the water well transfer from SND Operating, LLC to Stephen F. Austin State University be approved. The president was authorized to sign associated transfer documents.

## PINEYWOODS NATIVE PLANT CENTER GREENHOUSE

WHEREAS, the board members considered the following: Recent core course changes have created space issues in agriculture academic programs and the SFA Gardens. The greenhouses behind the agriculture building are currently utilized by SFA Gardens and SFA agriculture classes. With the inclusion of Crop Science into the core curriculum, additional space will need to accommodate many more projects and students. SFA Gardens wishes to construct a greenhouse near the existing horticulture facility at the Pineywoods Native Plant Center, to include site preparation, greenhouse kit, controllers, greenhouse and propagation accessories, security fencing and all necessary utilities. This new growing facility will serve as a hands-on experiential learning space for SFA students. Donations in the amount of \$182,960 have been received for the project.

THEREFORE, it was ordered that the university construct a greenhouse near the existing horticulture facility at the Pineywoods Native Plant Center, to include site preparation, greenhouse kit, controllers, greenhouse and propagation accessories, security fencing and all necessary utilities, at a cost not to exceed \$182,960, using funds donated for such purpose. The president was authorized to sign associated purchase orders and contracts.

## APPROVAL OF BUILDING AND GROUNDS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 8:

Austin Building Conference Rooms 16.5

## NAMING OF THE BARRY NELSON ATRIUM IN THE ED AND GWEN COLE STEM BUILDING

### **BOARD ORDER 17-26**

Upon motion by Regent Todd, seconded by Regent Alders, with all members voting aye, it was ordered that the atrium inside the Ed and Gwen Cole STEM Building be named for Regent Barry Nelson and that the following resolution be adopted.

WHEREAS, Barry Nelson attended Stephen F. Austin State University and received a Bachelor of Business Administration degree in 1971; and

WHEREAS, he was a member of the SFA chapter of Phi Delta Theta and continued his leadership in the fraternity as an alumnus; and

WHEREAS, he returned to his alma mater as a member of the Nelson Rusche College of Business Executive Advisory Board; and

WHEREAS, on February 14, 2013, he was appointed by Texas Governor Rick Perry to serve on the Stephen F. Austin State University Board of Regents; and

WHEREAS, during his leadership as an SFA Regent, he was a member of the Academic and Student Affairs Committee 2013 and 2014; Chair of the Building and Grounds Committee 2015 and 2016; and Secretary of the Board of Regents 2015-2016; and

WHEREAS, in his love for higher education and the advancement of his alma mater, his vision was to see the completion of the Science, Technology, Engineering and Mathematics (STEM) building now under construction on the SFA campus and scheduled to open Fall 2018; however, that vision was cut short when he unexpectedly passed away November 8, 2016; and

WHEREAS, through his service, leadership, and standards of excellence, he was a dedicated SFA Lumberjack and set a distinguished example for others.

NOW, THEREFORE, LET IT BE RESOLVED, the Board of Regents expresses its admiration, gratitude and high regard for Barry Nelson by naming the atrium inside the Ed and Gwen Cole STEM Building on the Stephen F. Austin State University campus the Barry Nelson Atrium.

## **REPORTS**

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

- Upcoming Dates
- Legislative Session
- Student Regent
- Student Application to the Texas Higher Education Coordinating Board
- Nacogdoches SFA Days in Austin
- Articulation Agreement with Panola College

Dr. J.D. Salas, faculty senate chair, gave a report on the following topics:

- Faculty Accomplishments
- Financial Forum Report
- Faculty Socials and Coffee
- Post-Tenure Review Concerns
- Adjunct Faculty Teaching Excellence Award
- Spring Semester Activities

Jessica Taylor, SGA president, gave a report on the following topics:

- SGA Elections
- Spring Initiatives

Chair Coleman called for a report from the nominating committee appointed at the November 2016 meeting. Ken Schaefer, chair, reported on behalf of the committee, which also included Ralph Todd and Brigittee Henderson. The following officers were nominated to serve during 2017-2018, assuming a new term of office on April 25, 2017:

David Alders, Chair

Brigittee Henderson, Vice Chair

Alton Frailey, Secretary

### **BOARD ORDER 17-27**

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

Dr. Pattillo recognized and made presentations to the regents whose current terms are scheduled to end on January 31, 2017: Brigittee Henderson, Ralph Todd, and Ken Schaefer. He made a presentation to the family of the late Regent Barry Nelson.

The meeting was adjourned by Chair Coleman at 10:32 a.m.

**BOARD OF REGENTS  
OF  
STEPHEN F. AUSTIN STATE UNIVERSITY  
Nacogdoches, Texas**

**RESOLUTION TO ACKNOWLEDGE  
REVIEW OF INVESTMENT POLICY AND STRATEGY**

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

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

**NOW THEREFORE BE IT RESOLVED** that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on January 31, 2017; and

**BE IT FURTHER RESOLVED** that a copy of this resolution be spread upon the minutes of the January 31, 2017 meeting of the board.

Attest:

\_\_\_\_\_  
Chair of the Board of Regents

\_\_\_\_\_  
Secretary of the Board of Regents

Date \_\_\_\_\_

**BOARD OF REGENTS  
OF  
STEPHEN F, AUSTIN STATE UNIVERSITY  
Nacogdoches, Texas**

**RESOLUTION APPROVING  
FINANCIAL INSTITUTIONS AND BROKERS  
FOR INVESTMENT TRANSACTIONS**

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

**WHEREAS**, the following firms are approved investment brokers:

Bank of America  
Texas A&M University System

**WHEREAS**, the following firms are approved financial institutions:

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

**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 31, 2017, meeting of the board.

**Attest:**

\_\_\_\_\_  
Chair of the Board of Regents

\_\_\_\_\_  
Secretary of the Board of Regents

Date \_\_\_\_\_

**Fiscal Year 2017** – as of December 16, 2016**Amounts allocable to FY17** (detailed in this report)

Direct Federal	\$	0
Federal Pass-through	\$	236,494
State and State Pass-through	\$	22,761
Private and Local Government	\$	227,434
<b>TOTAL</b>	<b>\$</b>	<b>486,689</b>
<b>Cumulative amount allocable to FY17</b>	<b>\$</b>	<b>5,999,552</b>
<b>New awards</b> (detailed in this report, all project years)	<b>\$</b>	<b>324,689</b>
<b>Cumulative award total, all project years</b>	<b>\$</b>	<b>15,166,052</b>

*New, Additional, or Previously Unreported Awards for FY 2017***Direct Federal***Subtotal Amounts Allocable to FY2017 (this report) = \$0**Subtotal New Direct Federal Awards (total award) = \$0***Federal Pass-through****Title:** \**Texas AHEC East, Piney Woods Region, Federal FY17***Sponsor:** University of Texas Medical Branch – Galveston (DHHS)  
Award #16-084, (Prime - 5U77HP01066-14-00), CFDA 93.107**Award Term:** September 1, 2016 – August 31, 2017**PI/PI:** Debra Kiesel, AHEC East, Piney Woods Region, College of Sciences and Mathematics**Total Award:** \$94,000 **Amount Allocable to FY 2017:** \$94,000*The purpose of the award is to continue to build and maintain the community-based, regional organization in east Texas that is tied to a statewide network of Area Health Education Centers (AHEC) to promote health careers and to build healthy communities.***Title:** \**Coordinating Facilitation and Implementation of the Attoyac Bayou Watershed Protection Plan and Monitoring Implementation Effectiveness***Sponsor:** US Environmental Protection Agency  
Award # C9-99623623, CFDA 66.460**Award Term:** October 1, 2016 – September 30, 2018**PI/PI:** Dr. Matthew McBroom, Department of Forestry and Agriculture**Total Award:** \$69,494 **Amount Allocable to FY 2017:** \$69,494*Funds will support water quality monitoring of the Attoyac Bayou watershed to determine effectiveness of the Watershed Protection Plan.*

**Title:** *\*State Leadership Educational Excellence for CTE in Education & Training, Hospitality and Tourism, and Human Services, FY17*  
**Sponsor:** Texas Education Agency (U.S. Dept. of Education)  
Award # 174200177110001 (Prime - V048A160043), CFDA 84.048  
**Award Term:** September 26, 2016 – August 31, 2017  
**PI/PD:** Dr. Lynda Martin, School of Human Sciences  
**Total Award:** \$60,000 **Amount Allocable to FY 2017:** \$60,000  
*This grant provides continued funding to help independent school districts implement rigorous TEKS curriculum standards and for professional development to improve teacher effectiveness.*

**Title:** *\*REU Site: Undergraduate Research in Energy and Propulsion*  
**Sponsor:** Texas A&M Engineering Experiment Station (National Science Foundation)  
Award # EEC-1560155/28, CFDA 47.041  
**Award Term:** September 15, 2016 – August 31, 2019  
**PI/PD:** Dr. Christopher Aul, Department of Physics & Astronomy  
**Total Award:** \$39,000 **Amount Allocable to FY 2017:** \$13,000  
*Funds provide support for undergraduates to use the engineering knowledge gained as students to participate in the research of a new Stephen F. Austin Shock Tube (SFAST) which will allow them to study combustion chemistry and fluid mechanics.*

**Subtotal Amounts Allocable to FY2017 (this report) = \$236,494**  
**Subtotal New Federal Pass-through Awards (total award) = \$ 262,494**

#### **State and State Pass-through Awards**

**Title:** *\*JAMP Special Projects: JAMP Camp 2017*  
**Sponsor:** U.T. System Office Joint Admissions Medical Program (THECB)  
**Award Term:** December 12, 2016 – August 31, 2017  
**PI/PD:** Dr. Kevin Langford, Department of Biology  
**Total Award:** \$20,000 **Amount Allocable to FY 2017:** \$20,000  
*This interagency agreement supports SFASU's annual summer pre-med camp associated with the Joint Admission Medical Program.*

**Title:** *\*Model the LaBelle Cannon*  
**Sponsor:** Texas Historical Commission  
Award # 808-17-0720  
**Award Term:** October 20, 2016 – December 31, 2016  
**PI/PD:** Dr. Robert Selden. Center for Regional Heritage Research, College of Liberal and Applied Arts  
**Total Award:** \$1,761 **Amount Allocable to FY 2017:** \$1,761  
*The project will generate a 3D scan of the cannon to document the cultural artifact, share on social media to raise awareness of its history, and replicate using various 3D platforms for other uses.*

**Previously Described Awards*****\* Peers Against Tobacco Program – FY17*****Award Total:** \$1,000**Amount allocable to FY 2017:** \$1,000***Subtotal Amounts Allocable to FY 2017 (this report) = \$22,761******Subtotal New State and State Pass-through Awards (total award) = \$22,761*****Private Entity and Local Government Awards****Title:** ***\*Field Evaluation of a Natural Blend of Probiotics, Prebiotics and Essential Oils in Commercial Broiler Diets*****Sponsor:** Huvepharma Inc.**Award Term:** November 15, 2016 – May 1, 2017**PIs/PDs:** Dr. Joey Bray, Department of Agriculture**Total Award** \$14,934**Amount Allocable to FY 2017:** \$14,934*Funds will be used to evaluate the effects of different feed and additives on female broilers under commercial settings.***Title:** ***\*Poultry Science Education Student Recruitment FY17*****Sponsor:** US Poultry & Egg Association, Harold Ford Foundation**Award Term:** October 13, 2016 – July 31, 2017**PIs/PDs:** Dr. Joey Bray, Department of Agriculture**Total Award** \$3,000**Amount Allocable to FY 2017:** \$3,000*Funds are used in the recruiting and retention of students.***Previously detailed awards with modifications:*****Field Trials of Giant Salvinia Extracts as an Endocide to Control Giant Salvinia near Lake Claiborne, LA*****Award Total:** \$38,533**Amount allocable to FY 2017:** \$18,000***Economics Reading Group*****Award Total:** \$29,640**Amount allocable to FY 2017:** \$3,500**Previously Described Awards*****Master of Science in Nursing - Family Nurse Practitioner Program Development*****Award Total:** \$750,000**Amount allocable to FY 2017:** \$188,000***Subtotal Amounts Allocable to FY2017 (this report) = \$227,434******Subtotal New Private and Local Awards (total award) = \$836,107***

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

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Stephen F. Austin State University  
Room and Board Rates for 2017-2018

Appendix 4

Residence Hall Rates	Fall or Spring Rate	Summer 1 or 2 Rate
Hall 5	\$2,107	
Hall 9 and 12	\$2,129	
Hall 17	\$2,390	
Hall 20	\$2,625	
Hall 10,11,15,18	\$1,873	
Hall 14 and 16	\$1,943	
Lumberjack Landing	\$3,161	
Lumberjack Lodge 4 br	\$3,617	
Lumberjack Lodge 2 br	\$3,840	
Lumberjack Village (Building 1) quads	\$2,815	
Lumberjack Village (Buildings 1 & 2) 2br	\$3,840	
Lumberjack Village (Buildings 1 & 2) 1 br	\$4,729	
Lumberjack Village (Building 3) 2br	\$4,306	
Lumberjack Village (Building 3) 1 br	\$5,132	
Summer Hall - To be determined		\$624

**Meal plans** (rates include sales tax)

	All Access Premium w/\$275	All Access w/\$50	7/14 Premium w/\$350	Basic 7/14 w/\$125
Campus Resident	\$1,930	\$1,731	\$1,886	\$1,687
Commuter	5/5 w/\$50 \$663	50 Block w/\$50 \$425	25 Block w/\$100 \$299	
Summer Resident	7/14 w/\$75 \$621	7/20 w/\$50 \$774		
Summer Commuter	50 Block w/\$50 \$425	25 Block w/\$100 \$299		

**Combined Room and Board**

Residence Hall	All Access Premium	Fall and Spring Semester All Access	7/14 Premium	7/14 Basic	Summer 1 or 2 Semester w/7 Day 14 Meals	w/7 Day 20 Meals
5 Wisely Hall	\$4,037	\$3,838	\$3,993	\$3,794		
9 North Hall	\$4,059	\$3,860	\$4,015	\$3,816		
10 Hall 10	\$3,803	\$3,604	\$3,759	\$3,560		
11 Mays Hall	\$3,803	\$3,604	\$3,759	\$3,560		
12 South Hall	\$4,059	\$3,860	\$4,015	\$3,816		
14 Hall 14	\$3,873	\$3,674	\$3,829	\$3,630		
15 Griffith Hall	\$3,803	\$3,604	\$3,759	\$3,560		
16 Hall 16	\$3,873	\$3,674	\$3,829	\$3,630		
17 Steen Hall	\$4,320	\$4,121	\$4,276	\$4,077		
18 Kerr Hall	\$3,803	\$3,604	\$3,759	\$3,560		
20 Hall 20	\$4,555	\$4,356	\$4,511	\$4,312		
Lumberjack Landing	\$5,091	\$4,892	\$5,047	\$4,848		
Lodge 4br	\$5,547	\$5,348	\$5,503	\$5,304		
Lodge 2br	\$5,770	\$5,571	\$5,726	\$5,527		
Village quads	\$4,745	\$4,546	\$4,701	\$4,502		
Village (1 & 2) 2br	\$5,770	\$5,571	\$5,726	\$5,527		
Village (1 & 2) 1br	\$6,659	\$6,460	\$6,615	\$6,416		
Summer Hall					\$1,245	\$1,398

PROPOSED CHANGES IN COURSE FEES FY2018					
College of Business					
Department	Course No.	Section	Course Title	Present	Proposed
Bus Comm & Legal Studies	GBU 400		Negotiation @ Alternate Dispute Resolution	\$40	\$20
Bus Comm & Legal Studies	GBU 485		Internship in General Business	\$30	\$0
Bus Comm & Legal Studies	GBU 557		Negotioation @ Alternate Dispute Resolution	\$40	\$30
MMIB	MGT 463		Business Policy and Strategy	\$30	\$0
College of Education					
Human Sciences	HMS 102		Introduction to Hospitality Industry	\$0	\$140
Human Sciences	HMS 212		History of Interiors	\$50	\$75
Human Sciences	HMS 260		Principles of Textile Science	\$20	\$0
Human Sciences	HMS 312		Graphics II	\$80	\$100
Human Sciences	HMS 316		Interior Lighting	\$80	\$100
Human Sciences	HMS 319		Codes and Materials	\$0	\$30
Human Sciences	HMS 343		Visual Merchandising	\$20	\$55
Human Sciences	HMS 418		Professional Practice for Interior Designers	\$0	\$40
Human Services	EPS 585		Advanced Human Growth and Development	\$25	\$0
Human Services	EPS 595		Internship in School Psychology	\$200	\$100
Human Services	EPS 655		School Psychology Practicum	\$230	\$130
Human Services	EPS 695		School Psychology Internship	\$300	\$200
Human Services	SPE 432		Functional Living	\$0	\$40
Human Services	SPE 434		Functional Living	\$0	\$20
Human Services	SPE 439		ABA-Applied Behavior Analysis	\$0	\$20
Human Services	SPE 555		Practicum in Diagnostic Evaluation	\$0	\$75
Kinesiology	DAN 380L		Dance Company	\$0	\$120
Kinesiology	KIN 521		Athletic Training Clinical I	\$80	\$110
Kinesiology	KIN 522		Athletic Training Clinical II	\$30	\$48
Secondary Ed & Ed Ldrshp	AED 554	020	Practicum for School Principals	\$100	\$0
Secondary Ed & Ed Ldrshp	SED 550		Research in Education	\$6	\$0
College of Forestry and Agriculture					
Agriculture	AGR 280		Intermediate Horsemanship	\$0	\$30
Agriculture	ANS 201		Basic Horsemanship	\$0	\$30
Agriculture	ANS 280		Advanced Horsemanship	\$0	\$30
College of Liberal and Applied Arts					
History	HIS 161		World History to 1500	\$0	\$5
History	HIS 162		World History since 1500	\$0	\$5
History	HIS 317		Ancient Greece	\$0	\$5
History	HIS 334		U.S.-Mexico Borderlands	\$0	\$5
History	HIS 336		Latino History, 1848-present	\$0	\$5
History	HIS 376		Teaching History & Social Studies in Sec Ed	\$0	\$5
History	HIS 417		Early Christianity	\$0	\$5
History	HIS 460		Cold War Cultures, 1945-1991	\$0	\$5
History	HIS 461		History of American Sports	\$0	\$5
History	HIS 463		American Legal & Constitutional History	\$0	\$5
History	HIS 464		American Popular Culture	\$0	\$5
Psychology	PSY 420		History and Systems of Psychology	\$20	\$0
College of Sciences and Mathematics					
Biology	BIO 308		Prenursing Microbiology	\$10	\$15
Biology	BIO 309		Microbiology	\$10	\$15
Biology	BIO 341		Genetics	\$10	\$15
Biology	BIO 410		Immunology	\$0	\$15

Biology	BIO 420		Virology	\$10	\$15
Biology	BIO 437		Herpetology	\$20	\$25
Biology	BIO 527		Advanced Immunology	\$0	\$15
Biology	BIO 528		Advanced Virology	\$10	\$15
Biology	BIO 537		Advanced Herpetology	\$20	\$25
Biology	BTC 557		Advanced Metabolism & Protein Regulation	\$22	\$25
Biology	BTC 558		Biophysical Chemistry	\$22	\$25
Biology	BTC 559		Advanced Biotechniques	\$22	\$25
Geology	GOL 242		Petrology	\$205	\$160
Geology	GOL 338		Structural Geology	\$200	\$175
Mathematics & Statistics	MTH 439		Introduction to Analysis I	\$45	\$0
Nursing	NUR 304		Pathophysiology	\$53	\$30
Nursing	NUR 305		Introduction to Nursing	\$60	\$54
Nursing	NUR 306		Basic Nursing Care of the Adult Client	\$177	\$154
Nursing	NUR 307		Assessment Across the Lifespan	\$130	\$160
Nursing	NUR 308		Pharmacology	\$15	\$63
Nursing	NUR 330		Nursing Care Young Adult to Elderly	\$178	\$234
Nursing	NUR 332		Nursing Care in Promotion of Mental Wellness	\$68	\$63
Nursing	NUR 431		Care of Community Populations	\$211	\$229
Nursing	NUR 432		Leadership and Coordination of Nursing Care	\$105	\$94
Nursing	NUR 433		Nursing Capstone	\$250	\$418
Nursing	NUR 436		RN-BSN Pharmacology	\$55	\$58
Nursing	NUR 437		RN-BSN Assessment Across the Lifespan	\$115	\$118
Nursing	NUR 438		RN-BSN Pathophysiology	\$55	\$58
Nursing	NUR 440		RN-BSN Care of Community Populations	\$55	\$58
Nursing	NUR 441		RN-BSN Leadership	\$55	\$58
Nursing	NUR 442		RN to BSN Transition	\$0	\$27
Nursing	NUR 443		Legal and Ethical Issues in Prof Nursing	\$0	\$27
Nursing	NUR 444		RN-BSN Cultural Issues	\$0	\$27
Nursing	NUR 445		Nursing Informatics	\$0	\$27
Nursing	NUR 475		Special Problems	\$76	\$65
Nursing	NUR 501		Advanced Nursing Theory	\$0	\$27
Nursing	NUR 502		Politics of Health Care	\$0	\$27
Nursing	NUR 511		Contemporary Healthcare Ethics	\$0	\$27
Nursing	NUR 521		Advanced Practice Roles	\$0	\$27
Nursing	NUR 522		Evidence Based Research for Adv Practice Nur	\$0	\$27

LAB FEES FY2018					
College of Education					
Department	Course No.	Section	Course Title	Present	Proposed
Secondary Ed & Ed Ldrshp	SED 450L		Assessment for Contemporary Classrooms Lb	\$10	\$0
College of Sciences and Mathematics					
Biology	BTC 555L		Molecular Biochemistry	\$20	\$25
Physics	AST 305L		Observational Astronomy Lab	\$10	\$20
Physics	EGR 111L		Foundations in Engineering I Lab	\$10	\$20
Physics	EGR 112L		Foundations in Engineering II Lab	\$10	\$20
Physics	EGR 215L		Principles of Electrical Engineering Lab	\$10	\$20
Physics	EGR 250L		Engineering Statics Lab	\$10	\$20
Physics	EGR 321L		Engineering Dynamics Lab	\$10	\$20
Physics	EGR 343L		Electronics Lab	\$10	\$20
Physics	EGR 344L		Microcomputer Interfacing Lab	\$10	\$20

Physics	PHY 100L		Physics in Society Lab	\$10	\$0
Physics	PHY 101L		General Physics Lab	\$10	\$20
Physics	PHY 102L		General Physics II Lab	\$10	\$20
Physics	PHY 108L		Intro to Engineering/Physics Lab	\$10	\$20
Physics	PHY 110L		Fundamentals of Electronics Lab	\$10	\$20
Physics	PHY 118L		Acoustical Physics Lab	\$10	\$20
Physics	PHY 125L		Introductory Physical Science Lab	\$10	\$0
Physics	PHY 131L		Mechanics and Heat Lab	\$10	\$20
Physics	PHY 132L		Electricity, Sound and Light Lab	\$10	\$20
Physics	PHY 241L		Technical Physics Lab	\$10	\$20
Physics	PHY 242L		Technical Physics II Lab	\$10	\$20
Physics	PHY 250L		Engineering Statics Lab	\$10	\$20
Physics	PHY 262L		Electrical Circuits and Devices Lab	\$10	\$20
Physics	PHY 321L		Engineering Dynamics Lab	\$10	\$20
Physics	PHY 333L		Modern Physics Lab	\$10	\$20
Physics	PHY 343L		Electronics Lab	\$10	\$20
Physics	PHY 410L		Experimental Techniques in Physics Lab	\$10	\$20
Physics	PHY 441L		Optics Lab	\$10	\$20
Physics	PHY 541L		Optics Lab	\$10	\$20
Physics	PHY 581L		Problems in Teaching College Physics Lab	\$10	\$20

Unless otherwise specified, all sections are to be included for each course.

PT# \_\_\_\_\_  
 District: EAST/LUFKIN  
 WR #: 3303753  
 ER # \_\_\_\_\_

## EASEMENT AND RIGHT OF WAY

STATE OF TEXAS                    §  
    §                    KNOW ALL MEN BY THESE PRESENTS:  
 COUNTY OF NACOGDOCHES   §

That **Stephen F. Austin State University**, hereinafter called "Grantor", whether one or more, for and in consideration of Ten Dollars (\$10.00) and other valuable consideration to Grantor in hand paid by **Oncor Electric Delivery Company LLC, a Delaware limited liability company**, 1616 Woodall Rodgers Freeway, Dallas, Texas 75202-1234, hereinafter referred to as "Grantee", has granted, sold and conveyed and by these presents does grant, sell and convey unto said Grantee, its successors and assigns, an easement and right-of-way for underground electric supply and communications lines, consisting of a variable number of wires and cables, surface mounted equipment, conduits, manholes, vaults, transformers, switches, protection, sectionalizing devices and all necessary appurtenances over, under, across and upon Grantor's land described as follows:

### SEE EXHIBIT "A" & "B" (ATTACHED)

Any structures to be placed or built upon Grantor's property after the initial construction phase shall require consultation and approval of Grantor, such approval not to be unreasonably withheld. Grantee shall mark or flag all trees to be removed as part of exercising its rights under this agreement and provide Grantor with thirty (30) days written notice in order to provide Grantor with the ability to inspect the site prior to tree removal. Grantee shall remove all materials and debris resulting from this tree removal or any other activity during the construction phase.

Grantor recognizes that the general course of said lines, or the metes and bounds as described above, is based on preliminary surveys only, and Grantor hereby agrees that the easement and right-of-way and its general dimensions hereby granted shall apply to the actual location of said lines when constructed to the extent such general dimensions are not unreasonably inconsistent with the attached preliminary survey and proposed easement location. Grantee shall keep Grantor informed during construction as to the actual placement of the structures and equipment. Upon conclusion of the construction phase, Grantee shall restore the land within the easement to its prior condition to the extent reasonably possible, including but not limited to the restoration of the contour of the surface disturbed by its activities.

Together with the right of ingress and egress along and upon said easement and right-of-way and over and across Grantor's adjoining properties (upon notice) for the purpose of and with the right to construct, maintain, operate, repair, remove, replace, reconstruct, abandon in place, and to change the size and capacity of said facilities; the right to relocate said facilities in the same relative direction of said facilities; the right to relocate said facilities in the same relative position to any adjacent road if and as such is widened in the future; the right to lease wire space

for the purpose of permitting others to string or lay wire or cable along said facilities; the right to prevent unreasonable excavation within the easement area; the right to require relocation of the facilities or, in the event relocation is not possible, prevent construction of, within the easement area, any and all buildings, structures or other obstructions which, in the sole judgment of Grantee, may endanger or interfere with the efficiency, safety, and/or convenient operation of said facilities and their appurtenances and the right to trim or remove trees or shrubbery within, but not limited to, said easement area, including by use of herbicides or other similar chemicals approved by the U.S. Environmental Protection Agency, to the extent in the sole reasonable judgment of Grantee, as may be necessary to prevent possible interference with the operation of said facilities or to remove possible hazard thereto. Neither Grantor or Grantee shall make changes in grade, elevation or contour of the land or impound water within the easement area as described above without prior written consent of the other party, such consent not to be unreasonably withheld. . The installation and construction of drive-ways through the easement property shall be permitted to the extent it does not conflict with official safety standards of any existing facility in the easement area. To the extent any street lights or other utility poles are constructed, Grantee shall maintain these in suitable working order and perform routine maintenance to maintain the integrity and appearance of such objects. Any assignment of this easement shall not be effective unless written notice is provided to Grantor within twenty (20) days of the proposed effective date of the assignment.

Grantor reserves the right to use the land within the above described easement area for purposes not inconsistent with Grantee's use of such property, provided such use shall not, in the reasonable judgment of Grantee, interfere with the exercise by Grantee of the rights hereby granted. Without limiting any future use of the easement area, the current planned use as of the date of this agreement of the easement area shall be permissible

GRANTEE SHALL AND DOES HEREBY AGREE TO INDEMNIFY, PROTECT, DEFEND WITH COUNSEL APPROVED BY GRANTOR, AND HOLD HARMLESS GRANTOR FROM AND AGAINST ALL DAMAGES, LOSSES , LIENS, CAUSES OF ACTION, SUITS, JUDGMENTS, EXPENSES AND OTHER CLAIMS OF ANY NATURE, KIND OR DESCRIPTION, INCLUDING BUT NOT LIMITED TO TORT AND ENVIRONMENTAL CLAIMS (COLLECTIVELY "CLAIMS") ARISING OUT OF, CAUSED BY, OR RESULTING FROM THE GRANTING OF THIS EASEMENT AND GRANTEE'S USE THIS EASEMENT AND RIGHT - OF - WAY WHICH ARE CAUSED IN WHOLE OR IN PART BY ANY NEGLIGENT ACT, NEGLIGENT OMISSION, USE OF HERBICIDES OR OTHER SIMILAR CHEMICALS, OR WILLFUL MISCONDUCT OF GRANTEE, ANYONE DIRECTLY OR INDIRECTLY EMPLOYED BY GRANTEE, OR ANYONE FOR WHOSE ACTS GRANTEE MAY BE LIABLE. GRANTEE SHALL BE FURTHER RESPONSIBLE AND LIABLE FOR ANY DAMAGE TO GRANTOR'S PROPERTY CAUSED BY THE ACTIVITIES FOR WHICH THIS EASEMENT IS GRANTED, INCLUDING BUT NOT LIMITED TO DAMAGE TO NEIGHBORING GRANTOR-OWNED PROPERTY.

TO HAVE AND TO HOLD the above described easement and rights unto the said Grantee, its successors and assigns, until all of said lines shall be abandoned or remain non-utilized for a period of twelve months, and in that event said easement and right-of-way shall cease and all rights herein granted shall terminate and revert to Grantor or Grantor's heirs, successors or assigns, and at the request of Grantor, Grantee shall remove all such structures

and equipment from Grantor's property promptly at its own expense; and to the extent allowed under the laws and Constitution of the State of Texas it does hereby bind itself, its successors, legal representatives, and assigns, to warrant and forever defend all and singular the above described easement and rights unto the said Grantee, its successors and assigns, against every person whomsoever lawfully claiming or to claim the same or any part thereof.

EXECUTED this \_\_\_\_\_ day of \_\_\_\_\_, 2016.

By: \_\_\_\_\_  
Sign in blue ink

Name: Baker Pattillo

Title: President

STATE OF TEXAS                    §  
   §  
COUNTY OF NACOGDOCHES §

BEFORE ME, the undersigned authority, on this day personally appeared Dr. Baker Pattillo, as the President of **Stephen F. Austin State University**, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the same for the purposes and consideration therein expressed, in the capacity therein stated and that he/she is authorized to do so.

GIVEN UNDER MY HAND AND SEAL OF OFFICE this \_\_\_\_\_ day of \_\_\_\_\_, A. D. 2016.

\_\_\_\_\_  
Notary Public in and for the State of Texas



STATE OF TEXAS                      §

COUNTY OF NACOGDOCHES   §

**THIS INSTRUMENT WAS ACKNOWLEDGED BEFORE ME ON THIS**  
**\_\_\_\_\_ DAY OF \_\_\_\_\_, 2016, BY \_\_\_\_\_.**

\_\_\_\_\_  
NOTARY PUBLIC IN AND  
FOR THE STATE OF TEXAS

\_\_\_\_\_  
My Commission Expires:

**Policies for Board Review  
January 31, 2017**

<b>Policy Name</b>	<b>Policy Number</b>	<b>BOR Cte</b>	<b>Action/Change</b>	<b>Page</b>
Academic Appointments and Titles	7.2	ASA	Minor changes in wording.	P-8
Academic Facilities for Non-Academic Activities	16.1	ASA	Reviewed with no changes recommended.	P-12
Academic Probation, Suspension and Reinstatement for Undergraduates	6.4	ASA	Clarified status of provisional readmission.	P-14
Administration of Academic Units	4.4	ASA	Minor changes in wording.	P-17
Administrative Evaluation of Adjunct Faculty Performance	7.5	ASA	Cross reference added.	P-21
AIDS and HIV	13.1	ASA	Title updates.	P-23
Annual Disclosure of Crime Statistics	13.3	ASA	Removed unneeded definitions of reportable crimes.	P-31

<b>Policy Name</b>	<b>Policy Number</b>	<b>BOR Cte</b>	<b>Action/Change</b>	<b>Page</b>
Austin Building Conference Rooms	16.5	B&G	Reviewed with no changes recommended.	P-39
Central Receiving	17.2	F&A	Minor changes in wording.	P-41
Certificate Programs	5.2	ASA	Minor changes in wording.	P-44
Compensation Plan for Exempt and Non-Exempt Staff	12.2	F&A	Major rewrite to provide usable information to employees and administration.	P-47
Course Scheduling	4.13	ASA	Minor changes in wording.	P-61
Credit and Contact Hours	5.4	ASA	Minor changes in wording.	P-64
Designation of School Status	4.5	ASA	Minor changes in wording.	P-67
Developmental Education and Texas Success Initiative	5.8	ASA	Reviewed with no changes recommended.	P-70

<b>Policy Name</b>	<b>Policy Number</b>	<b>BOR Cte</b>	<b>Action/Change</b>	<b>Page</b>
Doctoral Student: Allowable Credit Hours and Completion Times	6.11	ASA	Minor changes in wording.	P-72
Faculty Development Leaves	12.7	ASA	Minor changes in wording.	P-74
Faculty Disagreements	7.25	ASA	Minor changes in wording.	P-77
Faculty Search	7.12	ASA	Reviewed with no changes recommended.	P-80
Fair Labor Standards	11.14	ASA	Teaching added as a reason graduate students are exempt from overtime.	P-82
Gifts, Loans, Endowments and Bequests	3.17	F&A	Minor changes in wording.	P-87
Guest Lecturers	7.15	ASA	Added cross reference.	P-95
Investments	3.21	F&A	Minor changes in wording.	P-97

<b>Policy Name</b>	<b>Policy Number</b>	<b>BOR Cte</b>	<b>Action/Change</b>	<b>Page</b>
Investments-Endowment Funds	3.20	F&A	Minor changes in wording.	P-108
Laboratory Fees	3.22	ASA	Minor changes to match statute.	P-118
Library Faculty	7.17	ASA	Minor changes in wording.	P-120
Overtime and Compensatory Time	12.14	ASA	Describes changes as a result of alternative work schedules.	P-123
Out-of-State Course Delivery	5.15	ASA	Clarifies difference between travel allowances and expenses paid.	P-129
Part-Time Faculty	7.21	ASA	Minor changes in wording.	P-132
Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs	4.8	ASA	Minor changes in wording.	P-134
Prompt Payment to Vendors and Employees	17.13	F&A	Minor changes in wording.	P-136

<b>Policy Name</b>	<b>Policy Number</b>	<b>BOR Cte</b>	<b>Action/Change</b>	<b>Page</b>
Property Liability	16.22	F&A	Minor changes in wording.	P-139
Proprietary Purchases	17.15	F&A	Minor changes in wording.	P-142
Purchase of Surplus Property	17.17	F&A	Minor changes in wording.	P-144
Purchased Instructor-Generated Materials	7.16	ASA	Minor clarifications.	P-147
Recombinant DNA and/or Infectious Biohazards in Teaching and Research	8.9	ASA	Major rewrite to conform to federal guidelines.	P-149
Records Management	2.9	ASA	Updates and minor changes in wording.	P-167
Safe and Vault Combinations	14.9	F&A	Reviewed with no changes recommended.	P-170
Selection of Academic Deans	4.9	ASA	Minor changes in wording.	P-172

<b>Policy Name</b>	<b>Policy Number</b>	<b>BOR Cte</b>	<b>Action/Change</b>	<b>Page</b>
Small-size Classes	7.26	ASA	Minor changes in wording.	P-175
Student Academic Dishonesty	4.1	ASA	Minor changes in wording.	P-178
Student Evaluation of Instruction	7.27	ASA	Minor clarifications.	P-181
Student Fiscal Appeals	6.19	F&A	Decision of appeal panel will be based on written information.	P-183
Student Media	10.8	ASA	Updates and minor clarifications.	P-185
Student Service Fee Allocations	10.11	ASA	Clarification of purposes for fees.	P-189
Student Travel	10.12	ASA	Reviewed with no changes recommended.	P-191
Substantive Change	4.10	ASA	Major rewrite to conform to accreditation guidelines.	P-194

<b>Policy Name</b>	<b>Policy Number</b>	<b>BOR Cte</b>	<b>Action/Change</b>	<b>Page</b>
Summer Teaching Appointments	7.28	ASA	Added policy reference.	P-199

## POLICY SUMMARY FORM

**Policy Name:** Academic Appointments and Titles

**Policy Number:** 7.2

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

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

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

**Purpose of Policy (what does it do):** Describes ranks and classifications for faculty, librarians, and archivists.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor changes to wording for clarity and updating of terminology.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Academic Appointments and Titles

**Original Implementation:** September 6, 1979

**Last Revision:** ~~July 29, 2014~~ January 31, 2017

The provost and vice president for academic affairs is responsible for the allocation of positions and appointments based on recommendations from colleges and *academic* units.

All conditions of appointment will be in writing at the time of appointment.

The rank of initial appointment is based upon the qualifications of the appointee. In order to be appointed to a tenure-track position, individuals are expected to have completed the terminal degree in the discipline of the appointment. All appointees should meet the qualifications as prescribed by the Southern Association of Colleges and Schools *Commission on Colleges* (SACSCOC).

The titles of instructor, assistant, associate and full professor, or librarian I, II, III and IV are used for full-time, tenure-track appointments. These positions are subject to the terms and conditions of the policy on *Tenure and Continued Employment* (7.29). All other appointments are not on tenure-track. Generally, service in non-tenure track ranks is not applicable toward tenure and not subject to the terms and conditions of the tenure policy.

### Tenure-track Ranks

#### Faculty

The rank of **Instructor** may be held by an individual without a terminal degree but with contract provisions specifying a completion date of the terminal degree. Appointments to this rank after August 2005 are on tenure track and must go through tenure process. The minimum criterion on appointment to the rank of instructor at Stephen F. Austin State University is a master's degree in the field in which the individual will be teaching.

The rank of **Assistant Professor** is held by an individual with a terminal degree who demonstrates the capability to produce research/scholarly/creative accomplishments, teach effectively, and provide service to the academic and general communities.

The rank of **Associate Professor** is held by an individual with a terminal degree, proven record of research/scholarly/creative accomplishments, and effective teaching, and service to the academic and general communities.

The rank of **Professor** is held by an individual with a terminal degree who has a sustained record of research/scholarly/creative accomplishments, effective teaching, and service to the academic and general communities, and whose contributions to the profession or field are substantial and are recognized beyond the campus.

## Librarian

The rank of **Librarian I** is held by an individual who has a master's degree in library science from a school accredited by the American Library Association.

The rank of **Librarian II** is held by an individual who has demonstrated capabilities to be an effective and productive librarian and a contributing member of the academic and general communities.

The rank of **Librarian III** is held by an individual who has a proven record of effective and productive librarianship and has made numerous professional contributions to the academic and general communities through presentations at professional meetings, professional publications, *and/or* service to library organizations.

The rank of **Librarian IV** is held by an individual whose contributions to the profession of librarianship are substantial and are recognized at the state and national levels to be of high quality. The applicant's professional contributions to the academic and general communities should be significant as evidenced by exceptional records of accomplishment in the lower ranks.

## Non-tenure Track Ranks

Service in the following ranks is not applicable toward tenure.

### Archivist

The rank of **Archivist I** is held by an individual with a Master of Arts degree in public history with an archival studies concentration.

The rank of **Archivist II** is held by an individual who has a proven record of effective and productive performance.

The rank of **Archivist III** is held by an individual who has a proven record of effective and productive performance. The individual shall also have made significant professional contributions to the academic and general communities through presentations at professional meetings, professional publications *and/or* service to library organizations.

The rank of **Archivist IV** is held by an individual who has a proven record of substantial contributions to the profession recognized at the state and national levels. Additionally, the individual holding this rank must have successfully passed the Academy of Certified Archivist Examination.

### Other Faculty

Generally, the **Senior Lecturer** title is used for a full-time, nine-month position given to someone who has a terminal degree.

Generally, the **Lecturer** title is used for a full-time, nine-month position given to someone who has not completed a terminal degree.

Generally, the **Adjunct** title is used for a full-time or part-time position that is contracted on a semester basis. This category is used to fill temporary vacancies.

Visiting (Rank): Professor, Associate Professor, Assistant Professor, or Instructor

These positions are full-time, nine-month, or semester appointments depending on the circumstances. The visiting instructor may hold this position at another institution and may or may not hold a terminal degree. The visiting assistant professor may hold this position at another institution. The visiting associate and visiting full professors will have attained the same rank at another institution and must hold a terminal degree.

#### Special Designated Titles

This category is used for part-time and/or full-time appointments. Appointees in this category may carry specially designated titles (assigned by the appropriate academic dean in consultation with the provost and vice president for academic affairs). The designated title should reflect the appointee's assignment. Designations such as the following are examples: clinical instructor, artist-in-residence, director of bands, or research associate.

#### Graduate Assistants

This rank is used only for appointments of enrolled graduate students *as defined in policy 6.12*.

**Cross Reference:** Academic Promotion (7.4); *Tenure and Continued Employment* (7.29); Library Faculty (7.17); *Graduate Assistantships* (6.12)

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

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

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Academic Facilities for Non-Academic Activities

**Policy Number:** 16.1

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

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

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

**Purpose of Policy (what does it do):** Outlines the use of academic facilities for non-academic activities.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

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

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Steve Bullard, Provost and Vice President for Academic Affairs  
 Steve Westbrook, Vice President for University Affairs  
 Damon Derrick, General Counsel

## Academic Facilities for Non-Academic Activities

**Original Implementation:** 1979

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

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

Academic facilities may be made available for non-academic activities upon request and approval of the dean of the college or the facility director, subject to established regulations and policies. Efforts should be made to accommodate these requests whenever possible. Extensive or repeated use of the facility may require implementation of a facility use agreement. Procedures for requiring property deposits or facility use agreements must be in writing and have the approval of the president, provost and general counsel. Questions relating to contractual conditions should be directed to the dean of the college or facility director, who may as necessary, consult with the general counsel. The use of all facilities is subject to permissible assignment and scheduling.

**Cross Reference:** Use of University Facilities (16.33); Turner Auditorium (16.30)

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

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

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Academic Probation, Suspension and Reinstatement for Undergraduates

**Policy Number:** 6.4

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

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

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

**Purpose of Policy (what does it do):** Defines status of probation, suspension, and reinstatement.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No major changes to policy. Clarified status when a student fulfills one semester suspension and then returns, but with a GPA below 2.0. This is called "readmitted provisionally."

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Academic Probation, Suspension, and Reinstatement for Undergraduates

**Original Implementation:** January 30, 1981

**Last Revision:** ~~April 15, 2014~~ January 31, 2017

### Good Standing

A student must maintain a minimum cumulative grade point average of 2.0 to remain in good academic standing.

### Academic Probation

A student is placed on academic probation after the first regular semester in which the cumulative GPA falls below 2.0. Students on academic probation whose semester GPA is 2.0 or higher will be allowed to continue on academic probation until the cumulative GPA is 2.0 or higher. Academic probation will continue until the student achieves good standing or is placed on academic suspension.

### Academic Suspension

A student on academic probation will be placed on academic suspension if the student's semester GPA falls below 2.0.

### Reinstatement

A student on academic suspension may be allowed to continue in the university through any of the following procedures:

- Meet conditions established by the student's dean; or
- ~~Be reinstated on academic probation~~ *readmitted provisionally* automatically after one regular semester's absence from the university. Following a second or subsequent academic suspension and absence from the university for two regular semesters, ~~be reinstated~~ *readmitted* automatically ~~on probation~~. Summer terms are exempt from periods of academic suspension. Automatic ~~reinstatement~~ *readmission* will not occur if the student takes courses elsewhere and fails to attain a GPA of 2.0 for those courses; or,
- After the first academic suspension, attend summer school at Stephen F. Austin State University and either raise the cumulative GPA to 2.0 or above or obtain a GPA of 2.0 or above for at least nine (9) semester credit hours in courses specified by the student's dean.

### Change of Major

Students on academic probation or suspension may change majors with approval from their current and receiving deans.

**Cross Reference:** General Bulletin, Faculty Handbook, Student Handbook and Activities Calendar

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

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

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Administration of Academic Units

**Policy Number:** 4.4

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

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

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

**Purpose of Policy (what does it do):** Describes responsibilities of unit heads, selection of same, evaluation and merit of same.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes. Wording changed for consistent exclusive and generic use of “unit head” rather than having to distinguish between “chair” and “director.”

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee

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

Damon Derrick, General Counsel

## Administration of Academic Units

**Original Implementation:** March 7, 1978

**Last Revision:** ~~July 29, 2014~~ January 31, 2017

~~The~~The unit head is the chief executive of an academic department/division/school ~~chair/director~~ (hereafter referred to as “chair” of an academic department/division/school (hereafter referred to as “academic unit” or “unit” or “unit”).

~~is the unit’s chief executive.~~

### Responsibilities of the Unit HeadChair

The primary responsibilities of the ~~unit head~~chair are to establish and maintain a climate conducive to the pursuit of knowledge.

The decisions of the ~~unit head~~chair should be made and implemented in the context of collegiality and regular communication with the faculty.

More specifically, the administrative responsibilities of a ~~chair~~unit head include, but are not limited to, the following:

- Provide leadership in the establishment of a visionary direction and the maintenance of standards for the academic unit, consistent with college and university missions;
- Serve as the principal advocate for the unit and as an advocate for the college and university missions;
- Ensure quality through evaluation, modification, and development of academic programs;
- Respond to the needs of students, faculty, administration, the public, and others;
- Manage and allocate fiscal and physical resources of the unit;
- Establish, maintain, and communicate effective personnel procedures and processes; and
- Promote the academic unit externally.

### Selection of the Academic Unit HeadChair

1. A search and screening committee shall be used in each search for an academic unit ~~head~~chair. The dean of the college shall meet with the faculty of the academic unit prior to the selection of the screening committee ~~and will determine to discuss~~ whether a search should be open or closed to outside candidates.
2. The committee shall be formed by the dean of the college in consultation with the faculty of the academic unit and with the approval of the provost and vice president for academic affairs. The committee shall have an odd number of members, with at least five members. The committee may be larger depending on the size and complexity of the unit’s programs.
3. ~~Except in small academic units, Every~~ committee shall have representation from outside the academic unit and at least one member with appropriate administrative experience. Outside representatives shall be appointed by the dean after considering recommendations by the faculty.

4. Once the size of the committee is established, the faculty shall elect its specified number of representatives to the committee. Faculty members eligible to vote shall *hold faculty rank of be those on full-time contract with the university who hold faculty rank* (instructor, assistant professor, associate professor, professor, or librarian I-IV) in the academic unit. When possible, all tenure-track ranks will be represented on the committee. In all cases, the faculty shall elect a majority of the committee.
5. The dean shall convene the committee for its organizational meeting ~~;~~ *at this-which* time the committee shall elect its chair and other officers. The committee chair shall inform the faculty of the names of the committee members.
6. ~~It is recommended that~~ At least three candidates should be brought to campus for interviews. Each visit shall provide opportunity for the candidates to meet faculty, students, the dean of the college, the provost and vice president for academic affairs, and the committee.
7. Following the interviews, the committee shall invite comments from all faculty, staff, and students who were involved in the campus visits. The committee shall forward a recommendation to the dean along with a summary of comments. The dean, in turn, shall forward a recommendation to the provost and vice president for academic affairs that is accompanied by all previous recommendations and summaries.
8. The provost and vice president for academic affairs shall make the appointment for an indeterminate term, subject to approval by the president and the Board of Regents.

#### Evaluation of the Academic Unit ~~Chair-Head~~

The evaluation of the academic unit ~~headchairs~~ is designed to promote academic excellence throughout the university. This process takes two forms: *periodic a triennial* reviews by the academic unit faculty and annual reviews by the dean. *The annual review provides the basis upon which to award merit to unit heads.*

- ~~—The annual review provides the basis upon which to award merit to chairs.~~
- ~~1.—~~ The unit ~~headchair~~ shall be evaluated annually by the dean of the college and a recommendation for merit shall be forwarded to the provost and vice president for academic affairs. In making an evaluation, the dean shall consider the responsibilities of the unit ~~headchair~~ as stated above, while any additional criteria shall be communicated to the unit ~~headchairs~~ in advance of the evaluation period.
  - 1.
  2. At least once every three years, the unit head's ~~chair~~ performance shall be evaluated by the faculty of the academic unit. A summation of the faculty's evaluations of the unit ~~headchair~~ shall be included as a component of the final evaluation report. Following the faculty's evaluation, the dean shall meet with the unit to discuss the unit ~~headchair~~'s performance.
  - ~~2.—~~
  3. The evaluation of a unit ~~headchair~~ may be initiated at any time by a majority of the faculty or at the call of the unit ~~headchair~~, dean, provost and vice president of academic affairs, or president.

Comments which may have been received relative to the *unit head's* ~~chair's~~ performance and the advisability of retention should be carefully weighed for both the annual and triennial reviews.

4. The dean shall review with the *unit head* ~~chair~~ the results of each evaluation. A report of the evaluation and any recommendations shall be submitted to the provost and vice president for academic affairs.
5. The *unit head* ~~chair~~ shall have ten (10) working days from the date of the review to submit to the provost and vice president for academic affairs a written response to the dean's report.

#### Merit for Academic Unit *Head* ~~Chairs~~

Merit pay for *unit head* ~~chairs~~ should be based on performance in administration, teaching, creative/scholarly activity, and service. The dean shall submit a recommendation on each *unit head* ~~chair~~ in the college to the provost and vice president for academic affairs for merit consideration.

#### Teaching Load for Academic Unit *Head* ~~Chairs~~

The teaching load of academic unit *head* ~~chairs~~ is determined annually by the college dean in consultation with the academic unit *head* ~~chair~~ based on the changing needs and objectives of the unit. Factors such as number of faculty (full-time equivalent ([FTE]), number of majors, and complexity of the unit are considered in determining the teaching load of the unit *head* ~~chair~~ for the full contract year (September 1 through August 31).

**Cross Reference:** Faculty Handbook, Faculty ~~Evaluation and~~ Merit Pay (7.6)

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

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

**Forms:** Department Chair Administrative Effectiveness Appraisal

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

## POLICY SUMMARY FORM

**Policy Name:** Administrative Evaluation of Adjunct Faculty Performance

**Policy Number:** 7.5

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

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

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

**Purpose of Policy (what does it do):** Certifies that adjunct faculty, in addition to regular full time faculty, will be evaluated.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes. Cross-reference added.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Affairs Policy Committee  
 Faculty Senate  
 Deans Council  
 Dr. Steve Bullard, Provost and Vice President for Academic Affairs  
 Damon Derrick, General Counsel

## Administrative Evaluation of Adjunct Faculty Performance

**Original Implementation:** December 17, 2010

**Last Revision:** ~~April 15, 2014~~ January 31, 2017

Stephen F. Austin State University recognizes that faculty performance should be regularly and systematically evaluated. Adjunct faculty administrative evaluations should be used when considering reappointment.

Adjunct faculty members will be evaluated annually for their performance of assigned duties, which will include teaching and may include other activities. For the evaluation, the academic unit head will review student evaluations of teaching and all material relevant to the performance of the adjunct faculty member.

The academic unit head will review the evaluation with each adjunct faculty member and provide a copy to the dean and faculty member.

Adjunct faculty members are not eligible for merit pay increases.

**Cross Reference:** Faculty Handbook, *Student Evaluation of Instruction (7.27)*

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

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

**Forms:** Adjunct Faculty Administrative Evaluation Form (available online from the Office of the Provost)

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

## POLICY SUMMARY FORM

**Policy Name:** AIDS and HIV

**Policy Number:** 13.1

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

**Date of last revision, if applicable:** 10/21/2013

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

**Purpose of Policy (what does it do):** Sets out guidelines for matters regarding university employees or students with HIV infections or AIDS.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes; updates names and titles.

**Specific rationale for deletion of policy:**

*Additional Comments:*

**Reviewers:**

Dr. Steve Bullard, Provost and Vice President for Academic Affairs  
 Dr. Danny Gallant, Vice President for Finance and Administration  
 Dr. Steve Westbrook, Vice President for University Affairs  
 Damon Derrick, General Counsel

## AIDS and HIV

**Original Implementation:** September, 1990

**Last Revision:** ~~October 21, 2013~~ January 31, 2017

Stephen F. Austin State University recognizes the increasing public awareness and concern over AIDS and HIV. For the purposes of this policy, AIDS means acquired immune deficiency syndrome, and HIV means human immunodeficiency virus. AIDS is a fatal disease that has become a nationwide public health problem. In health related matters such as this one, the university shall follow the guidelines of recognized authorities including: the ~~National~~ Centers for Disease Control *and Prevention*, the United States Public Health Service, the Texas Department of *State Health Services*, and the American College Health Association. Further, the university shall conform its actions to the Texas Communicable Disease Prevention and Control Act, the Texas Human Immunodeficiency Virus Services Act, and other law as applicable.

The health status of a person infected with HIV may vary from an apparently healthy, normally functioning individual to a critically ill person. However, there is no current medical evidence that persons infected with HIV present a health risk to others in the normal academic or workplace setting. Routine daily encounters with others pose no risk of transmitting the fragile, blood-borne virus. Accordingly, there is no reason to exclude individuals with AIDS or HIV from campus academic, social, or cultural activities. Therefore, on the basis of current knowledge of the disease, persons sharing common living space, work or study areas, libraries, classrooms, recreational facilities, and theaters do not represent a problem or public threat to the campus community.

Students and employees (faculty and staff) of the university who may become infected with HIV will not be excluded from enrollment or employment, or restricted in their access to university services or facilities, unless medically-based judgments in individual cases establish that exclusion or restriction is necessary to the welfare of the infected person or of the other members of the university community.

Persons with HIV infection are entitled to the same rights and opportunities as persons with other communicable diseases. The university prohibits any discrimination in its programs and -activities against a person with HIV infection unless based on accurate scientific information. Any student, faculty member, or employee who violates this rule may be subject to appropriate disciplinary action, up to and including termination of employment if an employee and expulsion if a student.

When circumstances arise that require review of any matter regarding HIV/AIDS, the president will seek the advice of the director of ~~University Health Services~~ *the Health Clinic*, the attending physician, and other relevant parties. An opportunity will be provided for persons involved in the matter to discuss their circumstances. Members of the Public Health Committee will be available to review the issues and to provide recommendations to the president for

appropriate action.

In the event of public inquiry concerning university policy, programs, problems, or statistics related to AIDS on campus, the director of ~~Public Affairs~~*University Marketing Communications* will serve as the official spokesperson for the university and will enlist the cooperation of the director of ~~University the Health Services-Clinic~~ and the Public Health Committee as necessary to prepare an appropriate response. All inquiries from the press, elected public officials, or the public in general will be referred to the spokesperson. ~~Inquiries of a more private or specific nature may be made to the director of University Health Services or the chair of the Public Health Committee.~~

The medical records and test results of any HIV-infected person on the campus shall remain confidential and private information in accordance with law. The breach of that confidentiality may result in litigation and in severe penalties, both civil and criminal. (Some exceptions to confidentiality are permitted by law.)

The university shall keep the number of people who are aware of the existence and identity of students, faculty, or staff members who have AIDS or HIV to an absolute minimum to protect the confidentiality and privacy of the infected persons and to avoid the generation of unnecessary fear and anxiety on the campus. However, public information shall be disclosed upon request in accordance with the Texas Public Information Act, the Family Educational Rights and Privacy Act, the Texas Communicable Disease Prevention and Control Act, the Texas Human Immunodeficiency Virus Services Act, and other applicable law.

Persons who know, or have a reasonable basis for believing, that they are infected with the AIDS virus are expected to seek expert advice about their health circumstances and are obligated, ethically and legally, to conduct themselves responsibly in accordance with such knowledge for the protection of other members of the university community. The university encourages regular medical follow-up for such persons.

The university shall carefully observe the safety guidelines established by the U.S. Public Health Service for the handling of blood and other body fluids and secretions in ~~University the Health Services-Clinic~~ and in other institutional contexts in which such fluids or secretions may be encountered (e.g., teaching and experimental laboratories).

The university shall strictly observe the public health reporting requirements for AIDS and HIV infection as well as other communicable diseases.

The university shall make this policy available upon request to students, faculty, and staff members and such a statement will be included in the Policy and Procedure Manual on the university's Web page.

Policy for the Work Environment

In the work setting, the university's major concern will be whether an HIV-infected employee will be able to satisfactorily perform job duties. The university will make *reasonable* accommodations to keep an employee with HIV infection employed and productive for as long as the employee is capable of this performance.

Most HIV-infected employees will be able to perform their job duties for an extended period before their illnesses interfere with job-related performance. During the asymptomatic period, the employee is not obligated to provide information about his/her HIV status to the university. However, an employee may want to share information about his/her HIV-infected status with university officials so that responsible management decisions may be made about:

1. assignments or reassignments of job duties;
2. evaluating leave policies to assure leave time comparable to other medical conditions;
3. determinations of possible qualification for disability entitlements; and
4. monitoring the insurance status of the HIV-infected employee to assure continuation of coverage.

Once HIV-related symptoms occur, the employee has the responsibility as in the case of other illnesses to provide medically verified information relating to the ability to perform job duties.

Based on federal and state law, any medical documentation of information provided by an HIV-infected employee to university officials must be considered confidential and private information. As such, university officials are forbidden by law from disclosing this information to others without the employee's knowledge and consent. (Some exceptions to confidentiality are permitted by law.) The university requires that any consent to disclosure by the employee be in writing. Any university employee who breaches the confidentiality of this information commits a serious offense that may be cause for litigation, resulting in both civil and criminal penalties.

University employees who refuse to work with HIV-infected co-workers may be subject to disciplinary action up to and including termination. University departmental ~~chairs and directors~~ *unit heads* should carefully monitor and document any instances of such refusal in violation of this policy and take appropriate disciplinary action.

At least once each year, Human Resources shall conduct an HIV/AIDS training program or distribute an educational pamphlet for university employees and include in the program and/or pamphlet:

1. current medical information about HIV transmission and prevention;
2. confidentiality and related laws;
3. personnel management, including relevant policies;
4. -development of staff problem-solving skills; and

5. a plan for scheduled periodic training.

Also, each year Human Resources shall conduct HIV/AIDS employee education programs to:

1. provide basic and accurate information regarding the modes of transmission and prevention of HIV infection;
2. reduce fear and misinformation of HIV/AIDS;
3. help faculty and staff recognize and avoid personal behaviors that might cause them to become infected with HIV;
4. encourage nondiscrimination, which enables the HIV-infected person to remain employed as long as feasible;
5. help maintain productivity and lawful behavior in the workplace;
6. provide continuing information about HIV/AIDS; and
7. distribute to all employees a copy of the Texas Department of State Health Services' educational pamphlet entitled "HIV/AIDS and the Workplace."

At a minimum, the HIV curriculum will include:

1. modes of transmission;
2. methods of prevention;
3. behaviors related to substance abuse;
4. current laws and regulations concerning the rights of an AIDS/HIV-infected individual; and,
5. behaviors associated with HIV transmissions which are in violation of Texas law.

On an employee's request, the university shall pay the costs of testing and counseling an employee concerning HIV infection if the employee:

1. provides appropriate documentation that the employee may have been exposed to the HIV virus while performing duties of employment with that agency, and
2. was exposed to HIV in the manner that the U.S. Public Health Service has determined is capable of transmitting HIV.

However, an employee who may have been exposed to HIV while performing job duties at the university may not be required to be tested for HIV.

For the purpose of qualifying for worker's compensation or any other similar benefits or compensation, an employee must provide the employer with a written statement of the date and the circumstances of the exposure and document that within 10 days after the exposure the employee had a test result that indicated an absence of HIV infection.

The cost of an employee's testing and counseling shall be paid from funds appropriated for

payment of worker's compensation benefits to state employees. Counseling or a test conducted in accordance with these provisions shall conform to the model protocol on HIV counseling and testing prescribed by the Texas Department of State Health Services.

In compliance with the Texas Communicable Disease Prevention and Control Act, the University Police Department shall adopt a policy for handling persons with AIDS or HIV infection who are in its custody or under its supervision. The department's policy shall ensure that education programs for employees include information and training relating to infection control procedures and that employees have infection control supplies and equipment readily available.

The university shall adopt and implement workplace guidelines similar to the workplace guidelines for state agencies listed in the Texas Human Immunodeficiency Virus Services Act for any program involving direct client contact that is funded by one of the listed state agencies.

### **Policy for the Academic Environment**

The university shall allow, to the extent possible, HIV-infected students, whether they are symptomatic or not, to continue regular classroom attendance in an unrestricted manner as long as they are physically able to attend class.

The university recognizes that there is no medical justification for restricting the access of HIV-infected students to the Student Center or to university cafeterias, snack bars, gymnasiums, swimming pools, recreational facilities, or other common areas.

The university recognizes that the best currently available medical information does not support the existence of a risk to those sharing residence halls with HIV-infected individuals; in some circumstances however there may be reasonable concern for the health of those with AIDS or HIV who might be exposed to certain contagious diseases (e.g., measles or chicken pox) in a close living environment. Thus, decisions about residential housing of students with AIDS or HIV shall be made on a case-by-case basis. The university may decide to assign students with AIDS or HIV to private rooms in the interest of protecting the health of those students. The university shall provide education programs about AIDS and HIV to its residence hall staff (both students and employees).

Since there is no medical necessity, the university shall not advise others living in a residence hall of the presence of students in the residence hall who have AIDS or HIV. The university believes that the responsibility to provide a safe living environment is best dealt with by educational programming. Similarly, the university shall not make any attempt in any other setting to identify those students or employees who have AIDS or HIV.

The university shall not routinely ask students about their status regarding AIDS or HIV. However, the university shall encourage new students to inform the medical staff at ~~University~~ *the Health Services-Clinic* if they have AIDS or HIV in order for *the Health Services-Clinic* to provide proper medical care and education. The ~~Health Services-Clinic~~ staff will handle this information, like all other medical information, in a strictly confidential manner in accordance with university policy and federal and state law.

The university shall not provide any person, group, agency, insurer, employer, or institution with confidential medical information about students with AIDS or HIV virus without the specific written consent of the student. Given the possibility of unintended or accidental compromise of the confidentiality of information, ~~University~~ *the Health Services-Clinic* staff will carefully weigh the importance of including any specific information regarding the existence of AIDS or HIV in the medical record of a student except in circumstances of medical necessity created by the evaluation of an illness. At a minimum, the inclusion of any such information in the medical record should be discussed with the patient prior to its entry.

The university shall make available to students, on request, the educational pamphlet on HIV infection developed by the Texas Department of State Health Services and shall include in the university's Web page a statement that the pamphlet is available from ~~University~~ *the Health Services-Clinic*.

~~The University~~ *Health Services-Clinic* shall provide accurate, understandable information on how to prevent the transmission of HIV infection in compliance with Section 51.919 of the Texas Education Code.

In further compliance with Section 51.919 of the Texas Education Code, the curricula of the nursing, counseling, and social work degree programs of the university shall:

1. include information about:
  - a. methods of transmission and methods of prevention of HIV infection; and
  - b. federal and state laws, rules, and regulations concerning HIV infection and AIDS; and,
2. give special attention to the physical, emotional, and psychological stress associated with the care of patients with terminal diseases.

**Cross Reference:** Texas Human Immunodeficiency Virus Services Act, Tex. Health & Safety Code Ch. 85; Texas Communicable Disease Prevention and Control Act, Tex. Health & Safety Code Ch. 81; Tex. Educ. Code § 51.919

**Responsible for Implementation:** President

**Contact for Revision:** General Counsel

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Annual Disclosure of Crime Statistics

**Policy Number:** 13.3

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

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

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

**Purpose of Policy (what does it do):** Compliance with the Clery 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:** Removed definitions of reportable crimes as these are contained in the Annual Security Report. These definitions are set by law and are not needed in the body of this policy. The balance of the revisions are nonsubstantial, consisting of title updates, clarified phrasing and formatting.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Marc Cossich, Executive Director of Public Safety  
Dr. Steve Westbrook, Vice President for University Affairs  
Damon Derrick, General Counsel

## Annual Disclosure of Crime Statistics

**Original Implementation:** October 30, 2007

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, commonly referred to as the “Clery Act,” and/or the Higher Education Opportunity Act of 2008 (HEOA), requires institutions of higher education receiving federal financial aid to report specified crime and fire statistics on college campuses and to provide other safety and crime information to members of the campus community. Campuses must publish an Annual Security and Fire Safety Report detailing statistics regarding reported crimes committed on campus and at affiliated locations for the previous three calendar years, fires that occur in on-campus residence halls, and describing specified policies, procedures and programs regarding safety and security. This requirement of the Clery Act is intended to provide students and their families, as higher education consumers, with accurate, complete and timely information about the safety of the campus so that they can make informed decisions.

The federal law requires the collection and reporting of annual crime statistics reflecting reports of specified crimes that occur on and adjacent to a university campus and certain properties associated with the campus as well as fires that occur in on-campus residence halls. The statistical compilation must be broken down by specified types of crimes and campus disciplinary referrals, and must indicate if a specified crime is a hate crime. Campuses must also provide a geographic breakdown of the crime statistics according to the following defined geographic areas: “on campus” (including further breakdown of the number of crimes that occurred in campus student residential facilities), “in or on a non-campus building or property” and “on public property.”

### Annual Security and Fire Safety Report

The Stephen F. Austin State University Department of Public Safety (DPS) prepares an Annual Security and Fire Safety Report to comply with the Clery Act and HEOA. This report is prepared in cooperation with the Residence Life and the Student Rights and Responsibilities departments. Each entity provides updated information on their educational efforts and programs to comply with the Clery Act.

DPS officers enter all reports and all crime incidents reported directly into an automated case management software program. Once an officer enters the report in the program, a departmental administrator reviews the report to ensure it is classified within the appropriate crime category. The department examines the data to ensure that all crimes that have been reported are recorded in accordance with the crime definitions outlined in the FBI Uniform Crime Reporting (UCR) Handbook as required by the Clery Act regulations.

SFA is required under the Clery Act to provide a Crime Statistics Summary Report related to its campus and other locations by calendar year. This SFA Crime Statistic and Fire Summary Report is sent annually to the U.S. Department of Education and can be viewed on the Office of Postsecondary Education–Department of Education’s website.

The university’s Annual Security and Fire Safety Report (ASR) is updated each year and it is available on the SFA website at: <http://www.sfasu.edu/upedps/>. Copies of the ASR may also be obtained at the SFA Department of Public Safety, located on East College Street, or by calling 936.468.2252.

The Annual Security and Fire Safety Report must describe specified campus policies concerning:

- Reporting criminal activity or other emergencies on campus;
- Security of, maintenance of and access to campus facilities;
- Authority of campus law enforcement units;
- Monitoring and recording through local police agencies of off-campus criminal activities by students;
- Alcohol and drugs;
- Fire Safety;
- Fire Suppression in Residence Halls; and
- Timely Warning Procedures

In addition, the report must describe:

- The type and frequency of campus programs to inform students and employees about campus security procedures and precautions and the prevention of crimes;
- Available drug and alcohol abuse prevention education programs and existing counseling, health, mental health, victim advocacy, legal assistance, and other services available for victims both on-campus and in the community;
- Campus programs to prevent sexual assaults, including procedures to be followed when such an assault occurs;
- Education Programs to promote prevention and awareness of domestic violence, dating violence, and stalking;
- Procedures that the institution will follow once an incident of domestic violence, dating violence, sexual assault, or stalking has been reported; including the procedures for university disciplinary action, the applicable burden of proof for such proceedings, and possible sanctions or protective measures the university may impose;
- Procedures victims should follow if a sex offense, domestic violence, dating violence, sexual assault, or stalking has occurred, including information on the ~~important~~ importance of preserving evidence, to whom the offense should be reported, options regarding law enforcement and university authorities, and the rights of victims and the university’s responsibilities regarding orders of protection, no contact orders, restraining orders, or

similar court orders;

- Information about how the university will protect the confidentiality of victims;
- Information about options for changing academic, living, transportation, and working situations; and
- Where law enforcement agency information concerning registered sex offenders may be obtained.

## Definitions of Reportable Crimes:

*The definitions of reportable crimes are outlined in the Annual Security Report.* ~~Arson is any willful or malicious burning or attempt to burn, with or without intent to defraud, a dwelling house, public building, motor vehicle or aircraft, personal property of another, etc.~~

~~Aggravated Assault is an unlawful attack by one person upon another for the purpose of inflicting severe or aggravated bodily injury. This type of assault usually is accompanied by the use of a weapon or by means likely to produce death or great bodily harm.~~

~~Burglary is the unlawful entry of a structure to commit a felony or a theft.~~

~~Destruction/Damage/Vandalism of Property (except "Arson") is to willfully or maliciously destroy, damage, deface, or otherwise injure real or personal property without the consent of the owner or the person having custody or control of it.~~

~~Domestic Violence includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction.~~

~~Physical abuse: any intentional unwanted contact with the victim's body by either the perpetrator or an object within the perpetrator's control, regardless of whether such contact causes pain or injuries to the victim.~~

~~Emotional abuse: the intentional infliction of mental or emotional distress by threat, coercion, stalking, humiliation, or unwanted other verbal or nonverbal conduct.~~

~~Sexual abuse: any sexual behavior or contact by the perpetrator that is unwanted by the victim and/or interferes with the victim's ability to consent to or control the circumstances of sexual behavior.~~

~~Dating Violence means violence committed by a person who is or has been in a social~~

relationship of a romantic or intimate nature with the victim and where the existence of such a relationship shall be determined based on a consideration of the following factors: (i) the length of the relationship; (ii) the type of relationship; and (iii) the frequency of interaction between the persons involved in the relationship.

*Drug Law Violation* is defined as the violation of laws prohibiting the production, distribution and/or use of certain controlled substances and the equipment or devices utilized in their preparation and/or use; the unlawful cultivation, manufacture, distribution, sale, purchase, use, possession, transportation or importation of any controlled drug or narcotic substance; arrests for violations of state and local laws, specifically those relating to the unlawful possession, sale, use, growing, manufacturing and making of narcotic drugs. The relevant substances include: opium or cocaine and their derivatives (morphine, heroin, codeine); marijuana; synthetic narcotics—manufactured narcotics which can cause true addiction (Demerol, methadone); and dangerous non-narcotic drugs (barbiturates, Benzedrine).

*Hate Crime* is a criminal offense committed against a person or property which is motivated, in whole or in part, by the offender's bias against a race, religion, disability, sexual orientation, ethnicity, disability, gender identity, or national origin.

*Race*: A preformed negative attitude toward a group of persons who possess common physical characteristics (e.g., color of skin, eyes, and/or hair; facial features, etc.)—genetically transmitted by descent and heredity which distinguish them as a distinct division of humankind (e.g., Asians, blacks, whites).

*Gender*: A preformed negative opinion or attitude toward a group of persons because those persons are male or female. Gender bias is also a Clery Act specific term, not found in the FBI's Hate Crime Data Collection Guidelines.

*Religion*: A preformed negative opinion or attitude toward a group of persons who share the same religious beliefs regarding the origin and purpose of the universe and the existence or nonexistence of a supreme being (e.g., Catholics, Jews, Protestants, atheists).

*Sexual orientation*: A preformed negative opinion or attitude toward a group of persons based on their sexual attraction toward, and responsiveness to, members of their own sex or members of the opposite sex (e.g., gays, lesbians, heterosexuals).

*Ethnicity*: A preformed negative opinion or attitude toward a group of persons of the same race who share common or similar traits, languages, customs and traditions (e.g., Arabs, Hispanics).

*Disability*: A preformed negative opinion or attitude toward a group of persons based on their physical or mental impairments/challenges, whether such disability is temporary or permanent, congenital or acquired by heredity, accident, injury, advanced age or illness.

*Gender Identity*: A preformed negative opinion or attitude toward a group of persons based on actual or perceived gender-related characteristics.

*National Origin*: A preformed negative opinion or attitude toward a group of persons of the same national origin who share common or similar traits, languages, customs and traditions.

~~*Illegal Weapons Possession* is defined as the violation of laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession, concealment, or use of firearms, cutting instruments, explosives, incendiary devices or other deadly weapons. This classification encompasses weapons offenses that are regulatory in nature.~~

~~*Intimidation* is to unlawfully place another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.~~

~~*Larceny Theft* is the unlawful taking, carrying, leading, or riding away of property from the possession or constructive possession of another. (Note: Constructive possession is defined by Black's Law Dictionary, 6th ed. as "where one does not have physical custody or possession, but is in a position to exercise dominion or control over a thing.")~~

~~*Liquor Law Violations* is defined as the violation of state or local laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession, or use of alcoholic beverages, not including driving under the influence and drunkenness. Included in this classification is the furnishing, possessing, etc., of intoxicating liquor; maintaining unlawful drinking places; bootlegging; operating still; furnishing liquor to a minor or intemperate person; underage possession; providing liquor to a minor or intemperate person; underage possession; using a vehicle for illegal transportation of liquor; drinking on train or public conveyance; and attempts to commit any of the above.~~

~~*Motor Vehicle Theft* is the theft or attempted theft of a motor vehicle.~~

~~*Murder and Non-Negligent Manslaughter* is defined as the willful (non-negligent) killing of one human being by another.~~

~~*Negligent Manslaughter* is defined as the killing of another person through gross negligence.~~

~~*Robbery* is the taking or attempting to take anything of value from the care, custody, or control of a person or persons by force or threat of force or violence and/or by putting the victim in fear.~~

~~*Sex Offenses—Forcible* is defined as any sexual act directed against another person, forcibly and/or against that person's will; or not forcible or against the person's will where the victim is incapable of giving consent.~~

~~*Sex Offenses—Non forcible* are incidents of unlawful, non forcible sexual intercourse. Only two types of offenses are included in this definition; incest and statutory rape.~~

~~*Simple Assault* is an unlawful physical attack by one person upon another where neither the offender displays a weapon, nor the victim suffers obvious severe or aggravated bodily injury involving apparent broken bones, loss of teeth, possible internal injury, severe laceration, or loss of consciousness.~~

~~*Stalking* means engaging in a course of conduct directed at a specific person that would cause a reasonable person to—  
fear for his or her safety or the safety of others  
suffer substantial emotional distress.~~

### **Other Policy-Related Definitions**

*Campus* is defined as any building or property owned or controlled by an institution within the same reasonably contiguous geographic area and used by the institution in direct support of, or in a manner related to, the institution's educational purposes, including residence halls; and any building or property within the same reasonably contiguous geographic area of the institution that is owned by the institution but controlled by another person, is frequently used by students and supporters for institutional purposes (such as food or other retail vendor).

*Non-campus building or property* is defined as any building or property owned or controlled by a student organization officially recognized by the institution; or any building or property (other than a branch campus) owned or controlled by an institution that is used in direct support of or relation to the institution's educational purposes, is frequently used by students and is not within the same reasonably contiguous geographic area of the institution.

*Public property* is defined as all public property that is within the same reasonably contiguous geographic area of the institution, such as a sidewalk, a street, other thoroughfare or parking facility, and is adjacent to a facility owned or controlled by the institution if the facility is used by the institution in direct support of, or in a manner related to the institution's educational purposes.

### **Campus Security Authorities**

*The Clery Act definition of a campus security authority includes SFA personnel beyond police officers. An official of SFA who has significant responsibility for student and campus activities, including but not limited to, student housing, student discipline and campus judicial proceedings, is a campus security authority.* Campus security authorities, as defined by the Clery Act, have an obligation to report allegations of Clery Act-defined crimes that they conclude are made in good faith. These crime allegations must be reported to the SFA University Police Department.

~~The Clery Act definition of a campus security authority includes SFA personnel beyond police officers. An official of SFA who has significant responsibility for student and campus activities,~~

~~including but not limited to, student housing, student discipline and campus judicial proceedings, is a campus security authority. The intent of including non-law enforcement personnel as campus security authorities is to acknowledge that many individuals and students in particular *may be more inclined to report incidents to other campus-affiliated individuals other than the police.* are hesitant about reporting crimes to the police, but may be more inclined to report incidents to other campus-affiliated individuals.~~

### **Counselors Confidential Reporting**

*The Clery Act defines a professional counselor as an employee of an institution whose official responsibilities include providing psychological counseling to members of the institution's community and who is functioning within the scope of his or her license or certification.*

Campus professional counselors, when acting as such, are not considered to be campus security authorities and are not required to report crimes for inclusion into the annual disclosure of crime statistics. As a matter of policy they are encouraged, if and when they deem it appropriate, to inform persons being counseled of the procedures to report crimes on a voluntary basis for inclusion into the annual crime statistics.

~~The Clery Act defines a professional counselor as an employee of an institution whose official responsibilities include providing psychological counseling to members of the institution's community and who is functioning within the scope of his or her license or certification.~~

**Cross Reference:** 20 U.S.C. § 1092(f); Higher Education Opportunity Act, Public Law 110-315 (8/14/08); 42 U.S.C. § 13925(a); Timely Warning ~~Policy~~ (13.22)

**Responsible for Implementation:** Vice President for University Affairs

**Contact for Revision:** ~~Chief of University Police~~ *Executive Director of Public Safety/Chief of Police*

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Austin Building Conference Rooms

**Policy Number:** 16.5

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

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

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

**Purpose of Policy (what does it do):** Establishes the guidelines for the use of Austin Building conference rooms.

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

- ☒ 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:

Baker Pattillo, President  
Damon Derrick, General Counsel

## Austin Building Conference Rooms

**Original Implementation:** June 10, 1986

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

The provisions of the policy on the Use of University Facilities (16.33) govern the use of all buildings, facilities, equipment, and grounds, hereafter referred to as facilities, under the control of Stephen F. Austin State University. That policy provides that the university may establish additional procedures for the reservation and use of specific facilities; therefore, the following provisions apply to Room 305 and Room 307 in the Austin Building.

These conference rooms will be primarily for the use of the Board of Regents and the president of the university in their conduct of the governance and administration of the university, as well as for visits of dignitaries and official university guests.

Beverages and food are prohibited in conference rooms 305 and 307, except as approved by the president or the chair of the Board of Regents.

**Cross Reference:** Use of University Facilities (16.33)

**Responsible for Implementation:** President

**Contact for Revision:** President

**Forms:** None

**Board Committee Assignment:** Building and Grounds

## POLICY SUMMARY FORM

**Policy Name:** Central Receiving

**Policy Number:** 17.2

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

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

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

**Purpose of Policy (what does it do):** The policy exists to provide direction for receiving of shipments.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes. Minor clarifications and wording changes. Referenced manual and forms.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Kay Johnson, Director of Procurement and Property Services  
 Danny Gallant, Vice President for Academic Affairs  
 Damon Derrick, General Counsel

## Central Receiving

**Original Implementation:** Unpublished

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

All supplies and equipment purchased for the university are to be delivered through central receiving to ensure uniform handling of freight claims, accurate entry of receiving information, and necessary elements of institutional control. The following purchases are excluded from this requirement.

1. items being delivered under delegated purchase authority to the library, Stone Fort Museum, or departments using p-cards or rush orders
2. items that require installation by the contractor
3. items specifically authorized by the Department of Procurement and Property Services

It is the responsibility of the department taking receipt of goods or services to immediately complete a Receiving Form for Purchase Orders online for all deliveries of goods or services. *See the purchase order receiving manual for detailed instructions for receiving purchase orders.* Timely entry of receiving information is essential to avoid late payment penalties, and to effectively handle freight claims, shortages, or discrepancies.

### Delivery of Vehicles

- ~~1. All vehicles delivered to central receiving will be checked for meeting specifications, tagged by the property manager, and delivered to the transportation manager for identification as a state vehicle and recording state vehicle fleet management plan information.~~
- ~~2. All vehicles picked up from the dealer (usually long term leased or lease purchased vehicles) must be delivered immediately upon pick-up to the transportation manager for identification as a state vehicle and recording state vehicle fleet management plan information. Vehicle pick-up may be completed by the end user or by the transportation department.~~

### Delivery of Other Goods

Upon receipt of goods, central receiving will:

1. count and examine all cartons for visible damage, create a receiver document and delivery log in the university's financial system, and note any discrepancies on the bill of lading;
2. deliver all packages, boxes, crates, etc., (except those requiring property tagging, special equipment or manpower for moving) within 24-48 hours to the requisitioning department; and
3. handle the filing of claims with the freight company for any freight damages or shortages.

Upon receipt of goods from central receiving, the department will:

1. check contents of shipment against original purchase order and complete a **Receiving Form for Purchase Orders** online; *and-*
2. notify central receiving immediately of any damages or shortages that could not be identified by central receiving.

Upon receipt of goods or services directly from the vendor, the department will:

1. count and examine all cartons for visible damage and note any discrepancies on the bill of lading;
2. check contents of shipment against original purchase order and complete a **Receiving Form for Purchase Orders** online; *and-*
3. notify central receiving immediately of any damages or shortages.

Failure to promptly complete a **Receiving Form for Purchase Orders** online or notify central receiving of damages or shortages may result in 1) the inability to return goods, 2) higher restocking fees, or 3) payment for the goods or services and a liability for late payment penalties. The payment of any such penalties will be made from the account(s) that funded the original purchase.

### **Outgoing Freight**

Outgoing freight may be dispatched through central receiving to ensure proper documentation, packing, and labeling. Clear indication of shipment value should always be made on the package or on the accompanying documentation. A special notation should be made when insurance is desired. Contact central receiving for additional instructions or assistance in handling outgoing freight.

**Cross Reference:** ~~None~~ *Purchase Order Receiving Manual*

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

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

**Forms:** **Receiving Form for Purchase Orders**

**Board Committee Assignment:** Finance and Audit

## POLICY SUMMARY FORM

**Policy Name:** Certificate Programs

**Policy Number:** 5.2

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

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

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

**Purpose of Policy (what does it do):** Describes circumstances in communicating with the Texas Higher Education Coordinating Board about new certificate programs.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Only minor changes of wording for clarity.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee

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

Damon Derrick, General Counsel

## Certificate Programs

**Original Implementation:** April 22, 2008

**Last Revision:** ~~July 29, 2014~~ January 31, 2017

Certificate programs at the undergraduate, graduate, or continuing education level are offered to meet the supplemental education needs of individuals. A certificate program is a set of courses that provides in-depth knowledge and/or skill development in a content or professional area. Selected courses may come from one or more academic areas and may be practice/skill-oriented or academic in nature.

It is the responsibility of the academic unit offering certificate programs to establish a process for awarding certificates. Certificate records ~~are will be kept by within the academic unit until fall 2015 when they will transfer to the registrar.~~

### Process for Developing a Certificate Program

The academic unit prepares and submits any credit-bearing proposal through the university curriculum process. A unit may not develop certificate programs at the upper or graduate level that are equivalent to lower level certificate programs offered at community, state, or technical colleges. *Certificate programs that require Texas Higher Education Coordinating Board (THECB) notification include:*

~~Certificate programs that require the Texas Higher Education Coordinating Board (THECB) notification and receive automatic approval include:~~

- upper-level undergraduate programs of 21-36 hours in disciplinary areas where the institution already offers an undergraduate degree program; and,
- graduate and professional-level programs of 16-29 hours in disciplinary areas where the institution already offers a graduate program at the same level as the certificate.

Certificate programs that do not require THECB notification ~~or approval~~ include:

- undergraduate programs of 20 semester credit hours or less; and,
- graduate and professional-level programs of 15 semester credit hours or less.

Certificate programs for which no collegiate academic credit is given, such as continuing education programs, must be approved by the appropriate dean and the provost and vice president for academic affairs. ~~However, Such certificate programs they do not require approval through the university curriculum process or require THECB notification or approval.~~

**Cross Reference:** 19 Tex. Admin. Code § 5.48

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

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

**Forms:** Certificate Request Form

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

## POLICY SUMMARY FORM

**Policy Name:** Compensation Plan for Exempt and Non-Exempt Staff

**Policy Number:** 12.2

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

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

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

**Purpose of Policy (what does it do):** Details the methodology of establishing a compensation plan. The policy included both internal human resources department processes and general information.

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

- ☒ 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 scope of this policy was too broad and did not easily provide information to SFA employees and management. The policy was rewritten to include information about developing a compensation plan but is not as detailed.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

## **~~Compensation Plan for Exempt and Non-Exempt Staff~~** ***Staff Compensation and Classification***

**Original Implementation:** February 3, 2005

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

*This policy does not include faculty or student compensation and classification.*

*To effectively manage compensation and classification of its employees, Stephen F. Austin State University maintains a system of compensation and classification that:*

- 1. considers the external market, while focusing primarily on ensuring internal equity and emphasizing the advantages of a collegial work environment;*
- 2. rewards and retains those individuals who exceed defined performance expectations;*
- 3. provides flexibility in implementation and process to meet the needs of the university;*
- 4. sets a system for progression and mobility through job enrichment, promotions, merits and equity adjustments;*
- 5. identifies the required education, experience, knowledge, skills and abilities required for all SFA positions; excluding casual (short-term or sporadic temporary) positions; and*
- 6. encourages and rewards the acquisition of skills.*

### **Compensation Plan Development**

*The Human Resources Department is responsible for developing the SFA compensation plan. Development of the plan shall include extensive studies of compensation in nationwide competitive universities to ensure that the salary structure is competitive. The competitive salary survey data and benchmark jobs are used to determine appropriate salary ranges for SFA positions. Benchmark jobs are those with characteristics similar enough to jobs performed in other organizations.*

*The SFA compensation plan includes:*

**A. Job Descriptions** *which contain a SFA job title, a general job summary, a list of essential (major) duties and responsibilities, and job requirements (i.e. minimum education, experience, exemption status under the Fair Labor Standards Act (FLSA) and other qualification requirements that an individual should have to fill the position). The Department of Human Resources may develop job descriptions for individual jobs or for entire job families. Job descriptions are used to:*

- 1. evaluate and classify jobs to determine appropriate internal position relationships;*
- 2. communicate to new or existing employees the fundamental duties and responsibilities of their jobs;*
- 3. provide job information that can be used to determine competitive pay relationships in the labor market;*
- 4. provide job information which can be used in the recruitment and selection process;*
- 5. provide job information which can be used in employee relations matters, such as performance appraisal, employee orientation, grievance resolution, and identification of training and development needs; and*

6. ensure compliance with government legislation.

*Changes in the duties of a job may require re-analysis and re-evaluation of a job. Where changes are judged significant by the supervisor and/or manager, he/she should complete a Job Analysis Questionnaire (JAQ), located on the Department of Human Resources website.*

*Requests may be prompted by the creation of a proposed new job title or by a substantial and permanent change in duties or requirements of an individual position or in the majority of individual positions within a job title. For a change in duties or requirements to merit re-evaluation, it should meet these criteria:*

1. *It is a permanent change in duties; not a special project or short-term assignment;*
2. *The addition, deletion, or change affects a duty that constitutes a significant portion of the job (at least 15%);*
3. *The duty which is added, deleted, or changed is substantially different in level and type from the balance of the job duties so that it seems reasonable that the change in that one duty would affect the evaluation of the job on one or more job evaluation factors; or*
4. *The levels of education or experience required for the job noticeably change. These requirements should reflect minimum standards for satisfactory job performance, not an incumbent's qualifications.*

*The official job title on the job description will be used for all personnel records and publications (For internal purposes, however, departments may use a different functional title). New official job titles may be created only with the prior review and approval by the director of human resources.*

***B. Pay Grade Structures*** *used to identify the minimum and maximum salary range of pay for each position. SFA uses one combined grade structure to establish compensation limits for jobs. The structure is based on competitive practices and internal equity considerations, and provides the possibility for progression to more responsible jobs with higher and broader pay ranges. As part the budget process each year, the director of human resources will review the competitiveness of its pay structures. The review will include (1) comparisons of the competitive status of SFA's midpoints to the relevant external market; (2) a review of anticipated average movement of pay structures by peer and comparison organizations.*

*Based on findings of the review, a recommendation will be prepared for consideration by the director of human resources concerning adjustments to the pay structures. The recommendation will include detailed cost analyses and will be provided to senior management for consideration. Hiring employees below the minimum of the salary range is contrary to university policy and is not permitted. Conversely, the maximum of the pay range is the upper limit of pay for a job. An employee's rate of pay may not normally exceed the respective maximum for the job. Request for payment above pay range must be approved by director of human resources.*

***C. Requirements for distributing compensation to employees.*** *The Human Resources Department is responsible for ensuring that compensation is distributed in a fair, equitable manner that supports the needs of the university. Directors are responsible for initiating the following salary actions for review and approval by the Human Resources Department:*

### ***Initial Hire Salary Offer***

*Employee pay rates must meet or exceed the minimum of the pay range and any institutionally established equity threshold. The hiring department has full discretion for placing a new employee's pay up to midpoint. Hiring rates above midpoint require prior approval by the director of human resources.*

### ***Merit Increases***

*SFA policies permit the awarding of merit increases on a semi-annual basis to be effective either on September 1 and/or March 1. Only benefits-eligible employees who have completed six months of continuous employment at SFA as of the effective date of the merit program are eligible to receive a merit increase.*

*Merit increases are based on an employee's documented job performance and are intended to reward individual performance, increased productivity, improved quality, and/or reduced costs. To be eligible for a merit increase, individuals must have successfully completed initial probation or have a current performance appraisal with a rating of acceptable or above on file in the Human Resources Department. Employees receiving a rating below acceptable will not be eligible for a merit increase without approval from the director of human resources.*

### ***Promotions***

*When an individual is promoted, his or her pay will normally be adjusted to reflect the new level of responsibility. In isolated situations, when an individual's base pay rate is at a higher level than rates paid to incumbents, an individual may be granted a promotion with no change in pay. Any promotional increase should raise the employee's pay rate to at least the minimum of the pay range. Conversely, a promotional increase may not increase the employee's pay rate above the maximum of the new pay range.*

*The hiring department has full discretion for placing the salary rate of an employee up to the midpoint. Recommended promotional increases which fall outside of these parameters are governed by normal university hiring procedures and approval processes. All promotional actions must be reviewed by the director of human resources.*

*In determining recommended promotional increase amounts, the following factors are considered:*

- 1. Rates paid to incumbents in the new position, both within hiring college or division and in other colleges and divisions throughout the university;*
- 2. Pay range for the new position and the difference in the number of pay grades between the old position and the new position;*
- 3. Qualifications of the individual versus qualifications of incumbents in the same job in the college or division;*
- 4. External salary survey data, if it is available; and*
- 5. Change in FLSA designation or overtime designation; i.e., a change from non-exempt job to an exempt job.*

### ***Demotions***

*New base pay rates of employees who are demoted to jobs assigned to lower pay grades will be determined by considering the rates paid to incumbents in the same job title. A demotion may or may not result in a reduction in the employee's base pay rate. The new pay rate, however, must fall within the pay range of the new job. If the employee's pay falls above the maximum of the new pay range, the employee's pay must be reduced to at least the maximum of the pay range. All demotions require prior approval by the director of human resources.*

### ***Reclassifications***

*A reclassification occurs when a position changes from one classification to another because of changes to job duties and responsibilities. Lateral reclassifications occur when job responsibilities have changed but the new classification has the same pay grade because the classifications are similar in scope and responsibilities. The overall job requirements are comparable in the new job with the same pay grade as the old job. Lateral reclassifications can occur at any time that a reclassification is appropriate.*

*Reclassifications that result from a departmental reorganization typically occurs when one or more positions within a department become vacant, the department re-evaluates its organizational structure and redistributes job duties and responsibilities resulting in classification changes. Reclassifications resulting from reorganizations can occur anytime within the fiscal year. All other reclassifications must occur within the annual budget process unless approved by the director of human resources and the budget office.*

### ***Transfers***

*Normally, there will be no change to the base pay rate of an employee who is laterally transferred. Under extraordinary circumstances and in extremely rare situations, an employee may receive a salary increase on a lateral move. Any increase granted on a lateral move requires the approval of the director of human resources. Transfers can occur through the posting process or through an approved reduction-in-force process. The director of human resources must approve all employee transfers that are not associated with the posting process.*

### ***Equity Adjustments***

*The Human Resources Department periodically audits pay rates within classifications to identify potential pay problems. It is also the responsibility of the department head to bring to the attention of the director of human resources any significant pay problems that may exist in their department. A department head may initiate a pay equity adjustment when an equity pool is funded as part of the budget process. A request is appropriate if the department head determines the present level of compensation of an employee or group of employees is at a level where:*

- 1. It results in an unusual level of turnover of employees in the group; or,*
- 2. It results in the affected department experiencing significant difficulty in recruiting candidates to fill vacant positions; or,*

3. *It results in a disparity in current paid rates for similarly classified employees in that unit; or,*
4. *The level of compensation is substantially below the comparable level of compensation for similar employment outside SFA; and,*
5. *The present level of compensation has substantially reduced the university's ability to deliver services.*
6. *Individual equity increases shall be based on one or more of the following:*
  - a. *Internal equity*
  - b. *External competitiveness*
  - c. *Longevity*

*All equity pay adjustments are subject to review and approval by the appropriate vice president and the director of human resources. Normally, funds for any approved equity pay adjustment must come from the authorized budget of the affected division.*

Objective: ~~It is the intent of Stephen F. Austin State University to maintain a compensation program which:~~

- ~~▪ Considers the external market, while focusing primarily on ensuring internal equity and emphasizing the advantages of a collegial work environment;~~
- ~~▪ Rewards and retains those individuals who exceed defined performance expectations;~~
- ~~▪ Provides flexibility in implementation and process to meet the needs of the university;~~
- ~~▪ Encourages progression and mobility to excellent performers through job enrichment and promotions from within; and~~
- ~~▪ Encourages and rewards the acquisition of skills.~~

Compensation Principles:

- ~~▪ The values of jobs will be based on a blend of SFA values and culture reflected through core factors and external market values.~~
- ~~▪ Total compensation for all jobs will take into account funding considerations, appropriate internal job relationships and market relationship.~~
- ~~▪ Compensation plans, including methodologies and practices, will be well communicated to all employees at the university.~~
- ~~▪ Performance management requires a cooperative effort between employees and supervisors. Employees and supervisors will work together to clarify and meet performance objectives and expectations.~~
- ~~▪ The Performance Management Plan will provide ongoing performance feedback and reward meritorious performance.~~

Communicating Pay Information: ~~The Human Resources office will provide information concerning job classification and pay ranges upon request. Furthermore, as a regular part of their jobs, managers and supervisors are responsible for actively and openly communicating the~~

organization's pay program and associated policies to employees on an ongoing basis. Managers and supervisors should discuss the following areas with new and reclassified employees as they pertain to each individual employee's situation:

- The job description covering the employee's duties and responsibilities.
- The employee's potential for progression within his/her pay range
- Job performance and its relation to promotional opportunities and pay increases

Administrative Responsibility: Department heads are responsible for administering pay for employees in their organizational unit in accordance with university policies, procedures, and guidelines and for making recommendations to the human resources office. Additionally, they are responsible for:

- Communicating with their employees about program policies and individual compensation issues, to include providing the most current job descriptions to supervisory and managerial personnel;
- Working with the Human Resources office on compensation matters, to include the updating of job descriptions as necessary; and
- Ensuring that salary increase procedures are followed.

Issues that are identified by managers and supervisors that are not covered by these guidelines should be referred to the Human Resources office.

The director of Human Resources has ultimate authority and responsibility for the university's compensation objectives, structures and policies. Any exceptions to, or major revisions in, the program must be approved by the director. The director will be responsible for ensuring these duties are completed:

- Drafting/recommending new or revised compensation policies and procedures
- Administering the daily operation of the salary administration function, including the approval of salary actions
- Preparing, maintaining, and approving job descriptions
- Monitoring the evaluation of new jobs and re-evaluation of existing jobs
- Reviewing the pay structure annually to maintain market competitiveness and internal equity
- Reviewing compliance with the Fair Labor Standards Act (FLSA), Equal Employment Opportunity Commission (EEOC), and other governmental regulations as they relate to the compensation function
- Appraising program effectiveness and recommending program revisions as necessary.

Exempt/Non-Exempt Designation: The terms and provisions of the Fair Labor Standards Act (FLSA) provide the basis for exempt versus non-exempt status and overtime pay requirements.

The exempt or non-exempt status of each employee, with regard to the payment of overtime, is determined by the position to which the employee has been hired, transferred or promoted. The director of Human Resources is responsible for determining the correct FLSA status when the job is classified in a pay grade. Each manager must ensure that the employee performs job duties as described in the job description and that time worked is reported appropriately to ensure compliance with overtime provisions of the FLSA.

Job Descriptions: All benefits-eligible staff positions covered by this compensation program shall have a generic job description that includes the official SFA job title, a general job summary, a list of essential (major) duties and responsibilities, and job requirements (i.e. minimum education, experience, and other qualification requirements that an individual should have to fill the position).

The official job title on the job description will be used for all personnel records and publications. (For internal purposes, however, departments may use a different functional title.) New official job titles may be created only with the prior review and approval by the director of Human Resources.

Job descriptions are used to:

- Evaluate and classify jobs to determine appropriate internal position relationships.
- Communicate to new or existing employees the fundamental duties and responsibilities of their jobs.
- Provide job information that can be used to determine competitive pay relationships in the labor market.
- Provide job information which can be used in the recruitment and selection process.
- Provide job information which can be used in employee relations matters, such as performance appraisal, employee orientation, grievance resolution, and identification of training and development needs.
- Ensure compliance with government legislation.

Changes in the duties of a job may require re-analysis and re-evaluation of a job. Where changes are judged significant by the supervisor and/or manager, he/she should complete a Job Analysis Questionnaire (JAQ), which can be obtained from the director of Human Resources.

Job Evaluation: The job evaluation method of determining the salary ranges for each position is a market pricing and slotting method. Salary ranges are determined on the basis of competitive pay rates for jobs of comparable duties and value to SFA. Extensive studies of compensation in nationwide competitive universities are made to ensure that the salary structure is competitive. The competitive salary survey data become the basis for calculating salary ranges, and, in turn, individual salary targets within the salary ranges. Benchmark jobs are chosen, priced by analysis of survey data and ranked. All other jobs are then slotted in relation to these benchmarks. Benchmark jobs are those with characteristics similar enough to jobs performed in other

organizations that they can serve as market anchor points.

Requests for Evaluation or Re-Evaluation of Jobs: New and/or significantly revised positions or jobs must be evaluated by the Human Resources office in order to assign them to their appropriate grades. Requests for jobs to be evaluated or re-evaluated will be made in writing by the appropriate dean or department head to the director of Human Resources. The re-evaluation process will take place once per year just before the budget process begins.

Requests may be prompted by the creation of a proposed new job title or by a substantial and permanent change in duties or requirements of an individual position or in the majority of individual positions within a job title. For a change in duties or requirements to merit re-evaluation, it should meet these criteria:

- It is a permanent change in duties; not a special project or short term assignment;
- The addition, deletion, or change affects a duty that constitutes a significant portion of the job (at least 15%);
- The duty which is added, deleted, or changed is substantially different in level and type from the balance of the job duties so that it seems reasonable that the change in that one duty would affect the evaluation of the job on one or more job evaluation factors;
- or
- The levels of education or experience required for the job noticeably change. These requirements should reflect minimum standards for satisfactory job performance, not an incumbent's qualifications.

The steps for submitting and processing a request for evaluation or re-evaluation are as follows:

- The college or department head completes a "Request for Position Evaluation" form. Additionally, if a new classification is requested, a completed Job Analysis Questionnaire (JAQ) must be submitted with the form. If a re-evaluation of an existing position is requested, a copy of the current job description should be attached with the proposed changes indicated.
- Human Resources may ask that the Job Analysis Questionnaire be completed to provide more complete information to evaluate the position.

Pay Grade Structures: SFA uses one combined grade structure to establish compensation limits for jobs. The structure is based on competitive practices and internal equity considerations, and provides the possibility for progression to more responsible jobs with higher and broader pay ranges. The pay structure is intended to:

- Define the competitive pay position of jobs for the university to the relevant external market;
- Establish differential pay levels between jobs to recognize differing demands; and

- Establish lower and upper limits of value for each job.

Midpoints of the pay ranges represent SFA's desired competitive position to the external market and are determined by a statistical calculation based on external salary survey data for benchmark jobs in each pay grade. The minimum and maximum of each pay range represent the minimum and maximum values, respectively, to the university of all jobs assigned to that particular pay range.

In most cases, up to the top of the first quartile is considered the range of value for a newly hired employee who meets the minimum qualifications of the job. Thus, most employees should be hired within the first quartile of the range, but departments have full authority to hire or promote into positions up to midpoint. Hiring employees above midpoint requires prior approval by the director of Human Resources.

Hiring employees below the minimum of the pay range is contrary to university policy and is not permitted. Conversely, the maximum of the pay range is the upper limit of pay for a job. An employee's rate of pay may not normally exceed the respective maximum for the job.

Review of Pay Structures: As part the budget process each year, the director of Human Resources will review the competitiveness of its pay structures. The review will include (1) comparisons of the competitive status of SFA's midpoints to the relevant external market; (2) a review of anticipated average movement of pay structures by peer and comparison organizations.

Based on findings of the review, a recommendation will be prepared for consideration by the director of Human Resources concerning adjustments to the pay structures. The recommendation will include detailed cost analyses and will be provided to senior management for consideration.

New Hire Rates: Employees meeting the minimum qualifications of the job should normally be paid within the first quartile of the pay range. However, pay rates for new employees possessing qualifications in excess of the minimum qualifications may be placed at pay rates above the first quartile, with the appropriate levels of approval.

The hiring department has full discretion for placing a new employee's pay up to midpoint. Hiring rates above midpoint require prior approval by the director of Human Resources.

In determining hiring rates, consideration will be given to the resulting position in the pay range, whether the rate allows sufficient room for future growth, and relationships to rates paid to similarly qualified or more experienced employees in the job. External salary survey data will also be considered, if it is available.

In establishing new hire rates, SFA will continue to comply with all federal and state rules and regulations, including the Equal Pay Act of 1963, which prohibits pay differentials on jobs that

are essentially equal in terms of skill, effort, responsibility and working conditions, except when these are the result of a bona fide seniority or merit system, or any other job-related factor other than gender.

Salary Adjustments: Decisions on all salary adjustments must be implemented in accordance with legislative requirements. Department heads are also responsible for insuring compliance with all applicable federal and state rules and regulations regarding compensation.

Annual Salary Budget: Each year as part of the budget planning process, SFA will prepare a salary budget that specifies the average increase amount, if any, to be given to employees during the fiscal year. The salary budget will be based on a comparison of the university's pay rates to external salary survey data, as well as the salary budgets projected by other peer and comparison organizations. The salary budget will reflect dollars available to fund general and/or merit increases.

Merit Increases: SFA policies permit the awarding of merit increases on a semi-annual basis to be effective either on September 1 and/or March 1. Only benefits-eligible employees who have completed six months of continuous employment at SFA as of the effective date of the merit program are eligible to receive a merit increase.

Merit increases are based on an employee's documented job performance and are intended to reward individual performance, increased productivity, improved quality, and/or reduced costs. To be eligible for a merit increase, individuals must have a current performance appraisal with a rating of fully acceptable or above on file in the Human Resources office. Employees receiving an unsatisfactory or improvement needed/in development rating will not be eligible for a merit increase without approval from the director of Human Resources.

Whenever a merit increase program is funded and authorized, the Human Resources office, in conjunction with the budget office, will prepare and distribute detailed guidelines to department heads. The guidelines will include the authorized merit increase amount, funding requirements, performance level required to be eligible to receive a merit increase, and other program criteria. Merit increases must be approved by the board of regents prior to their implementation.

Equity Pay Adjustments: The Human Resources office periodically audits pay rates within classifications to identify potential pay problems. It is also the responsibility of the department head to bring to the attention of the director of Human Resources any significant pay problems that may exist in their department.

A department head may initiate a pay equity adjustment once per year during the planning of the budget whenever he or she determines that the present level of compensation of an employee or group of employees is at a level where:

- It results in an unusual level of turnover of employees in the group; or,
- It results in the affected department experiencing significant difficulty in recruiting candidates to fill vacant positions; or,
- It results in a disparity in current paid rates for similarly classified employees in that unit; or,
- The level of compensation is substantially below the comparable level of compensation for similar employment outside SFA; and,
- The present level of compensation has substantially reduced the university's ability to deliver services.

Individual equity increases shall be based on one or more of the following:

- Internal equity
- External competitiveness
- Longevity
- Quartile within salary range

All equity pay adjustments are subject to review and approval by the appropriate vice president and the director of Human Resources. Normally, funds for any approved equity pay adjustment must come from the authorized budget of the affected division.

Promotions: When an individual is promoted, his or her pay will normally be adjusted to reflect the new level of responsibility. In isolated situations, when an individual's base pay rate is at a higher level than rates paid to incumbents, an individual may be granted a promotion with no change in pay.

Any promotional increase should raise the employee's pay rate to at least the minimum of the pay range. Conversely, a promotional increase may not increase the employee's pay rate above the maximum of the new pay range.

The hiring department has full discretion for placing the salary rate of an employee up to the midpoint. Recommended promotional increases which fall outside of these parameters are governed by normal university hiring procedures and approval processes. All promotional actions must be reviewed by the director of Human Resources.

In determining recommended promotional increase amounts, the following factors are considered:

- Rates paid to incumbents in the new position, both within hiring college or division and in other colleges and divisions throughout the university;
- Pay range for the new position and the difference in the number of pay grades between the old position and the new position;

- ~~Qualifications of the individual versus qualifications of incumbents in the same job in the college or division;~~
- ~~External salary survey data, if it is available; and~~
- ~~Change in FLSA designation or overtime designation; i.e., a change from non-exempt job to an exempt job.~~

~~The affected employee should not be notified of the proposed promotional increase amount until it has been approved by Human Resources.~~

~~Position Re-evaluations: Employees whose jobs are re-evaluated to a higher pay grade may require adjustments to their base pay rates. Calculations of pay adjustments, if any, will normally be handled in the same manner as promotions. Any pay adjustment granted should raise an employee's pay to at least the minimum of the new pay range.~~

~~Re-evaluating a classification to a lower pay grade will not normally result in a reduction to an employee's pay.~~

~~Demotions: New base pay rates of employees who are demoted to jobs assigned to lower pay grades will be based primarily on the base pay rates of incumbents in the new classification. A demotion may or may not result in a reduction in the employee's base pay rate. The new pay rate, however, must fall within the pay range of the new job. If the employee's pay falls above the maximum of the new pay range, the employee's pay must be reduced to at least the maximum of the pay range.~~

~~All demotions require prior approval by the director of Human Resources.~~

~~Lateral Reclassifications: Lateral reclassifications occur when job responsibilities have changed, but are similar in scope and responsibilities. The overall job requirements are comparable in the new job with the same pay grade as the old job.~~

~~Normally, there will be no change to the base pay rate of an employee who is laterally transferred. Under extraordinary circumstances and in extremely rare situations, an employee may receive a salary increase on a lateral move. Any increase granted on a lateral move requires the approval of the director of Human Resources.~~

**Cross Reference:** Fair Labor Standards Act, 29 U.S.C. § 201 et. seq.

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

**Contact for Revision:** Director of Human Resources

**Forms:** Request for Position Evaluation form; Job Analysis Questionnaire (JAQ)

**Board Committee Assignment:** Finance and Audit

## POLICY SUMMARY FORM

**Policy Name:** Course Scheduling

**Policy Number:** 4.13

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

**Date of last revision, if applicable:** None

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

**Purpose of Policy (what does it do):** Describes time frame for scheduling in classrooms, laboratories, and general types of spaces.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes. Only minor changes for consistent wording.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Course Scheduling

**Original Implementation:** July 29, 2014

**Last Revision:** ~~None~~ January 31, 2017

All space on campus belongs to the university and is subject to assignment and reassignment by the president. Academic space is divided into three categories:

**Classroom (Type 110):** A classroom is used primarily for regularly scheduled instruction classes and is not tied to a specific subject or discipline by equipment in the room or configuration of the space (Texas Higher Education Coordinating Board, *Reporting and Procedures Manual*, Appendix F, Space Use Codes).

**Class Laboratory (Type 210):** A class laboratory is used primarily by regularly scheduled classes that require special purpose equipment for student participation, experimentation, observation, or practice in a field of study. Class laboratories may be referred to as teaching laboratories, instructional shops, computer laboratories, drafting rooms, band rooms, choral rooms, or group studios. Laboratories that serve as individual or independent study rooms are not included (Texas Higher Education Coordinating Board, *Reporting and Procedures Manual*, Appendix F, Space Use Codes).

**Educational and General Space (E&G space):** Educational and general space is used for academic instruction and research that support the ~~university~~ institution's mission. It does not include auxiliary enterprise space, space that is permanently unassigned, or space used for operations independent of the ~~university~~ institution's mission.

The academic space scheduling coordinator (ASSC) is responsible for all E&G space in consultation with the provost and vice president for academic affairs. All traditionally delivered instruction must take place in Type 110 and 210 rooms. Requests to schedule classes in other room types must be accompanied by a justification and forwarded to the ASSC. Teaching space is assigned based on student demand, academic requirements, and utilization and efficiency of the room.

The registrar and the ASSC establish scheduling procedures and the assignment of classrooms in a manner that best serves university needs. As a general rule, academic units should adhere to the following considerations when developing course schedules.

**Enrollment Capacity:** Enrollment capacity is based on the historic and anticipated enrollment for each course section. Room assignments will be based on best-fit ratios between actual enrollment trends, course capacity, and maximum room capacity. Room utilization percentages, set by the Texas Higher Education Coordinating Board (THECB), require each classroom to be filled to at least 65% of capacity and each class laboratory to at least 75% of capacity.

**Classroom or Class Laboratory Utilization:** Utilization refers to the hours per week that a room is used. THECB guidelines stipulate that a classroom must be in service 38.0 hours per week (HPW) and class laboratories 25.0 HPW.

**Standardized Meeting Times:** The university has defined standard meeting times for all classes (Policy 4.12, Class Meeting Times). Any request to deviate from standard meeting times must be accompanied by a justification and forwarded to the ASSC for consideration.

**Multiple Course Section Meeting Times:** Academic units teaching multiple sections of the same course must strive to provide a diverse offering of section meeting times between 8:00 a.m. and 2:00 p.m. in order to meet the scheduling requirements of the university and to ensure classrooms are in near continuous use throughout the week. The ASSC will approve requests for multiple sections during a single meeting time only if the supply of rooms exceeds demand after all academic units have scheduled their course sections.

**Room Assignment Priority:** In determining the priority of room assignments, the ASSC will conduct a comprehensive review based on faculty proximity, adherence to the standardized meeting times schedule, the percentage of the academic unit's class offerings during prime time (8:00 a.m. to 2:00 p.m.), and room utilization factors (course enrollment and room capacity).

**Specific Classroom Assignments Based on Exceptional Needs:** Any request for a specific classroom must be submitted to the ASSC for approval along with a justification. Acceptable examples include instructor accessibility under the Americans with Disabilities Act, non-portable specialized teaching aids, or materials not available in another room. Requests for general consideration for courses or academic units will not be allowed.

**Cross Reference:** Class Meeting Times (4.12); Texas Higher Education Coordinating Board, *Reporting and Procedures Manual*, Appendix F, Space Use Codes

**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:** Building and Grounds

## POLICY SUMMARY FORM

**Policy Name:** Credit and Contact Hours

**Policy Number:** 5.4

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

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

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

**Purpose of Policy (what does it do):** Describes requisite numbers of contact hours required for awarding of credit hours.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee

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

Damon Derrick, General Counsel

## Credit and Contact Hours

**Original Implementation:** February 4, 1986

**Last Revision:** ~~April 15, 2014~~ January 31, 2017

This policy applies to all courses at all levels (undergraduate and graduate) that award academic credit (i.e., any course that appears on an official transcript issued by the university) regardless of the mode of delivery, including but not limited to, self-paced, online, hybrid, lecture, seminar, and laboratory. Academic units are responsible for ensuring that credit hours are awarded only for work that meets the requirements outlined in this policy.

Contact hours of courses offered for degree credit will conform to the rules of the Texas Higher Education Coordinating Board. The university adheres to the Carnegie unit for contact time (750 minutes for each credit awarded).

The expectation of contact time is the same in all formats of a course whether delivered fully online, hybrid, or face-to-face. Courses that have less structured classroom schedules, such as seminars, independent studies, internships, practica, studio work, or any other academic work leading to the award of credit hours, at a minimum, should state comparable learning objectives, expected outcomes, and workload expectations.

Permission to offer a course in a shortened format is required by the academic unit head, academic dean, and the provost and vice president for academic affairs. The instruction and content of the material must be appropriate for a shortened duration, and the quality of learning must be at least equal to a course offered in a regular format. Students enrolled in a shortened course must meet the university's regular admission requirements.

### Credit Hour

The federal definition of a credit hour is an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates:

1. Not less than one hour of classroom or direct faculty instruction and a minimum of two hours out-of-class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or 10 to 12 weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time, or;
2. At least an equivalent amount of work as outlined in item 1 above for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours.

**Cross Reference:** 19 Tex. Admin. Code § 4.6 (2003); 34 CFR § 600.2; Southern Association of Colleges and Schools, “Credit Hours Policy Statement”

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

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

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Designation of School Status

**Policy Number:** 4.5

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

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

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

**Purpose of Policy (what does it do):** Describes circumstances required in order for a unit to be called a school.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes. Simplification of wording, minor punctuation changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Designation of School Status

**Original Implementation:** February 3, 2005

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

### I. Introduction

Stephen F. Austin State University is subdivided into colleges for the purpose of accommodating broad program areas with common academic interests. The colleges are further subdivided into academic units designated as departments or divisions to enable smaller scholarly communities to devote attention to specific degree programs.

An academic unit seeking school status will be evaluated using the following guidelines:

- The unit should offer primarily professional programs and degrees;:-
- The programs of the unit should have professional accreditation;:-
- The unit should have a total enrollment of at least 150 students majoring in its programs;:-
- The unit may have been the recipient of a substantial endowment or gift.

### II. Proposal Review and Approval

An academic unit seeking “school” status should develop a proposal that provides qualitative and quantitative justifications for acquiring the designation. The proposal, endorsed by a two-thirds vote of ~~full-time faculty members~~ (tenured and tenure-track *faculty members*) within the unit, should *include the elements listed below* ~~be organized around the following~~:-

- A concise statement should outline the rationale for the request. This statement should address the distinctiveness of the discipline and the advantages of school status to future graduates of the program. A clear discussion should demonstrate how the request addresses the university’s guidelines for awarding designation as a school.
- The impact of the change on staffing (faculty and administrative) and resources should be examined in detail. If available, peer programs at other universities should be presented for comparison purposes. Recommendations and/or letters of support from professionals or practitioners in the field should be attached and referenced in the discussion.
- A quality enhancement plan should describe how school status will be leveraged over the next five--year period to improve academic programs.
- A discipline-specific self-study completed within the last five years (with appropriate updates) should accompany the proposal. Copies of visitors’ reports and annual assessment documents should be included, if available.

Upon endorsement by the faculty of the academic unit, the proposal will be forwarded to the college's dean. If recommended by the dean, the proposal will be reviewed by the Deans Council and provost and vice president for academic affairs. If recommended, the proposal will be forwarded to the president, who may present it to the Board of Regents for consideration. For final approval, a request will be forwarded to the Texas Higher Education Coordinating Board.

**Cross Reference:** None

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

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

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Developmental Education and Texas Success Initiative

**Policy Number:** 5.8

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

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

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

**Purpose of Policy (what does it do):** Describes Texas Success Initiative.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

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

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee

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

Damon Derrick, General Counsel

## Developmental Education and Texas Success Initiative

**Original Implementation:** April 18, 2000

**Last Revision:** ~~April 15, 2014~~ January 31, 2017

The Texas Success Initiative (TSI) is a program administered by the Division of P-16 Initiatives at the Texas Higher Education Coordinating Board (THECB). The objective of the program is to ensure that students are prepared academically to succeed in higher education.

The TSI program requires institutions of higher education to assess the academic skills of each entering undergraduate student to determine the student's academic readiness before initial enrollment in freshman-level academic coursework. The TSI Assessment is the diagnostic instrument for non-exempt students. The Division of P-16 Initiatives publishes current exemption standards at its website: [www.thecb.state.tx.us/](http://www.thecb.state.tx.us/).

### TSI Advising Program

Individual advising will be provided to each student who has not yet demonstrated readiness in reading, writing, and/or math. The student's TSI advisor will assist the student in developing an individual plan for achieving college readiness. This plan will include either traditional developmental course work or alternatives as approved by the THECB.

### Documentation

Each student's updated TSI status will be documented on the official university transcript as readiness standards are met. It is the student's responsibility to ensure that applicable transcripts or test scores from other institutions are supplied to SFA.

### Special Circumstances

TSI requirements may be waived for students enrolling on a temporary, non-degree-seeking basis. Students enrolling for dual or concurrent credit must meet eligibility requirements established by the Division of P-16 Initiatives.

### Monitoring Readiness for College-Level Work

The Academic Advising Center will compile cumulative information about students' TSI readiness during each long semester. This information will be provided to the provost and vice president for academic affairs and other academic administrators as appropriate.

**Cross References:** 19 Tex. Admin. Code §§ 4.51-.62; Tex. Educ. Code § 51.3062

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

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

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Doctoral Students: Allowable Credit Hours and Completion Times

**Policy Number:** 6.11

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

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

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

**Purpose of Policy (what does it do):** Describes time period after which doctoral students may be released from the program without graduating.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor changes in wording.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee

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

Damon Derrick, General Counsel

## Doctoral Students: Allowable Credit Hours and Completion Times

**Original Implementation:** April 21, 1998

**Revision Date:** ~~January 28, 2014~~ January 31, 2017

The doctoral degree typically requires a minimum number of credit hours beyond a master's degree. After three years of full-time enrollment, a formal review of each student's doctoral progress will be conducted within the *respective* graduate program and shared with the student.

Students who have reached ninety-nine (99) or more credit hours above a master's degree:

- will be ineligible for student employment at Stephen F. Austin State University (SFA);-
- will pay the current rate for out-of-state tuition and fees, or the equivalent of full-cost-of-education as determined by SFA; *and*-
- may be terminated from the program by the dean of *the* graduate school in consultation with the *appropriate* academic dean and academic unit head of the program.

If terminated from a program, a student may file a written appeal to the University Graduate Council whose recommendation will be forwarded to the provost and vice president for academic affairs for final resolution.

**Cross Reference:** Graduate Bulletin; Tex. Educ. Code § 61.059(l)

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

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

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Faculty Development Leaves

**Policy Number:** 12.7

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

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

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

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

Describes conditions circumscribing professional development leaves.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor changes; nothing substantive.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Affairs Policy Committee

Faculty Senate

Deans Council

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

Damon Derrick, General Counsel

## Faculty Development Leaves

**Original Implementation:** April 26, 1983

**Last Revision:** ~~July 29, 2014~~ January 31, 2017

Faculty development leaves may be granted by the Board of Regents for field observations, research, study, writing, or other scholarly/creative activities. They should not be used to complete work for a terminal degree. No more than six percent of university faculty members may be on development leave at any one time.

This policy applies to full-time faculty and ~~professional~~ librarians whose duties include teaching, research, administration, or the performance of professional services. Except for special circumstances, individuals are eligible for a development leave after serving full time for at least three consecutive years. After completion of a development leave, recipients may not apply for four years.

Applications for faculty development leaves will be reviewed annually by the Faculty Development Leave Committee. The committee will consist of full-time faculty members, one from each academic college and one from the library. The committee will make recommendations to the provost and vice president for academic affairs and the president, who will make the final leave recommendation to the Board of Regents.

A faculty development leave may be awarded for one long semester at full base salary or for two long semesters at half the base salary. Payment of salary may be made from the funds appropriated by the legislature specifically for that purpose or from such other funds as might be available to the institution.

Recipients of faculty development leaves must guarantee the university that they will return to ~~their~~ regular duties, or others that might be assigned, for a period of at least one year following the expiration of the leave, provided they are offered a contract by the university. Recipients will submit a brief written report on the activities and accomplishments resulting from the leave to the academic unit head, dean, and provost and vice president for academic affairs within ninety days following completion of the leave.

Faculty members on faculty development leave, under law, may accept a grant or stipend for study, teaching, research, or travel from any institution of higher education or from a charitable, religious, or educational corporation or foundation, from any business enterprise, or from any federal, state, or local governmental agency. However, they may not accept employment from any other person, corporation, or governmental agency, unless the Board of Regents determines that it would be in the public interest to do so and expressly approves the employment. An accounting of all leave funds will be made by faculty members through the provost and vice president for academic affairs and the president to the Board of Regents.

The university will deduct from the salary of faculty members on development leave the deposit and membership dues required to be paid by them to the Teacher Retirement System of Texas or to the Optional Retirement Program or both, the contribution for Old Age and Survivors Insurance,

and any other amounts required or authorized to be deducted. Faculty *awarded development leave* ~~members on faculty development leaves~~ will continue to participate in the programs and receive the benefits (retirement, insurance, etc.) made available by or through the university or the state to all other faculty members, *and will be eligible*. ~~Faculty members on faculty development leaves will be eligible~~ for salary increases, merit pay, and all other fringe benefits awarded for the year following the expiration of the leave.

*This policy will be filed with the Texas Higher Education Coordinating Board no later than thirty (30) days after the approval of any amendment by the Board of Regents.*

**Cross Reference:** Faculty Handbook; Tex. Educ. Code § 51.101-.108

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

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

**Forms:** Faculty Development Leave Request Form; Faculty Development Leave Proposal Format; and Faculty Professional Development Form

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

## POLICY SUMMARY FORM

**Policy Name:** Faculty Disagreements

**Policy Number:** 7.25

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

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

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

**Purpose of Policy (what does it do):** Describes process for resolving disputes between faculty members and 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:** No substantive changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

**Reviewers:**

Academic Affairs Policy Committee  
 Faculty Senate  
 Deans Council  
 Dr. Steve Bullard, Provost and Vice President for Academic Affairs  
 Damon Derrick, General Counsel

## Faculty Disagreements

**Original Implementation:** April 3, 1979

**Last Revision:** ~~July 29, 2014~~ January 31, 2017

The resolution of disagreements regarding administrative decisions or other disputes involving faculty or other personnel, other than dismissal or non-renewal, will be pursued initially with the academic unit head. If the matter cannot be satisfactorily resolved at that level, the faculty member may put the disagreement in writing and submit it to the college dean, along with a copy to the academic unit head.

The college dean will consult with the faculty member(s) and the academic unit head in an effort to resolve the disagreement. The dean may consult with any others deemed to have insight into the matter. If the matter cannot be satisfactorily resolved by the dean, the faculty member may appeal in writing to the provost and vice president for academic affairs, along with a copy to the dean and academic unit head.

The provost and vice president for academic affairs will consult with the faculty member(s), the academic unit head, the college dean, and any others with insight into the matter. If the matter cannot be satisfactorily resolved by the provost and vice president for academic affairs, either party may appeal the issue.

*In situations that do not involve conditions of employment, an appeal from the provost and vice president for academic affairs will be forwarded directly to the president who will consult with the faculty member(s), the academic unit head, the college dean, the provost and vice president for academic affairs, and any others with insight into the matter.*

## Employment Disputes

If the disagreement involves an allegation that conditions of employment under university policy have been violated, the appeal will be forwarded to the University Grievance Panel at the faculty member's request. This process will operate under the following guidelines below.:

1. An advisory subcommittee of the University Grievance Panel will review the evidence. The subcommittee will be composed of five members, with two members selected by the faculty member, two by the president or the president's designee, and one selected at random. Each party will have one challenge without stated cause.
2. Once constituted, the subcommittee will establish defined procedures for resolving the dispute.
3. When the subcommittee has made its determination, it will advise the president and the faculty member(s) of its findings in writing.
4. The president will review the subcommittee's report, consult with the faculty member(s) and any others with insight into the matter, and render a decision that will be final.

## All Other Disputes

~~In situations that do not involve conditions of employment, an appeal from the provost and vice president for academic affairs will be forwarded directly to the president who will consult with the faculty member(s), the academic unit head, the college dean, the provost and vice president for academic affairs, and any others with insight into the matter.~~

In all cases, the decision of the president is final and will be communicated to the faculty member in writing within a reasonable time.

**Cross Reference:** Faculty Handbook

**Responsible for Implementation:** President

**Contact for Revision:** President

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Faculty Search

**Policy Number:** 7.12

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

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

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

**Purpose of Policy (what does it do):** Describes process for faculty searches.

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

- ☒ 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

Faculty Senate

Deans Council

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

Damon Derrick, General Counsel

## Faculty Search

**Original Implementation:** Unpublished

**Last Revision:** ~~July 29, 2014~~ January 31, 2017

This policy outlines search procedures and responsibilities for the selection of tenure-track faculty.

**Position Request:** The academic unit head will submit a position request with justification to the appropriate dean. Upon the dean's approval of the request, it will be forwarded to the provost and vice president of academic affairs for consideration. Once fully approved, the academic unit head posts the position on the "Careers at SFA" website, and a formal search may begin.

**Selection of the Search Committee:** The academic unit head guides the search process by establishing a search committee and ensuring that committee activities adhere to university policy and procedures. The appointment of search committees may vary among academic units. The committee will contact human resources for mandatory training and for assistance as needed.

**Search Committee Responsibilities:** The search committee coordinates the recruitment process while working with the academic unit head. The committee is responsible for developing a position description, advertising the position, screening candidates, and arranging candidate interviews. Each search will be conducted without prejudice for internal or external candidates.

**Funds for Recruitment:** Expenses incurred during the search are generally borne by the academic unit conducting the search with possible additional funds from other sources.

**Cross Reference:** Human Resources Selection Procedures for Faculty and Staff; Employee Affirmative Action/Recruitment Plan (11.9); Affirmative Action (11.1)

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

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

**Forms:** See Human Resources for Selection Procedures for Faculty and Staff

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

## POLICY SUMMARY FORM

**Policy Name:** Fair Labor Standards

**Policy Number:** 11.14

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

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

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

**Purpose of Policy (what does it do):** To provide guidelines to comply with the Fair Labor Standards 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:** Only minor changes were made to the policy. Teaching was added to the reason for graduate students being exempt from overtime provisions.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Loretta C. Doty, Director of Human Resources  
 Danny Gallant, Vice President for Finance and Administration  
 Damon Derrick, General Counsel

## Fair Labor Standards

**Original Implementation:** February 3, 2005

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

SFA will comply with the Fair Labor Standards Act (FLSA) and related federal and state laws. All faculty, staff, and student employees of SFA are covered by the FLSA, although certain classes of employees are exempt from its overtime pay and minimum wage requirements. An employee's rights under the FLSA may not be waived. No employee may agree, even voluntarily, to work in violation of the FLSA.

### MINIMUM WAGE PROVISIONS

SFA pays all employees, including student workers, at least the federal minimum wage prescribed by the FLSA.

### DETERMINATION OF EXEMPTION STATUS OF EMPLOYEES

Each employee's overtime pay and minimum wage coverage under the FLSA (exempt, nonexempt) must be determined on an individual basis in accordance with the terms of the federal regulations. The director of human resources should be consulted when questions arise concerning an employee's status under the FLSA.

**Nonexempt Employees** - Nonexempt employees will be paid only for actual hours worked unless they receive benefits under the university's leave policies.

**Exempt Employees** - Exempt employees are paid on a salary basis and, in general, must be paid their full salary for any week in which they perform work. Their pay may be reduced only under the circumstances described below.

Graduate students ~~that~~ *who* are simultaneously performing research under grants and contracts, *are teaching as their primary duty*, and are fulfilling the requirements of an advanced degree are exempt from overtime pay and minimum wage requirements.

### OVERTIME

The FLSA and state law govern the handling of overtime work. See SFA policy Overtime and Compensatory Time (12.14) for more information.

### DEDUCTIONS TO PAY FOR EXEMPT EMPLOYEES

Exempt employees are paid on a salary basis and, in general, must be paid their full salary for

any week in which they perform work. Their pay may be reduced only in the following circumstances:

1. Employees who are absent from work at least one or more full days for sickness or disability will not be paid for that day unless they have accrued benefits under SFA's leave policy or disability policy. Their pay will not be reduced if they are absent for less than a full day because of sickness or disability.
2. Employees who take leave under the Family and Medical Leave Act will not be paid for that time unless they have accrued benefits under the university's leave policies. Their pay will be reduced by the hours missed even if it is less than a full day.
3. Employees who are absent from work for at least a full day for personal reasons other than sickness or disability will not be paid for that day unless they have accrued leave available. If an employee is absent for less than a full day for personal reasons, his or her pay will not be reduced.
4. Employees who are absent from work for jury duty, attendance as a witness at a trial or temporary military leave will have their pay reduced by the amount of payment they receive in the form of jury fees, witness fees, or military pay. Their pay will not be reduced by the number of hours or days they are absent from work unless they perform no work in a given week.
5. If an employee violates a safety rule of major significance, their pay may be reduced in an amount to be determined by the director of human resources as a penalty for that violation.
6. Employees may be suspended without pay for other types of workplace misconduct, but only in full-day increments. Their pay will be reduced in an amount that is proportionate to the number of days suspended. See the university's policy 11.4, Discipline and Discharge.
7. Employees who work less than 40 hours during their first or last week of employment will be paid a proportionate part of their full salary for the time actually worked.

#### IMPROPER DEDUCTIONS FROM PAY

It is SFA's policy to comply with the salary basis requirements of the FLSA. Therefore, the university prohibits all supervisors from making improper deductions from salaries of exempt employees. SFA wants employees to be aware of this policy and that the university does not allow deductions that violate the FLSA. ~~If an employee believes that an improper deduction has been made to his or her salary, the employee should immediately report this information to his or her direct supervisor or the director of human resources.~~

#### EQUAL PAY FOR EQUAL WORK UNDER THE FLSA

SFA employees are covered by the Equal Pay Act, an amendment to the FLSA, that prohibits gender-based wage differentials between persons employed in the same location on jobs that require equal skill, effort, and responsibility and that are performed under similar working

conditions. Jobs need only be substantially equal, not identical, for comparison purposes. The law permits differences in pay based on factors other than gender such as bona fide seniority or merit systems or systems that reward productivity.

## EMPLOYMENT OF MINORS

The FLSA prescribes at what age and in which types of occupations minors can be employed. Federal regulations also limit hours of work for certain age groups. A list of prohibited occupations and other restrictions on employment of minors is available from the director of human resources.

To protect SFA from an unwitting violation of the age restrictions, human resources must obtain and keep on file a Minor's Employment Release form (HR-200) if the person being employed is younger than 18 years of age. In addition, human resources must obtain and keep on file a Federal Certificate of Age issued by the U. S. Department of Labor, a state Certificate of Age issued by the Texas Workforce Commission or other proof of age acceptable to the director of human resources for any person offered employment when there is any reason to believe the person being employed is younger than 19 years of age.

## ADMINISTRATION

The director of human resources is responsible for administering and answering questions on the FLSA. Inquiries as well as requests for special exemptions should be submitted to the director of human resources.

The human resources office is responsible for posting, and keeping posted, notices pertaining to the applicability of the FLSA. These notices, which can be obtained from the Department of Labor, are to be displayed in conspicuous places to facilitate observation by all employees.

The human resources office is also responsible for ensuring that all FLSA- and DOL-required records are maintained.

## APPEAL PROCESS

If an employee feels the university has violated any of the above regulations under the Fair Labor Standards Act the employee may, without prejudice or fear of retaliation, express his/her appeal to their supervisor or the director of human resources ~~with the assurance of timely and thorough consideration.~~ Those regulations include the minimum wage provisions, determination of exemption status of an employee, overtime provisions, deductions to pay for exempt employees, improper deductions from pay, equal pay for equal work provision, and the employment of minors. The complaint will be investigated by human resources and they will render a decision. If the employee is not satisfied with that decision, they can appeal to the vice president for the

area involved who shall obtain input from the general counsel before making a final decision.

If an investigation results in a determination that improper pay has been awarded, the university will rectify the under awarded pay amounts through this appeal process. Each employee is assured freedom from interference, coercion, discrimination and reprisal in filing appeals.

**Cross Reference:** Fair Labor Standards Act, 29 U.S.C. § 201 et. seq.; Overtime and Compensatory Time (12.14); Discipline and Discharge (11.4)

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

**Contact for Revision:** Director of Human Resources

**Forms:** None

**Board Committee Assignment:** Finance and Audit

## POLICY SUMMARY FORM

**Policy Name:** Gifts, Loans, Endowments and Bequests

**Policy Number:** 3.17

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

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

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

**Purpose of Policy (what does it do):** Provides guidelines for receiving and receipting gifts 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:** No substantive changes; updates and clarifications

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Trey Turner, Executive Director of Development  
 Jill Still, Vice President for University Advancement  
 Damon Derrick, General Counsel

## Gifts, Loans, Endowments, and Bequests

**Original Implementation:** July 18, 1981

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

Authority to accept gifts, loans, endowments and bequests made to Stephen F. Austin State University is vested in the president of the university by the Board of Regents. Gifts, loans, endowments and bequests to any entity of the university should be reported through normal administrative channels.

The president of the university has been authorized to accept gifts under the following conditions:

1. A gift, loan, endowment or bequest which may require commitment of funds, personnel, space or other resources shall be approved by the president prior to any commitment of action on behalf of the university.
2. The university is authorized, with prior approval of the president and ratification by the Board of Regents, to accept gifts or devises of real property for the establishment of scholarships, professorships and other trusts for educational purposes provided such property will not require appropriations by the legislature for operation, maintenance, repair or construction of buildings.
3. Privacy of donor identity may be granted by the university with the exceptions noted by the Public Information Act or the Internal Revenue Service when public recognition is not desired by the donor.

The terms under which any loan, endowment or bequest is offered and accepted shall be provided in a written agreement between the donor and the university. The general counsel of the university shall review any bequests made to the university prior to acceptance by the president. All original deeds of trust, wills, endowments, original records, etc., should be forwarded to the Office of Development for safekeeping.

The Office of Development is the primary source of contact with people in the private sector for purposes of soliciting private funds. No individual or company may be solicited for any gift, loan, endowment, or bequest by any member of the faculty or staff of the university until that individual has presented the Office of Development with a copy of the proposal or request for funds.

Research grants or performance contracts which are privately funded are administered through the Office of Research and Sponsored Programs, and are not under the provisions of this policy.

### **Alumni/Donor Database System**

The university is the owner of the official university's alumni/donor database system, currently Raiser's Edge. The database system is shared between the Office of Development and the Office of Alumni Relations for the purpose of conducting business with alumni and donors of the university. The Office of Information Technology Services is responsible for the technical support of the alumni/donor database system.

The university has designated the Office of Development as the manager of the alumni/donor database system. Therefore, the Office of Development is responsible for the administration of records, coordination of all gift information, reporting, monitoring of user access and the security of the database system.

### **Solicitation of Gifts**

The Office of Development is responsible for soliciting, coordinating, approving and reporting all gifts and fundraising efforts from the private sector. This includes both projects and proposals initiated by the Office of Development and those initiated elsewhere within the university and its related entities. To fulfill its mission, the Office of Development must be kept informed in a timely fashion on all actions related to fundraising.

1. All university departments, including faculty, staff, students, student organizations (*as per policy 10.9, Student Organization Formation and Recognition*) and the related 501(c)(3) entities are responsible for coordinating and clearing all fundraising projects funded by individuals, foundations and corporations before-the- fact in writing. All fundraising projects shall comply with SFA policies and procedures, as well as federal and state laws.
2. If any faculty member, staff member, student or student organization receives any unsolicited question from a prospective donor regarding a possible gift to the university or the Stephen F. Austin State University Foundation, Inc., the Office of Development should be notified of the inquiry as soon as possible following the initial contact.

### **Acknowledgment of Gifts**

In order to insure accurate recording of all private support for the institution and to properly acknowledge private donors' gifts, the Office of Development will coordinate the acknowledgment of gifts.

1. All offices are responsible for forwarding any gifts received to the Office of Development for receipting and reporting purposes *or to the bursar's office (as per policy 3.16, Gift Reporting)*. This will ensure accurate recording of all private support for the institution, fulfill the receipting requirements of the Internal Revenue Service, and properly

acknowledge that support. Further, all gifts and any accompanying correspondence, instructions, etc., are to be forwarded to the Office of Development for processing. Gifts-in-kind such as equipment, furniture and art objects are to be reported in writing to the Office of Development via the Gifts-in-kind form located at [www.sfasu.edu/giving/documents/gift\\_in\\_kind.pdf](http://www.sfasu.edu/giving/documents/gift_in_kind.pdf).

2. Any written statement concerning tax deductibility of contributions must be reviewed and approved by the Office of Development.

### **Use of Gifts, Loans, Endowments and Bequests**

Gifts, loans, endowments and bequests made to Stephen F. Austin State University shall be used for the purpose designated by the donor. If a purpose is not specified by the donor, and the amount of the gift is \$100,000 or more, utilization shall be as directed by the Board of Regents after consideration of recommendations by the president and the vice president for development. If a purpose is not designated, and the amount of the gift is less than \$100,000, utilization shall be as directed and approved by the president of the university.

Gifts received by the university and made payable to the Stephen F. Austin State University Foundation, Incorporated, should be forwarded to the Office of Development for transfer and deposit to the foundation. No gifts or bequests to the university may be transferred to the Stephen F. Austin State University Foundation, Inc., the Stephen F. Austin State University Alumni Association, Inc., or the Stephen F. Austin Alumni Foundation, Inc. without petitioning a court of competent jurisdiction, as outlined under state law. Funds gifted to the university for a restricted purpose are considered a charitable trust. Legal title to such funds cannot be transferred to other entities, except as noted above.

Under the authority of the Board of Regents, the vice president for finance and administration of Stephen F. Austin State University is empowered to negotiate and execute the sale of marketable securities donated to the university when such sale is directed or allowed by the donor of said securities. The proceeds of such sale shall be promptly deposited into a university account, to be used as indicated by the donor. All in-kind gifts of \$100,000 or more and all real estate gifts (*excluding gifts managed by the SFA Real Estate Foundation*) would require specific approval by the Board of Regents for liquidation to a university cash account.

Restrictions on the expenditure of gift funds generally reside within the following three criteria:

1. A gift must be expended in accordance with the donor's wishes.
2. The expenditure of the gift funds must be for the demonstrable good of the institution.
3. The expenditure must provide no private gain to either the donor or the person controlling the expenditure of the funds.

The use of gift funds must meet all three criteria collectively. Some specific examples of

expenditures from unrestricted gifts that may be for the demonstrable good of the institution, without private gain for the individual expending the funds, are as follows:

1. awards that recognize or promote faculty development, excellence in teaching, academic achievement, athletic achievement, scholarship, or service;
2. costs related to the promotion of the communication of intellectual ideas among students, faculty, staff and administrators of the university;
3. support of student events and activities sponsored by the university;
4. the recruitment of highly qualified students, faculty and staff;
5. costs related to the promotion of the exchange of ideas with community leaders regarding the role of the university and its programs in the community;
6. costs related to the conduct of accrediting agency visits, visits by other officials from other institutions or representatives outside higher education;
7. costs related to the support of continuing education activities.

Examples of expenditures which may not meet the criteria established are as follows:

1. any expenditure that violates the restriction placed on the gift by the donor;
2. the procurement of private property for the personal, unofficial use of any faculty or staff member;
3. donations or other payments to a political party;
4. any other expenditure expressly prohibited by state statute.

Questions concerning an expenditure meeting these criteria should be referred to the Office of Development.

Real or personal property acquired through gifts, loans, endowments or bequests is subject to the same management requirements as other state property. Disposal of any property acquired through gifts, loans, endowments or bequests shall be handled in accordance with state law and applicable university policies and procedures. Property acquired through gifts, loans, endowment or bequest cannot be disposed of, sold, or transferred without written permission from the Office of Development and the president.

### **Conflict of Interest**

No employee of the university may accept any gift, loan, endowment, or bequest the purpose of which is to establish or be used, in whole or in part, as a salary supplement for him/herself.

### **Publicity**

The Office of Development, in coordination with the faculty/staff contact person, the donor, and the Office of ~~Public Affairs~~ *University Marketing Communications*, is responsible for coordinating all publicity related to gifts.

## Matching Gifts

Certain foundations and companies provide gifts to the university which match contributions made by their employees. For tax purposes, certification is required from the university that the gift of the employee has been received. The matching gift forms, which certify receipt of the gift, require the signature of the ~~vice president for development~~ *executive director or associate director of development*.

## Foundation Support

The Office of Development has the responsibility of performing certain support functions for the Stephen F. Austin State University Foundation, Inc. This includes receiving, receipting, acknowledging, and reporting gifts received by the foundation, as provided in the Agreement between Stephen F. Austin State University and the Stephen F. Austin State University Foundation, Inc.

## Library

Unrestricted gifts of books and other library related materials to Stephen F. Austin State University, not to include equipment such as tape recorders, etc., will not require the usual approval process as authorized in this policy.

## Definitions

1. Gift. A gift includes the gratuitous transfer of cash, cash equivalents such as securities and negotiable instruments, and real or personal property which generates income or may be sold for cash, for the purpose of enhancing the university and its programs, without expectation of specific benefit by the donor.
2. Loan. Real or personal property furnished for the temporary use of the university.
3. Endowment. An endowment is comprised of a gift, in which the donors have stipulated that the principal must be invested and only the income used to fund a project or need. The principal remains intact in perpetuity, thereby continuing to generate income to be used by the university. Endowment funds are classified into four different categories:
  - a. Permanent Endowments. These endowments are sometimes referred to as "true" or "pure" endowments and are assets designated by the donor to be held in perpetuity. If specifically stated in writing by the donor, the corpus assets of this category of endowments may never be spent and income derived must be expended in accordance with the written terms and conditions established by the donor and the university. Otherwise, the governing board may appropriate for expenditure, for the uses and purposes for which the fund is established, the net appreciation, realized and unrealized, in the fair market value of the assets of an endowment fund over the historic dollar value of the fund to the extent allowed

under the University Management of Institutional Funds Act or other applicable law.

- b. **Term Endowment.** In this category of endowments, the donor has specified that following a particular date or event, the assets of the endowment may be expended in accordance with the terms and conditions as specified. Until the passage of the specific date or event, this type of endowment will operate in a manner similar to the permanent endowment with the income used in accordance with the written terms and conditions established by the donor and the university.
- c. **Quasi-Endowments or Quasi-Funds.** The Board of Regents may, with formal action, set aside certain institutional funds to be maintained as endowments. The formal action by the Board of Regents will specify the use of the assets and income derived, and set other terms and conditions relating to the fund. The Board of Regents may, with formal action, change the terms and conditions of the endowment including cessation of the endowment and the return of the assets to the original source of funding, or change the use or purpose as may be appropriate and authorized by law.
- d. **Funds Held in Trust by Others.** Some donors may choose to make income from endowment-type funds available to the university, but will leave the possession of the assets in trust with a third party. In this case, the endowment is not recorded as an asset of the university. In accordance with the Generally Accepted Accounting Principles (GAAP), the existence of the trust must be disclosed in the notes to the university's financial statements.

A minimum gift of \$20,000 shall be required to establish any endowment. An endowment can be initiated with an amount less than the stated minimum with the understanding that all future gifts and all income must become part of the endowment to assist in bringing the endowment assets to the \$20,000 level, and if after five years from the date of the original gift, the value of the assets has not reached \$20,000, the endowment may cease and the existing assets of the fund shall be transferred to a separately established Restricted Fund and expended consistent with the terms and conditions of the original gift. Exceptions to the \$20,000 minimum level may be made if a donor made contributions with the understanding that a prior minimum amount was required, contributions were made toward that minimum and the minimum is reached during the applicable five-year period.

Specific minimum endowment levels for academic positions are established as follows:

\$1,000,000 - Endowed Chair or equivalent title, depending upon the area;

\$250,000 - Endowed Distinguished Professorship or equivalent title, depending upon the area; and

\$125,000 - Endowed Professorship or equivalent title, depending upon the area

**Cross Reference:** Tex. Educ. Code §§ 51.001-.009, 95.34, Ch. 101; Uniform Prudent Management of Institutional Funds Act, Tex. Prop. Code Ch. 163; Uniform Prudent Investor Act, Tex. Prop. Code Ch. 117; Texas Public Funds Investment Act, Tex. Gov't Code Ch. 2256; *Gift Reporting (3.16); Student Organization Formation and Recognition (10.9)*.

**Responsible for Implementation:** Vice President for University Advancement

**Contact for Revision:** Vice President for University Advancement

**Forms:** Gift-in-Kind Form

**Board Committee Assignment:** Finance and Audit

## POLICY SUMMARY FORM

**Policy Name:** Guest Lecturers

**Policy Number:** 7.15

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

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

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

**Purpose of Policy (what does it do):** Certifies that guest lecturers will uphold principles of academic responsibility.

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

- ☒ 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:** Only change was to add one 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

## Guest Lecturers

**Original Implementation:** October 1, 1980

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

When guest lecturers are utilized in a class, the instructor-of-record will ensure that the principles of academic responsibility are upheld. Except when officially absent from class, the instructor-of-record will be present during the delivery of a guest lecture.

**Cross Reference:** Faculty Handbook; *Academic Freedom and Responsibility* (7.3)

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

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

**Forms:** None

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

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:** 1/26/2016**Unit(s) Responsible for Policy Implementation:** Vice President for Finance and Administration**Purpose of Policy (what does it do):** Provides guidelines for the investment of public funds in SFA's custody**Reason for the addition, revision, or deletion (check all that apply):**

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

*Please complete the appropriate section:***Specific rationale for new policy:****Specific rationale for each substantive revision:** no substantive changes; minor change to presentation in Investment Strategy section**Specific rationale for deletion of policy:***Additional Comments:*

Reviewers:

Dr. Danny Gallant, Vice President for Finance and Administration  
Damon Derrick, General Counsel

## Investments

**Original Implementation:** April 30, 1996

**Last Revision:** ~~January 26, 2016~~ January 31, 2017

### Policy Statement

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

### Scope

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

### Objectives

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

Investments shall incur no unreasonable risk in order to maximize potential income. Investments shall remain sufficiently liquid to meet all reasonably anticipated operating requirements.

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

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

### Investment Strategy

All investments will be made in accordance with the university's investment policy. Investments may be diversified as needed to support the university's financial requirements. The preservation and safety of principal is the first priority, however, it is recognized that unrealized losses will occur in a rising interest rate environment, just as unrealized gains will occur during periods of falling interest rates. Investments will be structured to provide sufficient liquidity and marketability to meet operating requirements. The investment portfolio may be diversified with

authorized securities to accommodate changing market conditions. An investment decision shall consider yield only after the requirements for principal preservation, liquidity, and marketability have been met.

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

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

Investments may be categorized and described as:

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

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

### **Investment Authority**

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

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

The board may contract with another institution(s) to invest all or part of the university's funds

in accordance with Texas Education Code Sec. 51.0031.

### **Investment Responsibilities**

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

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

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

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

### **Prudence**

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

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

### **Investment Guidelines**

#### **Authorized Investments**

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

- A. obligations, including letters of credit, of the United States of America, or its agencies and instrumentalities;
- B. direct obligations of the state of Texas or its agencies and instrumentalities;
- C. collateralized mortgage obligations directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America;
- D. other obligations, the principal and interest of which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, the state of Texas or the United States of America or their agencies and instrumentalities, including obligations that are fully guaranteed or insured by the Federal Deposit Insurance Corporation or by the explicit full faith and credit of the United States;
- E. obligations of states, agencies, counties, cities, and other political subdivisions of any state rated as to investment quality by a nationally recognized investment rating firm of not less than A or its equivalent;
- F. certificates of deposit and share certificates issued by a depository institution that conforms to Section 2256.010 of the Texas Government Code.
- G. fully collateralized repurchase agreements that conform to Section 2256.011 of the Texas Government Code;
- H. bankers acceptances that conform to Section 2256.0912 of the Texas Government Code;
- I. commercial paper that conforms to Section 2256.013 of the Texas Government Code;
- J. no-load money market mutual funds and no-load mutual funds registered and regulated by the Securities and Exchange Commission and conform to Section 2256.014 of the Government Code;
- K. guaranteed investment contracts that conform to Section 2256.015 of the Government Code;
- L. investment pools that conform to Sections 2256.016 and 2256.019 of the Government Code;
- M. cash management and fixed income funds sponsored by organizations exempt from federal income taxation under Section 501(f), Internal Revenue Code of 1986 (26 U.S.C. Section 501(f));
- N. negotiable certificates of deposit issued by a bank that has a certificate of deposit rating of at least 1 or the equivalent by a nationally recognized credit rating agency or that is associated with a holding company having a commercial paper rating of at least A-1, P-1, or the equivalent by a nationally recognized credit rating agency;
- O. corporate bonds, debentures, or similar debt obligations rated by a nationally recognized investment rating firm in one of the two highest long-term rating categories, without regard to gradations within those categories.

### **Unauthorized Investments**

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

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

### **Diversification**

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

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

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

The maximum stated maturity date of any security may not exceed ten years, and the

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

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

### **Insurance or Collateral**

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

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

### **Collateral Defined**

The university shall accept only the following securities as collateral:

- A. FDIC insurance coverage;
- B. United States Treasury, Agency, or Instrumentality securities;
- C. Direct obligations of the state of Texas or its agencies and instrumentalities;
- D. Other obligations, the principal of and interest on which are unconditionally guaranteed or insured by the State of Texas or the United States of America;
- E. Obligations of states, agencies thereof, counties, cities, and other political subdivisions of any state having been rated as to investment quality by a nationally recognized investment rating firm and having received a rating of no less than A or its equivalent;
- F. Collateralized mortgage obligations (CMO) directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America. CMO must have a stated final maturity date of less than 10 years.

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

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

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

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

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

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

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

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

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

### **Performance Evaluation**

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

- (A) describe in detail the investment position of the university on the date of the report;
- (B) be prepared by the investment officer(s) of the university;
- (C) be signed by the investment officer(s) of the university;
- (D) contain a summary statement of each pooled fund group that states the:

- (1) beginning market value for the reporting period;
- (2) ending market value for the period; and
- (3) fully accrued interest for the reporting period;
- (E) state the book value and market value of each separately invested asset at the end of the reporting period by the type of asset and fund type invested;
- (F) state the maturity date of each separately invested asset that has a maturity date;
- (G) state the account or fund or pooled group fund for which each individual investment was acquired; and
- (H) state the compliance of the investment portfolio of the university as it relates to the relevant provisions of the Public Funds Investment Act.

### **Internal Controls**

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

### **Disclosure Requirements for Investment Officers**

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

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

**Training**

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

**Audits**

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

**Investment Policy Adoption and Certification**

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

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

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

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

**Forms:** None

**Board Committee Assignment:** Finance and Audit

## APPENDIX A

### INTERNAL CONTROLS

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

## APPENDIX B

### ADMINISTRATIVE PROCEDURES

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

## POLICY SUMMARY FORM

**Policy Name:** Investments - Endowment Funds

**Policy Number:** 3.20

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

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

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

**Purpose of Policy (what does it do):** Provides guidelines for the investment of endowed funds in SFA's custody and allows endowment funds to be invested with Texas A&M University System.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** no substantive changes

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Dr. Danny Gallant, Vice President for Finance and Administration  
 Damon Derrick, General Counsel

## Investments - Endowment Funds

**Original Implementation:** Unpublished

**Last Revision:** ~~January 26, 2016~~ January 31, 2017

### GENERAL

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

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

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

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

### INVESTMENT OBJECTIVES

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

## INVESTMENT RISK TOLERANCE

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

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

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

## DEFINITIONS

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

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

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

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

## **RESPONSIBILITY AND DELEGATION OF AUTHORITY**

The university acknowledges that the ultimate responsibility for the investment of endowment funds rests with the board. The board will determine the institutional approach used to invest endowment funds. The board may choose to hire external investment consultants and/or managers, contract with another institution, or manage funds internally. To carry out this

responsibility, the board delegates certain authority to the financial officer(s) to oversee and work with external investment consultants and/or managers the board has selected.

### **The Board**

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

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

### **University Administration**

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

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

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

### **Qualifying Institution**

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

### **Investment Consultant**

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

Specifically, the consultant will:

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

### **Investment Managers**

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

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

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

The investment manager(s) will:

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

### **Custodian**

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

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

## **INVESTMENT POLICY GUIDELINES**

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

### **Permissible Investments**

- a. Direct obligations of the United States government or its direct agencies.
- b. Direct obligations of federally-sponsored agencies in accordance with the above paragraph.
- c. Obligations of states, agencies, counties, cities, and other political subdivisions of any state in accordance with the above paragraph.
- d. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.
- e. Debentures or obligations, and preferred or common stock of international governments and corporations. International preferred and common stock issues must be listed on an organized stock exchange.
- f. Common stock and preferred stock issued by United States domiciled corporations

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

### **Prohibited Investments**

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

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

### **Asset Allocation**

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

<b>Asset Category</b>	<b>Minimum</b>	<b>Maximum</b>	<b>Target</b>
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:

<b>Fixed Income</b>	<b>Minimum</b>	<b>Maximum</b>
US Government Bonds	0.0%	100.0%
Corporate Bonds	0.0%	50.0%

<b>Equity</b>	<b>Minimum</b>	<b>Maximum</b>
Domestic Equity	0.0%	100.0%
International Equity	0.0%	30.0%

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

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

Credit risk is the risk that an issuer or counterparty to the investment will not fulfill its obligations to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. To limit credit risk, this policy requires

all securities which use long-term credit ratings to be rated the equivalent of “B” or better with the overall credit rating for the fixed income portfolio to be rated “A” or better. All short term credit ratings must be rated at least A-2, P-2, F-2.

Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of investment. In order to mitigate this risk, foreign equity investments are limited to a maximum of 30% of the equity portfolio.

### **GIFTS OF INDIVIDUAL SECURITIES**

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

### **FUNDS FUNCTIONING AS (QUASI) ENDOWMENTS**

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

### **DISTRIBUTION POLICY**

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

### **PERFORMANCE EVALUATION**

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

### **CONFLICTS OF INTEREST**

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

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

## **AUDITS**

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

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

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

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

**Forms:** None

**Board Committee Assignment:** Finance and Audit

## POLICY SUMMARY FORM

**Policy Name:** Laboratory Fees

**Policy Number:** 3.22

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

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

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

**Purpose of Policy (what does it do):** Puts Texas statute regarding laboratory fees into SFA policy.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor wording changes to align with statute.

**Specific rationale for deletion of policy:**

*Additional Comments:*

**Reviewers:**

Academic Policy Committee

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

Damon Derrick, General Counsel

## Laboratory Fees

**Original Implementation:** June 29, 1981

**Last Revision:** ~~July 29, 2014~~ January 31, 2017

Laboratory fees may be assessed to cover the *general* costs of materials and supplies used by students enrolled in the respective laboratory. An academic unit may choose to average the costs of its total laboratory program and set an appropriate, uniform fee.

The basic fee for all laboratory classes is \$10 per student with no fee being assessed on any laboratory course whose demonstrated expenses are less than \$10. When it can be demonstrated that the value of expendable supplies is more than the basic fee, a laboratory fee up to \$30 may be charged. Assessed lab fees cannot exceed the cost of actual materials and supplies used by students.

Laboratory fees greater than \$10 will be recommended by the academic unit head and by the dean for approval by the provost and vice president for academic affairs. Laboratory fees are submitted to the Board of Regents for final approval.

Academic units review laboratory fees annually for appropriateness and accuracy. All laboratory fees are published in the appropriate media.

**Cross Reference:** Tex. Educ. Code § 54.501

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

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

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Library Faculty

**Policy Number:** 7.17

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

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

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

**Purpose of Policy (what does it do):** Describes librarians and archivists for the library.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Director of Library  
 Academic Policy Committee  
 Faculty Senate  
 Deans Council  
 Dr. Steve Bullard, Provost and Vice President for Academic Affairs  
 Damon Derrick, General Counsel

## Library Faculty

**Original Implementation:** 1970

**Last Revision:** ~~July 29, 2014~~ January 31, 2017

Stephen F. Austin State University (SFA) provides for advancement based on a librarian's or an archivist's academic credentials and experience, *job performance*, professional ~~performance~~ *engagement, and service to the university, profession, and the general community, as appropriate contributions to the university community and the profession of librarian/archivist, and service to the general community.*

### Rank

The ranks consist of Librarian I, II, III, and IV, and Archivist I, II, III, and IV, with IV being the highest. These ranks do not apply to administrative positions.

### Criteria for Appointment

A master's degree in library science from a school accredited by the American Library Association is required for appointment *as a librarian*. The Master of Library Science and Master of Library Information Science are the terminal degrees for librarians.

A master's degree in library science from a school accredited by the American Library Association with specialization in archival studies or a master's degree in public history with specialization in archival studies is required for appointment as *an* archivist.

### ~~Criteria for Promotion~~ *Eligibility*

Librarians and archivists are both eligible for promotion; however, only librarians are eligible for tenure (see policy 7.29).

To be promoted to the rank of Librarian II or Archivist II, an individual must have a proven record of effective and productive performance. Individuals can apply for the rank of Librarian II or Archivist II without being at the rank of Librarian I or Archivist I for a specified period of time.

To be promoted to the rank of Librarian III or Archivist III, an individual must have a proven record of effective and productive performance. The individual must also have significant professional contributions to the academic and general communities through presentations at professional meetings, professional publications, or service to organizations. A Librarian II or Archivist II must hold that rank for at least three years before applying for promotion. *Exceptions must be approved by the library director and the provost and vice president for academic affairs. The circumstances warranting early application must be exceptional.*

To be promoted to the rank of Librarian IV or Archivist IV, an individual must have a proven record of substantial contributions to the profession recognized at the state and national levels. A Librarian III or Archivist III must hold that rank for at least ~~five~~ *three* years before applying for

promotion. Additionally, to be promoted to Archivist IV the individual must have successfully passed the Academy of Certified Archivist Examination. *Exceptions must be approved by the library director and the provost and vice president for academic affairs. The circumstances warranting early application must be exceptional.*

### **Annual Evaluation and Compensation**

Librarians and archivists will be evaluated annually according to university policies and procedures. These evaluations will constitute the basis for merit pay consideration, when available. Librarians and archivists accrue vacation and compensatory time.

### **Work Load**

Librarians and archivists receive twelve-month contracts, ~~except tenured librarians employed prior to April 21, 1998, who have elected to receive ten and one half month contracts.~~

### **Library Academic Advisory Council**

The Library Academic Advisory Council (LAAC) advises the director of libraries on matters regarding librarians and archivists. The LAAC is composed of five librarians/archivists, each with at least two years of service at SFA. Members are elected in September by all librarians and archivists and serve two-year staggered terms. The individual serving as the Faculty Senate representative is an ex-officio member of the LAAC if not an elected member. The LAAC elects ~~its own~~ a chair who is responsible for calling at least one meeting each regular semester.

### **Rights and Responsibilities**

Librarians and archivists have the same rights and responsibilities as academic faculty. They are eligible for service on the Faculty Senate and university committees and are eligible for faculty development leave. Librarians and archivists may also apply for grants, fellowships, and research funds.

**Cross Reference:** Faculty Handbook; Academic Promotion (7.4); *Tenure and Continued Employment* (7.29); Performance Review of Officers Reporting to the Provost and Vice President for Academic Affairs (4.8); Academic Appointments and Titles (7.2)

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

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

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Overtime and Compensatory Time

**Policy Number:** 12.14

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

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

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

**Purpose of Policy (what does it do):** Documents the restrictions and requirements for employees to accrue, use and receive compensation for compensatory time and overtime.

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

☐ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☒ Other, please explain: To support changes made to Policy 12.24, Working Hours and Holidays, which was approved by the board in November 2016 and now allows the use of alternative work schedules. Changes were also made to provide parameters in which non-exempt employees can receive payment for overtime hours of less than 240 hours limit imposed in policy.

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** The new additions to the policy excludes hours earned and used in consecutive work weeks due to an alternative work schedule from the 80 hour utilization limit for exempt employees and provides parameters for payment of overtime hours. Revisions made to maintain a comparable level of compensatory time available for use between employees in alternative work schedules and those in traditional work schedules. Employees utilize compensatory time to cover additional days during Christmas and Spring Break on which the university is closed and are not covered by holiday pay. To assist the university in restricting financial payment for overtime which could have an impact on the university budget.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Loretta C. Doty, Director of Human Resources

Dora Fuselier, Controller

Danny Gallant, Vice President for Finance and Administration

Damon Derrick, General Counsel

## Overtime and Compensatory Time

**Original Implementation:** Unpublished

**Last Revision:** ~~January 26, 2016~~ January 31, 2017

This policy does not apply to faculty.

### Non-Exempt Employees:

A non-exempt employee *under the Fair Labor Standards Act (FLSA)* who works in excess of 40 hours in a workweek is entitled to compensation for the excess hours through one of the following methods:

1. The employee should ~~be allowed (or required) to take~~ compensatory time off within twelve (12) months following the end of the workweek in which the overtime occurred at the rate of 1-1/2 hours off for each hour of overtime. Time that is to be taken is at the discretion of the supervisor and must be authorized in advance.
2. ~~When granting compensatory time off is impractical, the employee receives pay for the overtime at the rate of 1-1/2 times the employee's regular rate of pay. Payment must be made for all accumulated overtime in excess of 240 hours, which is (160 straight time hours at the 1-1/2 rate).~~
3. *The appropriate vice president may grant approval for an employee to receive pay for overtime balances below 240 hours at the rate of 1-1/2 times the employee's regular rate of pay. The appropriate vice president may also grant approval for all employees performing specific functions in a department to receive payment for overtime. Payment for overtime balances of less than 240 hours is limited to overtime hours gained while:*
  - a. *conducting public safety activities*
  - b. *responding to emergency situations*
  - c. *performing maintenance and construction of SFA property or buildings during times when occupancy of the buildings or campus is reduced*
  - d. *supporting or coordinating university events that occur in hours other than regular work hours, or*
  - e. *completing mission critical special projects relating to the operations of the department.*
4. *With authorization of the president or the president's designee, an employee may be paid for the hours of compensatory time the employee earns for work directly related to a disaster or emergency declared by the appropriate officer of the state or federal government.*

5. *Non-exempt part-time employees must be paid for hours worked over their designated hours; they may not accrue compensatory time.*
6. *Non-exempt employees (or their estate) must be paid for any unused accumulated compensatory time at the time of separation from employment or when transferring to an exempt classification.*

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

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

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

#### **To receive overtime pay:**

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

payment.

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

### **Exempt Employees:**

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

An exempt employee, may be allowed compensatory time off during the 12-month period following the end of the workweek in which the overtime was accrued, at a rate not to exceed equivalent time, but limited to 80 hours during any one fiscal year. *Compensatory time earned and used during the consecutive weeks of an alternative work schedule does not count toward the 80 hour limit.* Earned compensatory time not used within 12 months will expire. An exempt employee will not be paid for any unused compensatory time earned in this manner. It is the department head's responsibility to ensure ~~that no more than 80 hours of compensatory time is taken in a fiscal year for each exempt employees~~ *adhere to the limits of maximum use of compensatory time set forth by this policy.* If an employee reports more than 80 hours of compensatory time used, the payroll office will adjust the leave to report it as vacation time used.

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

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

Time that is to be taken is at the discretion of the supervisor and must be authorized in advance on either the Request for Vacation, Compensatory Time, Sick Leave Taken form, by requesting the leave electronically through the system leave request form, or by requesting

the leave in a manner established and documented by the department head.

**All Employees:**

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

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

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

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

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

**Contact for Revision:** Director of Human Resources

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

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

## POLICY SUMMARY FORM

**Policy Name:** Out-of-State Course Delivery

**Policy Number:** 5.15

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

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

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

**Purpose of Policy (what does it do):** Describes what is, and what is not, out of state instruction. Prevents “pleasure” type trips from being courses for credit.

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

- ☒ 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:** Clarification and distinction made between faculty having expenses paid, and receiving extra travel allowances. Other than this, only minor change is wording and punctuation for clarity.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Heather Catton, Director of International Studies and Programs

Academic Policy Committee

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

Damon Derrick, General Counsel

## Out-of-State Course Delivery

**Original Implementation:** September, 1981

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

Out-of-state courses occur when the majority of instruction takes place beyond the state's borders. ~~This~~ It does not include a courses in which incidental travel *outside Texas to another state* occurs for enrichment activities, *nor does this include* ~~or is~~ online courses taught by instructors residing *outside Texas*. Prior approval is required for any out-of-state course offering, with different forms and routing processes for domestic and international travel.

The Texas Higher Education Coordinating Board (THECB) establishes the following rules for any out-of-state course.:

- The purpose for offering an out-of-state course must be educational, not entrepreneurial, and may not result solely in a financial gain for faculty and/or staff. Courses *that offer credit primarily for travel, recreation, or pleasure* will not be permitted. ~~which offer credit primarily for travel, recreation or pleasure.~~
- Out-of-state courses will not be offered if intended exclusively to serve non-Texas residents unless they are degree candidates at Stephen F. Austin State University (SFA).
- All out-of-state courses must be in the approved course inventory and be applicable to a program approved by the THECB.
- Any academic unit proposing an out-of-state course will submit a course request, including itinerary and syllabus, to the THECB through the standard course proposal procedure.
- The instruction in all out-of-state courses must conform to SFA's academic policies.
- Any financial benefits provided by travel agents, carriers, or hotels must be remitted to SFA and not be made as gifts to faculty members or their families. Except for funds specifically appropriated for international activities (e.g., state incentive programs, scholarships, etc.), state funds will not be used for faculty and student travel, meals, and lodging, or other incidental expenses.
- Financial aid must be available to students registering for out-of-state courses on the same basis as for students seeking financial aid for on-campus instruction. Additional student financial aid may be furnished by the university, as appropriate.
- Minimum course enrollments will conform to the same standards as applicable to on-campus courses.

The deadlines for tentative approvals by appropriate administrators are as follows:

- Prior to February 1 for delivery in the following fall semester;
- Prior to June 1 for delivery in the following spring semester;
- Prior to November 1 for delivery in the following summer semester; *and*
- Prior to May 1 for delivery of any international course as early as summer of the following year.

Any agreement with a travel agency, carrier, or vendor will be reviewed by ~~the Office of the~~ General Counsel prior to implementation.

Students must be informed in writing *when that* any contract for transportation, lodging, or food is *has been* made with ~~the~~ a travel agency or carrier. *This information must also be clear and that* SFA is responsible only for instruction and academic credit.

Student deposits for contract travel will be made with the appropriate university office, which will issue a payment to the agency or carrier once the deadline for reservations has passed. If a *sufficient number of students do not enroll in the course*, ~~course does not enroll a sufficient number of students~~, refunds will be made to the students who have paid deposits. For courses not using contract travel, deposits will be made immediately on receipt to the appropriate university account.

State bid procedures must be followed. Trip directors may be required to submit requests for bids or justifications for contracts with specific vendors or agents.

*Faculty members leading study abroad groups typically have all of their trip-related expenses paid through the study abroad program – mileage to airport, parking (or cost of rental car), airfare, local transportation, entrance fees, meals, lodging, insurance, telephone charges related to the trip. However, no separate travel allowance for the instructor will be provided unless a specific exception is made by the provost and vice president for academic affairs.*

~~There will be no travel allowance for the instructor unless a specific exception is made by the provost and vice president for academic affairs.~~

**Cross Reference:** Tex. Educ. Code § 61.0512(g); 19 Tex. Admin. Code §§ 4.270-.279

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

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

**Forms:** Out-of-State Travel/Study Course Request Form (available in the Associate Provost's office); Study Abroad Planning Proposal and Study Abroad Final Proposal (found on the Office of International Programs website at <http://www.sfasu.edu/oip/183.asp>)

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

## POLICY SUMMARY FORM

**Policy Name:** Part-time Faculty

**Policy Number:** 7.21

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

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

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

**Purpose of Policy (what does it do):** Describes role of part time faculty members.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes. Added a cross-reference.

**Specific rationale for deletion of policy:**

*Additional Comments:*

**Reviewers:**

Academic Affairs Policy Committee  
 Faculty Senate  
 Deans Council  
 Dr. Steve Bullard, Provost and Vice President for Academic Affairs  
 Damon Derrick, General Counsel

## Part-time Faculty

**Original Implementation:** September 19, 1984

**Last Revision:** ~~July 29, 2014~~ January 31, 2017

A part-time faculty member is one who holds less than a full-time academic workload and is not in a tenure-track position.

Part-time faculty must meet applicable accreditation criteria.

Former tenured, full-time Stephen F. Austin State University faculty members appointed to part-time positions will hold their previous academic rank (instructor, assistant professor, associate professor, or professor) with the designation part-time. Part-time faculty members may be appointed for no more than one academic year at a time.

The salary of part-time faculty members will be negotiated with each appointment, subject to the approval of the college dean and the provost and vice president for academic affairs.

Part-time faculty members will perform assigned duties and maintain office hours commensurate with the assignment. Part-time faculty may not serve on search, tenure, promotion, or merit pay committees.

**Cross Reference:** ~~None~~ *Faculty Compensation (12.6)*

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

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

**Forms:** Faculty Credential Form

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

## POLICY SUMMARY FORM

**Policy Name:** Performance Review of Officers Reporting to the Provost and Vice President of Academic Affairs

**Policy Number:** 4.8

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

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

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

**Purpose of Policy (what does it do):** Certifies that the provost will have annual reviews of those reporting to this office. Also, certifies a review every three years (that will include comments from peers and supervisees) for same.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee

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

Damon Derrick, General Counsel

## **Performance Review of Officers Reporting to the Provost and Vice President of Academic Affairs**

**Original Implementation:** December 6, 1979

**Last Revision:** ~~April 15, 2014~~ January 31, 2017

The provost and vice president for academic affairs will conduct an annual performance review of each administrator who reports directly to the provost's office. The review will focus on the performance of assigned responsibilities.

During the second year of service and once every three years thereafter, the review will be augmented by written input from peers, including appropriate deans, academic unit heads, faculty, and administrative staff. The provost and vice president for academic affairs is responsible for developing the survey questions.

The provost and vice president for academic affairs will submit a summary report to the individual reviewed and to the president.

**Cross Reference:** None

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

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

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Prompt Payment to Vendors

**Policy Number:** 17.13

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

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

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

**Purpose of Policy (what does it do):** Explains the state's rules about the timing of payments to vendors

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Dr. Danny Gallant, Vice President for Finance and Administration  
 Damon Derrick, General Counsel

## Prompt Payment to Vendors

**Original Implementation:** April 21, 1998

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

It is the intention of Stephen F. Austin State University to comply with the state's prompt payment law and make prompt payments to vendors using the most efficient means available.

Three requirements must be met before a disbursement can be made to a vendor:

1. There must be an approved order for goods or services that has been signed/authorized by the account manager or his designee.
2. The goods or services must have been received. Acknowledging the receipt of goods or services is the responsibility of the department which placed the order.
3. The vendor must provide an itemized invoice to accounts payable. If an invoice is received by the department, it should be date stamped and immediately forwarded to accounts payable.

The controller's office is responsible for processing payments in a manner which ensures compliance with the prompt payment law once these three requirements have been met. In certain instances, interest will be paid to a vendor if payment is not made within 30 days of the later of:

1. the date the university receives the goods under the contract
2. the date the vendor completes its services, or
3. the date the university receives an invoice for the goods or services.

To maximize the interest earned on funds held by the state, the university is required to schedule their payments, paying vendors as close to the 30-day limit as possible. The university is not allowed to pay vendors before the payments are actually due unless the invoice is less than \$5,000 or the university has a valid business reason for paying early, or there is a specific exception to this rule. -Examples when the university may make early payments to vendors are:

- If the vendor or the university has an agreement to make a payment at a certain time.
- If the vendor gives the agency a substantial discount for paying early.
- Purchase of real property.
- *Payment for utilities.*
- Payment for lease cost, leased space or rent.
- Purchases of books or library materials paid with Higher Education Funds (HEF).
- Subscription services up to a maximum of six weeks before the service begins.
- Vendor payments for specialized goods or services if the vendor requires the payment to be made in advance.

For payment more than \$5,000, payment must be scheduled for distribution on the date identified above, unless the department can justify the cost effectiveness of making a payment early. A vendor hardship DOES NOT qualify as a state business reason for paying early.

If the vendor payment is late, interest will be computed at a rate determined by the Texas Comptroller's Office. If the late payment is due to departmental errors, such interest payment will be charged to the department that caused the late payment.

If a department requests the controller's office to process a payment outside its normal operating procedures for any reason, the department shall be assessed a special processing fee of \$50.

Payments of \$5,000 or less are exempted from mandatory payment scheduling. -The university, at its discretion, may choose to pay invoices \$5,000 or less according to the scheduling requirements or may schedule the payment due date as soon as they are processed. -For groups of invoices covered by a monthly statement, the statement amount must be \$5,000 or less for the invoices to qualify for this exemption.

#### Definitions:

Payment – Money owed *to* a vendor.

State agency – A board, commission, department, office or other agency in the executive branch of state government created by the constitution or a statute of this state, including an institution of higher education as defined by the Texas Education Code Section 61.003.

Vendor – A person who supplies goods or a service to a state agency or another person directed by the agency. -The term does not include a state agency, except for the Texas Correctional Industries. -The term includes an officer or employee of a state agency when acting in a private capacity to supply goods or a service.

**Cross Reference:** Tex. Gov't Code §~~Ch. 2155.382~~; ~~Tex. Gov't Code Ch. 2251~~; Tex. Educ. Code § 61.003; Texas Comptroller of Public Accounts *–Payment Services and Expendit State Purchase Policies*; ~~Tex. Educ. Code § 61.003~~

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

**Contact for Revision:** Controller

**Forms:** None

**Board Committee Assignment:** Finance and Audit

## POLICY SUMMARY FORM

**Policy Name:** Property Liability

**Policy Number:** 16.22

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

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

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

**Purpose of Policy (what does it do):** The policy exists to determine employee liability associated with fixed assets.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes; minor wording changes and added form reference.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Kay Johnson, Director of Procurement and Property Services  
 Danny Gallant, Vice President for Finance and Administration  
 Damon Derrick, General Counsel

## Property Liability

**Original Implementation:** April 22, 2003

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

In accordance with Texas Government Code § 403.275 all university employees are liable for the state property that they use. All employees must complete the property liability acknowledgement form at new employee orientation.

The department head will be listed as equipment manager on property records and is responsible for identifying property custodians who have been entrusted with the care and safekeeping of specific pieces of property. Equipment managers will be required to sign a certification of physical inventory with change in department head, accepting responsibility for all department property within 30 days of assuming their duties.

Employees taking equipment off campus will be required to complete a removal of property from campus form, ~~including the following statement: "I understand that I may be held financially liable for lost, damaged and stolen property as outlined in Texas Government Code § 403.275."~~

A person is financially liable for any property loss sustained by the university if:

1. property disappears as a result of the failure of the head of an agency, property manager, or agency employee entrusted with the property to exercise reasonable care for its safekeeping;
2. property deteriorates as a result of the failure of the head of an agency, property manager, or agency employee entrusted with the property to exercise reasonable care to maintain and service the property; or
3. property is damaged or destroyed as a result of an intentional wrongful act or of a negligent act of any state official or employee.

Reasonable care is defined as follows. Examples are outlined in the property management manual.

1. Steps have been taken to ensure control of property.
2. Steps have been taken to ensure the security of property.
3. Property can be located anytime it is requested.
4. Documentation is available showing that the person responsible for property is aware of their responsibilities.

If the property manager has reasonable cause to believe that any property in the agency's possession has been stolen, lost, destroyed, or damaged through the negligence of any state official or employee, the property manager shall report the loss, destruction, or damage to audit

services, the vice president for the division, the vice president for finance and administration, the director of procurement, the equipment manager and the property custodian. All computer losses, missing or stolen, regardless of negligence, will be reported to the director of ITS.

The property manager in consultation with the equipment manager, the director of procurement and/or the vice president of finance and administration will determine whether replacement of property or reimbursement of property value best meets the needs of the university. The value of the loss to the university will be determined by considering the value of the property and the value to SFA as outlined in the property management manual.

A determination of negligence may be appealed to the property risk management committee within five working days of receiving notification of the determination. The property risk management committee will review the property manager's determination and the written appeal, and will make a final determination that may not be appealed. Appointments to the committee will be made on a case by case basis by the vice president for finance and administration with the property manager and property assistant serving as non-voting ex officio members.

If the property risk management committee upholds the determination of negligence the negligent employee will be notified to replace the property or reimburse the university for the determined value of the property. If the employee refuses or disregards the determination and request for replacement or reimbursement, the university may pursue action against the employee through the Office of the Attorney General or employ other efforts to obtain reimbursement.

**Cross Reference:** Tex. Gov't Code §§ 403.275, 2203.004; Property Inventory and Management (17.14)

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

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

**Forms:** Property Liability Acknowledgement; *Removal of Property from Campus Request*

**Board Committee Assignment:** Finance and Audit

## POLICY SUMMARY FORM

**Policy Name:** Proprietary Purchases

**Policy Number:** 17.15

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

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

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

**Purpose of Policy (what does it do):** The policy exists to provide direction for proprietary purchases.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive revisions. Updated reference to name of form.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Kay Johnson, Director of Procurement and Property Services  
 Danny Gallant, Vice President for Finance and Administration  
 Damon Derrick, General Counsel

## Proprietary Purchases

**Original Implementation:** September, 1979

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

A proprietary situation occurs when competition is not available. When the specification requirement limits consideration to one manufacturer, one product, or one service provider, a written justification must be provided.

A sole product may be available from more than one source and is subject to best value procurement rules.

A sole source is a specific item that is available from only one source.

Along with the purchase requisition the department may be asked to submit an ~~Sole-Source/Product Justification Form~~ *Exclusive Acquisition Justification Form*. On the form only the applicable items must be answered and must provide sufficient explanation to address the following:

1. an explanation of the need for the proprietary specifications; i.e. which part or parts of the stated specification restricts the requisition to one manufacturer or provider; and
2. the reason competing products are not satisfactory.

Justification for proprietary purchases must be signed by the director of procurement and property services/HUB coordinator. Procurement will research the market to determine if the proprietary request is appropriate.

**Cross Reference:** Purchase Requisition (17.19)

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

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

**Coordinator Forms:** Purchase Requisition, ~~Sole-Source/Product Justification~~ *Exclusive Acquisition Justification*

**Board Committee Assignment:** Finance and Audit

## POLICY SUMMARY FORM

**Policy Name:** Purchase of Surplus Property

**Policy Number:** 17.17

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

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

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

**Purpose of Policy (what does it do):** The policy exists to provide direction for purchase of surplus property from state and federal sources.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes; minor word changes. Updated new URLs.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Kay Johnson, Director of Procurement and Property Services  
 Danny Gallant, Vice President for Finance and Administration  
 Damon Derrick, General Counsel

## Purchase of Surplus Property

**Original Implementation:** September, 1987

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

The Texas Facilities Commission (TFC) disposes of salvage and surplus personal property from Texas state agencies and manages the disposition of surplus and salvage donated to the state by federal programs. The Office of the State Comptroller advertises surplus property exclusively to state agencies, political subdivisions and assistance organizations. Surplus property not transferred within 10 *business* days of posting is ~~available~~ turned over to the Texas Facilities Commission for sale to state agencies, political subdivisions and assistance organizations as well as the general public. Federal surplus property is available only to eligible organizations, not private citizens or the general public. Available property can be viewed at the following URLs:

State Surplus (State Comptroller's listing)

State Surplus (available at store fronts; TFC listing)

~~Federal Surplus~~ Federal Surplus

A requisition must be submitted to initiate the purchase of surplus property. Your purchaser is available to research the availability, condition and cost of surplus property.

### STATE SURPLUS

The agency offering the surplus equipment is to be contacted directly to determine a price and make arrangements for transfer. The requisition submitted to the purchasing office should state on the requisition 'STATE SURPLUS PROPERTY'. The name of the state agency and the agreed price, and arrangements for transfer should also be shown.

### FEDERAL SURPLUS

The purchaser may make a written request for federal surplus to be held for SFA if it becomes available.

Visitation to and shopping at a federal surplus warehouse is allowed only by a certified agent of the university. The item(s) may be picked up at the time of purchase or arrangements can be made for pick up at a later date. The individual(s) picking up the merchandise do not have to be certified, but they must have the receipt in hand when arriving at the distribution center. If the SFA transportation department picks up the item(s), the department will be charged for travel and labor costs. When the merchandise is received the itemized receipt and/or invoice should be returned to the procurement department.

Restrictions on the use of federal surplus property – participating organizations (“donees”) are required to use the property obtained through the program for a specific amount of time before the property can be sold or transferred.

1. Property must be *placed* ~~put~~ into use within the first year *of possession*.
2. Property must continue to be used for the “compliance period” before ownership is transferred to SFA.
  - 18 months for passenger vehicles or any item of property with original acquisition cost of \$5000 or more.
  - 12 months for property with an original acquisition cost less than \$5000.
  - 5 years for aircraft and vessels 50’ or more in length.
  - In perpetuity for combat-configured aircrafts, and firearms.
3. The property may not be sold, transferred or otherwise disposed of during the required period of use. If property is sold, transferred or otherwise disposed of during the required period of use, SFA may be subject to penalties and fines, as well as possible state or federal prosecution.
4. Compliance visits may be conducted by state and federal program staff during the compliance period to ensure that property is being put to its intended use. If the property is not paid for in full or is not being used or handled as required, SFA will be required, at its expense, to return the property to TFC or *offer for transfer to* another donee, as instructed by TFC.
5. In accordance with the Single Audit Amendments of 1996 (U.S. Office of Management and Budget (OMB) Circular A-133), if the university receives \$500,000 or more in all forms of federal assistance during a fiscal year, SFA will be liable for a single audit by an independent firm.

As a donee, SFA must include the General Services Administration’s required non-discrimination statement with information about the federal surplus program.

**Cross Reference:** 41 C.F.R. §§ 101, 102; OMB Circular A-133; Purchase Requisition (17.19)

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

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

**Forms:** Purchase Requisition, TFC Eligibility Application Form, TFC Update Form, TFC Authorized Representative Form

**Board Committee Assignment:** Finance and Audit

## POLICY SUMMARY FORM

**Policy Name:** Purchased Instructor-generated Materials

**Policy Number:** 7.16

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

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

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

**Purpose of Policy (what does it do):** Circumscribes sale of self-generated materials to students.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Minor changes to wording for clarity.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## **Purchased Instructor-Generated Materials**

Original Implementation: September, 1990

Last Revision: ~~July 29, 2014~~ January 31, 2017

Instructor-generated materials are course packs or other intellectual property compilations that *may be required by faculty members for students in their classes* ~~must be purchased by students. They are not~~. Handouts, textbooks, or trade books are not included in this definition. Faculty members may not sell any instructor-generated or other academic materials directly to students. Instructor-generated materials may only be sold through the university bookstore or off-campus vendors.

Faculty members and the university will negotiate a royalty agreement in advance of the sale of instructor-generated materials in the university bookstore. This does not apply to materials that are work for hire. The university is not responsible for royalties or other financial benefits on instructor-generated materials sold by off-campus vendors.

~~If Faculty members are responsible for assembling and editing instructor-generated materials are to be used, faculty members are responsible for assembling and editing these.~~ These materials must comply with the General Fair Use Guidelines as described in policy 9.2, Copyrighted Works Reproduction. *Faculty members will exercise professional judgment when incorporating self-generated materials for instructional purposes.*

~~The department or college may review the materials to ensure they are suitable for instruction and/or sale. No department or college review will infringe upon the academic freedom of the faculty member(s) who created the instructor generated materials.~~

**Cross Reference:** Faculty Handbook; Intellectual Property (9.4); Copyrighted Works Reproduction (9.2); and Academic Freedom and Responsibility (7.3)

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

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

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Recombinant DNA and/or Infectious Biohazards in Teaching and Research

**Policy Number:** 8.9

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

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

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

**Purpose of Policy (what does it do):** Describes policies circumscribing the the use of biological agents at SFA.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Major revisions were made in order to conform to guidelines published by the U.S. Department of Agriculture, U.S. Department of Health and Human Services, National Institutes of Health, and the Centers for Disease Control. Procedures removed and minor changes to punctuation and wording for clarity.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Ron Havner (COSM)  
 Academic Policy Committee  
 Steve Bullard, Provost and Vice President for Academic Affairs  
 Damon Derrick, General Counsel

## Recombinant DNA and/or Infectious Biohazards in Teaching and Research

**Original Implementation:** January 29, 2013

**Last Revision:** ~~none~~ January 31, 2017

### **1.0- I. Purpose**

The ~~Stephen F. Austin State University (SFA)~~ Institutional Biosafety Committee (IBC) at *Stephen F. Austin State University (SFA)* is responsible for the review of *proposed* research ~~and teaching~~ activities that involve biological agents, toxins, or recombinant DNA (rDNA). This review process ensures that all university activities comply with government regulations set forth by the National Institutes of Health (NIH), ~~and~~ the Centers for Disease Control and Prevention (CDC), *the U.S. Department of Agriculture (USDA), the U.S. Department of Health and Human Services (HHS), and the latest Select Agent Regulations (7 CFR Part 331, 9 CFR Part 121, and 42 CFR Part 73), as applicable.*

The IBC shall consist of university faculty and community representatives as set forth by the *NIH Guidelines*, and will meet monthly, or on an as-needed basis. ~~, to review faculty research proposals that involve biological agents, toxins, or rDNA and biosafety issues at the university. Other than~~ In addition to ensuring compliance with federal agency requirements, the main goal of the IBC is to minimize risks to faculty, staff, students, facilities, the community, and the environment. *All IBC procedures should be followed in conjunction with other relevant SFA policies and procedures.* ~~while using rDNA and biohazardous materials. The IBC also ensures compliance with laws and regulations regarding the receipt, use, storage, transfer/shipping, and destruction of biohazardous or potentially biohazardous materials. All IBC procedures should be followed in conjunction with other relevant SFA policies and procedures.~~

### **2.0. Policy**

The ~~provost and vice president for academic affairs is the designated Institutional Official (IO)~~ and is ultimately responsible for compliance with this policy and accompanying procedures. The IBC will review and approve or reject all activities involving any known or potential rDNA/biohazardous materials, unless those materials are exempt under federal regulations and as set forth in this policy.

### **3.1- II. Scope**

This policy applies to all activities, teaching or research, that involve rDNA and/or biohazardous materials as defined in Section *5III*, below, that are:

- conducted by university faculty or staff;
- conducted using property and/or facilities owned by the university; and/or
- stored at any university-owned facility

*Environmental Health, Safety, and Risk Management Department (EHSRM) and IBC policies and procedures apply to all faculty, staff, students, visitors, and agents (and their employees) that are engaged in teaching or research activities involving rDNA and/or biohazardous materials.*

#### **~~4.0. IBC Registration with the National Institutes of Health~~**

~~The IBC will maintain active registration with the NIH Office of Biotechnology Activities (OBA) for purposes of rDNA research. A report will be filed with OBA at the beginning of each fiscal year that includes an updated list of IBC members, indicating the role, contact information and biosketch of each member. The OBA will be notified immediately upon a change in IBC membership, and this notice will include a revised list of members, contact information and biosketches. It is the responsibility of the IBC Chair to notify OBA of changes in IBC membership and for submitting the annual report on behalf of the university. The Office of Environmental Health, Safety and Risk Management (EHS&RM) is the official repository of IBC records.~~

### **~~5.1. III. Definitions of rDNA and/or Biohazardous Materials~~**

#### **~~5.2. A. rDNA~~**

*The NIH Guidelines for Research Involving Recombinant DNA Molecules (NIH Guidelines) define rDNA molecules as either: (1) molecules that are constructed outside of living cells by joining of natural or synthetic DNA segments to DNA molecules that can replicate in a living cell; or (2) molecules that result from the replication of those described in (1) above. Synthetic DNA segments that have the potential to produce harmful or potentially harmful polynucleotides or polypeptides (e.g. toxins, and pharmacologically active agents) are considered equivalents to their natural DNA counterparts.*

#### **~~5.3. B. Infectious Biological Agents~~**

Infectious biological agents include biological agents and/or biologically-derived materials that present or that may present a risk to the health and welfare of humans or animals, whether directly through infection or indirectly through damage to the environment. Categories of potentially infectious biological materials include:

- human, animal and plant pathogens (bacteria, parasites, fungi, viruses, prions);
- all human blood, blood products, tissues, and bodily fluids;
- cultured cells and potentially infectious agents these cells may contain or can support the proliferation of;
- clinical specimens; and
- infected or potentially infected animals and animal tissues

#### **~~5.4. C. Select Agents and Toxins~~**

The Department of Health and Human Services (HHS), Centers for Disease Control and Prevention (CDC), and the United States Department of Agriculture (USDA) have identified

select agents and toxins that have a high potential to pose a major threat to public, animal or plant health. These agents are subject to protocol and regulatory oversight by these agencies. The HHS/CDC list of select agents and toxins (including those that overlap with USDA) are identified at 42 CFR 73.3 (HHS list) and 42 CFR 73.4 (Overlap list). The USDA list of select agents and toxins are identified at 9 CFR 121.3.

Because SFA does not have a permit of registration with the CDC or USDA, the receipt, use, or storage of select agents and toxins that are not deemed to be excluded by HHS criteria ~~is not permissible~~ *are prohibited*.

#### **6.1. IV. Risk Assessment and Selection of Appropriate Safeguards**

Teaching or research activities that involve rDNA and/or biohazardous materials are classified on the basis of potential risk to humans. Risk classification determines the type of biological and physical containment level(s). There are no facilities at the university certified to conduct *research or teaching above Biosafety Level 2 (BSL-2) and above Risk Group 2 (RG-2). Biosafety Level 3 (BSL-3) or BSL-4 research or teaching.* The primary investigator (PI), ~~course instructor (CI) or course coordinator (CC) have the primary responsibility to conduct initial risk assessments and determine the appropriate level of risk and biological/physical containment level prior to the possession or use of rDNA and/or biohazardous material. The initial level of risk and biological/physical containment levels for rDNA and/or biohazardous materials is submitted to the IBC, and is subject to review and approval by the IBC. The director of the EHS&RM may make risk and biological/physical containment level recommendations to the IBC for all teaching or research involving rDNA and/or biological hazards.~~

#### **6.2. A. Risk Group Classification**

Agents are classified into ~~three~~two risk groups according to their relative pathogenicity for healthy adult humans. These ~~three~~two risk groups are:

- Risk Group 1 (RG-1) – Agents that are not associated with disease in healthy adult humans.
- Risk Group 2 (RG-2) – Agents that are associated with human disease that is rarely serious and for which preventative or therapeutic interventions are often available.
- ~~Risk Group 3 (RG-3) – Agents that are likely to cause serious or lethal disease in humans for which preventative or therapeutic interventions are not usually available.~~

The following resources are available for reference when determining the risk group of a particular rDNA and/or biohazardous agent:

- ~~NIH Guidelines, Appendix B, Classification of Human Etiologic Agents on Basis of Hazards.~~
- ~~BMBL, Section VII, Agent Summary Statements.~~
- ~~Canadian Laboratory Biosafety Guidelines.~~
- ~~World Health Organization Biosafety Guidelines.~~

- ~~American Biological Safety Association's Risk Group Classification for Infectious Agents.~~

### **6.3. Factors Used in Determining Risk Groups**

~~In addition to the risk group of the respective agent, the following factors should be considered in assessing risk and determining the level of physical and biological containment:~~

- ~~pathogenicity of the biohazardous material—disease incidence and severity;~~
- ~~virulence—the relative pathogenicity of the agent and any virulence factors;~~
- ~~operations—the method by which the agent will be utilized during the teaching or research;~~
- ~~route of transmission—the potential for aerosol transmission;~~
- ~~stability of the agent—factors such as desiccation, exposure to sunlight or ultraviolet light, or exposure to chemical disinfectants;~~
- ~~infectious dose and communicability of the agent—the range from the healthiest immunized individual to the individual with the least resistance;~~
- ~~concentration of the agent—the concentration of the agent and the activities planned;~~
- ~~origin of the biohazardous materials—factors such as geographic location, host and nature of the source;~~
- ~~availability of data from animal studies—can be useful in the absence of data from studies involving humans;~~
- ~~established availability of immunizations/vaccines and/or treatment—the unavailability or limited supply of immunizations/vaccines and/or treatment may impact the risk involved in the use of biohazardous materials; and~~
- ~~gene product effects such as toxicity, physiological activity, and allergenicity~~

~~Any strain that is known to be more hazardous than the wild-type strain should be considered for handling at a higher containment level. Certain attenuated strains, or strains that have lost certain virulence factors, may qualify for a reduction in the containment level compared to the wild-type strain. See NIH Guidelines, Section V-B, and Section I-IV.~~

### **6.4. B. Biological and Physical Containment (Biosafety Level)**

The final assessment of risk, based on the agent's risk group and other risk factors, should be used to determine the appropriate biosafety level (BSL-1 or BSL-2) for the rDNA and/or biohazardous materials. The level of biosafety describes the degree of physical and biological containment required to contain rDNA and/or biohazardous materials in order to reduce or eliminate the potential for exposure of all personnel, whether inside or outside of the facility, as well as the environment.

Following is a general description of the acceptable biosafety levels at the university:

- Biosafety Level 1 (BSL-1) – Suitable for work involving biohazardous materials of a minimal potential hazard to personnel and the environment.
- Biosafety Level 2 (BSL-2) – Suitable for work involving biohazardous materials of a

moderate potential hazard to personnel and the environment. The biohazardous materials are associated with human disease that is rarely serious and for which preventative or therapeutic interventions are often reliable.

Additionally, there are specific biosafety levels for work with rDNA and/or biohazardous agents involving plants or animals. Additional information on these can be found in the BMBL and the *NIH Guidelines* Section III and Appendix P (plants) and Q (animals).

~~As previously noted, SFA does not have facilities for BSL-3 or BSL-4 containment and all teaching or research involving the use or possession of agents requiring these levels of containment is strictly prohibited in or on any university-owned property.~~

### **7.1. Biosafety Regulations and Guidelines**

~~This policy is based on the following regulations and guidelines:~~

- ~~▪ ***NIH Guidelines for Research Involving Recombinant DNA Molecules (NIH Guidelines)***~~

~~[http://oba.od.nih.gov/rdna/nih\\_guidelines\\_oba.html](http://oba.od.nih.gov/rdna/nih_guidelines_oba.html)~~

- ~~▪ The university is responsible for ensuring that teaching or research using rDNA is conducted in compliance with these guidelines. This requires a combined effort of the PI, CI, or CC along with the IBC, EHS&RM, and other university official(s).~~

- ~~▪ ***Biosafety in Microbiological and Biomedical Laboratories (BMBL)***~~

~~<http://www.cdc.gov/OD/ohs/biosfty/bmb15/bmb15toc.htm>~~

- ~~▪ This document, published by the CDC and NIH, is considered to be the standard for biosafety and contains guidelines for microbiological practices, safety equipment, and facilities that constitute the four biosafety levels.~~

### **8.1. V. Responsibilities**

*The provost and vice president for academic affairs is responsible for compliance with this policy and accompanying procedures.* ~~The responsibility for biosafety in teaching and research ultimately lies with the provost and vice president for academic affairs, who oversees the IBC, the safety officer, and faculty and staff who obtain, possess, or use rDNA and/or biohazardous materials. It is the role of the IBC to review, approve/reject, and provide oversight and guidance to individuals at the university, or that use property owned by the university, who seek to use or possess rDNA and/or biohazardous materials for teaching or research. The possession and/or use of rDNA and/or biohazardous materials at the university, or in conjunction with the university, must be conducted with safeguards in place to protect against environmental release.~~

### **8.2. A. Laboratory Supervisors, Faculty and Staff General PI, CI, or CC Responsibilities**

~~The PI, CI, or CC shall:~~

- ~~• Obtain IBC approval prior to initiating or modifying any teaching or research involving rDNA and/or biohazardous materials;~~
- ~~▪ Not initiate or modify any teaching or research involving rDNA and/or biohazardous~~

~~materials subject to IBC approval under this policy or NIH Guidelines until the proposed teaching or research modification(s) has been approved by the IBC;~~

- ~~Immediately report any significant problems or accidents and illnesses to the EHS&RM safety officer, the IBC chair, and any other university committee or official that has reviewed and approved the research activity (e.g. the Institutional Animal Care and Use Committee or the Radiation Safety Officer); and~~
- *Comply with all local, state, and federal requirements when teaching or research involves rDNA and/or biohazardous materials;*
- *Comply with all local, state and federal requirements when teaching or research involves rDNA and/or biohazardous materials;*
- *Develop Standard Operating Procedures (SOPs) incorporating biosafety procedures or a biosafety manual prepared specifically for the teaching or research classroom or laboratory;*
- *Ensure that all personnel and students are properly trained on the potential hazards associated with the teaching or research activities and the necessary precautions to prevent exposures;*
- *Provide personal protective equipment required for work with the respective rDNA and/or biohazardous material;*
- *Supervise the safety performance of the teaching or research staff and personnel to ensure that the required safety practices and techniques are employed;*
- *Correct work errors and conditions that may result in the release of rDNA and/or biohazardous materials;*
- *Ensure the integrity of the biological and physical containment (biosafety level);*
- *Ensure the security of rDNA and/or biohazardous materials at all times; and*
- *Initiate or modify no rDNA research that requires prior IBC approval before initiation, until that research or the proposed modification(s) has been approved by the IBC and has met all other requirements.*

### **~~8.3. PI, CI, or CC Responsibilities Prior to Initiation of Teaching or Research Involving rDNA and/or Biohazardous Materials~~**

~~Prior to initiation of teaching or research involving rDNA and/or biohazardous materials, the PI, CI, or CC must:~~

- ~~Review all applicable guidelines and regulations and become familiar with all safety procedures and requirements related to the rDNA and/or biohazardous materials involved.~~
- ~~Develop Standard Operating Procedures (SOPs) incorporating biosafety procedures or a biosafety manual prepared specifically for the teaching or research classroom or laboratory. Each manual must include a protocol submitted to the IBC that describes the potential biohazards and the precautions to be taken (e.g. hazards and risks, immunizations, personal protective equipment, decontamination, storage and disposal, and/or spill procedures). Copies of this manual must be located in each teaching and research classroom or laboratory and made readily accessible to all personnel including the IBC Chair.~~

- Establish policies and procedures to limit access to those individuals who have been properly advised on all potential hazards and meet specific entry requirements (e.g., immunization, or training on the use of protective clothing or equipment).
- Instruct all personnel and students on the potential hazards associated with the teaching or research activities, the necessary precautions to prevent exposures, and exposure evaluation procedures. Ensure that all personnel receive annual training updates or additional training as necessary for all procedural and/or policy changes.
- Instruct personnel and students in aseptic techniques and in the biology of the organisms or agents used so that potential biohazards are understood and appreciated.
- Instruct and train personnel and students in the practices and techniques required to ensure safety and the procedures for dealing with and reporting accidents, spills, and illnesses.
- Comply with all required occupational health requirements, including ensuring that all personnel know the reasons and provisions for precautionary medical practices implemented and ensuring that personnel are offered, at no cost, appropriate immunizations or tests for the biohazardous materials handled or potentially present.

#### **8.4. PI, CI, or CC Responsibilities During the Conduct of Teaching or Research Activities Involving rDNA and/or Biohazardous Materials**

During teaching or research or any other use of rDNA or biohazardous materials, the PI, CI, or CC must:

- Limit or restrict access to the teaching or research laboratory or classroom when work with the rDNA and/or biohazardous materials is in progress, including a determination of who may be at increased risk.
- Provide personal protective equipment required for work with the respective rDNA and/or biohazardous material.
- Supervise the safety performance of the teaching or research staff and personnel to ensure that the required safety practices and techniques are employed.
- Correct work errors and conditions that may result in the release of rDNA and/or biohazardous materials.
- Ensure the integrity of the biological and physical containment (biosafety level).
- Ensure the security of rDNA and/or biohazardous materials at all times.

#### **8.5. Specific Responsibilities Regarding rDNA**

The NIH Guidelines are applicable to all rDNA research conducted within the United States. It is the responsibility of the university to ensure that rDNA teaching or research conducted at or sponsored by the university, irrespective of the funding source, complies with the Guidelines as a condition of funding.

#### **8.6. General PI, CI, or CC Responsibilities Regarding rDNA Teaching or Research**

In addition to all responsibilities discussed above, the PI, CI, or CC must:

- Not initiate or modify any rDNA research that requires prior IBC approval before initiation,

until that research or the proposed modification(s) has been approved by the IBC and has met all other requirements of the NIH Guidelines.

- Determine whether experiments are covered by Section III-E, *Experiments that Require Institutional Biosafety Committee Notice Simultaneous with Initiation*, of the NIH Guidelines, and ensure that all appropriate procedures are followed.
- Report any significant problems with the NIH Guidelines, or any significant teaching or research-related accidents and illnesses to the safety officer, the IBC chair, the director of the Office of Research and Sponsored Programs (ORSP) as appropriate, and any other appropriate university committees or officials that have approved the research.
- Report any new information bearing on the NIH Guidelines to the IBC and to the NIH OBA.

### **8.7. PI, CI, or CC Responsibilities for Submissions to the NIH OBA**

As per Section IV-V 7 b of the NIH Guidelines, the PI, CI, or CC must:

- Submit information to the NIH OBA, with notice to the IBC, for certification of new host-vector systems.
- Petition the NIH OBA, with notice to the IBC, for proposed exemptions to the NIH Guidelines.
- Petition the NIH OBA, with notice to the IBC, for approval to conduct teaching or research specified in NIH Guidelines Section III-A-1, *Major Actions under the NIH Guidelines*, and Section III-B, *Experiments that Require NIH OBA and Institutional Biosafety Committee Approval before Initiation*.
- Petition the NIH OBA, with notice to the IBC, for determination of containment of experiments requiring case-by-case review.
- Petition the NIH OBA, with notice to the IBC, for determination of containment for experiments not covered by the NIH Guidelines.

### **8.8. PI, CI, or CC Responsibilities Regarding Access to Teaching or Research Facilities**

All teaching and research facilities are property of the university and subject to university rules on access. All faculty, staff, and personnel are required to allow access to their facilities that are registered for rDNA and/or biohazardous materials to the IBC and the EHS&RM, and the ORSP director for routine laboratory inspections.

### **8.9. B. Environmental Health, Safety, & Risk Management DutiesResponsibilities:**

It is the responsibility of the director of the EHS&RM to provide access to a safety officer(s) to aid in the protection of university students, faculty and staff from possession or use of rDNA and/or biohazardous materials. The safety officer's duties include, but are not limited to:

- Inspect periodically (minimum of one per fiscal year) inspections of all laboratories and classrooms conducting rDNA and/or biohazardous research to ensure that proper standards are strictly followed.

- *Ensure that each laboratory has up-to-date standard operating procedure manuals that meet EHSRM standards.*
- ~~reporting~~ *Report to the IBC Chair any significant problems, violations of NIH Guidelines, and any significant accidents or illnesses;*
- ~~assisting~~ *Assist the PI, CI, or CC Laboratory personnel with the development of emergency plans for handling accidental spills and personnel contamination;*
- ~~investigating~~ *Investigate accidents involving rDNA and/or biohazardous materials;*
- *Adopt and implement emergency plans set forth with the assistance of the safety officer for accidental spills and personnel contamination.*
- ~~providing~~ *Provide information on spills and incidents to the IO, who will inform public health officials as required;*
- ~~providing~~ *Provide advice on laboratory security;* and
- ~~providing~~ *Provide advice to the IBC, faculty and staff on safety procedures.*

### **9.1. C. IBC Responsibilities**

~~The IBC is established to provide local review and oversight of research utilizing rDNA and to review a variety of experimentation that involves biological materials and other potentially hazardous agents.~~

#### **9.1.1. IBC Responsibilities as per NIH Guidelines Section IV-B-2-b:**

- Review and consider for approval teaching or research activities involving rDNA *and other potentially hazardous agents* that ~~is~~ are sponsored by, or conducted at, the university for compliance with the NIH Guidelines. This relates to initial and annual review of approval and modifications to all proposals and activities.
- Assess facilities, procedures, practices, training, and expertise of personnel taking part in *such* teaching or research ~~involving rDNA.~~
- Notify the ~~PI, CI, or CC~~ and ORSP if appropriate *EHSRM* of the IBC's review results, including approval or rejection, *and the Office of Research and Sponsored Programs for externally funded research activities.*
- ~~Assess, modify and finalize containment levels for teaching or research. involving rDNA.~~
- ~~Adopt and implement emergency plans set forth with the assistance of the safety officer for accidental spills and personnel contamination resulting from rDNA research.~~
- Review and report, ~~along with the safety officer,~~ any significant problems with or violations of the NIH Guidelines, accidents, or illnesses to the ~~IO~~ (the provost and vice president for academic affairs) and to the NIH OBA as required by section IV-B-1-j of the NIH Guidelines.

#### **9.1.2. Other IBC Responsibilities**

- ~~Develop appropriate procedures to supervise the possession and/or use of rDNA and/or biohazardous materials as outlined by the NIH and/or BMBL.~~
- ~~Suspend or terminate IBC protocol approval for any teaching or research involving rDNA~~

and/or biohazardous materials immediately upon a finding of noncompliance or a finding that such use or possession poses an immediate threat to the health and safety of the community.

- Review the IBC policies and procedures and modify as necessary to ensure compliance with federal, state, and university requirements.
- Review all teaching and research protocols that include the possession or use of rDNA and/or biohazardous materials for compliance with the NIH Guidelines and the BMBL.

As part of the review process, the IBC will:

- assess the containment levels (BSL-1 or BSL-2);
- assess the facilities, procedures, practices, training, and expertise of personnel involved in teaching or research using rDNA and/or biohazardous materials; and
- ensure compliance with the NIH Guidelines and BMBL for all surveillance, data reporting, and adverse event reporting requirements.

### **9.1.3. Teaching or research that requires IBC approval include those that involve:**

- The deliberate transfer of a drug resistance trait to microorganisms that are not known to acquire the trait naturally.
- The deliberate transfer of rDNA or DNA or RNA derived from rDNA into human research participants (human gene transfer).
- The deliberate formation of rDNA containing genes for the biosynthesis of toxin molecules lethal for vertebrates at an LD50 of less than 100 ng/kg.
- Using Risk Group 2 or Risk Group 3 agents as host-vector systems.
- The cloning of DNA from Risk Group 2 or greater agents into non-pathogenic prokaryotes or lower eukaryotic host-vector systems.
- The use of infectious or defective Risk Group 2 or greater agents.
- Whole animals in which the animal's genome has been altered by stable introduction of rDNA or DNA derived into the germ-line (transgenic animal).
- Viable rDNA modified microorganism tested on whole animals.
- Genetically engineered plants by rDNA methods.
- More than 10 liters of culture (over the entire length of the project).
- The formation of rDNA molecules containing two-thirds or more of the genome of a eukaryotic virus.

Teaching or research requiring BSL-2 containment must be reviewed and approved prior to the initiation of experiments. Teaching or research using BSL-1 containment must also undergo IBC review, and must be submitted no more than one month after the onset of the respective teaching or research methods. Teaching or research involving select agents and/or select toxins that are not deemed to be excluded by HHS criteria, or require BSL-3 or BSL-4 containment will not be approved.

### **9.1. IBC Membership**

Per the NIH OBA, the IBC is composed of at least five voting members who are recommended for appointment by the IBC chair; recommendations will be considered for approval by the provost and vice president for academic affairs. Members must represent the faculty and the community at large, and will have the experience and expertise required to identify potential risks to public health, animal and plant health or products, and the environment. The IBC will be composed of the following:

- at least one individual with expertise in rDNA technology and/or biological safety and/or physical containment;
- at least one scientist with expertise in biological safety and physical containment;
- at least one individual with expertise in the use, storage, transfer, and disposal of biohazardous materials;
- at least one scientist with expertise in plant, plant pathogen, or plant pest containment principles;
- at least one scientist with expertise in animal containment principles;
- one individual representing laboratory technical staff;
- an EHS&RM safety officer; and
- at least two members who are not affiliated with the university and who represent the interests of the surrounding community with respect to health and protection of the environment.

A single member can represent more than one of the above criteria. The IBC may invite consultants knowledgeable in community attitudes and the environment to its meetings as necessary to assist in the review process, but such consultants shall not vote.

### **9.2. IBC Chair Appointment**

The IBC chair is appointed by the provost and vice president for academic affairs to a four-year term. The chair shall be a qualified faculty or staff member who is currently pursuing research involving rDNA and/or biohazardous materials. Whenever possible, the IBC chair shall be granted a one-course release each semester.

### **9.3. IBC Chair Responsibilities**

The chair shall recommend the IBC members, preside over the IBC meetings, serve as one of two contacts for all regulatory agencies (in addition to the safety officer), and act as a liaison between the academic community and the IBC. IBC members will vote on a member of the IBC to serve as vice chair in the chair's absence. The chair will divide the IBC into subcommittees that will review all submitted teaching or research protocols to determine their exempt or non-exempt status and provide details back to the entire IBC.

### **9.4. IBC Regular Meetings and Minutes**

The IBC will publicly meet at least four times each fiscal year and more often as necessary to review and approve protocols and conduct continual review of approved protocols. Before each regular meeting, members of the IBC will receive a copy of all materials to be reviewed at the meeting.

Minutes of IBC meetings will include:

- attendance of members and guests;
- IBC actions taken on each reviewed protocol and any required modifications for IBC approval;
- a record of members who are absent due to a conflict of interest; and
- the basis for rejecting any protocols that are reviewed.

Section II A and Section III of the NIH Guidelines cite items that the IBC should consider with respect to the review of proposed rDNA teaching or research. These include:

- agent characteristics (e.g. virulence, pathogenicity, environmental stability);
- types of manipulations planned;
- source(s) of the inserted DNA sequences (e.g. species);
- nature of the inserted DNA sequences (e.g. structural gene, oncogene);
- host(s) and vector(s) to be used;
- whether an attempt will be made to obtain expression of a foreign gene, and if so, the protein that will be produced;
- containment conditions to be implemented; and
- applicable sections of the NIH Guidelines (e.g. Section III-D-1, Section III-E-1, etc.)

IBC meeting minutes will include references for each of the above criteria, as appropriate, for each protocol. The intent of the minutes will be to provide sufficient detail about the discussions of these matters to document the committee's rationale for particular decisions. All minutes will be made publicly available by the university upon request.

### **9.5. Emergency Meetings**

The IBC chair may call an emergency meeting of the committee as necessary to address noncompliance issues or serious/unexpected events involving biohazardous materials at the university.

### **9.6. Attendance and Quorum**

Members are expected to attend the majority of all IBC meetings, whether regular or emergency meetings. Those that attend 50% or less of the total meetings in an academic year will be contacted by the IBC chair to increase their attendance. Members who continue to fail to attend meetings on a regular basis will be removed from the committee.

Final approval or rejection of non-exempt protocols involving rDNA and/or biohazardous materials requires a majority vote of present voting IBC members. Members who have a conflict of interest in the project (i.e. are acting as the PI, CI, or CC, have a financial interest in the project, etc.) shall not be present during the IBC's initial or continuing review (deliberations and voting) of the protocol. Those with a conflict of interest are still required to submit any information requested by the IBC. If a quorum is lost at any time during the meeting, the meeting will be adjourned and no further action shall be taken by the IBC until a quorum is established.

### **9.7. IBC Records Retention**

The following records will be retained by the IBC chair for a minimum of three years after the completion of the research or teaching protocol for non-funded activities and for funded activities by the retention date established by the ORSP:

- IBC meeting minutes;
- all protocols and attachments; and
- a list of all IBC members.

All IBC procedures will be posted on the ORSP and EHS&RM websites. The IBC will maintain its original NIH OBA registration, and all correspondence, annual reports, and notices of new members until the IBC is no longer registered with NIH OBA. These records will be maintained by the ESH&SM department.

### **9.8. Adverse Event Reporting Requirements**

Any and all teaching and/or laboratory incidents must be reported to the PI, CI, or CC. Any incident that exposes or has the potential to expose any individual, either directly or indirectly, to any uncontained agent, toxin, or chemical must be reported immediately, on the day of occurrence, to the ESH&SM department, and the IBC chair. As per Section IV-B-2-b-(7) of the NIH Guidelines any significant problems, violations of the NIH Guidelines, or any significant research or teaching related accidents and illnesses related to rDNA must be reported to the NIH OBA within 30 days of the event. In the case of an rDNA exposure in a BSL-2 setting, all spills and incidents must be reported to the NIH OBA immediately. Adverse events that must be reported include but are not limited to any overt exposure or potential exposure such as a needle stick, splashes of rDNA, or contamination from equipment failure. Adverse events may also occur due to a breach in containment that may be determined to exert an overt or potential exposure to any individual. Because rDNA is considered biohazardous, any and all incidents involving disposal of rDNA must also be reported.

The university considers all rDNA and/or biohazardous incidents to be reportable to the IBC and EHS&RM, regardless of whether they have been determined to be exempt from the NIH Guidelines. A mandatory investigation and internal report will be completed for all incidents. If

there is any doubt regarding whether events should or should not be reported, the safety officer or the IBC chair should be consulted.

### **9.8.1. Method of Adverse Event Reporting**

It is the responsibility of the PI, CI, or CC to be properly trained, and to train all personnel in proper safety methods and adverse event reporting to university officials. Any incident must be immediately reported to the safety officer, whose contact information can be found on the EHS&RM website as well as the IBC chair. A phone call to the University Police Department will also result in contact of the safety officer and IBC chair.

The safety officer or IBC chair will report all significant incidents involving rDNA and/or biohazardous materials to the IBC via the Rapid Response Team (RRT). The RRT is a subcommittee of the IBC appointed annually by the IBC Chair. Permanent members of the RRT include the safety officer, IBC chair, director of ORSP, and the director of EHS&RM. The RRT will evaluate any incident that involves rDNA and/or biohazardous materials within 24 hours of receiving the report, and will immediately notify all members of the IBC, EHS&RM, and the IO. It is preferred that all personnel submit the Adverse Event Form when submitting a report to the safety officer and IBC chair; however, depending on the time of occurrence and severity of the event, this may not be the case. The RRT will use the Adverse Event Form to make a formal report to the IBC and IO, and in required instances to the NIH OBA. The IBC is responsible for review of all reported incidents provided by the RRT.

### **9.9. Compliance Oversight and Appropriate Actions Taken**

The IBC has the authority to address all non-compliance issues with this policy and related procedures, the NIH Guidelines, the BMBL, and/or other state and federal requirements. Non-compliance of any type by an individual may result in the IBC taking one or more of the following actions:

- suspending the use and/or storage of rDNA and/or biohazardous material;
- terminating the IBC approved protocol for the rDNA and/or biohazardous material;
- confiscating the rDNA and/or biohazardous material;
- destroying the rDNA and/or biohazardous material;
- any action necessary to protect the public and/or the university, including transfer of locks on research labs and/or teaching classrooms/labs to suspend activity; and
- reporting to the NIH, CDC, USDA, and/or any other local, state, or federal agency.

### **10.1. IBC Review**

Any faculty or staff member, or other personnel who wants to possess or use rDNA and/or biohazardous materials, including those whose protocols are deemed exempt by the NIH Guidelines, must submit a protocol permit registration document with the IBC. The IBC will review and approve any and all teaching and/or research activities involving: (1) rDNA; (2)

infectious agents capable of infecting humans, animals, or plants; and (3) any other potentially biohazardous materials. Neither the university nor the IBC will approve any use or possession of select agents and toxins that are not deemed to be excluded by HHS criteria. Any questions on exemptions to the select agents and toxins should be directed to the IBC chair. Some federal regulations allow exemption for some types of rDNA use; however, applications for rDNA projects must be submitted to the IBC so that the IBC is aware of the activities and can verify that they are exempt.

No personnel will obtain or use rDNA and/or biohazardous materials until the respective protocol has been approved by the IBC. Modifications of approved protocols should not occur until approved by the IBC.

### **10.2. IBC Review of Teaching or Research Involving rDNA and/or Biohazardous Materials**

Any teaching or research involving rDNA and/or biohazardous materials conducted on or in university-owned property is subject to review and approval by the IBC. The PI, CI, or CC must submit an IBC Permit Registration form to the IBC chair. Approval must be obtained before initiating any teaching or research involving rDNA and/or biohazardous materials.

If teaching or research involving rDNA falls into any of the conditions below, approval by the NIH, NIH OBA, and its committees, in addition to the IBC, is required:

- ~~Experiments Requiring IBC Approval, RAC Review, and NIH Director Approval Before Initiation (See NIH Guidelines, Section III A) — This includes experiments considered as Major Actions under the NIH Guidelines and experiments involving the deliberate transfer of a drug resistance trait to microorganisms that do not acquire the trait naturally, if such acquisition could compromise the use of the drug to control disease in humans, veterinary medicine, or agriculture.~~
- ~~Experiments Requiring NIH OBA and IBC Approval Before Initiation (See NIH Guidelines, Section III B) — This covers experiments involving the cloning of toxin molecules with LD50 of less than 100 ng/kg body weight.~~
- ~~Experiments Requiring IBC and IRB Approvals and RAC Review Before Research-Participant Enrollment (See NIH Guidelines, Section III C) — These experiments involve the deliberate transfer of rDNA, or DNA or RNA derived from rDNA, into human subjects (human gene transfer).~~
- ~~Experiments Requiring IBC Approval Before Initiation (See NIH Guidelines, Section III D) — Full board review and approval required before commencing research. This category covers the following subsections: (1) experiments using RG-2, RG-3, RG-4 or restricted agents as host vector systems; (2) experiments in which DNA from RG-2, RG-3, RG-4, or restricted agents is cloned into nonpathogenic prokaryotic or lower eukaryotic host vector systems; (3) experiments involving the use of infectious DNA or RNA viruses or defective DNA or RNA viruses in the presence of helper virus in tissue culture systems; (4)~~

experiments involving whole animals and/or whole plants; and (5) experiments involving more than 10 liters of culture.

- ~~Experiments Requiring IBC Notice Simultaneous with Initiation (See NIH Guidelines, Section III E)—This includes experiments not included in NIH guidelines Sections III A, III B, III D, III F, and their subsections. Under this policy, IBC approval is required prior to initiation of the teaching or research.~~
- ~~Exempt Experiments (See NIH Guidelines, Section III F)—Refer to the list below for a list of rDNA molecules that are exempt from the guidelines. Under these IBC policies, protocol and approval of the exempt status by the IBC is required prior to initiation of the teaching or research. The IBC chair has the authority to make this determination and provide information on all decisions made to the IBC through meeting agendas and minutes.~~

If an rDNA experiment falls into NIH Guidelines Section III F (Exempt) and into either Sections III D or III E as well, the experiment is considered exempt from the NIH Guidelines, but is still subject to approval of exempt status prior to initiation of teaching or research activities.

### **10.3. Notice of IBC Action**

After reviewing the submitted IBC Permit Registration form, the IBC chair will provide written notification of the chair's/IBC's decision (approved or rejected) to the PI, CI, or CC, and to ORSP, as applicable. In some instances, the IBC and/or IBC chair may require additional information to complete the review process. In such instances, the IBC chair will contact the PI, CI, or CC to request further information which must be submitted to the IBC before any further action will be taken regarding the IBC Permit Registration. If the requested information is not submitted to the IBC at least one month prior to the next scheduled IBC meeting, the respective IBC permit registration will be rejected, and the PI, CI, or CC will be required to resubmit their application.

### **10.4. Length of Approval of IBC Permits Involving rDNA and/or Biohazardous Materials**

IBC approval of permits for rDNA and/or biohazardous materials is valid for three years. All IBC approvals must undergo an annual review, unless a shorter period is determined to be required by the IBC. The IBC will inform each PI, CI, or CC of the date upon which the annual review must be complete. Each PI, CI, or CC must submit the Annual Permit Renewal Form to the IBC at least one month prior to the next meeting of the IBC. The IBC chair will notify the PI, CI, or CC of all decisions that are made.

### **10.5. Modifications to Approved Protocols**

No changes or modifications to the approved IBC permit should be implemented without prior review and approval of the IBC. This includes, but is not limited to, modification of rDNA and/or biohazardous materials, procedure changes, changes in personnel, termination or transfer of the approved agents, or changes that increase the risk of the project and/or the biosafety level.

~~An IBC Amendment Form must be submitted to the IBC for review and approval. The IBC chair will notify the PI, CI, or CC, and ORSP, as applicable, of all decisions that are made.~~

**Cross Reference:** *NIH Guidelines for Research Involving Recombinant DNA Molecules; Biosafety in Microbiological and Biomedical Laboratories (BMBL); 7 CFR Part 331; 9 CFR 121.3; 42 CFR 73.3-.4; ~~42 CFR 73.4; 9 CFR 121.3.~~*

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

**Contact for Revision:** Institutional Biosafety Committee Chair

**Forms:** Permit Registration, Annual Renewal, Adverse Event, BSL2 SOP Template, BSL2 Manual Template

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

**POLICY SUMMARY FORM**

**Policy Name:** Records Management

**Policy Number:** 2.9

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

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

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

**Purpose of Policy (what does it do):** Establishes guidelines for the management of all university records.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes; minor clarifications and updating of titles.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Linda Reynolds, University Records Manager  
Damon Derrick, General Counsel

## Records Management

**Original Implementation:** February, 1975

**Last Revisions:** ~~January 28, 2014~~ January 31, 2017

The university adheres to state regulations for the management of its records. All university records, regardless of medium (including print or electronic), created or received in connection with the normal course of business are considered state records. Extra copies maintained only for reference are not subject to the university records retention schedule. The retention schedule lists the university's records series and identifies legal, audit, archival and/or retention requirements. Statutory confidentiality requirements must be maintained.

Certain inactive records are retained to meet legal and fiscal requirements, future administrative needs, or historical significance.

Unit heads must manage university records according to the following guidelines:

1. University records are the property of the university.
2. University records must not be destroyed without the approval of the unit head in accordance with the retention schedule.
3. The Records Management Division of the Texas State Library and Archives Commission must approve the destruction of any record not listed in the retention schedule.
- ~~3.4.~~ *A record may be destroyed prior to its retention period on the retention schedule only with the special consent of the Records Management Division of the Texas State Library and Archives Commission and, if the record possesses fiscal or financial value, with the concurrent consent of the State Auditor. The approval of the State Auditor is required to destroy records of a fiscal or financial nature.*
- ~~4.5.~~ Records with archival value listed on the retention schedule must be transferred to the East Texas Research Center. For records determined to have archival value, but not listed as such on the schedule, contact the ~~university archivist~~ *university records management officer*.
6. Administrative officers will consult with the general counsel on any question of compliance with the Texas Public Information Act.
- ~~5.7.~~ *SFA's Records Management Program is overseen by the East Texas Research Center located in the R. W. Steen Library.*
- ~~6.8.~~ Each administrative office will designate an individual *as the records management coordinator for their office and provide this person's contact information to the university records manager. Each office's records management coordinator will* ~~to~~ consult with the ~~university archivist~~ *records manager* regarding implementation of the records management program to include the following:
  - A. Evaluate files at least once a year to ensure that records are retained in accordance with the SFA records retention schedule.

- B. Dispose of obsolete records with no archival value according to the retention schedule.
- C. Obtain permission from the state to dispose of records not listed on the retention schedule. ~~Certain records exempted by the Texas State Library do not require approval for destruction.~~
- D. List all records on the *SFA approved* Records Disposition Log before destruction, ~~maintain the log until the end of the fiscal year and forward the log to the university archivist/records manager.~~

**Cross Reference:** Tex. Gov't Code §§ 441.180-.205; 13 Tex. Admin. Code Ch. 6

**Responsible for Implementation:** President

**Contact for Revision:** SFA Records *Management Officer-Administrator*; General Counsel

**Forms:** Records Inventory Worksheet (RMD 103); Records Disposition Log; Request to Dispose of Records not listed in Records Retention Schedule (RMD 102); and Records Retention Schedule (SLR 105E)

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

## POLICY SUMMARY FORM

**Policy Name:** Safe and Vault Combinations

**Policy Number:** 14.9

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

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

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

**Purpose of Policy (what does it do):** Governs safekeeping of valuables/money

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

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

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Danny R. Gallant, Vice President for Finance and Administration  
 Damon Derrick, General Counsel

## Safe and Vault Combinations

**Original Implementation:** Unpublished

**Date of Last Revision:** ~~January 28, 2014~~ *January 31, 2017*

Current combinations for safes or vaults holding cash, checks, or other valuable documents must be on file in the office of the vice president for finance and administration.

The department head must submit a memorandum indicating the location of the safe or vault, combination, date of last combination change, if known, and the names of all employees that have access to the vault combination. The memorandum must be delivered to the vice president for finance and administration in a manner such that no unauthorized person is able to access the confidential information.

The vice president for finance and administration must be notified when changes are made to safe or vault combinations, when the safe or vault is moved or transferred to another department, or when the safe or vault is removed from university property records. Safe and vault combinations must be changed anytime an employee who knows the combination terminates employment.

Annually, the vice president for finance and administration will request the safe or vault custodian in each department to verify the information on file.

**Cross Reference:** None

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

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

**Forms:** None

**Board Committee Assignment:** Finance and Audit

## POLICY SUMMARY FORM

**Policy Name:** Selection of Academic Deans

**Policy Number:** 4.9

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

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

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

**Purpose of Policy (what does it do):** Describes dean search committee responsibilities.

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

- ☒ 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:** Only minor changes were made; nothing substantive.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Affairs Policy Committee  
 Faculty Senate  
 Deans Council  
 Dr. Steve Bullard, Provost and Vice President for Academic Affairs  
 Damon Derrick, General Counsel

## Selection of Academic Deans

**Original Implementation:** Unpublished

**Last Revision:** ~~July 29, 2014~~ January 31, 2017

The academic dean is the chief executive of the college and is responsible for fostering excellence in teaching, research/scholarship/creative activity, and service. Reporting directly to the provost and vice president for academic affairs, the academic dean has a major role in developing and interpreting university policy.

This policy outlines search procedures and responsibilities for the selection of an academic dean.

**Selection of the Search Committee:** The search process begins with the establishment of a search committee. After consulting with college faculty and academic unit heads, the provost and vice president for academic affairs determines the search committee size and composition, and appoints an academic dean (outside the college) to serve as chair. Ideally, the committee will be composed of an odd number of members (elected or appointed) consisting of at least one representative from each of the academic units of the college and having a balanced mix of faculty and academic unit heads. Additionally, students and outside representatives may be elected or appointed to serve as *non-voting* ex-officio members of the committee.

If a fully open search is not viable, a decision limiting the scope of the search should be made prior to the selection of the search committee. Such a decision will be made by the provost and vice president for academic affairs in consultation with the academic unit heads and college faculty.

The provost and vice president for academic affairs will convene the committee for its organizational meeting. The committee may choose to elect other committee officers. The chair may designate a committee member from the respective college as a contact for external inquiries.

**Search Committee Responsibilities:** The search committee coordinates the recruitment process, working closely with the provost and vice president for academic affairs. The committee is responsible for developing a position description, advertising the position, screening candidates, and arranging candidate interviews. Each search will be conducted without prejudice for internal or external candidates. The committee will contact human resources for mandatory training and for assistance as needed.

Ordinarily, at least two candidates recommended by the committee will be interviewed on campus. The itinerary for the interviews will provide ample opportunity for candidates to meet college faculty, students, academic unit heads, other deans, vice-presidents, and the president. After interviewing candidates, the committee will make its recommendation to the provost and vice president for academic affairs.

Appointment is by the president and requires approval of the Board of Regents.

**Funds for Recruitment:** Expenses incurred during the search are generally borne by the college ~~with the vacancy conducting the search~~ with possible additional funds from other sources.

**Cross Reference:** Faculty Handbook, Human Resources Selection Procedures for Faculty and Staff; Employee Affirmative Action/Recruitment Plan (11.9); Affirmative Action (11.1)

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

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

**Forms:** Human Resources hiring forms

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

## POLICY SUMMARY FORM

**Policy Name:** Small-Size Classes

**Policy Number:** 7.26

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

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

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

**Purpose of Policy (what does it do):** Describes circumstances under Texas Higher Education Coordinating Board rules under which under enrolled classes may be taught.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes. Only minor changes in wording.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

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

## Small-Size Classes

**Original Implementation:** November 4, 1977

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

This policy applies to courses ~~for which the~~ whose primary mode of instruction is lecture, laboratory, or seminar. Small-size classes are undergraduate classes with fewer than 10 registered students and graduate classes with fewer than five registered students. Minimum enrollment requirements for off-campus, face-to-face courses are addressed in policy 5.13, *Off-Campus Credit Courses*. No small-size classes will be offered in any term except as authorized by the Board of Regents of Stephen F. Austin State University.

Only small-size classes that meet one or more of the following requirements may be authorized to be taught:

- Required course for graduation. (This course is not offered each semester or term and, if cancelled, may affect the date of graduation of those enrolled);-
- Required course for majors in the field that should be completed in a given semester (term) in order to keep proper sequencing of courses;-
- Course in a newly established degree program, concentration, or support area;-
- Interdepartmental (cross-listed) courses taught as a single class by the same faculty at the same station, provided that the combined courses do not constitute a small class;-
- First time offering of a course;-
- Class size limited by accreditation or state licensing standards;-
- Class size limited by the availability of laboratory or clinical facilities;-
- Voluntarily offered by a faculty member in excess of the institutional teaching load requirement and for which the faculty member receives no additional compensation.

A small-size class of the same course may not be offered in consecutive semesters or summer terms.

### Procedure:

1. An academic unit head submits a small-size class approval form to the appropriate dean requesting approval to offer small-size class(es).
2. The dean approves/disapproves the request and forwards the form to the associate provost.
3. The ~~associate~~ provost *and vice president for academic affairs* approves/disapproves the request and sends copies of the small class form to the dean, academic unit head, and the registrar.

**Cross Reference:** Faculty Handbook; Tex. Educ. Code § 51.403, *Off-Campus Credit Courses* (5.13).

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

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

**Forms:** Small-size Class Approval Form

## POLICY SUMMARY FORM

**Policy Name:** Student Academic Dishonesty

**Policy Number:** 4.1

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

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

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

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

Describes various forms of student dishonesty relative to 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:** No substantive changes. Only minor changes to simplify wording.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee

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

Damon Derrick, General Counsel

## Student Academic Dishonesty

**Original Implementation:** Unpublished

**Last Revision:** ~~July 29, 2014~~ January 31, 2017

Abiding by university policy on academic integrity is a responsibility of all university faculty and students. Faculty members must promote the components of academic integrity in their instruction, and course syllabi are required to provide information about penalties for cheating and plagiarism, as well as the appeal process.

### Definition of Academic Dishonesty

Academic dishonesty includes both cheating and plagiarism. Cheating includes, but is not limited to:

- using or attempting to use unauthorized materials on any class assignment or exam;
- falsifying or inventing of any information, including citations, on an assignment; ~~and/or;~~
- helping or attempting to help ~~an~~ other *student(s)* in an act of cheating or plagiarism.

Plagiarism is presenting the words or ideas of another person as if they were one's own. Examples of plagiarism include, but are not limited to:

- submitting an assignment as one's own work when it is at least partly the work of another person;
- submitting a work that has been purchased or otherwise obtained from the Internet or another source; ~~and/or;~~
- incorporating the words or ideas of an author into one's paper or presentation without giving the author credit.

### Penalties for Academic Dishonesty

Penalties may include, but are not limited to, reprimand, no credit for the assignment or exam, re-submission of the work, make-up exam, failure of the course, or expulsion from the university.

### Procedure for Addressing Student Academic Dishonesty

A faculty member who has evidence and/or suspects that academic dishonesty has occurred will gather all pertinent information and initiate the following procedure:

- The faculty member will discuss all evidence of cheating or plagiarism directly with the student(s) involved.
  - 1.
  2. After consideration of the explanation provided by the student(s), the faculty member will determine whether academic dishonesty has occurred. The faculty member may consult with the academic unit head and/or dean in making a decision.

- After a determination of academic dishonesty, the faculty member will inform the academic unit head and submit a Report of Academic Dishonesty with supporting documentation to the office of the dean of the student's major. This report will become part of the student's record and will remain on file with the dean's office for at least four years even if the student withdraws prior to receiving a grade.
- 3.
- 4. For a serious first offense or subsequent offenses, the dean of the student's major will determine a course of action, which may include dismissal from the university. The dean may refer the case to the college council for review and recommendations before making this determination.

A student's record of academic dishonesty will not be available to faculty members. The purpose of the record is for the dean to track a pattern of academic dishonesty during a student's academic career at Stephen F. Austin State University.

### Student Appeals

A student who wishes to appeal decisions related to academic dishonesty should follow procedures outlined in Academic Appeals by Students (6.3).

**Cross Reference:** Student Handbook; Academic Appeals by Students (6.3); and Course Add/Drop (6.10)

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

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

**Forms:** Report of Academic Dishonesty Form

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

## POLICY SUMMARY FORM

**Policy Name:** Student Evaluation of Instruction

**Policy Number:** 7.27

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

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

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

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

Certifies that students will have the opportunity to evaluate courses taught.

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

- ☒ 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:** Only minor changes were made for clarification; nothing substantive.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Affairs Policy Committee

Faculty Senate

Deans Council

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

Damon Derrick, General Counsel

## Student Evaluation of Instruction

**Original Implementation:** April 20, 1999

**Last Revision:** ~~April 15, 2014~~ January 31, 2017

Students will have the opportunity to evaluate instruction for all courses in all semesters through the university's online evaluation system. Members of the academic unit may determine additional evaluation instruments and procedures. Evaluation data are used for a variety of purposes including improvement of instruction, *mentoring faculty*, and personnel decisions.

**Cross Reference:** Faculty Handbook

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

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

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Student Fiscal Appeals

**Policy Number:** 6.19

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

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

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

**Purpose of Policy (what does it do):** Establishes a policy whereby students may request that their charges be removed or modified based on documented extenuating circumstances.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Adds the following provision: The panel will make its decision based on the written information submitted.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Dr. Danny Gallant, Vice President for Finance and Administration  
 Damon Derrick, General Counsel

## Student Fiscal Appeals

**Original Implementation:** January 30, 2007

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

The Fiscal Appeals Panel will consider appeals related to Stephen F. Austin State University (SFA) fiscal policy as it applies to student charges. Appeals will be considered when a student believes that extenuating circumstances justify removal or modification of charges. Appeals must be submitted in written form and must be based on extenuating circumstances, such as (but not limited to) catastrophic illness, injury, death in the family, or call-up for military service. Appeals on the penalty for excessive time to graduation and repetition of a course may be based on economic hardship for the student, and will be considered on a case by case basis. Appeals pertaining to the requirements to maintain eligibility for certain exemptions and waivers may also be based on economic hardship for the student or other good cause, and will be considered on a case by case basis. *Unless there are extenuating circumstances, a* ~~Appeals should~~ *must* be filed within 60 days from the date of the charge on the student's accounts for which the student is requesting an appeal. Appeals will be considered only for the specific charge and specific term for which the appeal is requested, ~~and will not be considered for previous or subsequent semesters.~~

The following may be appealed to the panel: penalty for excessive time to graduation (the 30 and 45 hour rule), extenuating circumstances culminating in withdrawal, late add fee, reinstatement fee, \$1,000 tuition rebate, penalty for repetition of a course more than twice (3-peat), and loss of eligibility for certain exemptions and waivers.

The Fiscal Appeals Panel will be appointed by the vice president for ~~administration and finance and administration~~, chaired by the bursar and will include academic and administrative representation. *The panel will make its decision based on the written information submitted.*

Specific procedures for making an appeal are *found in the Student Fiscal Appeals Guidelines, Procedures, and Form* located on SFA's business office website and at the business office.

**Cross Reference:** Tex. Educ. Code § 54.014, .2001; 19 Tex. Admin. Code § 13.108; Tuition Rebate Policy (6.21); Student Fiscal Appeals Guidelines, Procedures, and Form

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

**Contact for Revision:** Controller

**Forms:** None

**Board Committee Assignment:** Finance and Audit

## POLICY SUMMARY FORM

**Policy Name:** Student Media

**Policy Number:** 10.8

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

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

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

**Purpose of Policy (what does it do):** Governs the function of student media on campus.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes. Titles were updated and the appointment authority clarified.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Amy Roquemoire, Director of Student Publications and Divisional Media  
 John Hendricks, Chair, Mass Communications  
 Steve Bullard, Provost and Vice President for Academic Affairs  
 Steve Westbrook, Vice President for University Affairs  
 Damon Derrick, General Counsel

## Student Media

**Original Implementation:** October 26, 1999

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

Stephen F. Austin State University has long recognized the importance of providing for the establishment of student media on campus. These media are the chief means of communicating campus news, providing student entertainment, and expressing student opinion. They also provide experience for students who are working toward a career in the mass media.

### Student Publications

*The Pine Log*, which is the student newspaper, and the *Stone Fort*, which is the yearbook, were the first student media to be established. They have existed virtually from the founding of Stephen F. Austin State University. *The Pine Log* publishes campus news, letters to the editor, local advertising, and editorials.

The Office of Student Publications, housed in the Division of University Affairs, is the unit which governs the operation of both the *Stone Fort* and *The Pine Log*. These publications are intended to be primarily self-supporting. Income is derived from the sale of yearbooks, and, in the case of *The Pine Log*, advertising. The director of student publications *and divisional media* is the administrative leader of both publications and reports to the vice president for university affairs. The director shall be responsible for all managerial aspects of student publications. This shall include fiscal management, office staff management and student staff management. The *director of student publications and divisional media-director* shall also provide editorial counsel to the student staffs of *The Pine Log* and *Stone Fort* regarding customary news and advertising practices as well as applicable legal issues.

The Student Publications Committee, *appointed by the vice president for university affairs*, shall serve as an advisory body to student publications. The committee shall recommend editorial policy and provide advice in the appointment of *The Pine Log* and *Stone Fort* editors. In addition, the committee shall:

- a. foster and preserve the American tradition of free expression
- b. act as an appeals body on editorial, advertising, and business contracts related to student publications
- c. require compliance with applicable laws in such areas as libel, obscenity, privacy, and false and misleading advertising

The Student Publications Committee shall consist of nine members:

1. The chair of the Department of Mass Communication (committee chair)

2. The director of student publications *and divisional media*
3. One Mass Communication faculty representative
4. One representative from University Marketing Communications
5. Two faculty members at large
6. Three students at large (not already holding paid positions on the *Stone Fort* or *The Pine Log*)

### **Broadcast Media**

Stephen F. Austin State University has also provided for the operation of a radio station, KSAU-FM, and a cable-connected television facility. These facilities shall serve the primary role of laboratories to support the academic program in radio/television and shall be operated by the Department of Mass Communication, housed in the College of Liberal and Applied Arts, Division of Academic Affairs. Two departmental faculty members shall be designated as directors of radio and television respectively. These two faculty members shall have one-course teaching load reductions to accommodate their responsibilities as directors of the radio and television operations.

Both of these facilities are primarily supported by institutional funds and receive no money from student service fees. Programming and production staffs shall consist primarily of students enrolled in various communication production courses including the required practicum courses. Faculty who teach the production courses shall supervise the student staffs and serve as the first level of appeal for any issues which might arise.

Programming content for the radio station shall be in compliance with all licensing requirements of the Federal Communications Commission. In addition, the Department of Mass Communication shall enforce programming guidelines which:

- a. comply with any relevant and established university policies
- b. to the extent possible reflect current mainstream professional broadcast practice
- c. serve a local audience with programming not already readily available
- d. serve local informational and cultural needs

The Department of Mass Communication shall enforce television programming guidelines for the local cable channel which:

- a. comply with any relevant and established university policies
- b. to the extent possible reflect current mainstream professional broadcast practice
- c. serve local informational, educational, and cultural needs

**Cross Reference:** U.S. Const. amend. I

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

**Contact for Revision:** Chair, Department of Mass Communication and Director of Student Publications *and Divisional Media*

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Student Service Fee Allocations

**Policy Number:** 10.11

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

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

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

**Purpose of Policy (what does it do):** This policy explains the purpose of the Student Service Fee and describes the procedures for allocating this fee.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Verbiage from the Education Code was included to better clarify the activities for which these fees can be allocated.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Adam Peck, Associate Vice President and Dean of Student Affairs  
 Steve Westbrook, Vice President for University Affairs  
 Damon Derrick, General Counsel

## Student Service Fee Allocations

**Original Implementation:** Unpublished

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

Student ~~Activity-service fees~~ Fees are distributed to various student organizations and student service operations *for activities which are separate and apart from the regularly scheduled academic functions of the institution and directly involve or benefit students. The distribution of student service fees is* based on the allocation process utilized by the Student Service Fee Committee. In the spring semester prior to the fiscal year of the allocations, the committee receives requests from various student service operations (i.e. *Student Health Center*~~Clinic~~, Intercollegiate Athletics, *Marching Band*, Fine Arts Programs, etc.) and university sponsored student organizations (i.e. Student Government Association, etc.). Requests are evaluated and recommendations for allocations to these groups for the coming year are submitted to the president who may accept or modify the committee's decision. If the president's recommendations are substantially different from that of the advisory committee, the president will notify the advisory committee and provide an opportunity for the chair of the committee to comment on the committee's recommendations. Upon approval of the Board of Regents, the funds are made available for the coming fiscal year.

**Cross Reference:** Tex. Educ. Code § 54.503

**Responsible for Implementation:** Vice President for University Affairs

**Contact for Revision:** Dean of Student Affairs

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Student Travel

**Policy Number:** 10.12

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

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

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

**Purpose of Policy (what does it do):** This policy is required to comply with Section 51.950 of the Texas Education Code.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

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

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Adam Peck, Associate Vice President and Dean of Student Affairs  
 Steve Westbrook, Vice President for University Affairs  
 Damon Derrick, General Counsel

## Student Travel

**Original Implementation:** October 23, 2001

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

This policy governs student travel undertaken by one or more SFA students presently enrolled at the university to reach an activity or event that has been organized and sponsored by the university and is located more than 25 miles from the university.

This policy shall apply if the travel is funded by the university; the travel is undertaken using a vehicle owned or leased by the university; or if the travel is required by a registered SFA student organization to an event that has been organized and sponsored by the university.

### I. Travel funded by the university and/or using university owned or leased vehicles

University policy 16.23, Rental of University Vehicles, governs the use of university owned vehicles and vehicles rented using university funds from a non-university fleet. All of the requirements of that policy, such as driver qualifications and passenger capacity, apply to student travel as addressed in this policy.

Other specific requirements of this policy include:

- a. All occupants must use seat belts, as provided in the vehicle, in the manner recommended by the vehicle manufacturer.
- b. Passengers are limited to the number that can be safely restrained using the available number of seat belts.
- c. Drivers should continually assess their state of alertness and not begin to drive, or not continue driving, if they are fatigued. There are many factors that impact driver fatigue, all affecting drivers differently; but conditions such as hours without sleep, time of the day, road conditions, etc. should be all considered and monitored.
- d. Only drivers meeting the qualifications set forth in policy 16.23 may drive the vehicle. All drivers must be appropriately licensed to drive the vehicle.

### II. Travel by personal vehicle or privately leased vehicle

While the university may not be made aware of trips undertaken by students using their private vehicles, or vehicles privately leased by them, the university will publish the requirements of this policy in publications used by registered student organizations at SFA and will encourage their use in all travel undertaken by students for any trip governed by this policy. All drivers are encouraged to be appropriately licensed and the owner of the vehicle(s) is encouraged to maintain appropriate vehicle insurance as required by law.

*This policy will be filed with the Texas Higher Education Coordinating Board after the approval of any amendment by the Board of Regents.*

**Cross Reference:** Tex. Educ. Code § 51.950; Rental of University Vehicles (16.23)

**Responsible for Implementation:** Vice President for University Affairs

**Contact for Revision:** Dean of Student Affairs

**Forms:** None

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

## POLICY SUMMARY FORM

**Policy Name:** Substantive Change

**Policy Number:** 4.10

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

**Date of last revision, if applicable:** 10/18/2011

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

**Purpose of Policy (what does it do):** Certifies procedures for reporting major changes in academic programs to the Southern Association of Colleges and Schools Commission on Colleges and the Texas Higher Education Coordinating Board

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Major revisions were made in order to conform to guidelines published by the Southern Association of Colleges and Schools Commission on Colleges. Minor changes in punctuation and to eliminate redundant wording.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Policy Committee and Deans Council  
 Dr. Mary Nelle Brunson, Associate Provost and Vice President for Academic Affairs  
 Dr. Steve Bullard, Provost and Vice President for Academic Affairs  
 Damon Derrick, General Counsel

## Substantive Change

**Original Implementation:** August 26, 2008

**Last Revision:** ~~October 18, 2011~~ January 31, 2017

Stephen F. Austin State University (SFA) is committed to *upholding all of the principles and policies* ~~adhering to the policies and requirements~~ of the Texas Higher Education Coordinating Board (THECB) and the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). The university is also committed to establishing and maintaining procedures to *facilitate an effective and timely notification process regarding substantive changes.* ~~ensure compliance with THECB and SACS policies and providing information to faculty and staff regarding curricular and organizational changes requiring notification and/or approval.~~

*As a member of SACSCOC, SFA is responsible for notifying and, when necessary, seeking approval for substantive changes from the Commission in accordance with the SACSCOC substantive change policy. The current policy is located on the SACSCOC website.*

*Substantive change is defined as a significant modification or expansion of the nature and scope of an accredited institution.*

*Notification is defined as a letter from the university president or designee to the president of the commission summarizing the proposed change. Approval is sought through the submission of a SACSCOC application or prospectus.*

### Procedures

The university ~~will~~ *is required to* notify THECB and SACSCOC of substantive changes *and request approval, when required, prior to the initiation of the changes* ~~and, where required by rules, will request approval of changes.~~ The SFA SACSCOC liaison is responsible for coordinating efforts to identify the need for and creation of notification letters related to substantive change. The Office of the Provost and Vice President for Academic Affairs is responsible for ~~submitting all communication to~~ *with the appropriate governing body.*

*Under federal regulations, substantive change includes but is not limited to:*

- *Initiating coursework or programs at a different level than currently approved;*
- *Initiating off-campus sites (including but not limited to Early College High School, dual enrollment programs offered at a high school, and certificate programs);*
- *Expanding programs at current degree level;*
- *Expanding program offerings at previously approved off-campus sites;*
- *Initiating degree completion programs;*
- *Initiating a branch campus;*
- *Initiating distance learning;*
- *Relocating a main or branch campus;*
- *Entering into a contract with an entity not certified to participate in U.S. Department of Education (USDOE) Title IV programs;*

- *Initiating dual or joint degrees;*
- *Initiating a new site;*
- *Initiating a direct assessment competency-based program;*
- *Initiating a merger/consolidation with another institution;*
- *Changing governance, ownership, control, or legal status of an institution;*
- *Acquiring any program or site from another institution;*
- *Adding a permanent location at a site where the institution is conducting a teach-out for students from another institution that is closing;*
- *Initiating a certificate program at a new off-campus site at employer's request and on short notice (previously approved program);*
- *Initiating a certificate program at employer's request and on short notice;*
- *Adding a site under a U.S. military contract for a previously approved program;*
- *Altering significantly the length of a program;*
- *Altering significantly the educational mission of the institution;*
- *Changing from clock hours to credit hours;*
- *Moving an off-campus instructional site;*
- *Initiating programs or courses offered through contractual agreement or consortium; or*
- *Closing a program, approved off-campus site, branch campus, or institution.*

*When planning to make changes that may require substantive change notification and approval, proposal sponsors must consult with the SFA SACSCOC liaison to determine the appropriate procedure for the proposed change.*

*The SFA curriculum review cycle is the process used to identify substantive changes related to the addition, deletion, or modification of courses and degree programs. In addition, all proposals for distance education, off-campus sites and certificate program requests will follow the curriculum review process. All proposals must follow and document adherence to curriculum review and approval policies and processes described in the university policy on Curriculum Reviews, Modifications and Approvals (5.7). The SFA SACSCOC liaison will provide the information necessary to prepare a prospectus in accordance with the requirements outlined in the SACSCOC Substantive Change Policy and THECB substantive change guidelines. The SACSCOC prospectus and/or THECB proposal must accompany the Curriculum Change Request.*

*Substantive changes include but are not limited to:*

- ~~off campus course and program offerings;~~
- ~~distance education course and program offerings;~~
- ~~online course and program offerings;~~
- ~~transmission of courses or programs through electronic means including teleconferencing;~~
- ~~courses and programs offered in conjunction with another institution through consortia or dual degree agreements;~~
- ~~adding a significantly different program;~~
- ~~offering courses or programs at a more advanced or lower level;~~
- ~~significantly altering the length of a program;~~
- ~~initiating degree completion programs;~~
- ~~renaming or establishing new academic organizational units (e.g., departments or schools);~~
- ~~establishing a branch campus or off-campus instructional site;~~

- establishing a merger or consolidation;
- discontinuing a program or instructional site; and
- changes in governance.

The university is required to notify THECB and SACS of substantive changes and to request approval in accordance with THECB and SACS policies. For example, SACS requires notification prior to implementation when offering 25–49% of the coursework required for program completion online, off campus, or through distance education. SACS requires notification at least six months in advance and prior approval when offering 50% or more of the coursework required for program completion online, off campus, or through distance education. Also, SACS requires notification, including submission of a prospectus, and approval six to 12 months before certain changes are initiated such as new degree programs that are a significant departure from current degree program offerings.

When preparing and reviewing course and program proposals that may involve a substantive change, proposal sponsors (i.e., faculty) and curriculum committees must follow and document adherence to curriculum review and approval policies and processes described in the university policy on Curriculum Reviews, Modifications and Approvals (5.7). I

*At least once each academic year, the SACSCOC liaison will provide information to the academic deans and division vice presidents regarding substantive change policies and procedures. During this session, the deans and division vice presidents will identify potential substantive changes.*

*All substantive change education and review activities must be coordinated to allow ample time to satisfy the time frame for notification and/or approval as set by THECB and/or SACSCOC. SFA will adhere to the reporting times as specified in THECB guidelines and in the Substantive Change for SACSCOC Accredited Institutions policy statement.*

~~In addition, academic units must prepare a prospectus in accordance with the requirements outlined in the SACS Substantive Change Policy and THECB substantive change guidelines. The SACS prospectus and/or THECB proposal must accompany the Curriculum Change Request.~~

The Office of the Provost and Vice President for Academic Affairs is responsible for conducting an ongoing review of curricular revisions to identify changes that may be substantive in nature and may require reporting or prior approval by THECB and/or SACSCOC. The provost and vice president for academic affairs will *determine whether changes are substantive* ~~make the final determination of changes~~ and will initiate appropriate reporting and approval processes in compliance with THECB and SACSCOC policies and procedures.

**Cross Reference:** Curriculum Reviews, Modifications and Approvals (5.7); SACSCOC Substantive Change Policy; THECB guidelines

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

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

**Forms:** Forms for program revision, course proposals, substantive change, *and* distance education ~~and laboratory/course fee requests~~ are available at the Academic Affairs website  
<http://www.sfasu.edu/acadaffairs/>.

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

## POLICY SUMMARY FORM

**Policy Name:** Summer Teaching Appointments

**Policy Number:** 7.28

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

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

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

**Purpose of Policy (what does it do):** Clarifies that summer teaching is based on student demand. Faculty are not guaranteed summer employment.

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

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

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** No substantive changes. Added policy reference.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Affairs Policy Committee  
 Faculty Senate  
 Deans Council  
 Dr. Steve Bullard, Provost and Vice President for Academic Affairs  
 Damon Derrick, General Counsel

## Summer Teaching Appointments

**Original Implementation:** April 20, 2004

**Last Revision:** ~~January 28, 2014~~ January 31, 2017

The university offers no guarantee of a summer teaching appointment to any faculty member except as specifically contracted. All summer instructional contracts are contingent upon sufficient class enrollments and availability of funding.

Utilizing student and programmatic needs and considering faculty input, each academic unit and college is required to adopt a written policy concerning the allocation of summer teaching assignments. These policies will define priority for summer course offerings and set criteria for allocating teaching assignments among the eligible faculty. The impact of grant funds on summer employment should be considered.

Summer teaching policies must be approved by the academic dean and the provost and vice president for academic affairs. Once final approval is obtained, a copy of the policy will be made available to the faculty. The policy must be reviewed by academic units and colleges every five years.

**Cross Reference:** Faculty Handbook, *Faculty Workload (7.13)*

**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