TABLE OF CONTENTS
MINUTES OF THE MEETING OF THE BOARD OF REGENTS
JANUARY 28 AND 29, 2013
MEETING 280

<table>
<thead>
<tr>
<th>Board Order 13-12</th>
<th>Approval of the SFA Charter School 2011-12 Audited Financial Statements</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>2</td>
</tr>
</tbody>
</table>

**APPROVAL OF MINUTES**

<table>
<thead>
<tr>
<th>Board Order 13-13</th>
<th>Approval of Board Meeting Minutes from October 21 and 22, 2012, and December 14, 2012</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>4</td>
</tr>
</tbody>
</table>

**PERSONNEL**

<table>
<thead>
<tr>
<th>Board Order 13-14</th>
<th>Faculty Appointments for 2012-2013</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>4</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board Order 13-14</th>
<th>Staff Appointments for 2012-2013</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>4</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board Order 13-14</th>
<th>Changes of Status for 2012-2013</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>6</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board Order 13-14</th>
<th>Retirements</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>7</td>
</tr>
</tbody>
</table>

**ACADEMIC AND STUDENT AFFAIRS**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>8</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board Order 13-15</th>
<th>Academic and Student Affairs Policy Revisions</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>8</td>
</tr>
</tbody>
</table>

**BUILDING AND GROUNDS**

<table>
<thead>
<tr>
<th>Board Order 13-16</th>
<th>Building and Grounds Policy Revisions</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>9</td>
</tr>
</tbody>
</table>

**FINANCIAL AFFAIRS**

<table>
<thead>
<tr>
<th>Board Order 13-17</th>
<th>Selection of a Marketing Firm</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>9</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board Order 13-18</th>
<th>Acknowledge Receipt of Audit Services Report</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>10</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board Order 13-18</th>
<th>Approval of the Fiscal Year 2011-12 Annual Financial Report</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>10</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board Order 13-18</th>
<th>Resolution to Acknowledge Review of Investment Policy and Strategy</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>10</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board Order 13-18</th>
<th>Resolution to Approve Qualified Financial Institutions and Investment Brokers</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>11</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board Order 13-18</th>
<th>Bank Depository Contract</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>11</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board Order 13-18</th>
<th>Outsourcing of Insurance Billing for Health Clinic Services</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>11</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board Order 13-18</th>
<th>Grant Awards</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>12</td>
</tr>
</tbody>
</table>
Financial Affairs Policy Revisions ........................................................................................................12

ELECTION OF OFFICERS

Board Order 13-19
Election of Board Officers for 2013-2014 .........................................................................................13

APPENDICES

Appendix 1 – Revisions to Intercollegiate Athletics Policies and Procedures Manual
Appendix 2 – Resolution to Acknowledge Review of Investment Policy and Strategy
Appendix 3 – Resolution to Approve Qualified Financial Institutions and Investment Brokers
Appendix 4 – Health Clinic Insurance Billing Proposal Comparisons
Appendix 5 – Grant Awards
Appendix 6 – Policy Revisions
Monday, January 28, 2013

The regular meeting of the Board of Regents was called to order in open session at 8:06 a.m. Monday, January 28, 2013, in the Austin Building Board Room by Chair Bob Garrett.

PRESENT:

Board Members: Mr. Bob Garrett, Chair
Dr. Scott Coleman
Mr. James Dickerson
Ms. Jourdan Dukes
Ms. Brigettee Henderson
Mr. Steve McCarty
Mr. Ken Schaefer
Mr. Ralph Todd
Ms. Connie Ware

President: Dr. Baker Pattillo

Vice-Presidents: Dr. Richard Berry
Mr. Danny Gallant
Dr. Steve Westbrook

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regent Carlos Amaral was absent from the meeting.

The Finance and Audit Committee convened at 8:06 a.m. and recessed at 11:35 a.m. The Building and Grounds Committee convened at 11:35 a.m. and adjourned at 11:40 a.m.

Regent Steve McCarty left the meeting at 11:40 a.m.

The Finance and Audit Committee reconvened at 11:40 a.m. and adjourned at 12:12 p.m.
The board convened as a committee of the whole at 1:37 p.m. to hear a report from the Finance and Audit Committee and take action on Agenda Item 12.

**BOARD ORDER 13-12**
Upon motion by Regent Coleman, seconded by Regent Todd, with all members voting aye, it was ordered that the following Financial Affairs item be approved:

**APPROVAL OF THE SFA CHARTER SCHOOL 2011-12 AUDITED FINANCIAL STATEMENTS**

The August 31, 2012, SFA Charter School audited financial statements were approved as presented.

The committee of the whole recessed at 1:40 p.m.

*The Academic and Student Affairs Committee convened at 1:40 p.m. and adjourned at 2:45 p.m.*

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

Consideration of individual personnel matters relating to appointment, employment, evaluation, assignment, duties, discipline, or dismissal of an officer or employee, including but not limited to athletic coaches, vice presidents and the president (551.074)

Deliberations regarding security devices or security audit (551.076)

Consultation with attorney regarding legal advice or pending and/or contemplated litigation or settlement offers, including but not limited to EEOC filings, existing contracts, Board Rules and Regulations, *Christian Cutler v. Baker Pattillo, et al*, and *Progressive County Mutual Insurance Company v. SFASU* (551.071)

The executive session ended at 6:05 p.m. and the Board of Regents meeting was recessed for the evening with no further action.
Tuesday, January 29, 2013

The chair reconvened the board meeting in open session at 9:05 a.m. on Tuesday, January 29, 2013.

PRESENT:

Board Members: Mr. Bob Garrett, Chair
Dr. Scott Coleman
Mr. James Dickerson
Ms. Jourdan Dukes
Ms. Brigettee Henderson
Mr. Steve McCarty
Mr. Ken Schaefer
Mr. Ralph Todd
Ms. Connie Ware

President: Dr. Baker Pattillo

Vice-Presidents: Dr. Richard Berry
Mr. Danny Gallant
Dr. Steve Westbrook

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regent Carlos Amaral was absent from the meeting.

Student Regent Dukes led the pledge to the flags and Regent Todd provided the invocation. Chair Garrett read a letter from Regent Carlos Amaral expressing his regret at his absence from the last board meeting of his term and his gratitude for the opportunity to serve the university.

RECOGNITIONS

Robert Hill introduced the Women’s Soccer Team and the Women’s Cross Country Track Team. Steve Westbrook and Adam Peck introduced members of the Freshmen Leadership Academy. Ric Berry introduced retired Professor Charles Jones, author of Chopper Blues published by the SFA University Press, who presented copies of his book to board members. Dr. Berry also introduced QEP participants. Chair Garrett introduced Jason Wright, East Texas regional director for United States Senator Ted Cruz.
APPROVAL OF MINUTES

BOARD ORDER 13-13
Upon motion by Regent Todd, seconded by Regent Dickerson, with all members voting aye, it was ordered that the minutes of the October 21 and 22, 2012, regular meeting of the Board of Regents and the December 14, 2012, special meeting of the Board of Regents be approved as presented.

PERSONNEL

BOARD ORDER 13-14
Upon motion by Regent Todd, seconded by Regent Coleman, with all members voting aye, it was ordered that the following personnel items be approved.

FACULTY APPOINTMENTS FOR 2012 – 2013

LIBRARY

Jodene Pappas, Librarian II, M.L.S. (Emporia State University) at an annual salary of $41,972 for 100 percent time, effective December 3, 2012.

SCIENCES AND MATHEMATICS

Rebecca Parr, Assistant Professor of Biology, Ph.D. (Texas A&M University) at an academic year salary of $52,000 for 100 percent time, effective September 1, 2013.

STAFF APPOINTMENTS FOR 2012 – 2013

ATHLETICS

Marie Flores, Assistant Track Coach, at a 10.5-month salary of $26,226 for 100 percent time, effective November 5, 2012.

David Gibbs, Assistant Football Coach, at a 10.5 month salary of $87,550 for 100 percent time, effective February 1, 2013.

James C. Harper, Head Football Coach, at an annual salary of $163,000 for 100 percent time, effective February 1, 2013.

Jake Taylor Morrison, Assistant Football Coach, at a 10.5 month salary of $46,350 for 100 percent time, effective February 1, 2013.

Arlington Nunn, Assistant Head Football Coach, at a 10.5 month salary of $76,220 for 100 percent time, effective February 1, 2013.
Kevin Carberry, Assistant Football Coach, at a 10.5 month salary of $46,350 for 100 percent time, effective February 1, 2013.

Harold Christopher Truax, Assistant Football Coach, at a 10.5 month salary of $82,220 for 100 percent time, effective February 1, 2013.

Jeremy Moses, Assistant Football Coach, at a 10.5 month salary of $40,050 for 100 percent time, effective February 1, 2013.

Devin Ducote, Assistant Football Coach, at a 10.5 month salary of $30,218 for 100 percent time, effective February 1, 2013.

Nathan Paul Schneider, Assistant Football Coach, at a 10.5 month salary of $47,520 for 100 percent time, effective February 1, 2013.

Troy Rogers, Assistant Football Coach, at a 10.5 month salary of $64,000 for 100 percent time, effective February 1, 2013.

CAREER SERVICES

David Gehrels, Assistant Director of Career Services, at an annual salary of $40,000 for 100 percent time, effective October 29, 2012.

EDUCATION

Olegario Madera, Outreach Coordinator-Gear Up, at an annual salary of $44,000 for 100 percent time, effective November 1, 2012.

FINE ARTS

John Handley, Art Gallery Director, at an annual salary of $47,000 for 100 percent time, effective October 1, 2012.

INFORMATION TECHNOLOGY SERVICES

Brandi Engstrom, Programmer/Analyst I, at an annual salary of $35,000 for 100 percent time, effective November 19, 2012.

MULTICULTURAL AFFAIRS

Osaro Airen, Director of Multicultural Affairs, at an annual salary of $63,000 for 100 percent time, effective January 28, 2013.
Printing Services

John Yerger, Director of Printing Services, at an annual salary of $48,200 for 100 percent time, effective January 7, 2013.

Residence Life

Kathryn Howell, Hall Director, at an annual salary of $28,500 for 100 percent time, effective January 2, 2013.

Michel Johnson, Residence Life Program Coordinator, at an annual salary of $32,000 for 100 percent time, effective November 12, 2012.

Mirannda Lindberg, Hall Director, at an annual salary of $28,500 for 100 percent time, effective December 17, 2012.

Shea Roll, Hall Director, at an annual salary of $28,500 for 100 percent time, effective November 26, 2012.

Changes of Status for 2012 – 2013

Disability Services

Laura Turner, from Administrative Assistant (Temporary) at an annual salary of $32,279.12 for 100 percent time, to Coordinator of Disability Services Support at an annual salary of $42,000 for 100 percent time, effective November 1, 2012.

Education

Sheila Lumar, from Visiting Assistant Professor of Human Sciences at an academic year salary of $47,500 for 100 percent time, to Assistant Professor of Human Sciences at an academic year salary of $52,000 for 100 percent time, effective January 1, 2013.

Enrollment Management

Kevin Davis, from Academic Advisor at an annual salary of $38,398.04 for 100 percent time, to Associate Director of Admissions at an annual salary of $55,700 for 100 percent time, effective October 8, 2012.

Monique Williams, from Alumni Scholarship Coordinator at an annual salary of $32,100 for 100 percent time, to Academic Advisor at an annual salary of $38,398.00 for 100 percent time, effective December 13, 2012.
LIBERAL AND APPLIED ARTS

Charles Aston, from Cultural Heritage Research Assistant at an annual salary of $9,001.44 for 75 percent time, to Cultural Heritage Research Associate at an academic year salary of $30,000 for 100 percent time, effective October 1, 2012.

Brook Poston, from Instructor of History at an academic year salary of $43,000 for 100 percent time, to Assistant Professor of History at an academic year salary of $46,000 for 100 percent time, effective January 1, 2013.

Michael Walker, from an Associate Professor of Psychology, at an academic year salary of $58,217.04 for 100 percent time, to Associate Professor of Psychology at an academic year salary of $58,217.04 for 100 percent time, with a salary supplement of $1,440 per month for three months for additional responsibilities as intern supervisor, effective October 1, 2012.

SCIENCES AND MATHEMATICS

William Bruton, from Interim Associate Dean of the College of Sciences and Mathematics at an 11-month salary of $53,473.91 for 60 percent time, to Associate Dean of the College of Sciences and Mathematics at an 11-month salary of $53,473.91 for 60 percent time, effective October 1, 2012.

PHYSICAL PLANT

Dewain Ray Robberson, from Maintenance Mechanic Supervisor at an annual salary of $66,254 for 100 percent time, to Manager of Physical Plant at an annual salary of $72,000 for 100 percent time, effective December 1, 2012.

Allen Singleton, from Building Management System Coordinator at an annual salary of $53,000 for 100 percent time, to Assistant Manager of Physical Plant at an annual salary of $60,000 for 100 percent time, effective December 1, 2012.

RETIREMENTS

Janice Alexander, Assessment Director-Elementary Education, effective January 31, 2013

David Gundersen, Professor of Management, Marketing and International Business, effective January 7, 2013

Dixie Mercer, Professor of Human Services, effective December 31, 2012

Marthea Turnage, Librarian IV, effective January 31, 2013

Beverly Farmer, Director of Student Activities, effective January 31, 2013
ACADEMIC AND STUDENT AFFAIRS

BOARD ORDER 13-15
Upon motion by Regent Henderson, seconded by Regent Schaefer, with all members voting aye, it was ordered that the following academic and student affairs items be approved.

INTERCOLLEGIATE ATHLETIC POLICIES AND PROCEDURES MANUAL REVISIONS

WHEREAS, the board members considered the following: In accordance with NCAA requirements the university adopted an Intercollegiate Athletic Policies and Procedures Manual in 1994. This policy manual is annually reviewed and approved by the board in its July meeting and at other times when necessary. Needed revisions to the current medical policy are included in Appendix 1.

THEREFORE, the revisions to the Athletic Policies and Procedures Manual were approved as presented in Appendix 1.

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

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

Advanced Placement Guidelines (A-7)
Affirmative Action (E-4)
Alumni Association Distinguished Professor Award (A-16)
Appearances Before the Board of Regents (D-4)
Course Grades (A-54)
Employee Affirmative Action/Recruitment Plan (E-69)
Faculty/Staff ID Cards (F-13)
Final Examinations (A-19)
Grade Reporting (A-41) – to be deleted
Health and Safety (D-17)
Hiring of Non-Academic Personnel (E-27N) – to be deleted
Interlibrary Loan (A-23)
Library Borrowing (A-26)
Library Gifts (A-25)
Meeting and Conducting Classes (A-31)
Recombinant DNA and/or Infectious Biohazards in Teaching and Research (A-81) NEW
Regents Professor (A-38)
Return to Work (E-62)
Second Baccalaureate Degrees (A-73)
Selection of President, General Counsel, Director of Audit Services and Coordinator of Board Affairs (D-30)
Workers Compensation Coverage (E-55)
BUILDING AND GROUNDS

BOARD ORDER 13-16
Upon motion by Regent McCarty, seconded by Regent Dickerson, with all members voting aye, it was ordered that the following building and grounds item be approved.

BUILDING AND GROUNDS POLICY REVISIONS

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

- Food and Beverages in Academic Areas (B-8) – to be deleted
- Issuance and Control of Campus Keys (B-15)
- Markers and Monuments (D-47)
- Naming Guidelines (D-22)
- Norton HPE Complex (B-20)
- Skating and Skateboarding (D-32)
- Work Requests (B-32)

FINANCIAL AFFAIRS

BOARD ORDER 13-17
Upon motion by Regent Coleman, seconded by Regent McCarty, with all members voting aye, it was ordered that the following financial affairs item be approved.

SELECTION OF A MARKETING FIRM

WHEREAS, the board members considered the following: At their December 14, 2012, meeting the SFA Board of Regents authorized the university to issue a request for proposals (RFP) for marketing consultant services. Responses were evaluated by university staff and three finalists were selected to make presentations to the regents: Noel-Levitz, Simpson Scarborough, and Zone 5. After participating in presentations from the three finalist firms at its January 28, 2013, meeting, the finance and audit committee recommended the selection of Simpson Scarborough as the most qualified firm with which to begin negotiations for marketing consultant services. Discussion issues in the selection included: vendor turn-key implementation of recommended activities vs. vendor’s support for SFA’s implementation of recommended activities; experience with other higher education facilities; and vendor’s approach to discovering who we are vs. what prospective students are looking for.

THEREFORE, the university was authorized to begin negotiations for marketing consultant services with Simpson Scarborough. The president was authorized to sign the contract and any associated documents.
BOARD ORDER 13-18
Upon motion by Regent Coleman, seconded by Regent Schaefer, with all members voting aye, it was ordered that the following financial affairs items be approved.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

WHEREAS, the board members considered the following: The Board Rules and Regulations state that the director of audit services shall assist the board in carrying out its oversight responsibilities as they relate to the university’s a) financial and other reporting practices, b) internal control, and c) compliance with laws, regulations and ethics. The director of audit services reports to the Board of Regents on the status of the annual audit plan, internal external reports, risk assessment and audit/compliance issues.

The audit services report as presented includes Campus Programs for Minors Audit, Departmental Audits of Dean of Science and Math and Dean of Business, NCAA external financial compliance review, Charter School external audit, and update on annual audit plan.

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

APPROVAL OF THE FISCAL YEAR 2011-12 ANNUAL FINANCIAL REPORT

WHEREAS, the board members considered the following: On November 20, 2012, the Stephen F. Austin State University Annual Financial Report for the fiscal year that ended August 31, 2012 was submitted 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 the State Auditor’s Office as required by state law.

THEREFORE, the Board of Regents approved the August 31, 2012, Stephen F. Austin State University Annual Financial Report as submitted.

RESOLUTION TO ACKNOWLEDGE REVIEW OF INVESTMENT POLICY AND STRATEGY

WHEREAS, the board members considered the following: In accordance with the Texas Public Funds Investment Act, 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 2, acknowledges the board's annual review of Policy C-41, Investments. Policy C-41 is included in the Policy Revisions, Appendix 6.

THEREFORE, the Resolution to Acknowledge Review of Investment Policy and Strategy was approved as presented in Appendix 2.
RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS

WHEREAS, the board members considered the following: The Texas Public Funds Investment Act requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The following brokers/investment managers are listed in the resolution, submitted in Appendix 3: Merrill Lynch, Inc.; Bank of America; ING Investment Management; Citizens 1st Bank; Austin Bank; BancorpSouth; Commercial Bank of Texas NA; First Bank and Trust; Regions Bank; Regions Morgan Keegan Trust; US Bank; Texas Bank; Texpool; Texas Class; and Texstar.

THEREFORE, the financial institutions, investment managers and brokers were approved as presented in Appendix 3.

BANK DEPOSITORY CONTRACT

WHEREAS, the board members considered the following: The current bank depository contract has been in place for some time and has been modified with various addendums throughout the years. The university recently issued an RFP for depository bank services in order to negotiate one or more contracts that support current services and allow for expansion of services as needs evolve and change.

THEREFORE, the following were approved as the university’s depository banks: BancorpSouth Bank; Citizens 1st Bank; Commercial Bank of Texas, N.A.; First Bank and Trust of East Texas; Regions Bank; and Wells Fargo Bank, N.C. The Board of Regents authorized the president to sign the depository contract(s) and all associated documents.

OUTSOURCING OF INSURANCE BILLING FOR HEALTH CLINIC SERVICES

WHEREAS, the board members considered the following: The university student health clinic handles more than 15,000 patient visits by students annually. Approximately 64% of the students visiting the clinic last year indicated they had health insurance. Currently, insurance companies are not billed for the clinic services provided to their policyholders. Billing insurance for services provided will establish a source of revenue to support clinic operations without increasing cost to the student.

An evaluation of establishing an internal insurance billing office versus outsourcing the billing process to an established firm specializing in this type of business determined that outsourcing would be our most efficient option. Subsequently a request for proposals was issued with responses received from three firms: Glaza, Public Consulting Group, and Vivature. These proposals were evaluated relative to cost, experience in medical billing services for university/college related accounts, user friendliness of billing processes; projected internal staff time and soft costs associated with the billing process,
software, data access and security, and optional information offered by the respondents regarding their services (Appendix 4).

Vivature was the firm determined to be best qualified.

THEREFORE, the university was authorized to negotiate an agreement with Vivature to provide insurance billing services for medical services provided by the SFA Student Health Clinic and the president was authorized to sign the finalized agreement.

GRANT AWARDS

WHEREAS, the board members considered the following: To date, the university has received multi-year grant awards totaling $23,456,698 that include funds allocable to fiscal year 2013. This includes $754,951 in new awards since the last report. Of the multi-year total, grant awards allocable to fiscal year 2013 are $7,571,331 which reflects an increase of $781,585 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, the administration recommends approval and ratification of the additional grant awards allocable to fiscal year 2013 that total $754,951. This includes approval of three subawards totaling $104,878 to the University of California – Berkley, West Virginia University, and the Chabot Museum to perform various aspects of the Science and the Public Interface project funded by IMLS. The grant awards are detailed in Appendix 5.

FINANCIAL AFFAIRS POLICY REVISIONS

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

- Distribution of SFA Alumni Foundation Scholarships (C-51)
- Investments (C-41)
- Investments - Endowment Funds (C-41.A)
- Procurement Card (C-44)
- Withdrawal Without Financial Clearance (C-39)
REPORTS

The university president made a report on the following topics:
  - Upcoming Dates
  - Admission Standards
  - Student Regent Process
  - Outcomes Based Funding
  - $10,000 Degree
  - Senator Kay Bailey Hutchison
  - Kathleen Kennedy Townsend

At the conclusion of his report the president thanked the two regents in attendance whose terms will end on January 31, 2013 or upon the confirmation of their successors: John R. “Bob” Garrett and James H. Dickerson, Jr.

Dr. Linda Bobo, faculty senate chair, made a report on the following topics:
  - Senate’s Resolution related to the proposed Concealed Handgun Bill
  - Results from the Actions of the Core Curriculum Advisory Council Survey
  - Summer Salaries for Faculty

Dennis Hagans, SFA president, gave a report on the following topics:
  - Austin Trip
  - SGA Spring Semester Initiatives
  - Elections

**ELECTION OF OFFICERS 2013-2014**

Brigettee Henderson, chair of the board nominating committee, gave a report from that committee recommending the following board officers for 2013-2014:
  - Chair: Steve McCarty
  - Vice Chair: Scott Coleman
  - Secretary: Brigettee Henderson

**BOARD ORDER 13-19:**

Upon motion by Regent Henderson, seconded by Regent Schaefer, with all members voting aye the nominating committee’s recommendation was accepted and those officers were elected.

The meeting was adjourned at 10:55 a.m.
STUDENT-ATHLETES: MEDICAL POLICY

The Department of Intercollegiate Athletics maintains a comprehensive sports medicine and athletic training program to ensure quality health care for its student-athletes. More specifically, the medical and Athletic Training Staff is responsible for the prevention, evaluation, treatment and rehabilitation of injuries or illnesses sustained as a result of participation in scheduled practices, competitions or during travel to and from these events.

Maintaining adequate health care is shared responsibility between the Athletic Training staff, the Head Coaches and student-athletes. The Team Physician has absolute authority in determining the physical fitness of each student-athlete, to include deciding whether an ill or injured student-athlete may participate in practice or competition. Coaches must be willing to abide by and/or implement the instructions given by the Athletic Training staff and abide by medical disqualifications and restrictions. Student-athletes must immediately report any injury incurred during a scheduled practice or athletic event to a member of the Athletic Training staff.

Athletic Training Staff

The SFA Athletic Training staff consists of the Team Physician, the Assistant Athletic Director for Sports Medicine, Head Athletic Trainer, Assistant Athletic Trainers, Graduate Assistants and Athletic Training Students in consultation with orthopedic consultants and other medical specialists, as required. The Assistant Athletic Director for Sports Medicine, Head Athletic Trainer in consultation with the Team Physician, is responsible for ensuring that student-athletes receive proper treatment for athletically-related illnesses or injuries. All members of the Department involved in training, conditioning, coaching or supervision of students participating in University-sponsored intercollegiate athletic events are fully responsible to the Assistant Athletic Director for Sports Medicine with respect to matters pertaining to health and/or injuries.

Operation and Use of Athletic Training Room Facilities

Athletic Training Room hours of operations are 6:30 a.m. - 6:00 p.m., Monday through Friday, during the academic year, begin no later than 8:00 a.m. and remain open until the last in-season sport is finished for the day on a Monday through Friday basis. Hours of operation are extended when additional coverage is necessary for scheduled events or practices especially on Saturdays or Sundays. Coverage for usual practice sessions or events must be scheduled by the Head Coach at least one week prior to the event. The Assistant Athletic Director for Sports Medicine, Head Athletic Trainer coordinates this coverage.

The Assistant Athletic Director for Sports Medicine, Head Athletic Trainer is responsible for the operation and supervision of the Athletic Training Room. Student-athletes are not allowed in the Athletic Training Room without supervision. All therapeutic modalities are administered by a member of the Athletic Training staff because of the potential danger involved. When the Training Room is not in use, it is to be locked at all times. Student-athletes receiving therapy are supervised at all times; under no circumstances is a patient receiving treatment left unattended.

The Athletic Training Room is strictly for the use of those individuals involved in the intercollegiate athletics program; however, the facility is available to visiting teams on an as-needed courtesy basis.
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 it has reviewed the investment policy and strategy;

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on January 28, 2013; and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 29, 2013 meeting of the board.

Attest:

____________________________________  _____________________________________
John R. Garrett, Chair                  James H. Dickerson, Secretary

Date:
Care Providers and Referrals

Only medical expenses related to athletic injuries that occur as a direct result of participation in the student-athlete's designated intercollegiate sport are covered. Participation includes voluntary physical activities that prepare the student-athlete for participation, as well as supervised pre-season conditioning, organized practice attended by a member of the coaching staff, or a Department sponsored game, meet or match. (The Department is not responsible for medical expenses incurred when a student-athlete is injured in a non-athletic event, such as playing a recreational sport with friends.)

The Assistant Athletic Director for Sports Medicine or designate, evaluates all athletic injuries and refers student-athletes to specialists, when appropriate. All referrals for off-campus medical care must be authorized in advance by the Assistant Athletic Director for Sports Medicine. A Department of Athletics Injury Referral Form (see Appendix 506A-1) must be completed by the Assistant Athletic Director for Sports Medicine, Assistant Athletic Trainer, or the Graduate Assistant Athletic Trainer prior to consultation and accompany the athlete receiving treatment from an outside physician or specialist.

For all illness (night or day), the student-athlete should immediately report to the Assistant Athletic Director for Sports Medicine, Assistant Athletic Trainer, or Graduate Assistant Athletic Trainer. Once seen, the Athletic Trainer decides if further medical attention is appropriate and arranges for an appointment with an appropriate physician as soon as possible. The student-athlete is responsible for reporting to the Assistant Athletic Director for Sports Medicine the physician's diagnosis, all drugs or special instructions required, and the advisability of returning to practice or competition.

Psychological/Psychiatric Expenses

Other than athletically-related injuries, the NCAA only allows payment of expenses incurred for eating disorders, drug rehabilitation or by waiver policy. Only the Assistant Athletic Director for Sports Medicine may refer a student-athlete with these problems for psychological or psychiatric counseling to the University Counseling Center for initial evaluation in order for such treatment to be covered at the Department's expense. If the student-athlete is treated by the University or a private provider for psychological problems other than eating disorders or drug rehabilitation, expenses incurred are the financial responsibility of the student-athlete. If the Medical staff refers a student-athlete to University or private care for non-allowable medical treatment, the student-athlete is notified that such treatment is at his/her own expense.

Medical Examinations

All student-athletes participating in an intercollegiate sports program are required to undergo a comprehensive physical examination prior to any participation in practice or competition. All new student-athletes are required to complete the Medical History form and are given a complete physical examination under the supervision of the Assistant Athletic Director for Sports Medicine. Thereafter, student-athletes are required to complete an annual health history update, with physical examination or specialty consultation performed only on those areas of the body where a change has occurred from the time of the initial examination. (See Appendix 506A-8 for Annual Health Information and Re-Examination forms.)
Head Coaches are responsible for submitting completed team rosters to the Assistant Athletic Director for Sports Medicine/Head Athletic Trainer each spring with updates and additions provided a minimum of two (2) weeks prior to the first day of the fall semester. The Assistant Athletic Trainer(s) or a Graduate Assistant Athletic Trainer is responsible for setting up physical exam appointments and returning the team roster with appointment times and place indicated. Physical exam priorities are established according to official practice starting dates, and are set by the Team Physician and Assistant Athletic Director for Sports Medicine/Head Athletic Trainer. Physicals are completed at the University Health Center.

A member of the Athletic Training staff is on hand during the course of all physical examinations to observe the procedures and policies of the attending physician and to assist the physician at his/her discretion. It is the responsibility of the Athletic Training staff to ensure that each student-athlete has completed his/her physical examination before providing written notification for the issuance of athletic equipment.

Each physical examination focuses on the following areas of concern:

1. Evaluation of Sports Health History Evaluation Form (first year student-athletes);
2. Evaluation of existing medical records;
3. Orthopedic Checks;
4. Sight
5. Urinalysis;
6. Blood analysis to include sickle cell solubility test (no drug screening); and
7. Personal and mental evaluation (at physician’s discretion).
8. A baseline neurocognitive test and a Standardized Assessment of Concussion.

Walk-on Student-Athletes Physical Examinations

Walk-on athletes trying-out for a team are required to show proof of medical insurance and to sign a waiver of responsibility as part of Appendix 506A-8. If selected for participation in a sport, the student-athlete must complete the required Medical History form, and participate in a complete physical examination. It is the responsibility of the Head Coach, or designate, of each sport to ensure that the physical exam has been completed prior to tryouts, practice or participation.

All first-time, walk-on student-athletes are responsible for securing their own athletic physicals and are responsible for any costs incurred. Most physicals can be administered by the student health center on campus. Appropriate forms for the examination are to be obtained from the Head Athletic Trainer.

Walk-on student-athletes who have appeared on a team roster for one complete season, are considered as team members for the purpose of physical exams only and may receive subsequent physical exams and post-eligibility exams at no cost.
Sickle Cell Testing

NCAA legislation effective August 1, 2010, requires institutions, as part of the required medical examination, to include a sickle cell solubility test. All SFA student-athletes who are beginning their initial year of eligibility and student-athletes trying out for a team, including transfers will be tested.

Costs associated for this test will be provided, if needed, for scholarship athletes. Students wishing to walk-on or tryout for a team will be required to pay all costs associated with this test.

Test results are required for all students before they are permitted to practice or compete.

Post Eligibility Examinations

All student-athletes are given an exit physical examination upon the completion of their eligibility. The examination is designed to ascertain the physical health and well-being of each student-athlete and to release the Department of Intercollegiate Athletics from any responsibility for injuries sustained by the athlete in competitions other than intercollegiate sports sanctioned by the Department.

Medical Records

A medical record file is created at the time a student-athlete joins the intercollegiate athletics program and completes the initial physical examination. Complete medical records for all student-athletes participating in the intercollegiate athletics program are accurately maintained and up-dated during the time a student-athlete is competing for SFA. All records are kept on-file for a period of seven (7) years following competition.

The medical file contains the appropriate insurance information, medical histories, authorizations, understandings and agreements between the University and the student-athlete and his/her parents or legal guardians, as well as history of athletically related injuries and illnesses, and any treatments rendered. Additionally, the Athletic Training staff maintains complete records of all encounters, medical referrals, medication records, exams, injuries, and other information pertinent to the student-athlete’s medical history.

A Daily Treatment Report is maintained in the Athletic Training Room by the Athletic Training staff which reflects all treatments provided on a given day, treatment appointments and medication. The reports are furnished on a daily basis to the appropriate Head Coach.

Coverage for Scheduled Practices and Events

The Athletic Training staff is initially responsible for treating any injury or illness sustained as a result of athletic participation in scheduled practices and games, or during travel to and from those events. For low risk sports, such coverage may be provided by the Athletic Training staff member who is on call or on duty in the Training Room. For high-risk sports, coverage is provided at the site of the practice or competition. Physician coverage is provided as needed.
All Head Coaches and their assistants are responsible for familiarizing themselves with the Department’s medical policies. Coaches should be equipped to handle emergency situations in the absence of a member of the Athletic Training staff. Such knowledge is not only vital to the welfare of the student-athlete, but is important in preventing charges of neglect or misconduct from being filed against the coach in charge.

**Preventative Care**

The Athletic Training staff is responsible for not only providing medical care to injured student-athletes, but also preventing injury by identifying risk factors associated with athletic participation, and educating coaches and student-athletes on preventive safety techniques. Additionally, all coaches should be able to recognize the onset of fatigue, dehydration and heat exhaustion and notify a member of the Athletic Training staff when such an event occurs.

It is the responsibility of the coaches, as well as the Assistant Athletic Director for Sports Medicine, Head Athletic Trainer and Equipment Manager to make sure that all athletic equipment is in good working order and inspected on a regular basis. Coaches must ensure that each student-athlete is wearing appropriate, properly fitted athletic equipment. When there are adverse climate conditions, extreme care is used to maintain the proper balance of electrolytes.

The Athletic Training staff works with the Director of Wellness Center to provide dietary counseling to student-athletes. More specifically, every effort is made to provide an adequate number of calories and proper nutrition to student-athletes who are actively participating. Student-athletes needing help with weight control may be referred by the Athletic Training staff to a physician for evaluation and nutritional consulting.

**Treatment of Illness or Injury**

All injuries, including dental injuries, and illnesses are to be reported immediately to a member of the Athletic Training staff for emergency first aid and evaluation. If necessary, the student-athlete is referred to the Team Physician for medical diagnosis and prescribed treatment. The Assistant Athletic Director for Sports Medicine, Head Athletic Trainer may refer the athlete to orthopedic consultants or other specialists.

The Athletic Training staff provides prophylactic taping, bracing and padding for injured parts, as well as stretching and strengthening exercises for specific injuries. In addition, rehabilitative therapy (strengthening and range of motion exercises and/or treatment with appropriate modalities) is provided by the Athletic Training staff under the Assistant Athletic Director for Sports Medicine or Team Physician’s supervision.

It is the student-athlete’s responsibility to follow recommended Athletic Training Room procedures related to the care of any athletic injury. Failure to do so may result in an unnecessary, lengthy rehabilitation and a prolonged absence from participation in the sport.

The Athletic Training staff monitors the progress of all student-athletes during treatment in the Athletic Training Room and keeps complete and accurate records on the progress of student-athletes during the treatment period. Required diagnostic tests for injured student-athletes and transportation to medical testing facilities is also coordinated by the Assistant Athletic Director for Sports Medicine, Head Athletic Trainer when required.
When surgery or hospitalization of a student-athlete who is a minor is recommended, the Assistant Athletic Director for Sports Medicine and Head Athletic Trainer contact the student-athlete's parents or guardians to inform them of their son's/daughter's diagnosis, prognosis and current health status. Contact must be made with parents or guardians prior to the scheduling of surgery. The student-athletes and his/her parents should be informed of the right to a second opinion when surgery is recommended.

Athletes injured on an away trip should be returned to SFA, if possible. If a member of the Athletic Training staff is not traveling with the team, the coach is responsible for obtaining the assistance of the host school's team physician or certified athletic trainer. Every effort should be made to contact the parents or guardian of a dependent student-athlete prior to hospitalization or surgery, to inform them of the injury. In emergency situations, immediate medical care should be obtained. If a member of the Athletic Training staff is not present on the trip, the Athletic Training staff must be notified concerning the injury.

- **Dental Care**
  
  Dental screening assessments are included in the pre-participation physical examinations given to all student-athletes. Mouthpieces are fitted for those student-athletes participating in contact sports. If the mouthpiece is not worn or has been lost, the Department is not responsible for dental charges.

  The Department assumes financial responsibility for dental care which is a direct result of an athletic injury sustained in formal practice or competition in the student-athlete's designated sport. Student-athletes are to immediately (i.e., within 24 hours) report all dental injuries to a member of the Athletic Training staff. The Department will not pay for general dental treatment (e.g., cleaning of teeth or treatment of cavities).

- **Eye Care**
  
  Eye exams are performed as part of the annual physical exam. If eye problems are discovered, the student-athlete is referred by the Head Athletic Trainer to an optometrist or ophthalmologist.

  The Department assumes financial responsibility only for eye injuries sustained in training, scheduled practices and competitions in the student-athlete's designated sport. The Department replaces and assumes responsibility for the payment of glasses or contacts which are lost or broken, provided:

  1. There is a record in the student-athlete's personal file of his/her need for corrective lenses to participate in said sport;
  2. There is an injury report filed the day of breakage or loss of glasses or contacts detailing the situation;
  3. There is proof that breakage or loss occurred during practice for a participation in an authorized intercollegiate athletic event; and
  4. The Assistant Athletic Director for Sports Medicine has issued an authorization referral and acquired an appointment for the student-athlete.
Concussion Assessment, Management, and Return to Play Guidelines

Policy and procedures on neurocognitive baseline testing and subsequent assessment and management of concussions as well as return to play guidelines has been developed in accordance with the Stephen F. Austin State University Department of Sports Medicine’s Mission Statement to provide quality healthcare services and assure the well-being of each student-athlete.

The Stephen F. Austin State University Department of Sports Medicine recognizes that sport induced concussions pose a significant health risk. Baseline neurocognitive testing on student-athletes who participate in those sports which have been identified as collision and or contact sports and/or who have had a history of concussions prior to entering Stephen F. Austin State University will provide significant data for return to competition decisions. This baseline data along with physical examination, and/or further diagnostic testing will be used in conjunction in determining when it is safe for a student-athlete to return to competition.

Concussion Definition

Violent shaking or jarring action to the brain, usually as a result of impact with an object or ground, resulting in immediate partial or complete impairment of neurological function. A concussion is a brain injury that is caused by a traumatic force to the head or another part of the body. This injury can occur in any sport and presents itself uniquely in each individual. A concussion can be mild or severe and can occur even if a person does not lose consciousness.

Signs and Symptoms of Concussion

Certified athletic trainers, and athletic training students, and coaches should be aware of the signs and symptoms of concussion to properly recognize and intervene. Recognition of any of the following signs/symptoms should be reported immediately.

<table>
<thead>
<tr>
<th>Physical Symptoms</th>
<th>Cognitive Symptoms</th>
<th>Emotionality Symptoms</th>
</tr>
</thead>
<tbody>
<tr>
<td>Headache</td>
<td>Memory Loss</td>
<td>Irritability</td>
</tr>
<tr>
<td>Vision Difficulty</td>
<td>Attention Disorders</td>
<td>Sadness</td>
</tr>
<tr>
<td>Nausea</td>
<td>Reasoning difficulty</td>
<td>Nervousness</td>
</tr>
<tr>
<td>Dizziness</td>
<td></td>
<td>Sleep Disturbances</td>
</tr>
<tr>
<td>Balance Difficulties</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Light sensitivity</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fatigue</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Loss of Consciousness (LOC)</td>
<td>Visual Disturbances (blurry, double vision)</td>
<td></td>
</tr>
<tr>
<td>Headache</td>
<td>Photophobia (sensitivity to light)</td>
<td></td>
</tr>
<tr>
<td>Confusion</td>
<td>Phonophobia (sensitivity to loud noises)</td>
<td></td>
</tr>
<tr>
<td>Amnesia (PTA) (Memory Loss)</td>
<td>Disequilibrium</td>
<td></td>
</tr>
<tr>
<td>Feeling “in a fog” or “zoned out”</td>
<td>Emotional Changes</td>
<td></td>
</tr>
<tr>
<td>Disorientation</td>
<td>Vacant Stare</td>
<td></td>
</tr>
<tr>
<td>Inability to focus</td>
<td>Delayed verbal and motor responses</td>
<td></td>
</tr>
<tr>
<td>Dizziness</td>
<td>Slurred/incoherent speech</td>
<td></td>
</tr>
<tr>
<td>Nausea/Vomiting</td>
<td>Irritability</td>
<td></td>
</tr>
<tr>
<td>Excessive drowsiness</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
If an athlete has sustained a concussion, those involved in his/her care must be aware of the warning signs and symptoms of post-concussion syndrome as listed below. Immediate medical care is required if symptoms progress rapidly.

<table>
<thead>
<tr>
<th>Loss of intellectual capacity</th>
<th>Lack of concentration</th>
<th>Sleep disturbances</th>
</tr>
</thead>
<tbody>
<tr>
<td>Poor recent memory</td>
<td>Poor attention</td>
<td>Depressed mood</td>
</tr>
<tr>
<td>Personality changes</td>
<td>Fatigue/irritability</td>
<td>Anxiety</td>
</tr>
<tr>
<td>Headaches</td>
<td>Phono/photophobia</td>
<td>Twitching/seizures</td>
</tr>
<tr>
<td>Dizziness</td>
<td>Nausea/vomiting</td>
<td>Balance issues</td>
</tr>
<tr>
<td>Fluid/blood from nose/ears</td>
<td>Loss of consciousness</td>
<td>Weak/numb extremities</td>
</tr>
</tbody>
</table>

### Baseline Assessment

All incoming freshmen, transfers and walk on student-athletes who are participating in those sports which have been identified as a contact or collision sport and/or who have had a previous history of concussions as identified by their health history will have a baseline neurocognitive test and a Standardized Assessment of Concussion (SAC™) performed as part of their athletic medical screening. Currently the SFASU Department of Sports Medicine utilizes the IMPACT™ concussion management system (Impact.com). The IMPACT™ system is a Windows-based user-friendly computer program which consists of 10 modules designed to test cognitive functioning. The SAC™ I is a series of questions testing: Orientation, Immediate Memory, Concentration, and Delayed Memory to measure the immediate neurocognitive effects of a student-athlete with a suspected concussion.
Sports which currently undergo baseline neurocognitive testing are as follows:

- M/W Basketball
- Baseball
- Cheerleading
- Football
- Softball
- Soccer
- M/W Pole Valuters
- Volleyball

Concussion Management and Return to Play Guidelines

In any circumstance where a concussion is suspected in an athlete, the first priority is to remove the athlete from further competition until a thorough sideline assessment can be made. Furthermore, if there is a question about the state of mental clearing it is best to err in the direction of conservative assessment and withhold the athlete from further competition until a physician assessment can be arranged.

The recommendations in this document for the management of concussion are based on review of the medical literature including, but not limited to, statements by the American Academy of Neurology, Robert C. Cantu, MD, Colorado Medical Society and the NCAA Manual of Sports Medicine.

While there is no clear consensus regarding prognostic significance of many physical manifestations in the post-concussion setting, there is general agreement that these symptoms do assist in the grading of concussion severity. This grading is pivotal management of concussion. The following are general guidelines based on the recommendations of the NCAA and National Athletic Trainers Association to be followed by all certified athletic trainers (ATC) and team physicians when treating student-athletes with concussion like symptoms:

1. Student-athletes will be provided educational material regarding concussions and will be required to sign an Assumption of Risk form in which the student-athlete accepts the responsibility for reporting their injuries and illnesses to the institutional medical staff, including signs and symptoms of concussion.

2. Stephen F. Austin State University sports medicine staff will record a baseline Immediate Post-Concussion Assessment and Cognitive Testing (ImPACT) on each student-athlete prior the first practice in the sports of football, volleyball, soccer, basketball, baseball, softball, volleyball, cheerleading, and track & field (pole vault, high jump, hurdles, throws). The same assessment tool (ImPACT) will be used post-injury at appropriate time intervals.

3. At the time of injury or once the injury has been reported, the medical staff will document all information pertinent to the concussive event including: 1) mechanism of injury, 2) initial signs and symptoms, 3) state of consciousness.

4. Reporting of concussion-like symptoms can be done in a variety of ways; injured player to medical staff, injured player to coach, injured player to peer, etc. It is the opinion of Stephen F. Austin State University that coaches, student-athletes, and medical staff all have a responsibility in reporting injuries and assisting in maintaining the health and safety for all who participate in intercollegiate athletics.

5. At the time of injury, the medical staff will monitor vital signs and level of consciousness after the concussion until the athlete’s condition improves or further medical treatment is necessary.

6. A student-athlete will be disqualified from competition activity on the day of injury if he/she is evaluated and diagnosed with concussion-like symptoms.

7. A student-athlete with a concussion will be referred to a physician or emergency room on the day of injury if he/she: 1) loses consciousness for an extended period of time, 2) experiences increased symptoms, 3) experiences persistent decreased sensory or motor function.
8. A student-athlete with a concussion who has increased number of post-concussion symptoms, symptoms worsen over time or symptoms interfere with the athlete’s daily activities will be referred to a team physician.

9. Once removed from participation and sent to his/her local residence, the medical staff will give the student-athlete a Home Care Instruction sheet. This sheet outlines care of a concussion and requires the signatures of the student-athlete, observer (person designated to stay with the student-athlete), and medical staff.

10. A student-athlete’s parent or guardian will be notified by a member of the medical staff after a concussive episode has occurred.

11. A student-athlete with a history of concussions will be treated more conservatively; the severity of the concussion may require the athlete to be referred to a team physician.

12. If necessary, academic accommodations may be requested by the medical staff. Student-athletes should not return to classes while symptomatic. A student-athlete should be asymptomatic at least 24 hours before returning to classes. Proper documentation will accompany the injured student-athlete to present to his/her instructors.

13. While symptomatic, a student-athlete should not attend practice or team meetings. They should also not be allowed to attend games or travel with their team to away contests.

14. A graduated protocol has been established by the medical staff for return to play. Once asymptomatic with rest and a return to classes, the student-athlete will begin an exertional progression to include light aerobic exercises, weight training, sport specific exercises, non-contact drills, and contact drills. Full return to play will only be possible if the student-athlete remains symptom free and normal ImPACT testing has been established. Final determination will be made by a team physician following direct consultation and evaluation.

15. Proper documentation will be kept on file regarding concussive episodes, testing, physician notes, and return to play criteria.

---

**Concussion Grading Scale**

<table>
<thead>
<tr>
<th>Grade 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>● Transient Confusion</td>
</tr>
<tr>
<td>● No Loss of Consciousness</td>
</tr>
<tr>
<td>● Post-Concussive symptoms lasting &lt; 15 min</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Grade 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>● Transient Confusion</td>
</tr>
<tr>
<td>● No Loss of Consciousness</td>
</tr>
<tr>
<td>● Post-Concussive symptoms lasting &gt; 15 min but &lt; 60 min</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Grade 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>● Any Loss of Consciousness</td>
</tr>
<tr>
<td>● Confusion or Concussive symptoms lasting &gt; 60 min</td>
</tr>
</tbody>
</table>
Sideline Management of Concussions

Grade 1 Concussions

1. If all situations where a concussion is suspected, the first step is to removed the athlete from competition.
2. The athlete should be assessed every 5 minutes until post-concussive confusion has cleared.
3. The athlete should undergo a SAC™ test. If they achieve a score of 25 or higher and continue to be free of any signs or symptoms, then they should perform exertional drills.
4. If the athlete has no confusion at 15 minutes and is free of the Signs and Symptoms of Concussion listed above, have the athlete perform exertional sport specific drills.
5. If the athlete remains free of symptoms and has a negative Rhomberg Exam, the athlete may return to competition that day.
6. In all circumstances, document the player name, position, circumstance of injury, duration of confusion and any post-concussive symptoms. All athletes who sustain a concussion should be referred for neurocognitive testing and evaluation with the team physician within 24 hours.

Grade 2 Concussions

1. If all situations where a concussion is suspected, the first step is to removed the athlete from competition.
2. Assess the athlete for post-concussive clearing of his/her confusion every 5 minutes for the first 30 minutes, then every 15 minutes until symptoms resolve.
3. Document the player name, position, circumstance of injury, duration of confusion and any post-concussive symptoms.
4. The athlete should NOT return to the current competition, even if symptoms completely clear.
5. The athlete should be referred for neurocognitive testing and evaluation by the team physician within 24 hours of the injury.

Grade 3 Concussions

1. All athletes with documented loss of consciousness or post-concussive confusion lasting more than 60 minutes shall be considered to have a Grade 3 concussion.
2. If the athlete remains unconscious, he/she should undergo cervical spine immobilization and be transported by rescue squad to the nearest emergency department.
3. When the loss of consciousness is brief (<15 seconds) or the athlete has prolonged post-concussive confusion, evaluation should be conducted by the team physician (or his local equivalent in travel situations) or the Emergency department in an expedient manner.
4. Assess the athlete for post-concussive clearing of his/her confusion every 5 minutes for the first 30 minutes, then every 15 minutes until symptoms resolve.
5. Document the player name, position, circumstance of injury, duration of confusion and any post-concussive symptoms.
6. The athlete should NOT return to the current competition, even if symptoms completely clear.
The Department of Sports Medicine recognizes that it may not be possible for neurocognitive testing to take place within a 24 hour time frame due to travel and other difficulties. With that in mind, it is necessary to plan for neurocognitive testing as soon as possible for the student-athlete, when they return to campus and for an evaluation with the team physician.

Return to Play Guidelines

Outside of circumstances where an athlete sustains a Grade 1 concussion with no alteration, in mental state and complete resolution of all concussion signs and symptoms, should a Certified Athletic Trainer allow an athlete to return to play without consultation with the team physician. The athlete still needs to be referred for neurocognitive testing and an evaluation with the team physician within a 24 hour period of initial injury, if possible.

Neurocognitive testing in conjunction with the team physician physical exam and additional diagnostic tests, as needed, will determine when a student-athlete returns to activity. Neurocognitive testing will be scheduled for 24 hours post initial injury and then subsequently every 48 hours, until the student-athlete scores at their baseline level, or an equivalent that is acceptable by the team physician.

Continued post-concussive symptoms, prior concussion history and any diagnostic testing results along with neurocognitive testing and physical exam, will be utilized by the team physician in establishing a timeline for an athlete's return to activity. It is important to note that this timeline could last over a period of days to weeks or months, or potential medical disqualification from all intercollegiate activity. All cases will be handled on a case-by-case basis. The team physician's decision on when a student-athlete can return is final.

Student-athletes must sign a statement in which they accept responsibility for reporting their injuries and illnesses to the sports medicine staff, including signs and symptoms of concussions.

Fifth Year of Eligibility for Medical Hardship

A Head Coach may initiate the request for a fifth year of eligibility medical hardship waiver for a player who is ill or was injured during the first half of the sport's traditional playing season and can no longer participate in his/her sport's program for the season in which the injury or illness occurred. Additionally, the student-athlete may not have participated in more than 30% of scheduled competition in his/her sport. The Head Athletic Trainer and/or Team Physician, under the direction of the Director of Athletics, reviews the student-athlete's medical records to determine if the fifth year medical hardship waiver option applies.

If the Head Athletic Trainer or appropriate consultant agrees that the student-athlete should be granted a fifth year of eligibility medical hardship waiver, a Southland Conference Hardship Waiver Petition (see Appendix 506A-9) must be completed. This petition must also include the following:

- The date of the injury or illness;
- An anatomical diagnosis of the injury or illness;
- The treatment prescribed; and
- The medical reasons for disqualifying the student-athlete from competition, and from the treating physician as to why the student-athlete could no longer compete.
Medical Expense and Insurance Coverage

Medical expenses incurred as a direct result of participation in organized practice or competition at SFA are considered the responsibility of the Department. All student-athletes are required to complete and return the Medical Coverage for Athletes Policy (see Appendix 506A-10) to the Athletic Training Room prior to the issuance of equipment for practice. Student-athletes who are on athletic scholarship and not covered by family or individual policies are encouraged to purchase student insurance for coverage of non-athletically related illnesses or injury. All non-scholarship student-athletes are required to present valid proof of health insurance prior to participation.

Post-Eligibility Insurance Coverage

The University realizes that certain injuries which are the direct result of intercollegiate athletics participation may require additional medical attention after a student-athlete has exhausted his or her eligibility. Therefore, secondary insurance coverage is provided for up to one (1) year after the date of a student-athlete’s last competition or two (2) years from the date of injury. This coverage is dependent upon documentation of injury, reasonable adherence to medical advice during rehabilitation and no further evidence of post-competition re-injury. Each case is individually reviewed for strict adherence to these guidelines.

Arrangements for the continuing care of a student-athlete with an athletically related injury are to be made before he/she leaves the University, either as a result of withdrawal or graduation. If prior arrangements for short or long-term care are not made, the University is released from all responsibility.

NCAA Catastrophic Injury Policy

The Department, through its NCAA membership, provides coverage for all student-athletes, student coaches, student managers, and student trainers, and student cheerleaders against catastrophic injury while representing Stephen F. Austin State University during qualifying intercollegiate athletics play or practice, or during travel related to these activities. Special catastrophic injury medical insurance provides payment for serious injuries up to $20 million in lifetime benefits.

The Department assumes no legal liability or moral responsibility for injury to a student-athlete that was not caused by the negligent acts or omissions of an officer, employee, or agent of the Department. Claims by third parties for damages as a result of injury to a student-athlete are investigated in the same manner as any other liability claim against the University.
Distribution of Drugs and Medication

The Department recognizes its responsibility related to controlling the purchase, storage and dispensing of prescription drugs, both narcotic and non-narcotic, as well as the keeping of records related to these activities. All of these activities must be in keeping with state and federal laws, as well as Athletic Training Room procedures, and they must be carried out in such a manner as to provide proper security.

All prescription medications stocked in the Athletic Training Room are labeled and pre-dispensed. The medications are distributed by written prescription from the Team Physician or referral physicians or dentists. Medications unavailable in the Athletic Training Room are referred by written prescription to a designated pharmacy in the community. Non-prescription medications are distributed by the Athletic Training staff following established Athletic Training Room protocol. No other Department personnel are allowed to distribute medications to student-athletes. The Department pays only for medications prescribed by the Team Physician and referral physicians and dentists.

SFA
7/2010 01/2013
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 it has reviewed the investment policy and strategy;

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on January 28, 2013; and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 29, 2013 meeting of the board.

Attest:

John R. Garrett, Chair

James H. Dickerson, Secretary

Date:

1/29/13
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:
Merrill Lynch, Inc.
Bank of America
ING Investment Management

WHEREAS, the following firms are approved financial institutions:
Citizens 1st Bank
Austin Bank
BancorpSouth
Commercial Bank of Texas NA
First Bank and Trust
Regions Bank
Regions Morgan Keegan Trust
US Bank
Texas Bank
Texpool
Texas Class
Texstar

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

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 29, 2013 meeting of the board.

John R. Garrett, Chair

James H. Dickerson, Secretary

1/29/13
### Health Clinic Insurance Billing Proposal Comparisons

<table>
<thead>
<tr>
<th>Firm</th>
<th>Expenses ¹</th>
<th>Projected Annual Net Revenue ¹</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vivature</td>
<td>Start-up: None</td>
<td></td>
<td>No entrance or minimum expenses</td>
</tr>
<tr>
<td></td>
<td>Percentage of collections: 35%</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Other: None</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Projected Total: $145,140</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Score: 8.08</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public Consulting Group</td>
<td>Start-up: None</td>
<td></td>
<td>PCG uses $100 per visit in its calculations – 263% higher than the $38 used by Vivature</td>
</tr>
<tr>
<td></td>
<td>Percentage of collections: 40%</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Other: None</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Projected Total: $168,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Score: 4.15</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Glaza, Inc.</td>
<td>Start-up: $36,000</td>
<td></td>
<td>$120,000 annual fee regardless of revenue collected</td>
</tr>
<tr>
<td></td>
<td>Percentage of collections: 18%</td>
<td></td>
<td>Did not provide analysis of revenue projected. Used most conservative of the other proposals to estimate.</td>
</tr>
<tr>
<td></td>
<td>Other: $10,000/month</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Projected Total: $194,644</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Score: 2.87</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

¹ Based on a standard of 11,000 billable services in the initial year of the program

### Evaluation Criteria

- 20% - Cost;
- 15% - Experience in medical billing services for University/College related accounts indicating a proven ability to perform all necessary services in a professional manner;
- 20% - User friendliness of medical billing processes;
- 15% - SFA staff time and other soft costs associated with medical billing processes;
- 20% - Software and data access, security, support, etc.;
- 10% - Additional information or services offered by Respondent.
Report to the Board of Regents – January 2013
Grants awarded between September 26, 2012 and December 7, 2012

Total New Current Year Awards (this period) – as of December 7, 2012
Subtotal direct federal $367,767
Subtotal federal pass-through $157,682
Subtotal state and state pass-through $126,402
Subtotal private entity and local government $129,734
TOTAL $781,585

Total awards (all years) for new awards (this period) $754,951
Total awards (all years) for continuing grants (this period) $655,032

Direct Federal Awards

*Environment Availability and Assessment of the Heavy Metals and Other Anthropogenic Contaminants in Snowy Plover Nesting Habitats in Texas, New Mexico and Oklahoma
FY 2013 Award: $93,562
Total Award: $125,000 (Cooperative Agreement)
Sponsor: FWS – U.S. Dept. of the Interior
Term (this Action): August 01, 2012 – August 31, 2015
Description: This project quantifies and compares environmental availability of contaminants in sediments, water, and potential invertebrate prey as potentially important exposure pathways for contaminants of concern for snowy plovers in saline lake habitats in Texas, New Mexico, and Oklahoma. PI/PD: Dr. Warren Conway, School of Forestry

*Demonstrating the Effect of Trees for Controlling Particulate Matter, Ammonia, and Odor from Poultry Buildings
FY 2013 Award: $90,000
Total Award: $90,000 (Cooperative Agreement)
Sponsor: U.S. Dept. of Agriculture
Term (this action): September 01, 2012 – September 30, 2013
Description: This project will: evaluate the effectiveness of various tree species in particulate matter and ammonia uptake, and in reducing odor; assess the ability of trees to tolerate building emissions; and examine management and costs requirements of using vegetative shelterbelts. PI/PD: Dr. Sheryll Jerez, Department of Environmental Science

*New awards

\(^1\)For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.
Prepared by the Office of Research & Sponsored Programs
*Science and the Public Interface: Equipping Museum Professionals to Engage Audiences Regarding Complex and Controversial Science Topics

FY 2013 Award: $89,205
Total Award: $247,149 (Grant)
Sponsor: IMLS – Institute of Museum & Library Services
Term (this action): December 01, 2012 – November 30, 2013
Subawards: $104,878 – Three subawards to the University of California – Berkley, West Virginia University, and the Chabot Museum are approved by the sponsor as part of the grant application.
Description: The goal of this project is to strengthen museum professionals’ competence and capacity to address complex and controversial science topics using appropriate communication and engagement approaches. To that end, Science and the Public Interface will bring together museum, state and federal agency, and academic partners to jointly develop a sequence of five graduate level online courses to build skills in this area. PI/PD: Dr. Theresa Coble, School of Forestry

Previously Described Awards

National Visitor Use Monitoring Preparation Survey Research
FY 2013 Award: $95,000 (additional award)
Total Award: $100,000

Subtotal Current Year Awards (this report) = $367,767
Subtotal New Direct Federal Awards (total award) = $462,149

Federal Pass Through

*Piney Woods AHEC (Federal Portion)
FY 2013 Award: $94,000
Total Award: $94,000 (Subaward; renewal)
Sponsor: University of Texas Medical Branch – Galveston (DHHS-HRSA)
Term: (this action) September 01, 2012 – August 31, 2013
Description: The purpose of the award is to build and maintain an integrated, community-based regional organization to effectively and efficiently address and support achievements of East Texas AHEC objectives. PI/PD: Mark Scott, Piney Woods AHEC, College of Sciences & Mathematics

*P-16 College and Career Readiness Marketing Project FY 13
FY 2013 Award: $50,000
Total Award: $50,000 (Grant; renewal)
Sponsor: TX Higher Ed Coordinating Board (U.S. Dept. of Education)
Term: (this action) September 24, 2012 – August 13, 2013
Description: The purpose of this award is to facilitate efforts to create a college-going and career-ready culture that prepares the region’s 28,000 P-12 students for post-secondary success. PD/PI: Dr. Judy Abbott, Perkins College of Education

*New awards

For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.
Prepared by the Office of Research & Sponsored Programs
Grants awarded between September 26, 2012 and December 7, 2012

*Returning Veterans Continuing Education Program*

FY 2013 Award: $2,900  
Total Award: $2,900 (Fixed Price Contract)  
Sponsor: National AHEC Organization (DHHS-HRSA)  
Term: (this action): April 09, 2012 – August 30, 2013  
Description: The purpose of the award is to conduct continuing education training program(s) on Behavioral/Mental Health of Veterans/Service Members and Families.  
PI/PD: Mark Scott, Piney Woods AHEC, College of Sciences & Mathematics

Previously Described Awards

Educational Approach to Increase Respiratory Use among Broiler Chicken Workers

FY 2013 Award: $10,782 (additional award)  
Total Award: $21,564

Subtotal Current Year Awards (this report) = $157,682
Subtotal New Federal Pass-through Awards (total award) = $146,900

State and State Pass-through Awards

*Piney Woods AHEC (State Portion)*

FY 2013 Award: $106,000  
Total Award: $106,000 (Interagency Agreement; renewal)  
Sponsor: UTMB – UT Medical Branch Galveston  
Term: (this action) September 01, 2012 – August 31, 2013  
Description: The purpose of the award is to build and maintain an integrated, community-based regional organization to effectively and efficiently address and support achievements of East Texas AHEC objectives.  
PI/PD: Mark Scott, Piney Woods AHEC, College of Sciences & Mathematics

*JAMP Camp 2013*

FY 2013 Award: $20,000  
Total Award: $20,000 (Interagency Agreement; renewal)  
Sponsor: UT System (TX Higher Education Coordinating Board)  
Term: (this action) November 01, 2012 – August 31, 2013  
Description: Funds are provided for the conduct of a summer pre-science camp for rising high school seniors to help ensure their successful transition to a challenging pre-medical program at SFA.  
PI/PD: Dr. Kevin Langford, Department of Biology

*New awards*

1For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.

Prepared by the Office of Research & Sponsored Programs
Report to the Board of Regents – January 2013
Grants awarded between September 26, 2012 and December 7, 2012

*Student Success Initiative Grant FY 13 (SSIG)*
- FY 2013 Award: $402
- Total Award: $402 (Formula Grant)
- Sponsor: TX Education Agency (TEA)
- Term: (this action) September 07, 2012 – August 31, 2013
- Description: The purpose of this award is to provide support for students grades 3-5 preparing for STAAR. PI/PD: Lysa Hagan, Charter School

Subtotal Current Year Awards (this report) = $126,402
Subtotal New State and State Pass-through Awards (total award) = $126,402

Private Entity and Local Government Awards

*Guest Speakers, Undergraduate Research, and Reading Group*
- FY 2013 Award: $12,500
- Total Award: $12,500 (Grant)
- Sponsor: Charles G. Koch Foundation
- Term: (this action) October 12, 2012 - May 01, 2013
- Description: The purpose of this award is to fund a guest lecture program, a reading group on classical philosophy, economics and public choice, and funds for student scholarships. PI/PD: Dr. Donald Gooch, Department of Government

*Poultry Science Education Student Recruitment*
- FY 2013 Award: $3,000
- Total Award: $3,000 (Grant; renewal)
- Sponsor: US Poultry & Egg Association
- Term: (this action) October 02, 2012 – July 31, 2013
- Description: The purpose of this award is to provide funds for the recruitment of poultry majors. PI/PD: Dr. Joey Bray, Agriculture

*Reducing Risks of Vaccine Preventable Illnesses in Children in East Texas*
- FY 2013 Award: $3,000
- Total Award: $3,000 (Interagency Agreement)
- Sponsor: UT Health Science Center (Pfizer Foundation)
- Term (this action) September 01, 2012 – December 31, 2012
- Description: The purpose of this award is to reduce risks of vaccine-preventable illnesses in children in East Texas. PI/PD: Mark Scott, Piney Woods AHEC, College of Sciences & Mathematics

*New awards

1For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.

Prepared by the Office of Research & Sponsored Programs
Report to the Board of Regents – January 2013
Grants\(^1\) awarded between September 26, 2012 and December 7, 2012

*Protect Your Immunity within Your Community CE Workshop*

FY 2013 Award: $1,000  
Total Award: $1,000 (Interlocal Agreement)  
Sponsor: Texas AHEC East Weatherford College (Pfizer Foundation)  
Term: (this action) August 29, 2012 – October 15, 2012  
Description: This purpose of this award is to conduct a continuing education training workshop on immunizations. PI/PD: Mark Scott, Piney Woods AHEC, College of Sciences & Mathematics

Previously Described Awards

**Child Care Training**

FY 2013 Award: $100,000 (additional award)  
Total Award: $400,000

**Vegetative Community Development on Reclaimed Coal Mine Land in East Texas**

FY 2013 Award $7,834 (additional award)  
Total Award: $122,568

**NMC Apartment Agreement (AHEC Apartment Utilities Fund)**

FY 2013 Award $2,400 (additional award)  
Total Award: $2,400

\[\text{Subtotal Current Year Awards (this report)} = \$129,734\]
\[\text{Subtotal New Private and Local Government Awards (total award)} = \$19,500\]

**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.

\(^{1}\)For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include federal financial aid, non-grant scholarships, or gifts.

Prepared by the Office of Research & Sponsored Programs
<table>
<thead>
<tr>
<th>Policy Name</th>
<th>Policy Number</th>
<th>BORCte</th>
<th>Major Action/Change</th>
<th>Page Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advanced Placement Guidelines</td>
<td>A-7</td>
<td>ASA</td>
<td>Minor wording changes.</td>
<td>P-4</td>
</tr>
<tr>
<td>Affirmative Action</td>
<td>E-4</td>
<td>ASA</td>
<td>Minor updates.</td>
<td>P-5</td>
</tr>
<tr>
<td>Alumni Association Distinguished Professor Award</td>
<td>A-16</td>
<td>ASA</td>
<td>Minor wording changes.</td>
<td>P-7</td>
</tr>
<tr>
<td>Appearances Before the Board of Regents</td>
<td>D-4</td>
<td>ASA</td>
<td>Minor wording changes.</td>
<td>P-9</td>
</tr>
<tr>
<td>Course Grades</td>
<td>A-54</td>
<td>ASA</td>
<td>Added information on grade reporting.</td>
<td>P-11</td>
</tr>
<tr>
<td>Distribution of SFA Alumni Foundation Scholarships</td>
<td>C-51</td>
<td>F&amp;A</td>
<td>Minor wording changes.</td>
<td>P-14</td>
</tr>
<tr>
<td>Employee Affirmative Action/Recruitment Plan</td>
<td>E-69</td>
<td>ASA</td>
<td>Updates and generalization of reporting mechanisms.</td>
<td>P-16</td>
</tr>
<tr>
<td>Faculty/Staff ID Cards</td>
<td>F-13</td>
<td>ASA</td>
<td>Fee for replacement cards is $10.</td>
<td>P-19</td>
</tr>
<tr>
<td>Final Examination</td>
<td>A-19</td>
<td>ASA</td>
<td>Title revised. Minor wording changes.</td>
<td>P-20</td>
</tr>
<tr>
<td>Food and Beverages in Academic Areas</td>
<td>B-8</td>
<td>B&amp;G</td>
<td>Policy to be deleted.</td>
<td>P-21</td>
</tr>
<tr>
<td>Grade Reporting</td>
<td>A-41</td>
<td>ASA</td>
<td>Policy to be deleted. Content incorporated into Course Grades (A-54)</td>
<td>P-22</td>
</tr>
<tr>
<td>Health and Safety</td>
<td>D-17</td>
<td>ASA</td>
<td>Minor updates.</td>
<td>P-23</td>
</tr>
<tr>
<td>Hiring of Non-Academic Personnel</td>
<td>E-27N</td>
<td>ASA</td>
<td>Policy to be deleted.</td>
<td>P-26</td>
</tr>
<tr>
<td>Interlibrary Loan</td>
<td>A-23</td>
<td>ASA</td>
<td>Minor wording changes.</td>
<td>P-28</td>
</tr>
<tr>
<td>Investments</td>
<td>C-41</td>
<td>F&amp;A</td>
<td>Minor corrections.</td>
<td>P-29</td>
</tr>
<tr>
<td>Policy Name</td>
<td>Policy Number</td>
<td>BORCte</td>
<td>Major Action/Change</td>
<td>Page Number</td>
</tr>
<tr>
<td>---------------------------------------------------------------------------</td>
<td>---------------</td>
<td>--------</td>
<td>-----------------------------------------------------------------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td>Investments – Endowment Funds</td>
<td>C-41.A</td>
<td>F&amp;A</td>
<td>Securities rated below A must be less than 1%; allocation that exceeds 10% requires approval of investment officer and committee.</td>
<td>P-42</td>
</tr>
<tr>
<td>Issuance and Control of Campus Keys</td>
<td>B-15</td>
<td>B&amp;G</td>
<td>Employees will use card keys where appropriate. Guidelines concerning loss, duplication and transfer of keys strengthened.</td>
<td>P-52</td>
</tr>
<tr>
<td>Library Borrowing</td>
<td>A-26</td>
<td>ASA</td>
<td>Minor updates.</td>
<td>P-55</td>
</tr>
<tr>
<td>Library Gifts</td>
<td>A-25</td>
<td>ASA</td>
<td>Minor updates.</td>
<td>P-56</td>
</tr>
<tr>
<td>Markers and Monuments</td>
<td>D-47</td>
<td>B&amp;G</td>
<td>Minor updates.</td>
<td>P-57</td>
</tr>
<tr>
<td>Meeting and Conducting Classes</td>
<td>A-31</td>
<td>ASA</td>
<td>Minor wording changes.</td>
<td>P-59</td>
</tr>
<tr>
<td>Naming Guidelines</td>
<td>D-22</td>
<td>B&amp;G</td>
<td>Minor wording changes.</td>
<td>P-60</td>
</tr>
<tr>
<td>Norton HPE Complex</td>
<td>B-20</td>
<td>B&amp;G</td>
<td>Minor updates.</td>
<td>P-62</td>
</tr>
<tr>
<td>Procurement Card</td>
<td>C-44</td>
<td>F&amp;A</td>
<td>Minor updates.</td>
<td>P-65</td>
</tr>
<tr>
<td>Recombinant DNA and/or Infectious Biohazards in Teaching and Research</td>
<td>A-81</td>
<td>ASA</td>
<td>New policy.</td>
<td>P-70</td>
</tr>
<tr>
<td>Regents Professor</td>
<td>A-38</td>
<td>ASA</td>
<td>The recipient will provide a public lecture.</td>
<td>P-86</td>
</tr>
<tr>
<td>Return to Work</td>
<td>E-62</td>
<td>ASA</td>
<td>Minor updates.</td>
<td>P-87</td>
</tr>
<tr>
<td>Second Baccalaureate Degrees</td>
<td>A-73</td>
<td>ASA</td>
<td>Minor wording changes.</td>
<td>P-89</td>
</tr>
<tr>
<td>Policy Name</td>
<td>Policy Number</td>
<td>BORCte</td>
<td>Major Action/Change</td>
<td>Page Number</td>
</tr>
<tr>
<td>----------------------------------------------------------------------------</td>
<td>---------------</td>
<td>--------</td>
<td>------------------------------------------------------------------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td>Selection of President, General Counsel, Director of Audit Services and Coordinator of Board Affairs</td>
<td>D-30</td>
<td>ASA</td>
<td>Reviewed with no changes.</td>
<td>P-91</td>
</tr>
<tr>
<td>Skating and Skateboarding</td>
<td>D-32</td>
<td>B&amp;G</td>
<td>Minor wording changes.</td>
<td>P-92</td>
</tr>
<tr>
<td>Use of University Facilities</td>
<td>B-1</td>
<td>B&amp;G</td>
<td>Consumption of food and beverages approvals; amplified sound restrictions. Minor updates.</td>
<td>P-94</td>
</tr>
<tr>
<td>Withdrawal Without Financial Clearance</td>
<td>C-39</td>
<td>F&amp;A</td>
<td>General deposit will apply to unpaid obligations upon graduation or withdrawal. Removed sanction of withholding of diploma.</td>
<td>P-103</td>
</tr>
<tr>
<td>Work Requests</td>
<td>B-32</td>
<td>B&amp;G</td>
<td>Minor updates.</td>
<td>P-105</td>
</tr>
<tr>
<td>Workers Compensation Coverage</td>
<td>E-55</td>
<td>ASA</td>
<td>Minor updates.</td>
<td>P-107</td>
</tr>
</tbody>
</table>
Advanced Placement Guidelines (A-7)

Original Implementation: September 4, 1979
Last Revision: April 20, 2010; January 29, 2013

Stephen F. Austin State University (SFA) offers several options for students to earn college credit through placement programs and national examinations: the College Level Examination Program (CLEP), Advanced Placement Program (AP) of the College Board, International Baccalaureate (IB) Program, and SFA internal examinations.

Criteria governing AP, CLEP, and IB shall be reviewed by academic units who submit recommendations for course credit through the dean of the college to the Undergraduate Council’s Curriculum Committee for review and approval. Review of the criteria shall be initiated by the Office of Admissions on a periodic basis dependent upon the receipt of test and resource material from the College Board and the International Baccalaureate Organization.

The Office of Admissions is responsible for reviewing these placement programs and national examinations annually, and disseminating information about changes to the appropriate academic units.

To make revisions to course credit earned through AP, CLEP, and IB, academic units will submit recommendations through the dean to the Undergraduate Council’s Curriculum Committee.

Individual academic units have the responsibility of initiating an internal advanced placement program (i.e., a system that allows students to bypass certain courses). Academic units may initiate such an internal advanced placement program. The requests via a memorandum to offer an internal advanced placement program must be submitted by the academic unit through the dean of the college to the Undergraduate Council’s Curriculum Committee for review and approval. Academic units shall review and update their advanced placement programs as part of the university's general bulletin revision process.

Cross Reference: General Bulletin, 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
Affirmative Action (E-4)

Original Implementation: Unpublished

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

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

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


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

**Contact for Revision:** Director of Human Resources and General Counsel

**Forms:** None

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

1. In general, the faculty member selected should most nearly satisfy the criteria for faculty best exemplify excellence incorporating in teaching, research/scholarly/creative accomplishment, and service activities.

2. Bring wide recognition to SFA in the areas of scholarship, citizenship, and contribution to academic excellence.

3. The recipient must be a tenured, active member of the SFA faculty; however, Academic administrators holding a position above that of a department chair or director are not eligible.

4. The recipient must be an active member of the faculty at the time of the award.

5. Scholarship, citizenship, and contribution to academic excellence and to the overall program of SFA must be of such magnitude as to be judged by the selection committee and SFA Alumni Association to cause wide recognition of SFA demonstrate involvement in and support of the SFA Alumni Association

6. The recipient must be a member of the SFA Alumni Association by the date of the award.

Evidence of involvement and support of the Alumni Association must be demonstrated.

Cross Reference: www.sfaalumni.com

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Executive Director for Alumni Affairs

Forms: None
Board Committee Assignment: Academic and Student Affairs
Appearances Before the Board of Regents (D-4)

Original Implementation: January 19, 1988

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

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

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

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

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

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

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

**Responsible for Implementation:** President

**Contact for Revision:** President

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs Committee
Course Grades (A-54)

Original Implementation: January 25, 2000
Last Revision: July 17, 2012

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

Recorded Grades

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

Withheld Grades

At the discretion of the instructor of record and with the approval of the academic unit chair/director, a grade of WH will be assigned only if the student cannot complete the course work because of unavoidable circumstances. Students must complete the work within one calendar year from the end of the semester in which they receive a WH, or the grade automatically becomes an F, except as allowed through policy [i.e., Active Military Service (A-74)]. If students register for the same course in future semesters, the WH will automatically become an F and will be counted as a repeated course for the purpose of computing the grade point average.

Grade Point Average

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

- A = four grade points per semester hour;
- B = three grade points per semester hour;
- C = two grade points per semester hour;
- D = one grade point per semester hour; and
- F, QF, and WF result in no grade points.
The GPA is determined by dividing the sum of the grade points earned at SFA by the total number of hours attempted at SFA, except that grades of W, WH, P, and WP are not counted. In addition, repeating a course may affect the grade point calculation.

**Repeat Grades**

Students who make an F in a course can get credit only by repeating the course. Undergraduate students who want to repeat courses to improve their GPA at SFA must repeat those courses at SFA. For any course that is repeated once at SFA, the higher of the two grades will be used to calculate the GPA. If a course is repeated more than once at SFA, all grades earned for that course will be averaged and used to determine the GPA. Credit hours for courses taken at other institutions to replace credit hours earned at SFA may be used to meet graduation credit-hour requirements, but not for GPA calculation.

**Mid-Semester Grades**

In the interest of engaging and retaining an increasing percentage of freshman and sophomore students, mid-Semester grades will be posted for 000-, 100- and 200-level courses during fall and spring semesters. Mid-semester grades will be posted before the last day to drop courses each semester. Information on recommendations for students with recommendations and options regarding academic performance will be made available.

**Grade Reporting**

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

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

Grades must be posted in a manner consistent with Family Educational Rights and Privacy Act (FERPA) regulations.

**Grade Changes**

Once a final grade has been posted, it can only be changed by submitting a WH and Grade Change Form with the appropriate approval signatures. Grades should only be changed in cases of error or, in the case of WH, when the course requirements have been completed.
Cross Reference: General and Graduate Bulletins; Class Attendance and Excused Absence (A-10); Active Military Service (A-74); Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: WH and Grade Change Form

Board Committee Assignment: Academic and Student Affairs
Distribution of SFA Alumni Foundation Scholarships (C-51)

Original Implementation: July 17, 2001

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

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

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

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

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


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
Employee Affirmative Action/Recruitment Plan (E-69)

Original Implementation: February 3, 2005

Stephen F. Austin State University's affirmative action/recruitment plan has been developed in accordance with principles designed to assure equal access to employment opportunities. These principles outline the intent and goals of the university's plan.

Equal opportunity is the law of the land. In the public sector of our society this means that all persons, regardless of race, color, religion, sex, national origin, age, veteran status, or disability shall have equal access to positions in public service limited only by their ability to do the job.

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

Stephen F. Austin State University is committed to equal employment opportunities and strongly feels that increasing diversity should be a significant part of the hiring process. Employment discrimination and retaliation on the basis of race, color, national origin, sex, religion, age, veteran status, mental or physical disability, shall be strictly prohibited.

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

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

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

It shall be the public policy of Stephen F. Austin State University not to discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, veteran status, or disability status.
citizenship, or veteran status. Further, the university shall take all necessary steps to ensure the employment and promotion of otherwise qualified classes who may be underrepresented in the agency's workforce.

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

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

PROGRAM RESPONSIBILITIES

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

The president shall have ongoing responsibility for establishing recruitment policies and monitoring the implementation of the plan through periodic program reports. Further, the president shall review annually for purposes of revision or modification the plan, workforce analysis, and personnel policy and procedural systems including, but not limited to, recruitment, selection, promotions, job descriptions, classifications, compensation, discipline, or other terms and conditions affecting the equal employment opportunities of applicants or employees because of race, color, national origin, religion, sex, age, veteran status, or disability status.

The director of human resources shall be designated as the affirmative action/recruitment officer for the university with the authority for administering the plan. It shall be the responsibility of the director of Human Resources to ensure that compliance with the university's affirmative action/recruitment policies are implemented in an efficient and effective manner. The director of Human Resources shall provide periodic progress reports and information to support and monitor the plan. to the president outlining plan accomplishments and provide the necessary information required by the president for purposes of the plan's annual review.

Specific procedures for the recruitment of faculty and staff can be found on the Human Resources website: Human Resources should be contacted for specific procedures related to recruitment of faculty and staff.
PROGRAM GOAL

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

MONITORING THE AFFIRMATIVE ACTION/RECRUITMENT PLAN ACHIEVEMENT

The director of Human Resources shall be responsible for administering Stephen F. Austin State University's affirmative action/recruitment plan and providing regular reports to the president. Utilizing such reports, the president shall monitor the implementation of the plan and identify any revisions necessary to assure effectiveness of the plan. Such reports may include the following:

- Annual Progress Report: This narrative report shall include an itemized summary of the program's achievements, progress and underutilization with accompanying recommendations.
- Annual Workforce Availability Analysis: The workforce availability analysis compares racial, ethnic and gender percentages by job category, of the national workforce to the percentages employed in the university's workforce and is to be prepared annually by the director of Human Resources. Any underutilization shall be noted and strategies for recruitment of underutilized groups will be implemented.
- Referral Sources: Human resources shall maintain data which indicates class representation of the university's applicant pool and if any measures need to be taken to include new referral sources.
- University EEO Report: The Human Resources director shall maintain a report showing the university structure with employees by EEO job category to monitor the representation of classes within the university's labor force.


Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs
Faculty/Staff ID Cards (F-13)

Original Implementation: Unpublished
Last Revision: January 25, 2010 January 29, 2013

Employees wishing to use certain university facilities may be required to show a current faculty/staff identification card.

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

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

1. Complete a "Request for Staff/Faculty ID Card" form in Human Resources.
2. After Human Resources verifies employment, the employee takes/presents the verified request form to the Card Services Office in the Student Center to have the ID card made/produced.

The first-initial faculty/staff ID card is free. The fee for any replacement ID cards is $10.70 and will be charged to the employee’s account. This will be and payable at the university Business Office in the Austin Building.

ID cards must/should be validated annually in the Card Services Office in the Student Center.

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

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

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Director of the Student Center Services

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

Board Committee Assignment: Academic and Student Affairs
**Final Examination Schedulings (A-19)**

**Original Implementation:** June 16, 1982  
**Last Revision:** January 25, 2010/January 29, 2013

Faculty members shall administer final examinations according to the official schedule published in the Schedule of Classes. Final Exam Schedule. Certain classes may be exempt from a final examination if determined appropriate by the department chair or director, academic unit head.

Final examinations for any course taught at times not listed in the Schedule of Classes, Final Exam Schedule, including but not limited to distance education courses, online courses, and evening or weekend courses, should be scheduled in consideration of resource availability.

All final examinations must be administered after 5 p.m. and scheduled to conclude by midnight on the last day of the semester, Final Exam Schedule. Exceptions may be made by the appropriate academic dean.

**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
Food and Beverages in Academic Areas (B-8)
Policy Deleted

Original Implementation: December 21, 1982
Last Revision: January 25, 2010

The provisions of the policy for Use of University Facilities (B-1) govern the use of all buildings, facilities, equipment and grounds, hereinafter referred to as facilities, under the control of Stephen F. Austin State University (SFA). That policy provides that the university may establish additional procedures for the reservation and use of specific facilities; therefore, the following provisions apply to regulations on use of food or drink in the library, classrooms and laboratories.

Consumption of food or beverages in SFA academic buildings is permitted subject to the approval of the appropriate academic dean or designee, provided such permission does not conflict with other policies or laws.

Cross Reference: Faculty Handbook, Tobacco Products (D-35.5); Use of University Facilities (B-1)

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: Buildings and Grounds
Grade Reporting (A-41) Policy Deleted; Incorporated into Course Grades (A-54)

Original Implementation: January, 1983
Last Revision: April 20, 2010

On the first day of final examinations of each semester or summer term, the Office of the Registrar shall make available official grade report forms for each class to departmental/school/division offices. It is the responsibility of each instructor to record the appropriate grade for each student by entering the grade into the electronic data base for student records. Faculty shall complete grade entry by the deadline established on the university calendar.

The Office of the Registrar shall provide access for electronic verification grade sheets for each class to departmental, school, and division offices. It is the responsibility of each instructor to verify accuracy of grade entry and to notify the registrar of any discrepancies.

Grades may be posted in a designated place but must be done in a manner that an individual student's grade cannot be identified by others and no violation of Family Educational Rights and Privacy Act (FERPA) regulations occurs.


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
I. PURPOSE

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

II. SCOPE

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

III. ENVIRONMENTAL HEALTH, SAFETY, & RISK MANAGEMENT

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

IV. RESPONSIBILITIES

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

1. The responsibility for physical safety, fire protection, occupational health, emergency procedures, risk management, safety training, workers' compensation, and engineering controls is assigned to the university director of Environmental Health, Safety, and Risk Management (EHS&RM), who reports to the vice president for finance and administration. The university director of EHS&RM will assume the duties of accident prevention coordinator. The university safety officer acting as the
workers compensation coordinator shall report to the university director of EHS&RM.

2. The responsibility for control of hazardous materials, including use, storage, and disposal of regulated hazardous materials, as well as the responsibility for compliance with the Texas Hazard Communication Act, is assigned to the director of EHS&RM who reports to the vice president for finance and administration.

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

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

5. The responsibility for the maintenance of the health of students and the initial care of the faculty and staff members suffering from minor occupational injuries or illness is assigned to the director of University Health Services, who reports to the vice president for university affairs.

V. SUPPORT

In addition to the aforementioned and specifically-assigned responsibilities, it shall be the general responsibility of all SFA employees and students to keep themselves informed of conditions affecting their health and safety, comply with SFA health and safety policies, practices, and programs, participate in training programs provided by their supervisors and EHS&RM, adhere to healthy and safe practices in their workplace, classroom, and laboratories, and advise their supervisor or instructors of serious hazards in the workplace, classroom or laboratory.

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

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

**Cross Reference:** Risk Management Policy (E-43.5); Tex. Health & Safety Code §-Ch. 502

**Responsible for Implementation:** President

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

**Forms:** None

**Board Committee Assignment:** Academic and Student Affairs
Hiring of Non-Academic Personnel (E-27N) Policy Deleted

Original Implementation: Unpublished
Last Revision: January 25, 2010

General Employment Regulations

In hiring university personnel, departments should use the following guidelines.

1. Equal Employment Opportunity. The university’s policy is to employ the best qualified applicants. In no instance shall an officer or employee base the decision to hire, to promote, to discharge, to demote, to grant or to withhold employee benefits from any qualified individual on any criteria other than ability, training, experience, and performance.

2. Selective Service Registration. All offers of employment are contingent upon the applicant presenting proof that they have complied with the federal law requiring selective service registration unless they are exempt.

3. Authority to Hire. Once approvals to hire are obtained through the appropriate channels, all positions are electronically routed to the Human Resources Department at which time the positions are posted on the online applicant system.

4. Listing of Employment Openings. Before the employing department recommends appointment of a candidate, classified positions shall be listed a minimum of five calendar days and non-classified (administrative/professional) positions a minimum of ten calendar days.

5. Advertising of Employment Openings. Employment advertisements by any university department or official must contain the following statement: “An Equal Opportunity Employer” and must be approved in advance by the Office of Public Affairs and Marketing. Human Resources will list all faculty and staff openings with the local State Employment Office and other agencies as may be appropriate. Any department or search committee electing to post vacancy notices on the Internet, must include the EEO notice as a part of the posting.

6. Employment of Aliens. The university shall abide by regulations of the U.S. Immigration and Naturalization Service. In compliance with the Immigration Reform and Control Act of 1986, all employees hired after November 1, 1986, must complete Form I-9 within 3 days of employment after which the form becomes a part of the individual’s personnel record.

7. Offers of Employment. All offers of employment may be withdrawn based on the Board of Regents non-approval, failure to fulfill requirements, or for other cause.

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs
Interlibrary Loan (A-23)

**Original Implementation:** March, 1985  
**Last Revision:** January 25, 2010, January 29, 2013

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

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

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

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

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

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

**Cross Reference:** None

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

**Contact for Revision:** Library Director

**Forms:** [https://illiad.sfasu.edu/Illiad/logon.html](https://illiad.sfasu.edu/Illiad/logon.html)

**Board Committee Assignment:** Academic and Student Affairs
Investments (C-41)

Original Implementation: April 30, 1996

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. This policy is promulgated in accord with the Public Funds Investment Act (Government Code, Chapter 2256), and related portions of the Texas Education Code.

Scope

This policy establishes rules for the investment of all university funds that are governed by Chapter 2256 of the Government Code. Endowment funds are invested in accordance with a separate policy approved by the Board of Regents. 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.

Authorized Investments
All university funds and funds held in trust for others may be invested only in the securities listed below. Credit rating requirements will be monitored at least monthly for applicable securities. If or when a rating drops below the established minimum, the investment will be liquidated as soon as prudently possible.

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 issued and share certificates by a depository institution that has its main office or a branch office in Texas that is:
   1. guaranteed or insured by the Federal Deposit Insurance Corporation or its successor or the National Credit Union Share Insurance Fund or its successor;
   2. secured by obligations that are described in Authorized Investments section A-E listed above, including mortgage backed securities directly issued by a federal agency or instrumentality that have a market value of not less than the principal amount of the certificates, but excluding those mortgage backed securities of the following nature:
      a. obligations whose payment represents the coupon payments on the outstanding principal balance of the underlying mortgaged-backed security collateral and pays no principal;
      b. obligations whose payment represents the principal stream of cash flow from the underlying mortgage-backed security collateral and bears no interest;
      c. collateralized mortgage obligations that have a stated final maturity date of greater than 10 years; and
d. collateralized mortgage obligations the interest rate of which is determined by an index that adjusts opposite to the changes in a market index.

3. In addition to the authority to invest funds in certificates of deposit in Section (F), an investment in certificates of deposit made in accordance with the following conditions is an authorized investment under Subchapter 2256.010:
   a. the funds are invested by an investing entity through a broker that has its main office or a branch office in Texas and is selected from a list adopted by the investing entity as required by Section 2256.025; or
   b. the broker or the depository institution selected by the investing entity under Subsection (a) arranges for the deposit of the funds in certificates of deposit in one or more federally insured depository institutions, wherever location, for the account of the investing entity;
   c. the full amount of the principal and accrued interest of each of the certificates of deposit is insured by the United States or an instrumentality of the United States;
   d. the investing entity appoints the depository institution selected by the investing entity under Subsection (a), an entity described by Section 2257.041(d), or a clearing broker-dealer registered with the Securities and Exchange Commission (SEC) and operating pursuant to SEC Rule 15c3-3 (17 C.F.R. Section 240.15c3-3) as custodian for the investing entity with respect to the certificates of deposit issued for the account of the investing entity

G. fully collateralized repurchase agreements with a definite termination date, secured by a combination of cash and obligations described by Authorized Investments section A-E, requiring the securities being purchased by the entity or cash held by the entity to be pledged to the entity, held in the entity’s name, and deposited at the time the investment is made with the entity or with a third party selected and approved by the entity; and placed through a primary government securities dealer, as defined by the Federal Reserve, or a financial institution doing business in this state;

H. bankers acceptances having a stated maturity of 270 days or fewer from the date of issuance, to be liquidated in full at maturity, eligible for collateral for borrowing from a Federal Reserve bank, and accepted by a bank organized and existing under the laws of the United States of America or any state, if the short-term obligations of the bank, or of a bank holding company of which the bank is the largest subsidiary, are rated not less than A-1 or P-1 or an equivalent rating by at least one nationally recognized credit rating agency;

I. commercial paper that has a stated maturity of 270 days or fewer from the date of its issuance, and is rated not less than A-1 or P-1 or an equivalent rating by
at least two nationally recognized credit rating agencies or one nationally recognized credit rating agency and is fully secured by an irrevocable letter of credit issued by a bank organized and existing under the laws of the United States of America or any state;

J. no-load money market mutual funds registered and regulated by the Securities and Exchange Commission, having a dollar-weighted average stated maturity of 90 days or fewer, and including in their investment objectives the maintenance of a stable net asset value of $1 for each share; and no-load mutual funds that conform to Section 2256.014 of the Government Code;

K. guaranteed investment contracts conforming to Section 2256.015 of the Government Code;

L. investment pools conforming 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;

P. assets and/or funds reportable within the scope of the university’s annual financial report may not be invested in or used to purchase securities, including obligations, of a private corporation or other private business entity that owns 10% or more of a corporation or business entity which records or produces any song, lyrics or other musical work that explicitly describes, glamorizes or advocates

1. acts of criminal violence, including murder, assault, assault on police officers, sexual assault, and robbery;
2. necrophilia, bestiality, or pedophilia;
3. illegal use of controlled substance;
4. criminal street gang activity;
5. degradation or denigration of females; or
6. violence against a particular sex, race, ethnic group, sexual orientation, or religion.
Insurance or Collateral

All deposits and investments of university funds other than direct purchase of United States Treasury securities or United States Agency securities and in money market funds invested in U. S. Treasury or Agency securities shall be secured by a pledge of collateral with a market value equal to no less than 100% of the deposits or investments less any amount insured by the FDIC or FSLIC and pursuant to Chapter 2257, the Public Funds Collateral Act. Evidence of the pledged collateral associated with bank demand accounts and investments shall be maintained by the director of financial services. Eligible repurchase agreements shall be documented by a specific agreement noting the collateral pledged in each agreement. 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 related bank and certificates of deposit balances.

Pledged collateral shall be maintained for safekeeping by a third party depository.

Collateral Defined

The university shall accept only the following securities as collateral:

A. AFDIC and FSLIC 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.

Investment Strategy

All investments will be made in accordance with the university’s investment policy. Investments may be diversified as needed to provide investment suitability to 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 of the type to provide sufficient liquidity and marketability for any operating requirements. The investment portfolio may be diversified with authorized securities to accommodate changing market conditions. However, United States Treasury securities are preferable because of their low risk and high liquidity. An investment decision shall consider yield only after the requirements for principal preservation, liquidity, and marketability have been met.

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. Normally, investments are laddered so that most principal is returned over a five year period in increments sufficient to meet anticipated operating and capital needs. 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 fund type and will be dependent on funding requirements. As a general rule, funds will be invested for the time periods indicated:

- **Current Unrestricted and Restricted Funds** - 2 days to one year
- **Plant Funds** - 3 months to 3 years

**Delegation of Authority**

The vice president for finance and administration (VPFA) of Stephen F. Austin State University is responsible for investment management decisions and activities. The VPFA delegates the day-to-day management of the investment activities to the director of financial services.
The VPFA 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 VPFA 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 VPFA 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 VPFA 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.

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 VPFA 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.

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.

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’ office.

**Investment Authority**

The VPFA or director of financial services shall invest only those funds regulated by this policy and shall purchase only those securities authorized by the Authorized Investments section of this policy.

**Authorized Financial Dealers and Institutions**

Investment transactions (bids and offers) will occur only between the university and board authorized broker/dealers. 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.

**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 Advisors 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.

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:

17. 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;
18. 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;
19. 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.

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:

<table>
<thead>
<tr>
<th>Category</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>U. S. Treasury securities and securities having principal and interest guaranteed by the U. S. Government</td>
<td>100%</td>
</tr>
<tr>
<td>U. S. Government agencies, instrumentalities and government sponsored</td>
<td>50%</td>
</tr>
</tbody>
</table>
The VPFA 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 affect the sale. The weighted average maturity of the entire portfolio shall be maintained at no more than 10 years and shall be reported quarterly to the Board of Regents. Pooled fund groups eligible for university investment shall have a maximum weighted average maturity of 10 years.

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.

### Safekeeping and Collateralization

All securities transactions, including collateral for repurchase agreements, but excluding mutual funds and investment pools, must be settled on a delivery versus payment basis. Collateral for certificates of deposit shall be held by a third party custodian in the name of the university. The third party custodian shall be required to issue a safekeeping receipt to the university listing the specific instrument, rate,

<table>
<thead>
<tr>
<th>Investment Type</th>
<th>Limit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enterprises (excluding mortgage backed securities)</td>
<td></td>
</tr>
<tr>
<td>Collateral mortgage backed securities</td>
<td>25%</td>
</tr>
<tr>
<td>Fully insured or collateralized certificates of deposit</td>
<td>100%</td>
</tr>
<tr>
<td>Bankers' acceptances</td>
<td>25%</td>
</tr>
<tr>
<td>Commercial paper</td>
<td>50%</td>
</tr>
<tr>
<td>Repurchase agreements</td>
<td>100%</td>
</tr>
<tr>
<td>Registered money market funds</td>
<td>80%</td>
</tr>
<tr>
<td>Local Government Investment Pool</td>
<td>100%</td>
</tr>
<tr>
<td>Corporate Bonds</td>
<td>50%</td>
</tr>
</tbody>
</table>
maturity, safekeeping receipt number, and other pertinent information. Any collateral safekeeping receipt shall be clearly marked on its face that the security is "pledged to Stephen F. Austin State University". Collateralization shall be required on certificates of deposit and repurchase agreements. The collateralization level shall be no less than 100% of the market value of the principal and interest due on these instruments. Collateral for certificates of deposit and repurchase agreements shall consist of any of the securities authorized for investment within this policy.

**Performance Evaluation**

The VPFA and director of financial services shall submit quarterly reports to the Board of Regents through its finance/audit committee 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.

**Training**

The investment officer(s) will attend 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 § 51.0032

**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 be held by a third party custodian in the name of the university. A safekeeping receipt will be issued to the university listing the specific instrument, rate, maturity, safekeeping receipt number, and other relevant information. The signature of the president, VPFA or director of financial services is required for release of pledged securities from safekeeping. Only changes in the level of collateralization require approval by the president, VPFA or director of financial services. The controller’s office will reconcile the appropriate investment accounts to broker’s statements and other supporting documents monthly. All purchases of securities from and deposits of funds to or withdrawals of funds from investment pools require the signature of the VPFA or the director of financial services, and either the budget director, the controller, or the assistant controller.
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.
Investments - Endowment Funds (C-41.A)

Original Implementation: Unpublished

GENERAL

This Investment Policy Statement (IPS) applies to all Stephen F. Austin State University (the "university") endowment funds. These funds are 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. Quasi-endowment funds that are not considered to be public funds may be governed by this policy.

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 insure 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.

Separate fund balance accounts are maintained for all funds. Funds may be restricted either by the donor or the board. Restricted funds are available primarily for specific purposes considered beneficial to the university.

The investment of the 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.”

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. Consideration will be given to the need for safety of principal, liquidity, diversification, yield and quality.
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. The IPS clearly and concisely states the responsibilities of all parties involved with the endowment funds. The IPS will assist the board, the finance/audit committee ("committee") and the university administration in effectively communicating with and monitoring the investment manager(s) and the investment firm(s) that will be engaged from time to time to facilitate the management of the endowment assets of the university. It states the boards' attitudes, guidelines and objectives in the investment of the endowment assets.

**RESPONSIBILITIES**

The university acknowledges that the ultimate responsibility for satisfactory investment results rests with the board. The board believes that this responsibility is best discharged by delegating certain authority to the university administration and by appointing one or more investment management organizations to assume certain responsibilities.

The specific responsibilities of the board in the investment process include and are limited to developing a sound and consistent investment policy, developing sound and consistent investment policy guidelines, establishing reasonable investment objectives, allocating the endowment assets between equity and fixed-income investments, and other investment mediums which it may deem appropriate and prudent, communicating clearly the major duties and responsibilities of those accountable for investing the endowment assets and achieving investment results, evaluating performance results, and abiding within all applicable laws, including conflict of interest provisions therein.

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 vice president or designee are responsible for accounting for investments, monitoring and evaluating performance results, and ensuring that policy guidelines are being adhered to and investment objectives are being met. In addition, the vice president is responsible for the purchase, sale, assignment, transfer and management of investments, for communicating with investment managers, brokers and dealers, for compiling performance results, and for determining the proper distribution of investment returns to the various accounts. The vice president is also responsible for determining the appropriate distribution of income in accordance with the distribution policy in the distribution policy section. The vice president, or designee, will submit an annual investment perspective to the Board of Regents.
The vice president 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.

INVESTMENT POLICY

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

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

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

INVESTMENT POLICY GUIDELINES

For the purpose of this policy, all individual securities which use long-term credit ratings must be rated the equivalent of "A" or better by a nationally recognized credit rating service. 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.

The following categories of securities are 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. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.

d. 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.

e. 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.

f. Bankers’ acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.

g. 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).

h. Direct Security Repurchase Agreements. Direct Repos must be fully secured (collateralized) by securities authorized under the sections (a) through (f) above. Such collateral must be held by a third party. All agreements will comply with Federal Reserve Bank guidelines.

i. 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 (h) above.

j. Shares of Exchange Traded Funds, known as ETFs, are permissible investments under this section.

k. Certain types of transactions and purchase of certain types of securities are specifically prohibited by this policy. Commodity trading including all futures contracts, purchasing of letter stock, short selling, option trading, and margin trading are specifically prohibited. Neither tax-exempt debt of state and local governments, private placements, nor guaranteed investment contracts may be purchased. No investments will be made in derivative products as defined by the Financial Accounting Standards Board in Statements of Financial Accounting Standards, No. 133. Collateralized mortgage obligations that do not pass the Federal Financial Institution’s Examination Council test may not be purchased.

l. Assets and/or funds reportable within the scope of the university’s annual financial report may not be invested in or used to purchase securities, including obligations,
of a private corporation or other private business entity that owns 10% or more of a corporation or business entity which records or produces any song, lyrics or other musical work that explicitly describes, glamorizes or advocates: (1) acts of criminal violence, including murder, assault, assault on police officers, sexual assault, and robbery; (2) necrophilia, bestiality, or pedophilia; (3) illegal use of controlled substance; (4) criminal street gang activity; (5) degradation or denigration of females; or (6) violence against a particular sex, race, ethnic group, sexual orientation, or religion.

m. No more than six percent (6%) of the portfolio, including convertible securities, can be invested in any one company. This will be measured on a cost basis. No more than ten percent (10%) of the portfolio can be invested at any time in one company based on the market value of the stock and portfolio. This section is not applicable to investments in U.S. government securities.

n. No more than fifteen percent (15%) of the portfolio can be invested in any one industry sector, as defined by Standard and Poor’s broad categories, based on the cost value of the portfolio. No more than thirty percent (30%) of the portfolio can be invested in any one industry sector based on the market value of the portfolio. The holdings do not have to be invested in industry groups that represent a cross-section of the economy.

o. Permitted alternative investments in the portfolio may include hedge funds, managed futures funds, private equity funds, or real estate. Investments in other strategies shall be reviewed and recommended by the investment officer prior to purchase. 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. Mutual funds securities that are rated below A must comprise less than 1 percent of the holdings in the alternative portion of the endowment portfolio and must have a minimum B rating. Any investment vehicles where the portfolio’s liability can exceed the value of the portfolio’s investment are strictly prohibited. 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. The portfolio, however, may invest in single manager funds, but these investments shall not comprise the majority of the investment. 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. The maximum allocation to any one fund shall not exceed 25% of the total investment portfolio. If the allocation to alternative investments exceeds the limit at any point in time, the investment officer shall rebalance the allocation to the fund at the next opportunity when the fund permits liquidation of fund holdings. For the alternative portion of
the portfolio, an allocation that exceeds 10% of the total endowment portfolio shall require approval of the investment officer and the investment committee.

p. All of the equities purchased for the portfolio (based at market value) should have a minimum market capitalization of $250 million. The allowable range and target asset allocation for the endowment funds is:

<table>
<thead>
<tr>
<th>Class</th>
<th>Allowable Range</th>
<th>Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equities securities</td>
<td>0% - 70%</td>
<td>55%</td>
</tr>
<tr>
<td>Fixed income securities</td>
<td>0% - 60%</td>
<td>35%</td>
</tr>
<tr>
<td>Cash or cash equivalents</td>
<td>0% - 100%</td>
<td>0%</td>
</tr>
<tr>
<td>Alternative Investments</td>
<td>0% - 25%</td>
<td>10%</td>
</tr>
</tbody>
</table>

For the equity portion of the portfolio, the International Equities should represent at a maximum 30% and minimum 0%.

For the fixed income portion of the portfolio, the asset mix should be: maximum U.S. government bonds 100%, minimum government bonds 0%, maximum corporate bonds 50%, minimum corporate bonds 0%, maximum cash 100%, minimum cash 0%. Gifts of individual securities will be liquidated or transferred to an equity fund manager currently employed by the university under the Use of Investment Firms section. The liquidation or transfer will take place as soon as possible. If liquidated, the proceeds will be invested in accordance with the allowable range and target asset allocation set forth in this policy. Exceptions to this policy are securities described by sections (a), (b) and (c) above. Such securities may be held so long as the asset allocation ranges are maintained. The policy in this section can be overridden by a written directive from a donor.

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 investments in US dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations to be rated the equivalent of “A”
or better using long-term ratings and at least A-2, P-2, F-2 or equivalent using short-term credit ratings.

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 investments are limited to a maximum of 30% of the portfolio.

**USE OF INVESTMENT FIRMS**

The vice president or designee is responsible for the selection of brokers and dealers for the execution of security transactions and for the safekeeping of securities. Sales, purchases and exchanges will be transacted through well-capitalized, nationally recognized investment firms which are major participants in the equity and fixed-income markets. Firms should be selected to provide the maximum benefit to the university. The vice president may choose to use a request for proposals to select the firm or firms with which the university deals.

Selection of outside investment managers will follow these guidelines:

a. The vice president or designee, within statutory and other regulatory authority, may place selected funds of the university with investment managers outside the university for investment purposes. The investment of such funds will be subject to the provisions of this investment policy statement. The vice president or designee is authorized to negotiate with outside investment managers for the benefit of the university.

b. Outside investment manager(s) will receive a copy of the IPS and a Letter of Instructions outlining investment instructions and asset allocation parameters expressed in writing by the vice president or designee. The Letter of Instructions will state return objectives that are reasonable and achievable within the guidelines provided herein. These return objectives should be achieved over a reasonable time frame, thus it is not necessary for the outside manager(s) to exceed the return expectations each quarter. In addition, each outside investment 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.

c. Consistent with this investment policy statement and their Letter of Instruction, the outside investment manager(s) will be responsible for making decisions on a discretionary basis. This includes buy, hold, sell and timing decisions. The outside manager(s) must make responsible decisions in the selections of specific securities
and the general timing of purchases and sales necessary to achieve a satisfactory overall return for the assets.

d. Outside manager(s) will invest only into the security class(es) for which they were retained to manage. The manager(s) have discretion to place funds into cash, however, their performance will be measured against an index which measures their security class without deducting the cash position.

The overall portfolio and the individual managers will be evaluated on a periodic basis using industry benchmarks.

The annualized Alpha should exceed both individual managers’ and total portfolio fees. Alpha measures the excess return for the amount of risk taken. Portfolio turnover will be monitored. If the performance results of the portfolio meet the objectives stated herein, the rate of turnover in the portfolio will not be an evaluative factor. However, a portfolio turnover higher than the average of similar fund managers is considered a negative. Files will be maintained on investment firms with which the university deals. The files will contain information that supports the financial stability of the firms. These files will be updated annually. A list of approved brokers and firms will be maintained and changes will be approved by the Board of Regents.

**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 investment officer will review the total return on the endowment accounts and recommend an annual distribution. The target distribution will be between 4% and 5%. The investment officer will recommend an amount up to 5.00% of the average invested balance for the purposes delineated in the endowment memorandum of understanding. If returns permit, an amount equal to the rate of inflation will be added back to each endowment principal balance. If there are positive total returns beyond the inflation rate, then the investment officer will recommend that this amount be added to a contingency reserve that may be distributed during years of poor investment performance as determined by the officer. When the contingency reserve has reached a balance in excess of two years of normal distributions, the investment officer may recommend that additional distributions be made from the contingency reserve.

**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 by the type of asset and fund type invested. The reports will disclose the realized and unrealized gains/losses on the portfolio for the reporting period. Additions and changes in the market value of the portfolio during the period will be reported. The reports will show the pooled fund value as well as individual assets by fund type. The reports will state the maturity date of each asset that has a maturity date. The total return on the portfolio, on each asset class and for each manager will be reported.

The performance of the total portfolio, each asset class and each manager will be compared to appropriate benchmarks and included in the quarterly reports to the board. The report will contain sufficient information for the board to determine if actions should be taken to correct any deficiencies that may exist.

**CONFLICTS OF INTEREST**

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

a. 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

b. investments will not be purchased from or sold to a member of the board.

**DISCLOSURE REQUIREMENTS**

Disclosure Requirements for Outside Financial Advisors

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.

Disclosure Requirements for Investment Officers
Pursuant to Texas Government Code Sec. 2256.005(i), 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.

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 ensure compliance with the endowment investment policy.


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
Issuance and Control of Campus Keys (B-15)

Original Implementation: Unpublished

The security of the university is the responsibility of several departments on campus. First, the University Police Department is responsible for the overall campus security. Second, the various department chairs are responsible for their respective areas. Third, the Physical Plant Department is responsible for providing a sound, secure area.

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

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

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

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

Each department head will be responsible for the issuance of keys to the employees in their area of responsibility and will be responsible for the level of security in that area. The Physical Plant will only issue keys to individuals at the written request of the department head. It will be the responsibility of the department chair head of each area to maintain a record of who has been issued keys and to collect keys from departing employees.

Master keys will only be issued when a signed request is received from the department chair and if there is any question about the requests, a verbal check with the department chair will be made.

Physical Plant will make keys based on a written request but will not deliver keys through the mail. The keys will be delivered to the requesting department for distribution.
Departments may pick the keys up in plant or a locksmith will deliver the keys. The charge for making a key is $1 if picked up in plant. An additional delivery charge will be made for keys delivered to the department.

If a key is lost or stolen, it should be immediately reported to the employee’s supervisor, the Physical Plant and to the University Police Department. Failure to report lost or stolen keys in a timely manner may result in disciplinary action up to and including termination.

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

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

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

Additional security measures are available and the Physical Plant will work with deans and department chairs to achieve a high level of security if required.

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

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

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

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

**Cross Reference:** None

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

**Contact for Revision:** Director of Physical Plant Department

**Forms:** Key Request (available from Printing Services) None

**Board Committee Assignment:** Buildings and Grounds
Library Borrowing (A-26)

**Original Implementation:** February 11, 1981  
**Last Revision:** January 29, 2013

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

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

**Cross Reference:** None

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

**Contact For Revision:** Library Director

**Forms:**
- https://forms.sfasu.edu/libweb/library_registration.html
- https://forms.sfasu.edu/libweb/texas_share_card_app.html

**Board Committee Assignment:** Academic and Student Affairs
Library Gifts (A-25)

Original Implementation: March, 1982
Last Revision: April 20, 2010

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

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

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

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

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Library Director

Forms: None

Board Committee Assignment: Academic and Student Affairs
Markers and Monuments (D-47)

Original Implementation: July 17, 2001
Last Revision: January 25, 2010
January 29, 2013

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

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

I. Definitions

Markers and monuments include all types of permanent applications that are placed anywhere on campus. Non-permanent markers or monuments would be those meeting the criteria described in Policy D-31, Section IV:H concerning signs displayed for 14 days or less.

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

II. Location, Contact and Limitations

A. Markers or monuments honoring or in memory of an individual is limited to students, faculty or staff that have passed away while in a student, faculty or staff status. Such monuments are limited to the memorial walk area on the south side of the Ag Pond. Markers or monuments may not be placed at any other location on campus.

B. Monuments will be purchased by the individual or group desiring to place the monument on the walk.

C. Installation will be by the Physical Plant Department.

D. Physical Plant will provide maintenance at the same level as the existing wall.

E. Markers that are broken or otherwise damaged or lost will not be the responsibility of the Physical Plant Department.

F. Markers, monuments, including historical markers or signs, may be located at other locations on campus when it is in the best interest of the university. Such marker, monuments or signs are subject to removal or relocation when, and if, space is needed for further campus improvements.

III. Markers placed on campus without prior written permission will be removed by the Physical Plant Department. Markers will be held for sixty (60) days prior to disposal. Notification will be provided if possible.
Requests to place a marker should be directed to the director of Physical Plant. The Physical Plant director will compare requests to campus Long Range Plan and overall campus design. Requests may be denied or recommended for an alternate location.

**Cross Reference:** None

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

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

**Forms:** None

**Board Committee Assignment:** Building and Grounds
Meeting and Conducting Classes (A-31)

Original Implementation: June 16, 1982
Last Revision: January 29, 2013

Faculty members shall meet their assigned classes at the times and places as officially scheduled times and places. When a faculty member cannot meet an assigned class, the faculty member shall notify the department so that a timely announcement can be made to the students. Students are required to wait at least ten minutes after the scheduled start time before assuming the class will not meet.

Courses shall be conducted in accordance with the descriptions contained in the university’s General Bulletin and Graduate Bulletin.

Exceptions to the above may be made with appropriate chair/director/academic unit head approval.

Cross Reference: General Bulletin, Graduate Bulletin, Faculty Handbook

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs
Naming Guidelines (D-22)

Original Implementation: January 23, 1971
Last Revision: January 25, 2010
January 29, 2013

Buildings and other facilities (including rooms, laboratories and clinics) of Stephen F. Austin State University may be named by the Board of Regents for deceased persons who have made outstanding contributions to the university or its prestige. In extraordinary circumstances, particularly when a significant donation has been made to the university, the Board of Regents may name a building, or other facility, for a living person.

Listed below are minimum dollar amounts associated with fundraising necessary for naming consideration:

- One of the six colleges within the university: $5,000,000
- A department or school within a college: $2,000,000
- An institute or center within a college: $1,000,000
- Any existing, unnamed building: $1,000,000
- An endowed academic chair in any discipline: $1,000,000
- An endowed distinguished professorship: $250,000
- An endowed professorship: $125,000
- An endowed full-tuition and fees scholarship: $250,000
- Minimum for any named endowed fund: $20,000

The Board of Regents retains the latitude to create alternate naming opportunities within the discretion of the board.

Proposed names may be submitted from any source to the Office of Development for their recommendation to the president who, if he concurs shall submit such names, together with background reasons, to the Board of Regents for consideration; provided, however, that the Board of Regents may act without receiving a nomination from the Office of Development, when circumstances justify such action, and particularly when a substantial donation has been made toward the construction of the building or facility to be named. Any such nominations shall be reviewed by the building and grounds committee of the board. Such review shall take place before contact with any prospective nominee. A name will not be moved from one building to another and when a building is razed, the name will no longer be used.

A plaque shall be placed on each new building. The plaque shall show the names of those occupying the following positions on the date of the contract award: the officers of the
Board of Regents, the remaining members of the Board of Regents in alphabetical order, the student regent, the president of the university, the vice president for finance and administration, the vice president(s) for the area involved, the director of physical plant, the architect and the contractor, together with the year the contract is awarded.

**Cross Reference:** None

*Board of Regents Rules and Regulations*

**Responsible for Implementation:** President

**Contact for Revision:** President

**Forms:** None

**Board Committee Assignment:** Building and Grounds
Norton HPE Complex (B-20)

Original Implementation: Summer, 1975
Last Revision: January 25, 2010 - January 29, 2013

The provisions of university Policy B-1, Use of University Facilities, govern the use of all buildings, facilities, equipment and grounds, hereinafter referred to as facilities, under the control of Stephen F. Austin State University (SFA). That policy provides that the university may establish additional procedures for the reservation and use of specific facilities; therefore, the following provisions apply to the Norton HPE complex.

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

Facility Usage

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

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

Non-SFA groups may rent the facility in accordance to university Policy B-1.

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

Priority of Use/Scheduling

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

<table>
<thead>
<tr>
<th>Facility</th>
<th>Time</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>HPE Weight Room</td>
<td>12 am – 6 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td></td>
<td>6 am - Noon</td>
<td>Kinesiology &amp; Health Science</td>
</tr>
<tr>
<td></td>
<td>Noon – 1 pm</td>
<td>Employee Wellness</td>
</tr>
<tr>
<td></td>
<td>1 pm – 4 pm</td>
<td>Kinesiology &amp; Health Science</td>
</tr>
<tr>
<td></td>
<td>4 pm – 12 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td></td>
<td>Weekends</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td>HPE Racquetball</td>
<td>12 am – 8 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td></td>
<td>8 am – Noon</td>
<td>Kinesiology &amp; Health Science</td>
</tr>
<tr>
<td></td>
<td>Noon – 1 pm</td>
<td>Employee Wellness</td>
</tr>
<tr>
<td></td>
<td>1 pm – 4 pm</td>
<td>Kinesiology &amp; Health Science</td>
</tr>
<tr>
<td></td>
<td>4 pm – 12 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td></td>
<td>Weekends</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td>HPE Indoor Pool</td>
<td>12 am – 8 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td></td>
<td>8 am – Noon</td>
<td>Kinesiology &amp; Health Science</td>
</tr>
<tr>
<td></td>
<td>Noon – 1 pm</td>
<td>Employee Wellness</td>
</tr>
<tr>
<td></td>
<td>1 pm – 5 pm</td>
<td>Kinesiology &amp; Health Science</td>
</tr>
<tr>
<td></td>
<td>5 pm – 6:30 pm</td>
<td>Employee Wellness</td>
</tr>
<tr>
<td></td>
<td>6:30 pm – 12 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td></td>
<td>Weekends</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td>HPE Big Gym</td>
<td>12 am – 6 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td></td>
<td>6 am – Noon</td>
<td>Kinesiology &amp; Health Science</td>
</tr>
<tr>
<td></td>
<td>Noon – 1 pm</td>
<td>Employee Wellness</td>
</tr>
<tr>
<td></td>
<td>1 pm – 5 pm</td>
<td>Kinesiology &amp; Health Science</td>
</tr>
<tr>
<td></td>
<td>5 pm – 12 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td></td>
<td>Weekends</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td>HPE Gymnastics Rm</td>
<td>12 am – 6 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td></td>
<td>6 am – 4 pm</td>
<td>Kinesiology &amp; Health Science</td>
</tr>
<tr>
<td></td>
<td>4 pm – 12 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td></td>
<td>Weekends</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td>HPE/Shelton Classrooms And Labs</td>
<td>12 am – 12 am</td>
<td>Kinesiology &amp; Health Science</td>
</tr>
<tr>
<td></td>
<td>Weekends</td>
<td>Kinesiology &amp; Health Science</td>
</tr>
<tr>
<td>Shelton Gym</td>
<td>12 am – 6 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td></td>
<td>6 am – 4 pm</td>
<td>Kinesiology &amp; Health Science</td>
</tr>
<tr>
<td></td>
<td>4 pm – 7 pm</td>
<td>Athletic Department</td>
</tr>
<tr>
<td></td>
<td>7 pm – 12 am</td>
<td>Campus Recreation</td>
</tr>
</tbody>
</table>
Intramural Fields

<table>
<thead>
<tr>
<th>Time</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>12 am – 8 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td>8 am – 4 pm</td>
<td>Kinesiology and Health Science</td>
</tr>
<tr>
<td>4 pm – 12 am</td>
<td>Campus Recreation</td>
</tr>
</tbody>
</table>

Tennis Courts

<table>
<thead>
<tr>
<th>Time</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>12 am – 8 am</td>
<td>Campus Recreation</td>
</tr>
<tr>
<td>8 am – 4 pm</td>
<td>Kinesiology and Health Science</td>
</tr>
<tr>
<td>4 pm – 7 pm</td>
<td>Athletic Department</td>
</tr>
<tr>
<td></td>
<td>(Courts #5-8 &amp; 11-14 only)</td>
</tr>
<tr>
<td>4 pm – 12 am</td>
<td>Campus Recreation</td>
</tr>
</tbody>
</table>

Weekends

<table>
<thead>
<tr>
<th>Time</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Campus Recreation</td>
</tr>
</tbody>
</table>

Cross Reference: Use of University Facilities (B-1)

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

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

Forms: None

Board Committee Assignment: Building and Grounds
Procurement Card (C-44)

Original Implementation: July 26, 1999
Last Revision: January 25, 2010 January 29, 2013

Approved university employees may use the university procurement card (p-card) in accordance with the P-Card Program Guide to order supplies and small items in amounts not exceeding transaction daily and monthly limits. The director of procurement, the procurement card coordinator and procurement department purchasers may purchase on behalf of the university any item of any amount using a procurement card if they have determined payment by p-card represents the best value to the university and all procurement policies and rules have been followed.

The terms and conditions of the MasterCard Procurement Card contract were specified and awarded by the Texas Procurement and Support Services for the state of Texas. In addition to internal policies and procedures, Stephen F. Austin State University will comply with the terms and conditions of the state contract.

Responsibilities

P-Cards will be issued in the name of the employee with the SFA logo and the wording 'Official Use Only' clearly indicated on the card. The card will be issued in a tyvek sleeve additionally identified with the SFA logo and p-card reminders, for distinguishing the university p-card from other credit cards. The p-card is to be used for official university business purposes only and may not be used for ANY personal transactions. The cardholder is responsible and accountable for the security and documentation associated with the use of the SFA Procurement Card and for complying with all policies and procedures related to the p-card program. Documentation shall include providing transaction detail information for each transaction through the Banner System, university’s financial system and keeping documentation of all transactions including returns, credits and disputed charges as required in the P-Card Program Guide.

The department head or his/her designee is responsible for: 1) designating departmental cardholders; 2) determining spending limits; 3) reviewing early encumbrance amounts for each fund/org account against which credit card charges will be made; and 4) approving monthly reconciliations of p-card cardholder statements and supporting documentation to ensure purchases are within SFA policies and procedures, and departmental budgets. Department heads are responsible for ensuring that all employees issued a card understand the departmental budget constraints under which they are to use the card.

The purchasing department, procurement office is responsible for maintaining complete and accurate information regarding p-card users and associated credit limits, establishing...
and updating restricted merchant category codes, determining compliance with university policies and procedures through periodic cardholder audits, cardholder training, monitoring p-card activity, and other duties related to p-card administration.

Card Use by Another Employee or Student

The only person authorized to use the p-card is the cardholder whose name appears on the card. The cardholder may not allow another university employee or a student to use their card unless the cardholder and department head have completed a P-Card Use form and filed it with the program p-card coordinator in the purchasing procurement office. Refer to the P-Card Program Guide for detailed information on allowing another employee or student to use a card, as specific rules apply.

Training and Issuing Cards

All department heads will be required to attend training and sign the Cardholder Application/Approval Form before any cards will be issued to employees within the department. All employees will be required to attend training and sign a Cardholder Agreement before being issued a card. All cardholders will be required to complete refresher training either in person or on-line with testing every 2 years. Acceptable grades and actions associated with not meeting grade requirements are outlined in the P-Card Program Guide.

Making a Purchase with the P-Card

Refer to the Procurement–Card Program Guide for detailed information related to making a purchase with the p-card. The director of procurement, the procurement card coordinator and procurement department purchasers are not subject to the Procurement–Card Program Guide, but rather to university policies and procedures relating to purchases.

Transaction Detail, Monthly Statement, Reconciliation and Approval

The transaction detail entries are required and provide an accounting and audit trail for expenditures made with the p-card. Each individual purchase must be detailed in the Banner System university’s financial system. See the Procurement–Card Program GuideDetail Training Manual for detailed instructions on completing the transaction detail entries. Transaction detail entries are completed on-line through the Banner Suniversity’s financial system. Once posted, charges can be reviewed through Banner Self Service which is accessed through MySFA.
Upon receipt of the monthly statement from the credit card vendor, the cardholder shall reconcile the statement with the Transaction Detail Summary and forward the reconciled statement, Transaction Detail Summary and all supporting documentation to the department head for review and signature. If the department head is the cardholder, the department head must sign as the cardholder, and another employee within the department must sign as the reviewer. The department head/reviewer is responsible to review all transactions listed on the Transaction Detail Summary to verify that all purchases are appropriate expenditures for the department and fund/orgn charged. If the department head/reviewer questions any transaction, they should bring it to the attention of the department head or p-card coordinator, or it may be reported anonymously through the university’s fraud and ethics reporting process. Reported transactions will be audited and appropriate action taken as specified herein and in the P-Card Program Guide.

The documentation identified in the P-Card Program Guide must be kept for three (3) years plus the current fiscal year to comply with the university and State of Texas Records Retention Schedule. These are the official university records. The records for procurement card purchases will be required for periodic audits by the procurement office or when SFASU is audited by the Texas Procurement and Support Services Division of the State Comptroller’s Office, the State Auditor, State Comptroller or Department of Audit Services.

Card Termination

Certain p-card rule violations will result in immediate deactivation or cancellation of all of a cardholder’s cards. Other violations will be tracked on a points basis accumulated by cardholder. Each month, points accumulated over the previous 6-month period will be reviewed and appropriate action taken. Points will not carry over from one 6-month period to another. Note the reasons for cancellation or deactivation of cards should not be considered all inclusive. Points may be identified during any transaction review, research or audit by either the p-card coordinator or the Department of Audit Services.

Occasionally, exceptions to the p-card rules may be approved by the p-card coordinator prior to the transaction taking place. If so approved, the cardholder and p-card coordinator will have an Exception form on file with the transaction, and the card cancellation, deactivation, or points will be waived.

1. **IMMEDIATE CARD CANCELLATION WITH NO OPTION TO EVER RECEIVE ANOTHER CARD** - When there is intentional abuse or fraud of a p-card to make personal purchases, the p-card is used to secure a cash advance, or a 2nd p-card is lost or stolen within 3 years after the 1st lost or stolen card, all of the cardholder’s cards will be cancelled with no option to ever receive another card.
2. **IMMEDIATE DEACTIVATION** - When a cardholder commits the following violations, all of the cardholder’s cards will be deactivated for a period of 3 months: a) transaction details are not posted by the required date for 3 consecutive months or 3 months during a 6-month period; b) second offense of splitting purchases to avoid purchasing procedures; c) failure to provide documentation within the requested timeframe for a p-card audit. Cards will only be reactivated after 3 months and after the cardholder attends training at a cost of $25.

3. **POINTS ACCUMULATION** - Points will accumulate against each cardholder when various violations are identified (see Points Schedule in the P-Card Program Guide). An accumulation of points over a 6-month period will result in the following actions:

   - **4 points accumulated within the first 4 months of a 6-month period** – will trigger a need for a full audit of 3 months worth of transactions. **6 points accumulated within a 6-month period** – will cause all of cardholder’s cards to be deactivated for a minimum of 3 months. Before any cards will be reactivated, the employee will be required to attend training at a cost of $25

   - **10 points accumulated within a 6-month period** – will cause all of cardholder’s cards to be cancelled for a minimum of one year. New cards will be issued only after the one-year waiting period and only upon completion of a new P-Card Application/Approval Form and attendance at training.

4. **OTHER CARD CANCELLATIONS AND ACTIONS** -

   - **Non-Use** - If the cardholder has not used the procurement card within one year, the p-card will be cancelled. To receive a new card, the cardholder will be required to submit a P-Card Application/Approval Form and attend training.

   - **Termination of University Employment** - When a cardholder terminates employment with the university, the department has specific obligation to reclaim the p-card and return it to the program p-card coordinator prior to the employee termination date. A request may be made to the program p-card coordinator for the card to be shredded by the department head or his/her designee. The request can be granted at the program p-card coordinator’s discretion. Failure to reclaim or dispose of cards as designated may result in the department being responsible for payment of any fraudulent charges and revocation of all department card privileges. Verification of card return will be part of an employee’s exit interview with human resources. Any fraudulent charges made by a terminated employee after the employee’s termination will be reported to the University Police Department. The terminated employee will be expected to reimburse the university.

   - **Transfer to a Different University Department** - When a cardholder changes employment from one university department to another, the department has specific obligation to reclaim the p-card and return it to the program p-card coordinator prior to the effective date of change. A request may be made to the program p-card coordinator for the card to be shredded by the department head or his/her designee.
The request can be granted at the program coordinator’s discretion. Failure to reclaim or dispose of cards as designated may result in revocation of all department card privileges.

**Failure to Promptly Report a Lost or Stolen Card** - If a cardholder fails to make a report of a lost or stolen card immediately upon discovery, the cardholder may be required to reimburse the university for any fraudulent charges made on the card until it has been cancelled. The university will pay the charges and the employee will be required to reimburse the university. The cardholder will be subject to a minimum 3-month waiting period before a new card will be issued and will be required to attend training again at a cost of $25.

**Failure to Complete the Required Refresher Training** – Any cardholder who fails to complete the required refresher training every 2 years will have all cards deactivated until the refresher training is complete. If the refresher training is not completed within 6 months of card deactivation, all cards will be cancelled, and the employee will be required to submit a P-Card Application/Approval Form and attend training before receiving new cards.

**Administrative Authority** - The department head or supervising dean, vice president, or president has the authority to request that the program administrator deactivate or cancel an employee's cards at any time for any reason. Any cards so deactivated or cancelled may be reactivated or new cards issued only with approval by the position that originally requested the deactivation or cancellation. The program coordinator may determine, or the Department of Audit Services, or general counsel’s office has the authority to request that the program administrator deactivate an employee’s card while transactions are being researched or investigated, or an audit is being conducted. At the conclusion of the research, investigation or audit, the cards will be reactivated and/or appropriate action taken as specified herein and in the P-Card Program Guide.

**Cross Reference:** P-Card Program Guide

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

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

**Forms:** Cardholder Application/Approval Form, Cardholder Procurement Card Agreement, P-Card Use Form, Tax Exempt Letter, P-Card Dispute Form, P-Card Documentation/Problem Resolution Form, P-Card Exception Form, HEF Approval Form

**Board Committee Assignment:** Finance and Audit
Recombinant DNA and/or Infectious Biohazards in Teaching and Research (A-81)

Original Implementation: January 29, 2013  
Last Revision: none

1.0. Purpose
The Stephen F. Austin State University (SFA) Institutional Biosafety Committee (IBC) is responsible for the review of 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 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 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 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.

3.0. Scope
This policy applies to all activities, teaching or research, that involve rDNA and/or biohazardous materials as defined in Section 5, 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

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.

5.0. Definitions of rDNA and/or Biohazardous Materials

5.1. 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.

5.2. 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

5.3. 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.

6.0. 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 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.

6.1. Risk Group Classification
Agents are classified into three risk groups according to their relative pathogenicity for healthy adult humans. These three 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.

6.2. 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.

6.3. 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.
7.0. Biosafety Regulations and Guidelines
This policy is based on the following regulations and guidelines:

  - 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/bmbl5/bmbl5toc.htm](http://www.cdc.gov/OD/ohs/biosfty/bmbl5/bmbl5toc.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.

8.0. Responsibilities
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.

8.1. General PI, CI, or CC Responsibilities
The PI, CI, or CC shall:

- 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.

8.2. 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.

8.3. 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.

8.4. 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.

8.5. 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.

8.6. 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.
8.7. 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.

8.8. Environmental Health, Safety, & Risk Management Duties
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:

- periodic (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;
- reporting to the IBC Chair any significant problems, violations of NIH Guidelines, and any significant accidents or illnesses;
- assisting the PI, CI, or CC with the development of emergency plans for handling accidental spills and personnel contamination;
- investigating accidents involving rDNA and/or biohazardous materials;
- providing information on spills and incidents to the IO, who will inform public health officials as required;
- providing advice on laboratory security; and
- providing advice to the IBC, faculty and staff on safety procedures.

9.0. 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.

9.0.1. IBC Responsibilities as per NIH Guidelines Section IV-B-2-b:
- Review and consider for approval teaching or research activities involving rDNA that is 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 teaching or research involving rDNA.
- Notify the PI, CI, or CC and ORSP if appropriate of the IBC’s review results, including approval or rejection.
- 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.

9.0.2. 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.

9.0.3. 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 or 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.

**10.0. 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.

10.1. 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.

10.2. 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.

10.3. 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.

10.4. 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); 42 CFR 73.3; 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
Regents Professor (A-38)

Original Implementation: October, 1979
Last Revision: October 12, 2009, January 29, 2013

The title of Regents Professor is the highest honor that the university may bestow upon a member of the faculty. The honor is reserved for faculty members who are exemplary role models to the university community. The title of Regents Professor is not an academic rank and is held for one academic year.

1. Only tenured full professors are eligible for nomination. They must have served a minimum of ten years at Stephen F. Austin State University, have been in rank for a minimum of five years, and shall remain on active service during the academic year of the award. Previous recipients of the award are ineligible.
2. Faculty members are nominated on the basis of extraordinary merit in teaching, research/scholarly/creative accomplishment, and service. Evidence of exceptional performance must exist in each category.
3. A letter of nomination may be submitted by any tenured member of the faculty to the provost and vice president for academic affairs.
4. Upon acceptance of a nomination, the nominee must prepare a dossier that includes: a current curriculum vitae, evidence of exceptional teaching, evidence of exceptional research/scholarly/creative accomplishment, and evidence of exceptional service.
5. The provost appoints a review panel of six from the ranks of former Regents Professors and deans, with attention to disciplinary balance. The review panel shall examine the dossiers independently and vote by anonymous ballot.
6. The provost shall receive the ballots from the panel and, on the basis of the input, decide whether to recommend a single nominee or none at all to the Board of Regents, through the president.
7. The designation as Regents Professor may be made only by the Board of Regents.
8. A Regents Professor receives a medal along with The recipient is awarded a Regents medallion and receives a stipend.

9. The Regents Professor shall provide a public lecture scheduled through the University Lecture Committee.

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
Return to Work (E-62)

Original Implementation: January 28, 1997

It is the policy of Stephen F. Austin State University to provide a return to work program as the means to return employees to meaningful, productive employment following injury or illness. To provide the highest level of quality service to the citizens of Texas, the necessity exists for every employee of the university to be available for work, ready, and capable of performing the duties and responsibilities for which the employee was hired.

The return to work program may provide opportunities for any employee of Stephen F. Austin State University who sustains a compensable injury during the course and scope of employment, a disability as defined by the Americans with Disabilities Amendments Act of 2008, and/or a serious health condition as defined by the Family and Medical Leave Act, to return to work at full duty. If the employee is not physically capable of returning to full duty, the university may provide opportunities, when available, for the employee to perform a temporary assignment in which the employee's regular position is modified to accommodate the employee's physical capacities, or to perform duty at an alternate position.

Each case will be evaluated on an individual basis according to the limitations of each employee as documented by a physician and the job responsibilities of the position. The physician's documentation must be submitted on the university's Attending Doctor's Return to Work Recommendations form or Worker's Compensation Work Status Report DWC73 including a thorough assessment of the employee's specifications considering their official job description. A copy of the job description will be provided to the physician and can be obtained from the director of Human Resources, if requested. Failure to provide the appropriate documentation for light or medium duty return to work conditions may be grounds, among others, for denial of light or medium duty assignments. Light duty, if offered, is limited to a specific time frame and may not exceed 12 weeks before being upgraded to medium work, then on to regular work. All modified duty or restrictions to the employee’s normal job duties as described on the official job description must be approved and accompanied by an Offer of Employment. The Offer of Employment is prepared by the safety officer and presented to the employee by the supervisor or department head. The university will request a release from the employee for direct communication with the physician regarding those matters that directly relate to return to work assessments. The university reserves the right to properly assess and verify the employee's physical capabilities as they relate to the job.
This return to work program shall not be construed as recognition by Stephen F. Austin State University, its management, or its employees that any employee who participates in the program has a disability as defined by the Americans with Disabilities Amendments Act of 2008. If an employee sustains an illness or injury that results in a disability under the ADAAA, it is the employee's responsibility to inform the supervisor or a person in a responsible management position that a disability under the ADAAA exists and that a reasonable accommodation will be necessary to perform the essential functions of the position held. Confirmation of the disability by a licensed physician or other appropriate medical provider as determined by the university is required. Such documentation may be assessed or verified by the university. Reasonable accommodations may be granted in conjunction with the physician's assessment of the employee's capabilities as it relates to the job and the needs of the university.

As each situation arises the case will be evaluated independently by the supervisor, head of department, safety officer, director of Human Resources, the physician, and other administrators as necessary. Timely contact of individuals cited in their respective areas of responsibility is required to provide the employee with prompt care and justifiable accommodations. If possible, a modified offer of employment will be proposed. The Offer of Employment form is to be used for this purpose.


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

**Contact For Revision:** Environmental Health, Safety, and Risk Management Department

**Forms:** Attending Doctor's Return to Work Recommendations, Worker’s Compensation, Work Status Report DWC73; Offer of Employment (available in: Environmental Health, Safety, and Risk Management Department)

**Board Committee Assignment:** Academic and Student Affairs
Second Baccalaureate Degrees (A-73)

Original Implementation: January 25, 2010
Last Revision: None January 29, 2013

Stephen F. Austin State University (SFA) is committed to facilitating the timely completion of academic degrees by its students. The university shall, at the same time, support efforts and providing opportunities to achieve second degrees at the bachelor level under defined circumstances.

Students may receive a second baccalaureate degree from SFA after being conferred a first baccalaureate degree. Students who received the first baccalaureate degree from SFA must reapply for admission to the university for the second degree.

The following conditions apply to a second baccalaureate degree:

- **Students must earn** A minimum of 30 semester hours must be fulfilled in addition to the hours required for the first degree.
- **Students must satisfy** All prerequisites, co-requisites, and major requirements for the second degree program must be satisfied.
- **Students may apply** Up to 12 hours in transfer credit may be used to accommodate these requirements. At the discretion of the major advisor, courses completed successfully in the first bachelor's degree are applicable to the requirements for the second bachelor's degree.
- Students seeking a second bachelor's degree requiring a minor may use the major completed in the first bachelor's degree in lieu of a minor.
- **At the discretion of the major advisor or academic unit head, courses completed successfully in the first bachelor’s degree may be applied to the requirements for the second bachelor’s degree.**

Students who hold a baccalaureate degree from another accredited institution may earn a second baccalaureate degree at SFA by meeting the following requirements:

- Complete a minimum of 30 semester hours at SFA with at least 15 hours taken in the major field at the 300 level or above.
- Meet all prerequisite and course requirements in the major field and degree requirements for the second baccalaureate degree program.
- Earn a cumulative grade point average of 2.0 or higher in coursework that applies to the degree program.
- Earn a cumulative grade point average of 2.0 or higher in all coursework at SFA that applies to the second bachelor degree.
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
Selection of President, General Counsel, Director of Audit Services and Coordinator of Board Affairs (D-30)

Original Implementation: April 26, 1975
Last Revision: January 25, 2010
January 29, 2013

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

Cross Reference: Board of Regents Rules and Regulations

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee
Skating and Skateboarding (D-32)

Original Implementation: January 24, 1989
Last Revision: January 29, 2013

The purpose of this regulation is to establish guidelines governing the use of skateboards, rollerblades, or other types of skating apparatuses.

Definitions:

1. Skateboard – a non-motorized device where two or more wheels are attached to a platform upon which the rider stands.
2. Rollerblades – shoe or device that attaches to a shoe, having one or more sets of wheels.

Regulations:

1. Persons choosing to ride a skateboard or use rollerblades may do so as a means of transportation only on sidewalks while on the university campus.
2. Persons riding a skateboard or rollerblades shall keep all of the wheels on the ground while operating them as a means of transportation. At no time shall a rider perform any stunts or acts that could be deemed as stunts, or act in a way that impedes pedestrian traffic on the sidewalks.
3. The rider shall refrain from using a skateboard or rollerblades on any public street, parking garage facility, Homer Bryce Stadium, Johnson Coliseum, or in any building.
4. Persons riding a skateboard or rollerblades shall yield the right of way to all pedestrians, motorized vehicles, and bicycles.
5. Persons riding a skateboard or rollerblades shall not ride in or around any areas of construction on the university campus.
6. Events that have been prearranged, with proper facility reservations, approval from the University Police Department, and under the direct supervision of the Campus Recreation Department, such as skateboarding club or rollerblading club practices and competitions, are not subject to these regulations.

Any person who violates all or part of this policy may be subject to disciplinary actions through the university and an order to immediately remove the skateboard or rollerblades from the university campus.

Cross Reference: Parking and Traffic Regulations, Policy (D-24), as related to bicycles

Responsible for Implementation: Vice President for University Affairs
Contact for Revision: Chief of University Police

Forms: None

Board Committee Assignment: Building and Grounds
Use of University Facilities (B-1)

Original Implementation: April 11, 1980
Last Revision: January 25, 2010

All Stephen F. Austin State University buildings, facilities, equipment, and grounds shall will be used only in the pursuit of the stated objectives of the university -- academic, cultural, and public service. Groups not affiliated with the university may be granted use of university facilities according to the general policies provided herein and an agreement to adhere to the specific rules and procedures governing the use of the individual facilities.

It is the responsibility of the user to become acquainted with and abide by these specific rules.

Definitions:

1. "Student" means a person who is currently enrolled for academic instruction or research at the university.
2. "Campus" shall will mean all real property over which the university has possession and control by law.
3. "University group" shall will mean a registered student organization, other student group, or faculty and staff group. No group shall be considered a university group if it includes a person who is not a student, faculty member, or employee of the university unless that person is a member of the immediate family of a student, faculty member, or employee of the university.
4. "Outside group" shall will mean any organization or group that is not included within the term "university group."
5. "Sponsoring organization" shall will mean a university group that vouches for an outside group's use of university facility.
6. "University official" means a person charged with the responsibility for supervising the use of a university facility.
7. "University agency" shall will mean an academic school, department, or program, or a university council, committee or auxiliary enterprise.

Priorities and Limitations for Use of University Facilities

1. Mission of the University

Nothing contained in this policy shall will be construed to prohibit or hinder operation of the university in fulfilling its mission as a public institution of higher
education. All activities associated with that mission will have priority in the use of the university's facilities.

2. Individuals

Individuals engaged in the educational mission of the university will have the right to use the university's facilities in accordance with federal, state, and local laws, as well as the rules and regulations of the university.

As a general rule, priority for the use of the university's facilities will go first to the students and second to the faculty and staff. However, exceptions to this rule may be made in certain instances by the university administration.

Immediate family members of students, faculty, and staff may be granted limited use of university facilities through established programs designed to promote the enrichment of campus life and to enhance the living-learning environment of the university.

3. Groups

a. Only organized groups (no individuals) sponsored by a university agency conducting an activity that is within its established role and scope may be allowed the use of university facilities.

b. However, outside groups without a sponsor may be permitted to use the facilities of the student center, subject to all other appropriate guidelines contained in this policy.

Reservations and Use

1. Application

a. Application for use of university facilities by university agencies will be made to the appropriate university official as follows:

<table>
<thead>
<tr>
<th>Facility</th>
<th>Appropriate University Official</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic classroom, auditorium, office space and off-campus facilities</td>
<td>Dean of school having jurisdiction over that space</td>
</tr>
<tr>
<td>Student Center</td>
<td>Director, Student Center</td>
</tr>
<tr>
<td>Residence Halls</td>
<td>Director, Residence Life</td>
</tr>
<tr>
<td>Library Carrels and Seminar Rooms</td>
<td>Director, University Libraries</td>
</tr>
<tr>
<td>Johnson Coliseum and Homer Bryce Stadium</td>
<td>Coordinator of Athletic Operations</td>
</tr>
</tbody>
</table>
b. Application for use of university facilities by outside groups will be made to the vice president for Finance and Administration, except for the coliseum, stadium, student recreation center, and student center, which will be made to the individual indicated above.

2. Additional Procedure Usage

In addition to this policy,

a. The university may establish additional procedures and/or policy for the reservation and use of each university facility. The university official responsible for each facility may be contacted regarding the policies for that facility.

b. Consumption of food or beverages in SFA academic buildings is permitted subject to the approval of the appropriate dean or designee, provided such permission does not conflict with other policies or laws.

3. Identification of Sponsor

The user may not assign or delegate any control or responsibility to any other user or co-sponsor, agent, or third party without prior written approval of the appropriate university official. All users or co-sponsors of an event must be clearly identified prior to confirmation of a reservation. Reservations for presenting one event may not be used for presenting a different event without written approval by the appropriate university official.

4. Assignment of Reservations Fees for Use
No reservation may be assigned in whole or in part. The current fee schedule will be available from the appropriate university official. Fees for outside groups are established at rates which will, at a minimum, ensure recovery of that part of the operating cost of the facility that is attributable directly or indirectly to such use by an outside group. The current fee schedule will be available from the appropriate university official.

5. Deposit

An advance deposit (specified in the fee schedule) may be required for reservations for an event conducted by an outside group.

6. Bond and insurance

Outside groups using a university facility may be required to provide a contract performance bond as well as evidence of appropriate levels of liability insurance covering injury to persons, including those resulting in death, and property damage insurance, including damage to the university facility, in amounts and under policies satisfactory to the vice president for Finance and Administration. Copies of such policies will be furnished to the vice president for Finance and Administration no later than thirty (30) days prior to the event and in all cases prior to announcement of the event.

Financial Policies

1. University agency/groups

Excess income over expenses, including the fee for use of the facility derived from an event sponsored by a university agency/group, may be retained by the university agency/group to further its activities and programs. Excess expenses over income of an event shall be absorbed by the sponsoring university agency/group. Additional cost of maintenance, including standbys, custodial and utilities will be considered an expense of the event.

2. Outside group

If an outside group (other than a public entity or summer camps) using a university facility charges those attending an event any admission or registration fee, or accepts donations from those in attendance, a complete accounting of all funds collected and of the actual cost of the event shall must be submitted upon request to the vice president for Finance and Administration within (30) days after the event. If the
funds collected exceed the actual cost of the event, the user is required to remit such excess funds to Stephen F. Austin State University as an additional charge for use of the facility. The university reserves the right to audit all records pertaining to income and expenses, to prescribe methods of collection, and to participate in audits of funds at the point of receipt. Additional cost of maintenance, including standbys, custodial and utilities will be considered an expense of the event.

3. Payment for damages

All users and sponsors shall be responsible for payment for damages to the university facility, its fixtures, and equipment, whether caused by the user or its patrons, ordinary wear and tear excepted.

4. Broadcast and recording rights

The university reserves all rights and privileges for radio and television broadcasts, whether live or transcribed for delayed transmission, and all visual or audio recordings originating from the university facility. Should the university grant to the user such privilege, the university has the right to require advance payment of any estimated related costs to the university, such as installation of equipment. Such permission must be granted in writing by the university president in advance of broadcast or recording.

Policies for Outside Users

Any proposed use of the university facility must be appropriate and suited to the size, structure, purpose and operating costs of the facility. For outside groups, there must be good reason to expect that a proposed event will require features unique to the facility or which are otherwise unavailable in the community. All proposed events must be conducted in accord with applicable state and federal laws and regulations, as well as the rules, regulations and policies of the university Board of Regents. Users must demonstrate to the satisfaction of the appropriate university official that they have the staff, experience, contracting authority, financial status and other qualifications necessary for carrying out the proposed events in a satisfactory manner.

1. Review of contracts

All contracts related to the presentation of an event, including contracts between user and performers, speakers, sub-contractors, managers, and others, are subject to review and approval by the general counsel and the appropriate vice president.
2. Hazards

If the university, in its sole discretion, determines that a proposed event poses a potential hazard to public safety, the event may be canceled or denied. No user may install or operate any equipment, fixture or device, nor operate or permit to be operated any engine, motor or other machinery, or use gas, electricity or flammable substances in the facility except with prior written approval of the appropriate university official, and then under such conditions and restrictions as the university official may specify. All electrical connections must be made by university personnel under direction of the staff of the appropriate university official and all house equipment must be operated by university personnel. No equipment, device or fixture may be used which, in the opinion of the university official, endangers the structural integrity of the facility.

3. Conflict with university activities

An event shall not be permitted for any purpose which, although in accord with the general purposes of the university, is of such character or occurs at such circumstances that they are likely to interfere or cause major conflict with any university activity, program or event, or are inimical to the interests of the university.

4. Management functions

Management functions are retained by the university and may be delegated to users or others only with the written permission of the appropriate vice president. The functions include, but are not limited to, the following:

- All facets of ticketing and ticket policies, including scaling, acquisition, distribution, and sale; and
- All matters of staffing, crowd control, technical arrangements, promotions, and advertising.

5. Concessions and catering

Use of the university facility does not carry the right for the user to control concessions. Sale and distribution of food, beverages, souvenirs, or other concession items are reserved to the university or its concessionaires.

6. Signs and displays

No signs, messages or other materials may be posted, displayed, distributed or announced in, on or adjacent to, the university facility by user or sponsor without
prior written approval of the university official. Such materials may not be fastened to any part of the facility except in spaces provided for this purpose and may not be permitted to interfere with crowd movement and safety.

7. Religious organizations

A religious organization applying for use of a facility must submit written evidence to the appropriate university official from the Internal Revenue Service that organization has been granted an exemption from taxation under Section 501(c)(3) of Title 26 of the United States code (Internal Revenue Code), and shall be permitted to use the facility no more than one (1) time during a calendar year.

8. Political organizations

A political organization applying for use of the facility must present written evidence to the appropriate university official that the organization had candidates for either national, state, district or local offices listed on the ballot at the last general election, and shall be permitted to use the facility no more than one (1) time during a calendar year.

9. Individual candidates for political office

Individual political candidates and their election organizations are not permitted to reserve a university facility. However, if a candidate is invited by a university group, then he or she may appear in the facility, provided that the group extending the invitation is responsible for reserving the facility and meeting all costs related to the event.

10. Advertising

All news releases, handbills, advertisements, television and radio announcements or other media utilized to inform the public of a non–university event to be held in a university facility must carry a disclaimer, approved by the general counsel, to the effect that use of Stephen F. Austin State University facilities does not imply endorsement of the event or the sponsoring organization by the university.

11. Amplified Sound

Amplified sound may only be used at indoor campus facilities with prior authorization of the university. Use of these devices is restricted to specific areas. Decibel limits may be imposed on the use of amplified sound at any event. Any event exceeding these sound limits will be first asked to turn the volume down; if the
problem persists, the university reserves the right to immediately terminate the event. Use of amplified sound on campus grounds is governed by policy D-21, Use of Amplified Sound on Campus Grounds.

Penalty and Hearing

1. Suspension

If a user or sponsor violates the provisions of this policy, or the laws regulating the use of state property, the appropriate university official with the approval of the vice president to whom he/she reports may suspend the use of university facilities, or certain university facilities, by the user or sponsor for a specified period of time not to exceed one (1) year. Suspension shall mean that reservation requests by the user or sponsor shall be denied by the university during the specified period of time.

2. Notice of Suspension

When a university official suspends a user or sponsor from the use of university facilities, the official shall notify in writing, the user or sponsor, and the vice president who has responsibility for space assignment, of the suspension. The written notice shall contain all the following:

a. that the user or sponsor may not use university facilities, or certain designated university facilities, for a specified period of time, not to exceed one (1) year from receipt of the notice;

b. the name and title of the university official imposing the suspension, along with an address where the university official may be contacted during regular working hours;

c. a brief statement of the acts or omissions resulting in the suspension; and

d. notification that the suspended user or sponsor is entitled to a hearing on the suspension.

3. Request for Hearing

a. A suspended user or sponsor may submit a written request for a hearing on the suspension to the appropriate university official within fourteen (14) days from the date of receipt by the user or sponsor of the notice of suspension. The university official shall grant a hearing not later than seven (7) days from the date of the request and shall immediately mail written notice of the time, place, and date of the hearing to the person.
b. The hearing will be held before a discipline committee reviewing the suspension in question.

Cross Reference: None

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

Contact for Revision: President

Forms: None

Board Committee Assignment: Building and Grounds
Withdrawal Without Financial Clearance (C-39)

Original Implementation: October 26, 1978
Last Revision: January 25, 2010
January 29, 2013

Any student who withdraws from or otherwise leaves the university, they must clear their financial record, return university property and settle other financial matters with the university. Students failing to fulfill these obligations will be subject to sanctions until such time as the record is cleared. Sanctions will be imposed whenever a student does not return in possession of unreturned university property or is otherwise indebted to the university beyond a minimal amount established by university administration for unpaid fines, etc. Upon graduation or withdrawal, the university will apply the student's general deposit to any unpaid obligations on his/her business office student account. If the general deposit is sufficient to cover these obligations, no sanction will be imposed.

SANCTIONS: The following sanctions will be imposed:

1. The student will not be permitted to re-enroll.
2. The student will not be eligible to receive an official transcript of academic work completed.
3. The student will not be issued a diploma.

PROCEDURES FOR IMPLEMENTATION:

When a student withdraws, notification will be sent by the Registrar to:

a. The dean of the appropriate academic college,
   a. The dean of the appropriate academic college,
   b. The Business Office,
   c. The Financial Aid Office,
   d. The Housing Office
   e. The Ralph W. Steen Library.

Each department in which the student has a financial deficiency requiring the imposition of sanctions will either notify the Business Office, citing the nature of the deficiency, or will place a registration and transcript hold on the student's record. It will be the student's responsibility to contact the appropriate office to clear his/her record. These offices will then release the hold or notify the Registrar's Office once the deficiency has been resolved.
The registrar will impose sanctions specified in the policy until the student's record is cleared.

**Cross Reference:** General Bulletin, Graduate Bulletin

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

**Contact for Revision:** Controller, Registrar

**Forms:** None

**Board Committee Assignment:** Finance and Audit
Work Requests (B-32)

Original Implementation: December 7, 1987

The Physical Plant Department does routine preventive maintenance based on importance, priority and available manpower. Maintenance is performed by the Physical Plant Department in response to requests made by individuals authorized to expend university funds. The Physical Plant Department will respond to the following categories of requests:

1. Routine Maintenance
2. Custodial Services
3. Disposal Services
4. Emergencies

1. Routine Maintenance. These requests should include anything of a normal nature that will not require emergency attention or alter the structure. Such requests include temperature control, minor plumbing or custodial problems, and minor electrical problems. Requests of this nature should be directed to the Physical Plant Department by telephone at 468-3206, fax 468-4446, e-mail, or by submitting a request online through the computerized maintenance management system (AiM). The following information should be provided:
   a. Building name
   b. Department
   c. Date of request
   d. Urgency of request (used to assign a work priority to each request
   e. Exact location of job
   f. Detailed description of work needed
   g. Person making the request/contact number
   h. Account number

2. Custodial Services. Requests for custodial services beyond normal cleaning activities by custodial personnel should be directed to the manager of Custodial Services at 468-3905.

3. Disposal Services. Disposal services are administered through the Special Services Department in the Physical Plant Department at 468-5107. Paper and household garbage of campus residents are picked up regularly. Used building/classroom materials such as lumber, cement, clay, etc., and confidential records which must be destroyed will be picked up by Special Services upon request, Special Services.
Special Services are administered by the Physical Plant Department at 468-5107 and include move/event support, delivery services, disposal services and other services as needed.

4. Emergencies. These requests, in the opinion of the requester, require immediate action to prevent endangerment of life and/or property damage.
   
   a. Broken water lines (inside or out)
   b. Utilities off
   c. Smell of natural gas or burning materials
   d. Broken windows
   e. Commodes overflowing
   f. Water spills on floors
   g. Hazardous conditions

   Between the hours of 7 a.m. and 4 p.m. Emergency requests should be reported immediately to the Physical Plant Department at 468-3206.

   All after-hours emergencies should be reported immediately to the University Police Department at 468-2608 after normal working hours.

Cross Reference: None

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

**Contact for Revision:** Director of Physical Plant

**Forms:** None

**Board Committee Assignment:** Building and Grounds
Workers Compensation Coverage (E-55)

Original Implementation: September 1, 1975
Last Revision: November 28, 2012 January 29, 2013

All employees of the university are covered by the State Employees Worker's Compensation Act. All claims for benefits under this coverage are processed by the safety officer in the Environmental Health, Safety, and Risk Management Department. All injuries or accidents involving university employees in the course and scope of their assigned duties shall be reported on an "Employee's First Report of Injury or Illness" (SORM-29), with the safety officer, EHS&RM Department, 430 E. Austin Street, extension 4514. The safety officer will file the DWC-1S form and all required reports with the State Office of Risk Management, Workers’ Compensation Division electronically.

Responsibility for the timely reporting of on-the-job injuries rests jointly with the employee and his/her supervisor. All incidents must be reported immediately. If work is missed or immediate medical attention is required, the claim must be processed within 24 hours. No claim is valid if reported more than 30 days after the incident.

Employees unable to work due to a worker’s compensation injury, are required to use their accrued sick leave. If all accrued sick leave is exhausted before the employee is allowed to return to work, the employee has the option of using all or a portion of their accrued vacation leave by completing the SORM 80 form (available in the Environmental Health, Safety and Risk Management Department). If the employee has exhausted all sick leave and the elected amount of vacation, the employee’s status will be leave without pay (LWOP). Once an employee’s status is leave without pay (LWOP), the employee must submit a written request to the university president for a leave of absence (LOA). The leave of absence cannot exceed a 12-month period from the beginning of their Family and Medical Leave Act (FMLA) leave. FMLA leave runs concurrently with leave taken for a worker’s compensation injury.

Additional information is available from the safety officer in the Environmental Health, Safety and Risk Management Department.

Cross Reference: Family Medical Leave (E-58); Leave of Absence (Non-Academic) (E-30N); Tex. Lab. Code § 501

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Environmental Health, Safety, and Risk Management Department
**Forms:** Employee's First Report of Injury or Illness (SORM-29); Election Form (SORM-80)

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