BOARD MINUTES FOR JANUARY 29-30, 2007  
VOLUME 234

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Monday, January 29, 2007

The regular meeting of the Board of Regents was called to order at 8:00 a.m., Monday, January 29, 2007, by Chair Valerie Ertz.

PRESENT:

Board Members: Ms. Valerie Ertz, Chair
Mr. Richard Boyer
Dr. Margarita de la Garza-Grahm
Mr. Joe Max Green
Mr. Kenneth James
Mr. Paul Pond
Mr. James Thompson
Ms. Stephanie Tracy
Mr. Melvin White
Mr. Fred Wulf

President: Dr. Baker Pattillo

Vice-Presidents: Ms. Debbie Baisden
Mr. Steve Westbrook
Dr. Marlin Young

General Counsel: Ms. Yvette Clark

Other SFA administrators, staff, and visitors

The chair welcomed the board members and guests to the meeting. The student regent, Stephanie Tracy, led the pledge to the flags.

The Building and Grounds Committee convened at 8:05 a.m. and adjourned at 12:15 p.m. Following a lunch recess during which the board members and administrators toured the SFA Science Research Center, the Finance/Audit Committee convened at 1:55 p.m. and adjourned at 4:40 p.m. The Academic and Student Affairs Committee convened at 4:55 p.m. and adjourned at 6:10 p.m. The Marketing Committee convened at 6:15 p.m. and adjourned at 6:30 p.m.
Tuesday, January 30, 2007

The chair reconvened the board meeting at 7:30 a.m. on Tuesday, January 30.

PRESENT:

Board Members: Ms. Valerie Ertz, Chair
Mr. Richard Boyer
Dr. Margarita de la Garza-Graham
Mr. Joe Max Green
Mr. Kenneth James
Mr. Paul Pond
Mr. James Thompson
Ms. Stephanie Tracy
Mr. Melvin White
Mr. Fred Wulf

President: Dr. Baker Pattillo

Vice-Presidents: Ms. Debbie Baisden
Mr. Steve Westbrook
Dr. Marlin Young

General Counsel: Ms. Yvette Clark

Other SFA administrators, staff, and visitors

The chair immediately called for an executive session to consider the following item:

PERSONNEL MATTERS REGARDING SPECIFIC UNIVERSITY EMPLOYEES
Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to, football coaches; library, technology, and fund raising/development personnel; vice presidents, and the president, including possible action in naming Dr. Baker Pattillo as university president (action to be taken in open session) (Texas Government Code, Section 551.074)

The executive session concluded at 8:40 a.m., and the board returned to open session at 9:00 a.m. The chair welcomed special guests to the board meeting and called upon the Student Regent, Stephanie Tracy, to lead the pledge to the flags. The chair gave an inspirational reading, appropriate to the significance of the day.
ELECTION OF PRESIDENT

BOARD ORDER 07-09

Upon motion by Chair Ertz, with all members voting aye in a roll call vote, it was ordered that the following item be approved:

ELECTION OF DR. BAKER PATTILLO AS EIGHTH PRESIDENT OF STEPHEN F. AUSTIN STATE UNIVERSITY

Dr. Baker Pattillo was elected president of Stephen F. Austin State University at a salary of $247,750 annually, effective immediately.

A portrait of the new president was unveiled on the board wall among the portraits of all former SFA presidents, and the president signed his name in a Bible that had been signed by all former presidents. Dr. Pattillo expressed his appreciation to all those friends and university supporters who were present, recognized his family, and introduced special guests with him for the day, including former regents and former SFA president, Dr. William R. Johnson. State Representative Wayne Christian read a resolution honoring Dr. Pattillo passed by the Texas House of Representatives. Regent James read a certificate of recognition from Governor Rick Perry, and Regent Wulf read a resolution from the Texas Senate sent by Senator Robert Nichols.

SPECIAL RECOGNITIONS

Special recognition was given by Athletic Director Robert Hill to the 2006-2007 Ladyjack Volleyball team with coach Debbie Humphries. Provost Dr. Marlin Young introduced Shirley Dickerson, Interim Director of the Steen Library. Debbie Baisden, Vice President for Finance and Administration, introduced Harold Hall, Assistant Director of the Physical Plant, and thanked David Mohundro and Glynn Hartt for their work in building a credenza for the president's office. Steve Westbrook, interim Vice President for University Affairs, introduced Urisonya Roberson, Coordinator for the Multicultural Center, and Sam Smith, Director of the Student Center. Dr. Pattillo introduced Robin Wright, Director of the Academic Assistance and Resource Center, and congratulated her on receiving the Texas Higher Education Coordinating Board Star Award. Chair Ertz and Regent Wulf presented Jamie Fain, Director of Housing, with a Lumberjack Axe on the occasion of her retirement after 22 years with SFA.

APPROVAL OF MINUTES

BOARD ORDER 07-10

Upon motion by Regent Green, seconded by Regent White, with all members voting aye, it was ordered that the minutes of the October 18 and 19, 2006, December 15, 2006, December 20, 2006, and the January 3, 2007 meetings be approved.
PERSONNEL

BOARD ORDER 07-11
Upon motion by Regent Pond, seconded by Regent Grahm, with all members voting aye, it was ordered that the following personnel items be approved.

FACULTY APPOINTMENTS FOR 2006 – 2007

EDUCATION

Larry Cupit, Instructor of Elementary Education, M.A. (Stephen F. Austin State University) at a salary of $42,000 for 100 percent time for nine months, effective January 16, 2007, contingent upon completion of doctorate by spring 2013.

LIBERAL AND APPLIED ARTS

Dr. Matthew Tippens, Visiting Assistant Professor of History, Ph.D. (Texas Tech University) at a salary of $19,000 for 100 percent time for five months, effective January 15, 2007.

STAFF APPOINTMENTS FOR 2006 – 2007

ATHLETICS

Gerald Broussard, Assistant Football Coach, at a salary of $65,433 for 100 percent time for 10.5 months, effective February 1, 2007.

Darren Drago, Assistant Football Coach at a salary of $62,100 for 100 percent time for 10.5 months, effective February 1, 2007.

Matthew Graves, Assistant Football Coach, at a salary of $56,925 for 100 percent time for 10.5 months, effective February 1, 2007.

James C. Harper, Head Football Coach, at a salary of $117,266 for 100 percent time for 12 months, effective February 1, 2007.

Arlington Nunn, Assistant Head Football Coach, at a salary of $60,237 for 100 percent time for 10.5 months, effective February 1, 2007.

Todd Schonhar, Assistant Football Coach, at a salary of $53,820 for 100 percent time for 10.5 months, effective February 1, 2007.

Harold Christopher Truax, Assistant Football Coach, at a salary of $57,960 for 100 percent time for 10.5 months, effective February 1, 2007.
**Enrollment Management**

Dyson V. Nickle, Academic Advisor for Academic Affairs at a salary of $28,000 for 100 percent time for 12 months, effective October 9, 2006.

**Financial Aid**

Heather Rachele Nixon, Assistant Director of Financial Aid, at a salary of $44,000 for 100 percent time for 12 months, effective November 6, 2006.

**Fine Arts**

Mark A. Porter, Technical Director/Stage Carpenter, at a salary of $38,000 for 100 percent time for 10.5 months, effective January 15, 2007.

**Forestry and Agriculture**

Johnny Charles Brown, Geospatial Applications Specialist II, at a salary of $55,000 for 100 percent time for 12 months, effective November 20, 2006.

**Telecommunications & Networking**

Sandra K. Menscer, Network Support Specialist, at a salary of $37,000 for 100 percent time for 12 months, effective January 2, 2007.

**University Affairs**

Bryan Lawrence Patton, Technology Specialist, Auxiliary Services for the Student Center, at a salary of $29,000 for 100 percent time for 12 months, effective October 2, 2006.

Urisonya Roberson, Multicultural Center Coordinator, at a salary of $38,500 for 100 percent time for 12 months, effective January 8, 2007.

Samuel Allen Smith, Director, Student Center, at a salary of $82,000 for 100 percent time for 12 months, effective January 1, 2007.

**Changes of Status for 2006 – 2007**

**Business**

Marcus Z. Cox, from Adjunct Faculty for College of Business at a salary of $50,000 for 100 percent time for 12 months to Lecturer/Development Officer at a salary of $50,000 for 100 percent time for 12 months, effective November 1, 2006.
EDUCATION

Paula B. Griffin, from Adjunct Faculty of Elementary Education at a salary of $5,833.33 for 58 percent time for four months to Project Coordinator FIPSE at a salary of $37,583.26 for 100 percent time for 12 months, effective November 2, 2006.

FORESTRY AND AGRICULTURE

James Bills, from Research Associate for Forestry Systems at a salary of $43,693 for 100 percent time for 12 months to Systems Administrator I CRGSC at a salary of $45,000 for 100 percent time for 12 months, effective November 1, 2006.

HOUSING

Jordana L. Wise, from Hall Director III at a salary of $20,480 for 100 percent time for 12 months to Manager of Housing Administration at a salary of $34,220 for 100 percent time for 12 months, effective December 18, 2006.

Sarah L. Hardy, from Manager of Housing Administration at a salary of $34,320 for 100 percent time for 12 months to Manager of Housing Systems at a salary of $39,200 for 100 percent time for 12 months, effective December 4, 2006.

LIBERAL AND APPLIED ARTS

Dixie Morgan, from Adjunct Faculty of Psychology at a salary of $2,625 for 25 percent time for four months to Lecturer of Psychology at a salary of $14,000 for 100 percent time for four months, effective January 16, 2007.

Mark Barringer, from Associate Professor of History and Interim Associate Dean of Liberal and Applied Arts at a salary of $56,854 for 100 percent time for nine months to Associate Professor of History and Associate Dean of Liberal and Applied Arts at a salary of $61,854 for 100 percent time for nine months, effective January 1, 2007.

LIBRARY

Shirley Dickerson, from Associate Director of Steen Library, at a salary of $68,842 for 100 percent time for 12 months to Interim Director, with an additional stipend of $1,000 per month for the interim duties, effective January 17, 2007.

Jason L. Johnstone, from Web Development/Designer at a salary of $36,652 for 100 percent time for 12 months to Webmaster at a salary of $50,000 for 100 percent time for 12 months, effective December 1, 2006.
SCIENCE AND MATHEMATICS

Dennis Gravatt, from Interim Department Chair of Biology at a salary of $58,241 for 100 percent time for 11 months to Department Chair of Biology at a salary of $70,000 for 100 percent time for 11 months, effective February 1, 2007.

RETIREMENTS

Clarence Bahs, Director of School of Theatre, effective August 31, 2007.

Bill Bryan, Department Chair of Human Services, effective August 31, 2007.

Glender Chatman, Assistant Registrar, effective January 31, 2007.

Jamie Fain, Director of Housing, effective January 31, 2007.

Gerald E. Tyler, Assistant Professor of Sociology, effective December 31, 2006

ACADEMIC AND STUDENT AFFAIRS

BOARD ORDER 07-12
Upon motion by Regent James, seconded by Regent Boyer, with all members voting aye, it was ordered that the following academic and student affairs items be approved.

UNIVERSITY SCHOLARS SCHOLARSHIP INCREASE

The University Scholars Scholarship was increased from $2,000 to $4,000 per year, renewable for a total of four years, beginning with Fall, 2007.

INCREASE ANNUAL SCHOLARSHIP ALLOCATION FOR OFFICE OF INTERNATIONAL PROGRAMS (OIP)

The annual allocation for international student scholarships was increased from $35,000 to $60,000 to reflect a 70 percent increase in student numbers. This will begin with Fall, 2007 and will be reflected in the FY08 budget.

PROPOSAL TO NAME THE WILLIAM W. GIBSON ENTOMARIUM

The invertebrate collection in the Department of Biology, which has become the third largest collection in the state of Texas, was named the “William W. Gibson Entomarium” in honor of Dr. Bill Gibson, who is in his 45th year of teaching at Stephen F. Austin State University as Professor of Biology with a specialty in entomology and invertebrate zoology.
It was further ordered that the following item be tabled until the April, 2007 board meeting.

REGENTS SCHOLARSHIP REQUIREMENT CHANGE

It is recommended by the administration that the requirement to live in on-campus housing be removed from the Regents Scholarship allowing the award to be spent on tuition and fees beginning with Fall, 2007.

FINANCIAL AFFAIRS

BOARD ORDER 07-13
Upon motion by Regent Thompson, seconded by Regent White, it was ordered that the following financial affairs items be approved.

BUDGET CHANGES LESS THAN $100,000
The list of budget changes less than $100,000 is provided in Appendix 1.

AUTHORIZATION FOR MID-YEAR RAISES

The Board of Regents authorized the President to be the final level of approval for all recommended mid-year salary increases included in the mid-year raise pool of 2.5% approved by the Board of Regents on December 15, 2006, including the positions reporting to the Board of Regents. The only exceptions shall be the position of President to be approved by the Board of Regents and the Chair of the Department of Elementary Education which shall be approved by the Provost.

RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS

The Resolution Approving Financial Institutions and Brokers for Investment Transactions was approved as presented in Appendix 2.

RESOLUTION TO ACKNOWLEDGE REVIEW OF INVESTMENT POLICY AND STRATEGY

The Resolution to Acknowledge Review of the Investment Policy and Strategy was ratified as presented in Appendix 3.

HEATING SYSTEM BOILER REPLACEMENT IN HALL 15/18

It was approved that $347,000 be added to the FY07 housing maintenance operation accounts to replace funds spent on an emergency replacement of the heating system.
boiler in Hall 15/18 and to provide funds for ordinary fiscal year 2007 maintenance operations. The source of funds is auxiliary fund balance.

**REPAIRS TO RESIDENCE HALL 15/18 PLANT OPERATIONS CHILLER AND COOLING TOWER**

The university was authorized to make repairs to the chiller and cooling tower in Hall 15/18 be completed at a cost not to exceed $87,000 and that the funds be added to the FY07 housing maintenance operation accounts. The source of funds is auxiliary fund balance.

**LEASE OF SPACE FOR BANKING SERVICES IN STUDENT CENTER**

The president was authorized to sign a contract with Commercial Bank of Texas to lease space for the provision of banking services in the Student Center.

**APPROVAL OF CONTRACT WITH COLLECTIONS SERVICES**

Authorization was given to award a contract to Williams & Fudge, Inc. for student loans and accounts receivable first referral collection services and Windham Professions, Inc. for second referral collection services to be effective for a five year period with the option to renew for an additional five-year period, subject to administrative approval. The source of funding will be student assessment for delinquent accounts. The President was authorized to sign the contract.

**BUILDING AND GROUNDS**

**BOARD ORDER 07-14**

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

**ACCEPTANCE OF DEWITT GIFT AND NAMING OF RICHARD AND LUCILLE DEWITT SCHOOL OF NURSING**

The Board of Regents approved the proposed gift of property from Lucille DeWitt and the late Richard DeWitt (approximately 16.83 acres of land on US Hwy 59N as described in the preliminary plat prepared by Tommy Findeisen, dated December 6, 2006; also known as 5707 North Street property) for use by the university as the primary location of the SFA School of Nursing, contingent upon an appropriate Phase I environmental study, approval by the Texas Higher Education Coordinating Board, and final agreement on deed restrictions. Upon acceptance of the gift and all final approvals, it was approved that the SFA School of Nursing be named the Richard and Lucille DeWitt School of Nursing. The president was authorized to sign any gift related documents and the director of the physical plant was authorized to sign any property related records.
APPROVAL FOR NAMING OF BOB AND DOT BANKS BASEBALL STADIUM

A gift of $750,000 has been donated to the university by the estate of Robert C. Banks and will be received by December 31, 2007. Authorization was given to name the baseball stadium at Bo Pilgrim Park the “Bob and Dot Banks Baseball Stadium.”

APPROVAL FOR NAMING OF WOMEN’S BASKETBALL OFFICE SUITE

The women’s basketball office suite in the William R. Johnson Coliseum was named the “Sue Gunter Basketball Office Suite” and a formal dedication will be held during a women’s home basketball game during the 2007-2008 season.

REQUEST FOR PROPOSAL – EDUCATION RESEARCH CENTER - ARCHITECT

Authorization was given to issue a Request for Proposal for a project architect for the proposed Educational Research Center. Proposals will be reviewed by staff and a recommendation of the top candidates will be made to the Building and Grounds Committee for their consideration at a future meeting.

REQUEST FOR PROPOSAL – EDUCATION RESEARCH CENTER - CONSTRUCTION MANAGER AT RISK

Authorization was given to issue a Request for Proposal for a project Construction Manager at Risk for the proposed Educational Research Center. Proposals will be reviewed by staff and a recommendation of the top candidates will be made to the Building and Grounds Committee for its consideration at a future meeting.

AUTHORIZATION FOR DEMOLITION OF BIRDWELL BUILDING

Authorization was given to proceed with the solicitation of bids for the demolition of the Birdwell Building, and the president was given the authority to sign the contract in an amount not to exceed $300,000. The source of funds will be from the residual balance in the fiscal year 2002 Tuition Revenue Bonds project account.

It was also ordered that the following item be tabled for possible consideration at a future date.

PROPOSAL TO COMMISSION “THE LUMBERJACK” BRONZE MONUMENT AND MAQUETTES FROM SCULPTOR MICHAEL BOYETT

Sculptor Michael Boyett has proposed that the university commission him to create an exclusive design of “The Lumberjack,” the SFASU mascot, as a 12, 18, or 24 foot bronze monument and purchase a series of smaller sculptures (maquettes) for resale. An initial funding commitment of at least $234,918 (depending on the monument size and number of maquettes ordered) would be required to place this commission. A fundraising plan
would need to be developed to help defray the cost of this project. The full proposal from Mr. Boyett is included in Appendix 4.

It was further ordered that the following item be tabled and brought back to the April, 2007, board meeting after consultation with the executive director of marketing.

AUTHORIZATION FOR CAMPUS WAY-FINDING SIGNAGE PROJECT

The administration recommends that authorization be given to proceed with the campus way-finding package as presented, at a cost not to exceed $125,000 to be paid from funds previously authorized and set aside by the board of regents for such purpose.

UNIVERSITY POLICIES AND PROCEDURES

BOARD ORDER 07-15

Upon motion by Regent Green, seconded by Regent Graham, with all members voting aye, the Board of Regents adopted the policy revisions as presented in Appendix 5.

REPORTS

President Pattillo presented comments on the following topics:
  • Strategic Plan
  • Southern Association of Colleges and Schools
  • Technology
  • Opening Ceremony for the Student Center on April 22, 2007

Gina Oglesbee, Director of Audit Services, presented a report on the audit plan.

Chris Barker, the Faculty Senate chair, reported on the following topics:
  • Faculty concerns
  • Faculty Senate Initiatives

Brittany Scott, president of the Student Government Association, reported on the following:
  • Overview of past fall/upcoming spring semester
  • SFA lighting/parking update
  • New website/webct
  • Student meal plans
  • ID validation system
  • SFA upcoming events
APPOINTMENT OF BOARD NOMINATING COMMITTEE

Chair Ertz appointed the following nominating committee: Joe Max Green, Chair, Kenneth James, and James Thompson.

The meeting was adjourned at 11:20 a.m.
Stephen F. Austin State University  
Schedule of Budget Changes  
September 1, 2006 to January 5, 2007

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TOTAL 58,533
BOARD OF REGENTS
OF
STEPHEN F. AUSTIN STATE UNIVERSITY
Nacogdoches, Texas

RESOLUTION APPROVING
FINANCIAL INSTITUTIONS AND BROKERS
FOR INVESTMENT TRANSACTIONS

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

WHEREAS, the following firms are approved investment brokers:
   Merrill Lynch, Inc.
   ING
   Neuberger Berman
   Fayez Sarofim & Co.
   Davis Advisors
   Lazard Asset Management
   Franklin Private Client Group, Inc.
   MLIM L.P. Relative Value
   NFJ Investment/PIMCO Allianz

WHEREAS, the following firms are approved financial institutions:
   Citizens First Bank
   Commercial Bank of Texas
   First Bank and Trust East Texas
   Bancorp South Fredonia
   Regions Bank Stone Fort
   Texas Bank

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 30, 2007 meeting of the Board.

Valerie E. Ertz, Chair

James A. Thompson, Secretary
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 30, 2007; and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 30, 2007 meeting of the Board.

Attest:

Valerie E. Ertz, Chair

James A. Thompson, Secretary
"THE LUMBERJACK"

Monument and Maquette Proposals

for

Stephen F. Austin State University

by

Michael Boyett
December 2006

Stephen F. Austin State University
Board of Regents
Nacogdoches TX 75964

Dear SFASU Board of Regent Members:

I appreciate this opportunity to present to you my proposal for this exclusive design for “The Lumberjack” bronze monument and maquettes (miniature sculptures of the same design.)

I feel that this sculpture design will make a powerful and determined visual impact that will well represent the strong character and spirit of Stephen F. Austin State University!

I look forward not only to the artistic and engineering challenges of this project, but also to the opportunity of working with any committees you would designate to help with fund raising and possible pedestal designs for the monument.

I feel absolutely confident that with my 30 years of experience and the excellence of the bronze foundry I will be working with, that Stephen F. Austin State University will have a monument of their unique mascot, “The Lumberjack”, that will be second to none!

Respectfully Yours,

Michael Boyett

"Classics of Tomorrow ... Today"
Appendix 4

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(1.) Proposal

(2.) Photograph of Model for Proposed Monument and Maquette

(3.) Monument Facts and Figures

(4.) Maquette Fact and Figures

(5.) Monument Perspective Photograph

(6.) Michael Boyett Professional Credentials

(7.) Eagle Bronze Foundry General Information
December 2006

Stephen F. Austin State University
Board of Regents
Nacogdoches, TX 75964

PROPOSAL

Michael Arlen Boyett Inc., proposes that the Board of Regents of Stephen F. Austin State University, commission Michael Boyett to:

(1.) Create an exclusive design of “The Lumberjack”, the SFASU mascot

(2.) Produce and cast that design as a bronze monument in their choice of either 12, 18 or 24 foot scale

(3.) Produce and cast that same “Lumberjack” design as a tabletop size bronze sculpture in a 9 or 12 inch scale (or both) with a minimum of 50 sculptures to be ordered with the initial order. These tabletop bronzes (maquettes) will be sold to SFASU at the agreed to purchase price for SFASU to resell to its contributors at a higher price and use the proceeds helping to fund the monument project.

"Classics of Tomorrow ... Today"
### "THE LUMBERJACK" Bronze Monument
Facts and Figures for 3 different scales

<table>
<thead>
<tr>
<th>Sculpture Height</th>
<th>Approx. Sculpture Weight</th>
<th>Sculpture Cost</th>
<th>Delivery &amp; Installation Charges</th>
<th>Total Cost</th>
<th>Production Time</th>
<th>Payment Schedule</th>
</tr>
</thead>
<tbody>
<tr>
<td>Twice Life Size:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Man (12 ft) Extended Ax (4 ft)</td>
<td>1,600 lbs.</td>
<td>$181,478</td>
<td>$6,440</td>
<td>$187,918</td>
<td>1 year, 6 mos.</td>
<td>1/3 Down Payment</td>
</tr>
<tr>
<td>Total: 18 ft.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(from signing of contract to delivery)</td>
<td>1/3 Due at 9 mos.</td>
</tr>
<tr>
<td>*</td>
<td></td>
<td>Mold, casting artwork, misc</td>
<td>**</td>
<td>**</td>
<td></td>
<td>1/3 Due at Delivery</td>
</tr>
<tr>
<td>Three Times Life Size:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Man (18 ft) Extended Ax (6ft)</td>
<td>3,600 lbs.</td>
<td>$304,460</td>
<td>$10,120</td>
<td>$314,580</td>
<td>1 year, 9 mos.</td>
<td>1/3 Down Payment</td>
</tr>
<tr>
<td>Total: 24 ft.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(from signing of contract to delivery)</td>
<td>1/3 Due at 10 1/2 mos.</td>
</tr>
<tr>
<td>*</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1/3 Due at Delivery</td>
</tr>
<tr>
<td>Four Times Life Size:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Man (24 ft) Extended Ax (8 ft)</td>
<td>6,400 lbs.</td>
<td>$423,986</td>
<td>$15,180</td>
<td>$439,166</td>
<td>2 years</td>
<td>1/3 Down Payment</td>
</tr>
<tr>
<td>Total: 32 ft.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(from signing of contract to delivery)</td>
<td>1/3 Due at 12 mos.</td>
</tr>
<tr>
<td>*</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1/3 Due at Delivery</td>
</tr>
</tbody>
</table>

* Sculpture Cost is for the completed Bronze Monument with all of its structural steel and the engineering modeling especially designed for the Nacogdoches, TX area. There will possibly be some on site assembly and patina touch up finishing work - these costs are included in the Sculpture Cost. TX State Sales Tax will be additional unless SFASU is exempt.

** This cost **DOES NOT** include pedestal, landscaping, crane or compressor rental for installation. SFASU will be responsible for these charges.
### 'THE LUMBERJACK' Bronze Maquettes
Facts and Figures for 2 Different Scales

<table>
<thead>
<tr>
<th>Sculpture Height</th>
<th>Price Each</th>
<th>Net Proceeds to SFASU</th>
<th>Minimum Order Quantity</th>
<th>Delivery Time</th>
<th>Payment Schedule</th>
</tr>
</thead>
<tbody>
<tr>
<td>Man (9&quot;) Extended Ax (3&quot;) Mahogany Base (1 1/2&quot;) Total: 13 1/2 &quot;</td>
<td>$1500 - Retail $940 - Cost to SFASU *</td>
<td>$560</td>
<td>1st Order - 50 Following Orders - 25</td>
<td>3-4 mos.</td>
<td>1/2 Down Paymnt. w/ Order, Bal Due at Delivery</td>
</tr>
<tr>
<td>Man (12&quot;) Extended Ax (4&quot;) Mahogany Base (2&quot;) Total: 18&quot;</td>
<td>$2000 - Retail $1290 - Cost to SFASU *</td>
<td>$710</td>
<td>1st Order - 50 Following Orders - 25</td>
<td>3-4 mos.</td>
<td>1/2 Down Paymnt. w/ Order, Bal Due at Delivery</td>
</tr>
</tbody>
</table>

* Over a period of time, prices may be subject to a price increase based on our costs
** Delivery times could possibly be shorter

The bronze maquettes of "THE LUMBERJACK" monument will be cast by the classic "lost wax method."

Each sculpture will have its own Registered Edition Number and will be registered and certified in the Boyett Registry.

Each sculpture will be mounted on a beautiful hand finished Honduran mahogany wood base and will have a brass name plate attached to the wood base.

Each sculpture will have its own Registered Edition number, the artist’s signature and the copyright date, cast in the bronze sculpture base.

If requested, each sculpture will be accompanied by a Certificate of Authenticity and Registration, signed and dated by the artist.
Michael Boyett’s Professional Credentials

General Career Information

I have been a full time professional artist and sculptor since 1977, specializing in creating historic works of art representing our American heritage. My style is both classic and realistic with emphasis on intricate detail, historic accuracy and bold movement. Since 1977, I have done many exclusive corporate and personal commissions, as well as had limited edition works in numerous galleries and museums. One of my sold out limited edition sculptures grossed over 7.5 million dollars. It has been stated that this sculpture, “is arguably the best-selling work of metal sculpture ever, and the standard by which all others will be judged” (Chilmark, Hudson, MA, Jan 1992).

In 1988, I established my own foundry and since 2002, my focus has been towards creating life size monumental bronze sculptures.

Museums

Indian Museum of the Cherokee Nation (NC)
Milo Pooley Art Western Museum (CA)
Texas Ranger Hall of Fame (TX)
Buffalo Bill Museum (WY)
Favell Museum of Western Art (WA)
National Vietnam Veteran’s Museum (IL)
VFW National Veteran’s Memorial Museum (NM)

Invitational Art Shows

Safari International (Las Vegas, NM),
George Phippen Memorial Invitational Show (Prescott, AZ),
El Rancho Invitational Show (CA)
San Antonio Invitational Fat Stock Show (San Antonio, TX),
Vietnam Veteran’s Invitational Art Show
(Minneapolis, MN - 1st National Vietnam Art Show in history)
Texas Art Classic, (Dallas, TX), The Vietnam Experience (New York City, NY)
Vietnam Reflections (Chicago, IL)
Corporate Commissions

American Express
The Lance Corporation
New England’s Collector’s Society
Electronic Data Systems - Mr. H. Ross Perot
Starlight Originals
Reynold’s Oil Company
Historic Nacogdoches, Inc.

Book Cover

David’s Story - Cover photo of Boyett sculpture, “Bringing in a Buddy”, for
The National VFW Memorial in Eagles Nest, NM

Television Appearances

CBS Evening News with Walter Cronkite - personal interview about Boyett’s military art work
ABC Evening News - New York, NY - showing Boyett’s military sculptures

Magazine Articles

Southwest Art Magazine
Purple Heart Magazine
Soldier of Fortune Magazine
Christian Marketing Magazine
Collector’s Magazine
Cowboys and Indians Magazine
Architectural Digest
Civil War Times
The American Civil War Magazine

Notable Collectors

Rev. Billy Graham, Col. Oliver North, H. Ross Perot, Lesher Newspaper (CA),
Byron Nelson, Ray Swanson, Don Polland, “The Who” (English musical group)

Special Presentations

President Jimmy Carter - Inauguration Ceremony
Four Star General at Change of Command
Foreign Dignitaries and Ambassadors (Japan, England, Belgium)
Tribal Chief of the Cherokee Nation - Mr. Chad Smith
Eagle Bronze Foundry

General Information

Eagle Bronze Foundry, located in Lander, WY, is one of the most highly recognized bronze foundries in the United States. Established in 1986, the foundry is renowned for quality and ships fine art castings to clients throughout the US, Canada, Japan, Europe and the Middle East. Their adherence to stringent quality control measures have given them a well-earned reputation for excellence!

Over the past 20 years, they have completed over 750 monuments. Included in these are 14 buffalo and 3 Indians for Kevin Costner’s Dunbar resort in Deadwood, SD, 6 twenty-two foot panthers for the NFL Panthers, “The Trail Drive” in downtown Dallas, TX, and the “Charging Bull” which is one of the most recognized sculptures in the world. The famous original “Charging Bull” sits in front of the New York Stock Exchange on Wall Street in Manhattan, NY. They are currently involved in casting the “largest equestrian sculpture in the world” entitled, “The Conquistador” which measures 36 feet in height.

This foundry’s ability to create these outstanding monumental bronze castings is due to the highly specialized team of craftsmen that they employ. Their staff includes 50 full time employees, several who have degrees in mechanical engineering and metallurgy. They also use state-of-the-art casting equipment and have excellent specialized facilities.

More information about Eagle Bronze Foundry can be seen on their website - www.eaglebronze.com
### Policies for Board Review
**January 30, 2007**

<table>
<thead>
<tr>
<th>Policy Name</th>
<th>Policy Number</th>
<th>Major Action/Change</th>
<th>Page Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Access to Secure Computing Facilities</td>
<td>F-32</td>
<td>Added description of report access criteria. Swipe card access added; doors locked and video recorded. Titles updated.</td>
<td>P-4</td>
</tr>
<tr>
<td>Add Drop</td>
<td>A-5</td>
<td>Titles updated.</td>
<td>P-8</td>
</tr>
<tr>
<td>Allocation of Information Technology Resources</td>
<td>F-39</td>
<td>Major rewrite</td>
<td>P-9</td>
</tr>
<tr>
<td>Best Value Procurement</td>
<td>C-7</td>
<td>Major rewrite</td>
<td>P-12</td>
</tr>
<tr>
<td>Communication Services</td>
<td>F-29</td>
<td>Policy title changed. Online help request added. Campus ID number substituted for social security number.</td>
<td>P-18</td>
</tr>
<tr>
<td>Computer Equipment Purchases</td>
<td>C-8</td>
<td>Minor wording changes.</td>
<td>P-20</td>
</tr>
<tr>
<td>Computer Hardware and Software Acquisition</td>
<td>F-7.5</td>
<td>Removal of wording concerning list of recommended equipment.</td>
<td>P-21</td>
</tr>
<tr>
<td>Computer Replacement Policy</td>
<td>NEW</td>
<td>Newly written policy.</td>
<td>P-23</td>
</tr>
<tr>
<td>Contracting Authority</td>
<td>C-9</td>
<td>Raised threshold for contracts needing approval by Board of Regents from $50,000 to $100,000. Records maintenance clarified. Raised threshold from $50,000 to $100,000 for contracts President can delegate.</td>
<td>P-25</td>
</tr>
<tr>
<td>Distribution of SFA Alumni Foundation Scholarships</td>
<td>C-51</td>
<td>Added shared responsibility with Alumni Foundation. Converted to use of campus identification number. Deadline is May 20 for notification of award. Changed titles.</td>
<td>P-28</td>
</tr>
<tr>
<td>Faculty/Staff ID Cards</td>
<td>F-13</td>
<td>Clarified process for obtaining card.</td>
<td>P-30</td>
</tr>
<tr>
<td>File Maintenance for Faculty Personnel Files</td>
<td>A-60</td>
<td>Major rewrite.</td>
<td>P-31</td>
</tr>
<tr>
<td>Food, Drink and Tobacco</td>
<td>B-8</td>
<td>Limited consumption of food or beverages allowed in public areas of Steen Library.</td>
<td>P-34</td>
</tr>
<tr>
<td>Grade Reporting</td>
<td>A-41</td>
<td>Updated university subdivision names. Removed requirement for written permission of student to post grades. Deleted telephone access to grades.</td>
<td>P-35</td>
</tr>
<tr>
<td>Policy Name</td>
<td>Policy Number</td>
<td>Major Action/Change</td>
<td>Page Number</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>----------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td>Graduate Assistantships</td>
<td>A-20</td>
<td>Removal of criteria for research or teaching. Updated university subdivision names. Does not require approval of dean.</td>
<td>P-36</td>
</tr>
<tr>
<td>Honorary Degree</td>
<td>D-18</td>
<td>Reviewed with no changes except updating policy format.</td>
<td>P-37</td>
</tr>
<tr>
<td>Indirect Costs Distribution</td>
<td>A-51</td>
<td>Major rewrite with policy title change.</td>
<td>P-38</td>
</tr>
<tr>
<td>Instructor-generated Materials</td>
<td>A-22.1</td>
<td>Deleted requirement that materials be approved by faculty committee. Other minor wording changes.</td>
<td>P-40</td>
</tr>
<tr>
<td>Intellectual Property</td>
<td>D-20</td>
<td>Minor wording changes. Changed form of copyright notice. Disclosures sent to Dean and General Counsel. Trademark licensing inquiries go to Director of Athletics/General Counsel. Patents must be filed in university’s name.</td>
<td>P-42</td>
</tr>
<tr>
<td>Interlibrary Loan</td>
<td>A-23</td>
<td>Major rewrite including change in policy title.</td>
<td>P-52</td>
</tr>
<tr>
<td>Investments</td>
<td>C-41</td>
<td>Major rewrite.</td>
<td>P-54</td>
</tr>
<tr>
<td>Investments: Endowment Funds</td>
<td>C-41.A</td>
<td>Major rewrite.</td>
<td>P-65</td>
</tr>
<tr>
<td>Issuance and Control of Campus Keys</td>
<td>B-15</td>
<td>Updated titles.</td>
<td>P-74</td>
</tr>
<tr>
<td>Library Lending</td>
<td>A-26</td>
<td>Changed policy title. A unique id number must be used to obtain card. Library accepts TexShare cards. Deleted reference to materials recall for reserve placement. Deleted Library Delivery Service for a fee.</td>
<td>P-76</td>
</tr>
<tr>
<td>Markers and Monuments</td>
<td>D-47</td>
<td>Renumbered items. Updated titles.</td>
<td>P-77</td>
</tr>
<tr>
<td>Meeting and Conducting Classes</td>
<td>A-31</td>
<td>Updated titles.</td>
<td>P-79</td>
</tr>
<tr>
<td>Monthly Calendar</td>
<td>F-19</td>
<td>Departments are requested to provide list of activities on Calendar of Events form. Updated titles.</td>
<td>P-80</td>
</tr>
<tr>
<td>News Releases</td>
<td>F-20</td>
<td>Major rewrite.</td>
<td>P-81</td>
</tr>
<tr>
<td>Norton.HPE Complex</td>
<td>B-20</td>
<td>Major rewrite.</td>
<td>P-83</td>
</tr>
<tr>
<td>Off-Air Recording of Broadcasts for Education Use</td>
<td>A-33</td>
<td>Policy title changed. Wording concerning application of policy rearranged for emphasis.</td>
<td>P-85</td>
</tr>
<tr>
<td>Policy Name</td>
<td>Policy Number</td>
<td>Major Action/Change</td>
<td>Page Number</td>
</tr>
<tr>
<td>------------------------------------</td>
<td>---------------</td>
<td>------------------------------------------------------------------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td>Out-of-State Travel/Study</td>
<td>A-36</td>
<td>Streamlined the approval process. Deposits will be made to university instead of Division of Continuing Education. Instructor's salary will be paid from appropriate college. Corrected THECB references.</td>
<td>P-87</td>
</tr>
<tr>
<td>Photographic Reprints</td>
<td>F-22</td>
<td>Contact Office of Public Affairs for fees. Updated titles.</td>
<td>P-91</td>
</tr>
<tr>
<td>Printing Services</td>
<td>F-23</td>
<td>Major rewrite.</td>
<td>P-92</td>
</tr>
<tr>
<td>Procurement Card</td>
<td>C-44</td>
<td>Major rewrite.</td>
<td>P-94</td>
</tr>
<tr>
<td>Public/Student Health</td>
<td>D-26</td>
<td>Updated title. Ad hoc committees can be formed to address unusual issues.</td>
<td>P-99</td>
</tr>
<tr>
<td>Purchase Voucher</td>
<td>C-31</td>
<td>No voucher required for overnight mail service if using PD vendor contract.</td>
<td>P-100</td>
</tr>
<tr>
<td>Return to Work</td>
<td>E-62</td>
<td>Minor wording changed and title updated.</td>
<td>P-102</td>
</tr>
<tr>
<td>Satisfactory Academic Progress for Financial Aid Recipients</td>
<td>A-40</td>
<td>W's, F's, and QF's will be checked after each semester. MSW/Coun added. Updated titles.</td>
<td>P-104</td>
</tr>
<tr>
<td>Scholarship Disbursement</td>
<td>F-24</td>
<td>Corrected legal reference. Minor wording changed. Funds might be repaid if student no longer meets criteria.</td>
<td>P-107</td>
</tr>
<tr>
<td>Student Fiscal Appeals</td>
<td>New</td>
<td>Newly written policy.</td>
<td>P-109</td>
</tr>
<tr>
<td>Temporary Employment</td>
<td>E-49</td>
<td>Major rewrite.</td>
<td>P-111</td>
</tr>
<tr>
<td>University Letterhead</td>
<td>D-37</td>
<td>Minor wording changed. Updated titles.</td>
<td>P-113</td>
</tr>
<tr>
<td>University Publications</td>
<td>D-39</td>
<td>Major rewrite.</td>
<td>P-114</td>
</tr>
<tr>
<td>Use of University Facilities</td>
<td>B-1</td>
<td>Updated names and titles.</td>
<td>P-116</td>
</tr>
<tr>
<td>Voluntary Modification of Employment</td>
<td>E-54.1</td>
<td>Policy deleted.</td>
<td>P-124</td>
</tr>
<tr>
<td>Work Requests</td>
<td>B-52</td>
<td>Updated titles.</td>
<td>P-128</td>
</tr>
<tr>
<td>Workers Compensation Coverage</td>
<td>E-55</td>
<td>Updated names and titles.</td>
<td>P-130</td>
</tr>
</tbody>
</table>
Access to Secure Computing Facilities (F-32)

Original Implementation: July 14, 1998
Last Revision: January 30, 2007

A secure environment must be maintained for all central computer systems managed by Information Technology Services (ITS). To that end, physical access to all central facilities must be strictly regulated. The process of regulating access will include, but is not limited to, setting guidelines for personnel that will be allowed access, monitoring the physical area for access violations and reporting any suspected violations to the appropriate authorities.

Secure computing facilities at the Boynton Computer Center will be defined as the Boynton Computer Center Machine Room and the adjoining hallway between the east and west entrances to this area containing the report distribution lock boxes.

Guidelines for Access to Secure Facilities

Types of Access Allowed

Full Access — The individual will be given keys, door codes, card swipe access, and alarm codes for access to the Boynton Computer Center Machine Room and may enter the facility at will.

Limited Access — The individual can be let in to the facility to perform designated tasks that require access to the Boynton Computer Center Machine Room.

Escorted Access - Individual(s) can enter the Boynton Computer Center Machine room only under continuous escort by Operations or Technical Support Staff.

Report Access — The individual can be granted swipe card access to the hallway containing the lock boxes, or they can be let in by ITS operations personnel.

Criteria Determining Access

Full Access

To be granted full access to secure computing facilities, an individual must meet all the following criteria:

- A regular, recurring need for unimpeded access to equipment located within the machine room 24 hours a day, 7 days a week.
- Must be employed by Information Technology Services in the Operations or Technical Support Areas, or Director of ITS.

Limited Access
To be granted limited access to secure computing facilities, an individual must meet all the following criteria:

- An occasional or intermittent need for access to secure computing facilities to perform scheduled maintenance to equipment located within the machine room.
- A member of the Operations or Technical Support Staff can give the individual access to the secure area.
- The individual must be employed by the University.

**Escorted Access**

To be granted escorted access to secure computing facilities, an individual must meet some or all of the following criteria:

- Member of a tour group.
- A contractor or maintenance person not employed by the University that must perform maintenance, installation, construction, de-installation, or other well-defined task that requires access to the secure area.
- A member of the Operations or Technical Support Staff must accompany the individual(s) without interruption during the duration of the individual’s stay in the secure area.

**Report Access**

To be granted report access to the hallway, an individual must meet all of the following criteria:

- The individual must be employed by the University.
- The individual is responsible for retrieving output generated in the computer center on a regular basis.

**General Guidelines for Monitoring Access to Secure Facilities**

Monitoring of the secure computing facilities shall be carried out by the Operations and Technical Support Staff employed by Information Technology Services. Operations and Technical Support staff should conduct regular walkthroughs of the facility while on duty. All ITS staff members are encouraged to report any activity they even remotely regard as suspicious or hostile to a member of the Operations or Technical Support Staff. Access to the machine rooms will be logged. All individuals granted limited access or escorted access to the machine rooms will sign in on a log provided at the door. *All entrances and exits are being video recorded.*

Loud or disruptive behavior will not be tolerated in secure areas of the Computer Center. Such behavior detracts from the security monitoring process as well as distracting personnel performing complex tasks in these areas. Individuals or groups engaging in this
type of behavior will be asked to leave the area at once; individuals refusing to comply will face disciplinary action. The University Police Department can be engaged in enforcing this policy if the situation warrants.

### Times of Access to Secure Area

*At all times the hallway doors are locked via magnetic locks. Access to the hallway is logged when access is granted by the card swipe or proximity card reader.*

- **Business Hours** - During the hours of 7 AM - 6 PM, Monday through Friday excluding holidays, the East and West Entrances to the secure area will be unlocked and open providing access to the hallway adjoining the Computer Center Machine Room for Faculty/Staff access. Grant access via the magnetic card readers to individuals with Full Access, Limited Access, and Report Access. In addition, the East entrance to the Boynton Building at the corner of Aikman and East College will be unlocked during this same period. During these periods, Operations and Technical Support Staff will regularly check that the doors to the machine room are closed and locked, and that no unauthorized individuals are in the Machine Room.

- **Off Hours** - During the hours of 6 PM—7 AM, seven days a week, the East and West Entrances to the secure area will be closed and locked. Any time other than normal business hours, access to the secure area is only permitted to individuals with Full Access. In addition, the East entrance to the Boynton Building at the corner of Aikman and East College will be closed and locked. During these periods, Operations and Technical Support on-duty staff will regularly check that all entrances to the secure area are properly closed and locked and that no unauthorized personnel are within the secure area. At any time that on-duty personnel have to leave the secure area during off-hours, no matter how brief, the alarm/security system that protects this area is to be engaged and it will be physically confirmed by the individual that all doors are locked and the bolts to these doors are properly engaged.

### Guidelines for Reporting Suspected Violations

During normal business hours, the person discovering an access violation will immediately report it to the Director of ITS or the Manager of Technical Support. Assistant Director of ITS. The University Police Department (UPD) will then be notified at once by one of these individuals. In the event the Director of ITS or Assistant Director of ITS, the Manager of Technical Support are not available, the person discovering the violation should immediately contact UPD directly.

During off-hours, the on-duty Operations staff should immediately contact University Police at once and request assistance. Operations staff should then call the Manager of Technical Support. Assistant Director of ITS and report the situation. The Manager of Technical Support, Assistant Director can then assess the situation and advise the Director of ITS and others as needed. In the absence of the Manager of Technical Support,
Assistant Director, the Systems Programmers or the Operations Manager may be called to initiate action.

At any time one of the contacts can initiate the disaster recovery plan if the situation includes damage or potential further damage to the computer center that would impact normal operations. Under no circumstances should a staff member confront individual(s) committing an access violation that might even remotely be considered a threat. Staff should move to a safe location and call University Police at once. The Department of Audit Services is to be notified in writing of any access violation within 24 hours.

Source of Authority: Vice President for Business Affairs

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Information Technology Services

Forms: None
Add/Drop (A-5)

Original Implementation: April 27, 1986
Last Revision: January 28, 2003 January 30, 2007

Students may add courses through the 2nd class day during the summer semesters and through the 4th class day during the fall or spring semesters. Academic Department Chairs/Directors may reconcile class schedules through the official reporting date. Students may drop classes through five working days past mid-semester or mid-session as applicable. A student will not be allowed to drop a course after these dates, unless he or she withdraws from the University.

The following applies:

1. Through the official reporting date, withdrawals or a course dropped will not be recorded on a student's transcript.

2. After the official reporting date through five working days past mid-term for full semester courses or mid-session for partial semester courses, a drop, as well as a withdrawal, will be noted as a "W" on the transcript. At that time, the student's withdrawal will be reflected on the student information system.

3. If a student has been found guilty of cheating/plagiarism according to policy A-9.1, Cheating and Plagiarism, the grade of "W" may be changed to "WF" at the discretion of the faculty member involved.

4. Beginning on the sixth working day after mid-term for full semester courses or mid-session for partial semester courses, a drop will not be permitted unless the student withdraws from all courses for the term. This withdrawal will be noted on the transcript as a "WP" if the student is passing at the time or a "WF" if the student is failing at the time.

Source of Authority: Provost and Vice President for Academic Affairs

Cross Reference: General Bulletin, Graduate Bulletin, Schedule of Classes

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Registrar

Forms: None
**Allocation of Information Technology Resources (F-39)**

Original Implementation: October 31, 2000
Last Revision: None January 30, 2007

**RESOURCE ALLOCATION**

The allocation of Information Technology Resources is consistent with the University’s strategic plan as submitted to the State of Texas Legislative Budgeting Office Board every biennium. Within the strategic plan is a separate appendix for Information Resource (IR) goals and objectives, and action items for the next five years. These items are updated every biennium and are consistent with the institution’s purpose and goals.

Three organizational entities are primarily responsible for executing the IR Strategic Plan: Information Technology Services (ITS), Office of Instructional Technology (OIT), and the University Library. These three entities provide central IR services for the campus. The following chart displays the organization and functional responsibilities for these IR services.

| LIBRARY: Campus-University Webmaster Commercial Electronic Information Resources Instructional Research Support Faculty Research Support Distance Learning Library Coordination (including Internet) Electronic Resource-Based Instruction Records Retention Management Student Help Desk Test Grading | INSTRUCTIONAL TECHNOLOGY: Coordination of Distance Education Distributed Learning Environments Technology Research and Development Faculty Training/Consultation | INFORMATION TECHNOLOGY SERVICES: University INFORMATION SYSTEMS: Help Desk (Faculty, Staff, and Students) Personal Computer Repair (Faculty, Staff, and Students) Administrative Application Systems, Telecommunications - Telephone Service, Local and Wide-Area (Voice) Networks, Internet and Internet2 service, University Portal (mySFA), E-mail Serviceing (Data and Video) Central Host Systems |

The remaining IR responsibility lies primarily with the seven-six academic colleges and respective deans. Each college is responsible for offering state-of-the-art computer labs and faculty desktop computing and for providing technical support for hardware and software resources.
Allocation of information technology resources is aligned with implementation of institutional goals, objectives, and strategies.

The following table summarizes the physical electronic environment consisting of SFA hardware platforms, operating systems and database management systems:

### SFA Platforms, Systems and Telecommunications

<table>
<thead>
<tr>
<th>Category</th>
<th>Type</th>
<th>Operating System</th>
<th>Database Management System</th>
<th>Capacity/Size/Count</th>
<th>Comments/Descriptive Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mainframe</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Minicomputer</td>
<td>DEC ALPH A-SGI</td>
<td>VMS Unix</td>
<td>None</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>LAN-Servers (Central)</td>
<td>PC, Mac</td>
<td>NT, SYS7</td>
<td>SQL</td>
<td>35</td>
<td></td>
</tr>
<tr>
<td>LAN-Servers (Remote)</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>LAN Client/Workstations (Central)</td>
<td>PC, Mac</td>
<td>WIN95, SYS7</td>
<td>N/A</td>
<td>3500</td>
<td>65% PC, 35% Mac</td>
</tr>
<tr>
<td>LAN Client/Workstations (Remote)</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>WAN-Servers</td>
<td>Mail, Web, DNS Servers, Etc.</td>
<td>UNIX NT FMS</td>
<td>N/A</td>
<td>60</td>
<td></td>
</tr>
<tr>
<td>Standalone PC Workstations</td>
<td>PC, Mac</td>
<td>DOS, WIN31, MAC OS</td>
<td>N/A</td>
<td>20</td>
<td>5-Mac, 15-PC</td>
</tr>
<tr>
<td>Internet-Service Provider</td>
<td>Vendor</td>
<td>N/A</td>
<td>N/A</td>
<td>VERIO</td>
<td></td>
</tr>
<tr>
<td>Shared Network</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td></td>
</tr>
</tbody>
</table>

**Source of Authority:** President

**Cross Reference:** None
**Responsible for Implementation:** President

**Contact for Revision:** Vice President for Business Affairs, Director, Information Technology Services; Director, Office of Instructional Technology; Dean of Libraries

**Forms for Implementation:** None
Best Value Procurement (C-7)

Original Implementation: January, 1988

PROCUREMENT PROCESSES

Stephen F. Austin State University makes purchases, not otherwise delegated through Policy C-10 Delegated Purchasing Authority, on a best value basis through any of the following processes. All procurement processes require Board of Regents approval as per Policy D-20.5 Items Requiring Board of Regents Approval. HUB Subcontracting Plan requirements apply in accordance with University Policy C-16.5 Historically Underutilized Businesses and state law.

A. All purchases completed with state funds must first consider making the purchase from Texas Industries for the Blind and Handicapped (TIBH) as mandated by the state Education Code 51.9335 to promote the purchase of goods or services from persons with disabilities.

B. Purchases $0 - $5000 are to be negotiated to achieve the best value for the University.

C. The University may purchase goods or services through competitive sealed bid procedures with the following limits established for solicitations minimum bidder requirements: A justification must be included in the order file if these minimums are not met.

a. $0 - $5000 Printing — Requires 2 bids when using state funds

b. $0 - $5000 All other products and services — Contract negotiation of best value
e1. $5000.01 - $24,999.99 — Minimum 3 informal bids required; minimum 50% HUB vendors including one woman-owned and one minority-owned

d2. $25,000 - $49,999.99 and greater — Minimum 5 formal bids required; minimum 50% HUB vendors including one woman-owned and one minority-owned; Texas Marketplace Electronic State Business Daily posting required, unless Purchasing determines that no value is added by the posting.

e. $50,000 - $99,999.99 — Minimum 5 formal bids required; minimum 50% HUB vendors including one woman-owned and one minority-owned; Board of Regents approval required; Texas Marketplace posting required.

f. $100,000 and greater — Minimum 5 formal bids required; minimum 50% HUB vendors including one woman-owned and one minority-owned; HUB Subcontracting Plan required; Board of Regents approval required; Texas Marketplace posting required.
In determining best value for Competitive Sealed Bids, the University shall consider best value factors identified in Education Code 51.9335.

D. The University may purchase goods or services through the process established in Government Code, Title 10, Subtitle D, Subchapter C, Section 2156 for the acquisition of goods and services by competitive sealed proposals through the competitive sealed proposal process outlined in the Purchasing Department RFP Manual and TBPC Contract Management Guide.

a. All competitive sealed proposals shall include an appropriate number of solicitations to be determined by the Purchasing Department, including HUB vendors of any gender and ethnicity when identified as providing the good or service identified. Electronic State Business Daily posting required, unless Purchasing determines that no value is added by the posting.

b. $25,000—$49,999.99—Texas Marketplace posting required
c. $50,000—$99,999.99—Board of Regents approval required; Texas Marketplace posting required
d. $100,000 and greater—HUB Subcontracting Plan required; Board of Regents approval required; Texas Marketplace posting required

E. The University may purchase goods or services through the process established in Government Code, Title 10, Subtitle D, Subchapter C, Section Chapter 2157 for the acquisition of automated information systems goods and services by the catalog purchase procedure. Use of this procedure requires the award be made to a Catalog Information Systems Vendor (CISV) as identified by the TBPC.

a. $0—$2000—Contract negotiation of best value

b. $2000.01—$24,999.99—Minimum 3 informal price comparisons required; minimum 50% HUB vendors including one woman-owned and one minority-owned
c. $25,000—$49,999.99—Minimum 5 formal price comparisons required; minimum 50% HUB vendors including one woman-owned and one minority-owned; Texas Marketplace posting required.
d. $50,000—$99,999.99—Minimum 5 formal price comparisons required; minimum 50% HUB vendors including one woman-owned and one minority-owned; Board of Regents approval required; Texas Marketplace posting required.
e. $100,000 and greater—Minimum 5 formal price comparisons required; minimum 50% HUB vendors including one woman-owned and one minority-owned; HUB Subcontracting Plan required; Board of Regents approval required; Texas Marketplace posting required.
f. $0—Up—Catalog purchases may be made directly from a CISV without price comparisons when such purchase is the best value available and is in the state's best interest. HUB Subcontracting Plan and Board of Regents approval requirements still apply based on the dollar amounts above.

F. The University may purchase goods or services through group purchasing programs.

a. $50,000—$99,999.99—Board of Regents approval required

b. $100,000 and greater—HUB Subcontracting Plan required; Board of Regents approval required.

The University may purchase goods or services through the open market procedure established in Government Code, Title 10, Subtitle D, Subchapter C, Chapter 2155.082.

G. The University may purchase goods or services through State of Texas Term Contracts, State of Texas Multiple Award Schedules, and DIR/Tex-An Contracts.

H. The University may purchase goods or services through reverse auctions.

I. The University may purchase goods or services through other state agency contracts when such contracts are available and have followed approved purchasing processes.

EMERGENCY PURCHASES

J. The University may purchase goods or services on an emergency basis. An emergency purchase is defined as the purchase of goods or services that are so badly needed that the agency will suffer financial or operational damage if they are not secured immediately. A procurement may be declared an emergency at the buyer's discretion in consultation with the end user and upon approval by the Director of Purchasing. Declaration of an emergency supercedes all other best value procurement rules. The University will attempt to obtain bids, price comparisons or proposals when sufficient time exists by utilizing the most effective procurement process, including the Electronic State Business Daily, when value is added by using such processes.

a. $5000.01 and greater—obtain bids, price comparisons or proposals when sufficient time exists utilizing the most effective procurement process.

b. $25,000 and greater—Texas Marketplace posting required if bids, price comparisons or proposals are solicited as noted above and if the buyer determines that value would be added by utilizing the Texas Marketplace.
EXEMPT PURCHASES

The following purchases are exempt from best value procurement processes. Submission of a purchase requisition, purchase voucher, or and other rules may apply.

(1) Classified Advertising

(2) Hotels and Conference Rooms

(3) Conference Expense; expenses related to conference room services such as audio/visual/network and food services. (does not include goods purchased for attendees or transportation services.)

(4) Moving Expenses (employee) — See Policy C-21 Moving Expenses

(5) Student Travel; expenses related to student travel

(6) Library materials for Stephen F. Austin State University Libraries, in accordance with Gov't Code 2155.139, when such exemption represents the best value to the University

(7) Membership fees and dues

(8) Newspaper and magazine subscriptions, books, videos and software direct from the publisher

(9) Freight

(10) Intra-agency payments

(11) Rental of exhibit space; i.e., booths for display purposes

(12) Items for resale

(13) Internal Repairs

(14) Purchases from Federal agencies

(15) Utilities, other than electricity for which SFA chose to opt into deregulation

(16) Goods and services for the Early Childhood Lab, Beef Farm, Poultry Farm, Broiler Houses, and Swine Farm when the purchase directly affects operations and such exemption represents the best value to the University

(17) Group Travel; expenses related to group travel when such group travel includes non-University persons and is funded by payment from individual travelers; i.e., Art Tour
Appendix 5

(18) Prizes and Award for students, employees and non-University individuals

(19) Accreditation Fees

(20) Tournament Fees or Game Guarantees

(21) Licensing Fees or Permits

(22) Employee Registration or Tuition

BEST VALUE DETERMINATION

In determining best value for all procurement processes except Catalog Purchase Procedure, the University shall consider best value factors identified in Education Code 51.9335.

In determining best value for Catalog Purchase Procedures, the University shall consider best value factors identified in Government Code 2157.003.

COMPETITIVE SEALED BID SUBMISSION, BID OPENING, AND TABULATION

Bid Submission

(1) Prospective bidders may request specific bid invitations from the Purchasing Department at any time prior to the bid opening;

(2) A bidder may withdraw its bid by written request at any time prior to the bid opening date and hour;

(3) A bid received after the time and date established by the bid invitation is a late bid and will not be considered;

(4) A bid received which does not contain adequate bid identification information on the outside of the envelope will be opened to obtain such information and will then be processed as any other bid. If the incorrect information on the envelope causes the bid not to be considered in making an award, the bid will be considered invalid and rejected;

(5) Bids may be submitted by telefacsimile (fax). The telephone number for fax bid submission will be identified in the solicitation; no other number may be used for bid submission. Bids submitted by fax need not be confirmed in writing, but must comply with all legal requirements applicable to formal bids. If all or any portion of a bid submitted by fax is received late, is illegible, or is otherwise rendered non-responsive due to equipment failure or operator error, the bid or the applicable portion of the bid will not be considered. The university shall not be liable for equipment failure or operator error,
nor will such failure or error require other bids to be rejected or the bid invitation to be re-advertised.

(6) An unsigned bid is not valid and will be disqualified;

(7) A bidder or department may request, in person at the bid opening, that bids be read aloud. No bid shall be required to be read aloud at any time other than during regular working hours and days;

(8) When formal bids are required, bids may not be taken or accepted by telephone;

(9) If an error is discovered in a bid invitation, or agency departmental requirements change prior to the opening of a bid, the Purchasing Department will transmit an addendum correcting or changing the specifications to all bidders originally listed on the transmission list for that bid invitation. Bids will not be rejected for failure to return the addendum with the bid, unless otherwise noted, if the receipt of the addendum is acknowledged on the face of the bid.

**Bid opening and tabulation.**

(1) All bid openings conducted by the Purchasing Department shall be open to the public.

(2) Bid opening dates may be changed and bid openings rescheduled if bidders are properly notified in advance of the opening date.

(3) If a bid opening is canceled, all bids which are being held for opening will be returned to the bidders.

(4) All bid tabulation files are available for public inspection. Bid tabulations may be reviewed by any interested person during regular working hours at the offices of the Purchasing Department. Employees of the university are not required to give bid tabulation information by telephone.

**Source of Authority:** Texas Education Code, Chapter 51.9335; President; Vice President for Business Affairs

**Cross References:** Policy D-20.5 Items Requiring Board of Regents Approval; Policy C-16.5 Historically Underutilized Businesses; Policy C-10 Delegated Purchasing Authority

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

**Contact for Revision:** Director of Purchasing and Inventory/HUB Coordinator

**Forms:** None, *Purchase Requisition, Purchase Voucher*
Telephone-Communication Services (F-29)

Original Implementation: December 8, 1987

Information Technology Services (Telecommunications and Networking) is responsible for the administration of University telephone communication services. These services consist of the installation, maintenance, and operation of the University owned telephone switch, connective infrastructure, associated services, cellular services, and all outside telephone lines connecting to SFA locations and billing.

All telephone services exist primarily for the daily conduct and transaction of official University business (except for student dorm telephones and campus pay phones). Personal local calls may be made but should be minimized. Personal toll calls must be charged to home telephones, personal telephone calling cards, or reimbursed to the department. Reimbursements for personal calls on a University cellular telephone should be coordinated with the department head (or account custodian). It is the responsibility of the department head (or account custodian) to review all telephone bills to ensure compliance with the usage policy.

All charges for telephone services, including campus telephone lines, 800 numbers, long distance calls (long distance access codes), and cellular telephones remain the responsibility of the department head (or account custodian) until written notification is received by the Assistant Director of Telecommunications and Networking for their discontinuance.

EQUIPMENT INSTALLATION/RELOCATION/ALTERATION and REPAIR

Requests for installation, relocation, alteration, or repair of telephone equipment should be submitted to the University Switchboard Operator by dialing 0, or to the Help Desk at extension 1212 or via the web at https://forms.sfasu.edu/its/computer_help.html. The request must include the service requested or the nature of the problem, telephone number of the affected equipment, building and room number, department account number, and telephone number and name of a contact person. A work order will be issued, and upon completion, the account will be charged by IDT if appropriate.

LONG DISTANCE ACCESS CODE

Requests for long distance access codes should be submitted from the department head (or account custodian) to the Assistant Director of Telecommunications and Networking. The request should include the requesting individual's name, social security number, Campus ID number, and department account number. Requests for multiple long distance access codes (for charging to more than one account number) may be included on a single memorandum. However, full information must be provided for each access code requested.
CELLULAR TELEPHONE SERVICE

Requests for all cellular telephone services (including Blackberry, PDA data services, etc.) should be submitted by using the appropriate form from the department head (or account custodian) to the President of the University. The form is available from Telecommunications and Networking (extension 6626). The request must include the name of the primary user (or responsible person), department account number, type of cellular telephone desired, and extra equipment (spare battery, charger, carrying case, cigarette lighter connection, etc.). The department account will be charged by IDT for initial telephone equipment acquisition, and subsequent monthly usage charges. Due to the nature of cellular telephone equipment and usage areas, it is strongly recommended that telephone contact with Telecommunications and Networking (extension 6626) be conducted prior to request submission.

800 TELEPHONE NUMBERS

Requests for 800 telephone numbers should be submitted from the department head (or account custodian) to the Assistant Director of Telecommunications and Networking. The memorandum must include the purpose of the 800 service, department account number, existing telephone number (ring extension) where the 800 number will ring, directory listing information (if appropriate), and name and telephone number of a contact person. A work request will be initiated for the requested 800 service. A lead time of approximately four (4) weeks is required. The department account will be charged by IDT for initial installation charges (if appropriate), and subsequent monthly usage charges. Discontinuance of the 800 service or changes to the ring extension require a memorandum from the department head (or account custodian) to the Assistant Director of Telecommunications and Networking.

Source of Authority: President

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Assistant Director of Telecommunications and Networking

Forms: Cellular Request Form (available from Telecommunications and Networking)
Computer Equipment Purchases (C-8)

Original Implementation: December 8, 1987

The term "computer-related items" as used in this policy refers to computer-related hardware, software and services. Purchases of computer-related items should be approved through the appropriate administrative channels.

It is the responsibility of the department head/account manager to have sufficient knowledge of the purchasing procedures required by the State of Texas University for computer-related items when initiating such purchases and to seek the assistance of the Director of Information Technology Services and the Director of Purchasing as needed. Although users are responsible for such purchasing decisions, Personnel in the computer center Information Technology Services department are available for consultation and can help to determine the feasibility of proposed acquisitions as each relates to consistency with the University's long range computing plan and with campus computing resource capabilities, and their effective interface/function with existing campus networks.

As needed, the Purchasing Department will provide the Director of Information Technology Services with a copy of the purchase of computer-related items. This will assist the Director in the preparation of computing reports required by the State of Texas on a regular basis.

Source of Authority: President

Cross Reference : None

Responsible for Implementation: President

Contact for Revision: Director of Information Technology Services

Forms: None
Computer Hardware and Software Acquisition (F-7.5)

Original Implementation: January 30, 1996
Last Revision: February 4, 2004; January 30, 2007

Scope and Purpose

Stephen F. Austin State University seeks to provide a coherent computing environment for the benefit of faculty, students, and staff so that needed information can be shared over the campus network structure and so that equipment and software acquired can be effectively and efficiently maintained and managed.

This policy provides guidance for the acquisition of desktop computers, applications software and related technology through creation of a list of recommended equipment and software. Specific items are suggested for acquisition and the levels and types of support that can be provided for them are enumerated. Information is also provided on connecting to the campus network for the purpose of accessing various campus resources, e.g., student and financial records and university library databases.

It is not the intent of this policy to restrict departments' ability to purchase specific computing resources, only to provide guidance in selecting equipment which will maximize their potential for utilizing campus services and computing resources support.

Equipment and Software

Equipment and software are recommended based on the following criteria:

- Suitability for campus-wide use
- Performance
- Campus network connectivity
- Ease of maintenance
- Cost
- Site licensing availability

Current recommended equipment and software information is available from the Purchasing Department or ITS Networking and Telecommunications.

Support Limitations

Departments purchasing the recommended equipment and/or software may expect to receive important types and levels of support for the items; acquired as specified on the
therefore, departments are strongly advised to obtain current information before finalizing purchasing decisions. Departments which purchase equipment or software outside those recommended assume the liability for maintenance, licensing, and other support issues.

**Additional Information**

Departments wanting further information and advice or whose needs cannot be met from the current recommended equipment and software are urged to contact the Computing Help Desk, ext. 1212.

**Information Resources Operating Plan Requirements**

Current legislation and associated State Department of Information Resources (DIR) rules require that SFASU file an agency Information Resources Operating Plan each biennium. Major information resources purchases must be identified in this plan and approved by DIR before purchases may be made. The Director of Information Technology Services is responsible for all DIR plan approvals. Amendments to the Operating Plan may require 30 days or more for DIR approval and, if not filed and approved in advance, may delay the acquisition accordingly.

**Role of the Purchasing Office**

Purchases must comply with all University and State Purchasing requirements and procedures.

**Source of Authority:** Vice President for Business Affairs

**Cross Reference:** None

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

**Contact for Revision:** Director of Information Technology Services

**Forms:** None
Computer Replacement Policy (NEW)

Original Implementation: January 30, 2007
Last Revision: None

Purpose

To establish a policy for replacing University personal computers on a regular basis. This policy complies with standards issued by the Texas Department of Information Resources (DIR).

Provisions

1. The University will replace computers on a four-year cycle. Both desktop and laptop computers are included wherever they may be used – office, classrooms, and laboratory. Organizational units are encouraged to replace monitors and speakers less frequently than every four years.

2. Base hardware configurations for desktop CPU units and laptop / tablet computers will be specified. The University’s goal is to provide computers that will perform robustly over their life-cycle. These configurations will constitute the minimally acceptable computers for all purchases. No personal computers with hardware capabilities less than the base configurations may be purchased regardless of source of funds. The configurations of the base machines will be reviewed at least annually.

3. The base hardware configurations will be the basis for best value negotiations with prospective vendors. Apple Computer is the sole source for Macintosh computers. The suitability of the vendors will be reviewed at least annually.

4. Replacement computers will be ordered from the preferred vendors. In most cases, a base machine will be satisfactory. The University will bear the cost of the least expensive base machine. Additional costs, including those for enhancements beyond a base hardware configuration, will be borne by the organizational unit.

5. If the computers being replaced are high performance workstations, the capabilities and hardware specifications of the workstations must be superior to the base configurations. The University will meet the costs up to the dollar equivalent of the least expensive base machine. Additional costs will be borne by the organizational unit.

6. Computers purchased using funds from external grants are excluded from being replaced under this replacement policy during the award period of the grant. After the termination of the grant, the computers will be placed in the replacement cycle.
Cross Reference: General Appropriations Act, 79th Legislature, Senate Bill 1, Regular Session, Article IX, Sec. 9.04; SFA Policy B-24, Property Transfer and Disposal

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Purchasing; Director of Information Technology Services
Contracting Authority (C-9)

Original Implementation: July 18, 1988
Last Revision: October 14, 2004 January 30, 2007

This policy governs the authority to enter and make contracts, purchases, and agreements of any character on behalf of Stephen F. Austin State University.

1. No member of the Board of Regents shall enter into the discussion, make motions, or vote on a contract, purchase, or agreement of any character in which the member directly or indirectly has pecuniary interest unless the General Counsel has advised that there is a legally permitted exception to this rule with the Regent making the appropriate public disclosures.

2. The following items shall be submitted to the Board of Regents for approval at either a regular Board meeting or a special called Board meeting. Each item shall be presented to the Board for consideration. The General Counsel shall review all contracts and agreements prior to signature.

   a. Construction contracts in the amount of $50,000,000 or more

      1) Architect-Engineer selections

      2) Authority to submit the proposal to the Coordinating Board if the estimated cost (including all cost) is at least $1,000,000 for new construction, $2,000,000 for renovation, or as otherwise required under law

      3) Construction contract awards

      4) Change orders that would increase the cost of the project beyond the amount of the approved budget

   b. Contracts, purchases, and agreements in the amount of $5100,000 or more, whether the amount is income or expenditure with the exception of:

      1) Private, governmental, and foundation grants or agreements in which the donor or agency stipulates the purpose for which the funds are to be expended

      2) Materials purchased for resale in auxiliary operations and in central supply

      3) Materials purchased for normal inventory stock for the physical plant operation

      4) Materials purchased for normal inventory stock from operation and maintenance budgets previously approved by the Board
5) Maintenance service contracts on elevators, computers, office equipment, chillers, and water treatment services

6) Library subscription services

7) Recurring printing orders

8) Contracts and agreements for athletic events, entertainment concerts, Fine Arts events, and other similar activities

9) Group travel packages for resale to students, faculty and staff, and other similar activities

10) Materials or services purchased for emergencies resulting from disasters, hazards, and other exigent circumstances

c. Leases of one (1) year or more, including equipment, involving expected aggregate payments exceeding $5100,000

d. Purchase, sale or exchange of real property

e. Depository contracts

f. Food services contracts or service contracts for similar University activities

g. Architect-Engineer contracts required for projects specified under Subsection 2.a.1.

h. Contracts and agreements with support or development foundations

i. Employment of administrative officers, faculty, and non-classified employees

j. Changes of position status of administrative officers, faculty, and non-classified employees

k. Dual employment of administrative officers, faculty, and non-classified employees

l. Leaves of absence for one (1) semester or more

2m. Settlements, consent decrees, and similar actions in litigation (Executive session only, does not require Board action for approval.)

3n. The President shall be delegated the responsibility and authority to enter into contracts, purchases, and agreements for sums less than $5100,000, whether the amount is income or expenditure, and to enter into all grants and agreements funded by private individuals, governmental agencies, and foundations without regard to the amount, unless otherwise limited by the Board. At the option of the President, contracts, purchases, and
agreements for sums less than $5100,000 may be submitted to the Board of Regents for approval. The General Counsel should review and provide legal advice on all contracts or agreements. The department responsible for originating the contract is responsible for maintaining it for the applicable period (minimum of two years).

40. The President may delegate power to contract, purchase, or enter into agreements of less than $5100,000, or amounts over $5100,000 to the extent authorized in Section 2.b. of this policy, to other employees of the University. The President will remain responsible for all contracts, purchases, and agreements for sums under $5100,000, and for the proper administration of all grants and agreements funded by private individuals, governmental agencies, and foundations, regardless of delegation of power to contract, purchase, or enter into agreements. In the absence of the President, or at such time as the President is unavailable to sign a document by a required deadline, the following individuals are authorized to sign on his behalf: (listed in order of priority) Provost and Vice President for Academic Affairs, Vice President for Business Affairs Finance and Administration, Vice President for University Affairs, Vice President for University Advancement, Associate Provost. All other delegations must be specific and in writing to be effective. The General Counsel should review and provide legal advice on all contracts or agreements.

50. All delegations of contracting authority to persons other than those listed above which were made by a previous President shall be void once a new President assumes office.

SOURCE OF AUTHORITY: Board of Regents

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: President

Forms: None
Distribution of SFA Alumni Foundation Scholarships (C-51)

Original Implementation: July 17, 2001
Last Revision: None January 30, 2007

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 (BR) accounting system. The scholarship will be posted as a credit to the student's account at SFA. The credit will show "SFA Alumni Fnd. Scholarship" in the description on the student's bill. The scholarship will not be applied to parking fines. Any funds remaining after the student's bill is paid in full (excluding parking fines) 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, social security-campus identification number, dollar amount of award, and school term of award. It should be received at the SFA Financial Aid Office by the following dates: May 20 for Summer II, Fall, Spring, and Summer I.

March 15 for Summer Terms
April 15 for Fall Semester
November 15 for Spring Semester

The SFA Controller's Office will bill the Alumni Foundation monthly for awards made through the BR accounting system. The bill will include each student’s name, social security-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.

SOURCE OF AUTHORITY: Stephen F. Austin State University Board of Regents; Stephen F. Austin State University Alumni Foundation, Inc.
CROSS REFERENCE: Memorandum of Understanding between Stephen F. Austin State University and Stephen F. Austin State University Alumni Foundation, Inc. dated May 18, 2001

Responsible for Implementation: Vice President for Finance and Administration

CONTACT FOR REVISION: Vice President for Business Affairs

Associate Vice President for Budget and Finance

FORMS: None
Faculty/Staff ID Cards (F-13)

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 the HPE Campus Recreation facilities, Library, Wellness Center, or other University facilities will be required to show a current faculty/staff ID. 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 must take the request to room 13 in the University Center where he/she must pay $5 (non-refundable). The employee must then take the request form and the receipt showing payment to room 221 in the University Center to have a picture taken and a card produced. The employee should then take the verified request form to the ID Card Services office in the Student Center to have the ID card made.

The fee for a faculty/staff ID card is $5.00. This fee will be charged to the employee's account and will be payable at the University Business Office in the Austin Building.

A department has the discretion to pay for the faculty/staff ID card on behalf of employees who are required to have the ID as a condition of employment.

ID cards must be validated annually in the ID Card Services office, room 221 of the University Center in the Student Center and separating employees are required to return ID cards during the checkout process.

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

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Director of the Student Center

Forms: Request for Staff/Faculty ID Card (available in Human Resources)
The Southern Association of Colleges and Schools requires that the university keep on file for all full-time and part-time faculty members documentation of academic preparation including official transcripts, and, if appropriate for demonstrating competency, official documentation of professional and work experience, technical and performance competency, records of publications, certifications and other qualifications. To meet that requirement, the following guidelines have been established which address the contents of the file as well as the designated place for maintaining the file.

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

I. All Academic Ranks, 9 month, 100% time, tenure and non-tenure track: Tenured/Tenure Track Faculty: Professor, Associate Professor, Assistant Professor, Instructor, Librarian I, II, III or IV; Visiting (Rank), Lecturer, Librarian I-T, II-T, III-T, or IV-T; Designated (full-time)—9 month, 100% time, tenure and non-tenure track

1) Personnel Action Request form (green copy)
2) Recommendation for Appointment form
3) Signed contract issued by VPAA office
4) Post-hire form
5) Curriculum Vita
6) Official transcripts from all degree granting institutions attended
7) Three letters of reference

II. Visiting (Rank), Lecturer, Librarian I-T, II-T, III-T, or IV-T; Designated (full-time)—9 month, 100% time, non-tenure track

1) Personnel Action Request form (green copy)
2) Recommendation for Appointment form
3) Signed contract issued by VPAA office
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1) Post-hire form
2) Curriculum Vita
3) Official transcripts from all degree granting institutions attended
4) Three letters of reference

Filed in Office of College Dean:

I. Adjunct, Designated (part-time) — 4.5 to 9 months, less than 100% time, non-tenure track

1) Personnel Action Request form (blue copy)
2) Signed contract issued by Dean’s office
3) Post-hire form
4) Curriculum Vita
5) Official transcripts from all degree granting institutions attended
6) Three letters of reference

II. Graduate Teaching Assistant (Domestic) — Enrolled graduate student, 50% time or less, non-tenure track

1) Personnel Action Request form (blue copy)
2) Signed contract issued by Graduate office
3) Post-hire form
4) Official transcripts from all degree granting institutions attended
5) Three letters of reference

Filed in Graduate Office:

I. Graduate Teaching Assistant (International) — Enrolled graduate student, 50% time or less, non-tenure track

1) Personnel Action Request form (green copy)
2) Signed contract issued by Graduate office

3) Post-hire form

4) Official transcripts from all degree-granting institutions attended

5) Three letters of reference

The above records must be maintained for five (5) years after personnel leave active employment.

Note: See Policy E-1A, Academic Appointments and Titles, for definition of titles.

Source of Authority: Provost and Vice President for Academic Affairs


Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None
Limited consumption of food or beverages is permitted in the public areas of the Steen Library. Consumption of food or beverages is prohibited in all indoor classrooms and laboratories. Exceptions to this policy may be granted with advance approval of the appropriate academic dean or designee. Consumption of food or beverages may be permitted, provided such permission does not conflict with law.

The provisions of the policy for 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. That policy provides that the University may establish additional procedures for the reservation and use of specific facilities; therefore, the following aforementioned provisions apply to regulations on use of food or drink, and tobacco in the Library, classrooms and laboratories.

Eating, drinking of beverages, and use of all tobacco products is prohibited in the public areas of the Steen Library and in all indoor classrooms and laboratories. Under extraordinary circumstances and with advance approval of the appropriate academic dean, eating or drinking of beverages (but not the use of tobacco products) may be permitted, provided such permission does not conflict with law.

**SOURCE OF AUTHORITY:** Board of Regents, President, Provost and Vice President for Academic Affairs

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

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

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

**Forms:** None
Grade Reporting (A-41)

Original Implementation: January, 1983
Last Revision: January 28, 2003 January 30, 2007

On the first day of final examinations of each semester or summer term, the Registrar will provide 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 listed on the grade sheet 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 Registrar will provide access for electronic verification grade sheets for each class to departmental, school, or 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 on bulletin boards or other in a designated places place only with the written permission of the student and then must be done so in a manner that an individual student's grade can not be identified by others. Students may use a touchtone phone or logon to the University Web Site to obtain their grades as soon as they are added to the electronic data base.

Source of Authority: Buckley-Pell Amendment, President, Provost and Vice President for Academic Affairs

Cross Reference: None Buckley-Pell Amendment (Pub. L. No. 93-568, 88 Stat. 1858)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact For Revision: Provost and Vice President for Academic Affairs

Forms: None
Graduate Assistantships (A-20)

To be eligible for a graduate assistantship, a student must have clear or provisional admission to the graduate school and the department/school/division and be in good academic standing. A graduate assistant may be assigned to research projects or to teaching. Graduate assistants assigned at the 50% rate (50% = full graduate assistantship) are expected to serve 20 clock hours or equivalent teaching assignment per week in the department/school/division to which they are assigned. Those assigned to other percentages are expected to work a proportionate number of clock hours. The department chair/director is responsible for the selection, training, assignment of duties and supervision of the graduate assistants in his/her department/school/division.

A graduate assistant must be enrolled for at least nine semester hours of graduate course work in the fall or spring semesters and three semester hours in a summer session. Should a graduate assistant fall below the nine semester or three hour minimum for a semester or summer session, he or she will not be eligible for an assistantship the following semester.

A student must be approved for an assistantship by the Chair/Director of the Department, the Academic Dean, the Director of Personnel Services, the Budget Director, and the Associate Vice President for Graduate Studies and Research. The appointment as a graduate assistant is completed only after the candidate has attended a mandatory new employee orientation session in the Office of Personnel Services.

Except for students in the Ed.D., Ph.D. and M.F.A. programs, a student may receive an assistantship for no more than four long semesters.

Source of Authority: Provost and Vice President for Academic Affairs

Cross Reference: Graduate Bulletin, www.sfasu.edu/graduate/assistantship2.html

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Associate Vice President for Graduate Studies and Research

Forms: Application Form for Graduate Assistantships (available from the office of the Chair/Director of the academic department)
Honorary Degree (D-18)

Original Implementation: October 18, 1988
Last Revision: April 21, 1998 / January 30, 2007

Stephen F. Austin State University may, on occasion, grant honorary degrees to individuals who have over an extended period, rendered exceptional contributions to the University or the public interest through public service, philanthropic activity, intellectual or artistic performance, or leadership roles. Honorary degrees may not be awarded to individuals officially associated with the University at the time of the award nor to individuals holding elective office unless they have achieved distinction in another field of endeavor.

Nominations for honorary degrees may be submitted to the President by faculty, staff, administration, or members of the Board of Regents of the University. Nominations will be evaluated by an advisory committee appointed by the President with representation from the faculty, staff, student body and administration. The committee will make recommendations to the President who, in turn, will make recommendations to the Board of Regents. Only the Board of Regents can authorize an honorary degree, which will be granted at a regularly-scheduled commencement.

Source of Authority: Board of Regents

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: President

Forms: None
Indirect Costs Recovery, Distribution and Use (A-51)

Original Implementation: October 26, 1999
Last Revision: July 14, 2005 / January 30, 2007

Indirect costs are those incurred for a common or joint purpose which benefit more than one University department/activity, and which are not readily assignable to a specific department/activity. They also are known as Facilities and Administrative (F&A) or overhead costs. In some instances, grantors and funding entities agree to reimburse the University for overhead expenses of conducting research, education and service projects. This policy establishes guidelines for the recovery, distribution, and use of such reimbursements from externally funded grants, contracts, and cooperative agreements.

Indirect Cost Recovery

The Principal Investigator or Project Director must include indirect costs in the proposed budget for all grants, contracts and cooperative agreements at the maximum rate allowed by the sponsor. Only the Associate Vice President for Graduate Studies and Research or his/her designee, in consultation with the President, is authorized to negotiate indirect cost rates with sponsors.

Indirect Cost Distribution and Use

The Texas Education Code, Section 145.001, provides that recovered indirect costs can be retained by State universities to support and encourage further research. The revenue from indirect cost reimbursements to Stephen F. Austin State University will be allocated as follows:

1. To the Office of Research and Sponsored Programs (ORSP) an amount sufficient to cover the total actual costs of operations as approved through the Academic Affairs budget process.

2. Fifty percent (50%) of any remaining revenue (after Step 1) up to $100,000 and one hundred percent (100%) of any remaining revenue in excess of $100,000 to the ORSP to be distributed to academic units that generated the recovered indirect costs. Such units shall expend the funds for projects encouraging further research, including but not limited to:
   a. conducting pre-grant feasibility studies;
   b. preparing competitive proposals for sponsored programs;
   c. providing carryover funding for research to provide continuity between externally funded projects;
   d. supporting new researchers pending external funding;
e. purchasing capital equipment directly related to expanding the research capability of the institution; and
d. for research or project administrative costs not covered by the funding entity.
e. supporting new researchers pending external funding

3. Any remaining funds shall be expended to support research and sponsored programs at Stephen F. Austin State University according to the provisions of the Texas Education Code, Section 145.001.

Additionally, the University shall report the actual amounts of money retained and expended under this policy and the estimated amounts for the next biennium in its report to the Legislative Budget Board as part of the biennial budget reporting process.

The ORSP shall make distributions to academic units as recommended by the University Research Council and approved by the Provost and Vice President for Academic Affairs. The distributions will be made at the close of each fiscal year, based upon the previous year's indirect cost reimbursements. No allocations will be made to academic units in any year in which the total indirect costs recovered are less than the actual amount expended by the ORSP.

Source of Authority: Texas Education Code, Section 145.001, as amended; Provost and Vice President for Academic Affairs

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Associate Vice President for Graduate Studies and Research

Forms: None
Instructor-generated Materials (A-22.1)

Original Implementation: September, 1990
Last Revision: January 28, 2003
January 30, 2007

"Instructor-generated materials" generally refers to coursepacks or other such class materials that are intellectual property compilations and are intended for sale. They are not merely handouts, copies, textbooks, or trade books published by a commercial or university press. Copies of handouts distributed in class are provided to students and paid for by course fees. Published textbooks or trade books must be sold through bookstores. Under no circumstances, may faculty members sell instructor-generated or other academic materials directly to students. The instructor-generated materials may then be sold through the University bookstore or off-campus vendors.

Instructor-generated materials must be favorably reviewed and approved by an appropriate review committee within the faculty member's department and by the dean of the college involved. The instructor-generated materials may then be sold through the University bookstore or off-campus vendors.

The University and faculty member(s) will negotiate a royalty agreement in advance of the sale of instructor-generated materials in the University bookstore to properly compensate the faculty member(s) for their time, effort, and intellectual property, unless it was a work made for hire. See Intellectual Property, Policy D-20. The University shall not be responsible for royalties or other financial benefits on instructor-generated materials sold by off-campus vendors.

The faculty member(s) shall retain the right to assemble, edit and amend their intellectual property as necessary, subject to a department/college review, to determine whether the general quality of scholarship renders the material suitable for instruction and/or sale. No departmental/college review may infringe upon the academic freedom of the faculty member(s) who created the instructor-generated materials.

The General Fair Use Guidelines as described in Copyrighted Works Reproduction, Policy A-12, are applicable to instructor-generated materials. Copyright notices, appropriate citations and attributions should be included. The faculty-staff member who compiles the instructor-generated materials shall be responsible for complying with these guidelines. Permission must be obtained for materials that will be repeatedly used by the same instructor for the same class. Using a commercial copy shop does not necessarily relieve the creator of instructor-generated materials of liability, unless the Fair Use Guidelines are followed or the copy shop pays appropriate royalties. Campus copy centers are not permitted to copy such materials, unless these guidelines are followed.

Source of Authority: President, Vice President for Academic Affairs

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None
Stephen F. Austin State University encourages participation by faculty, staff and students in scholarly research and creative activities that support and enhance teaching in its classrooms and laboratories. While research conducted at Stephen F. Austin State University is aimed at discovery and dissemination of knowledge, rather than profit from commercial application, the Board of Regents recognizes that questions regarding intellectual property rights may arise from such activities. The Board of Regents seeks through adoption of this policy to balance the interests of the public, the University and the inventor, author, or creator in intellectual property arising from research and creative activities conducted by employees of the University. The Board further seeks to ensure that inventions, discoveries and creative works are used and controlled in an efficient and prudent manner which will result in maximum benefit to the public, the University and the inventor, author, or creator.

Applicability

This policy shall apply to all persons employed by Stephen F. Austin State University or a component thereof, and to anyone using facilities or funds subject to control or supervision by Stephen F. Austin State University. This policy, as amended from time to time, shall be deemed to constitute part of the conditions of employment of every employee, including student employees. Unless otherwise excluded, this policy shall apply to intellectual property of all types (including any invention, discovery, trade secret, technology, scientific or technological development, computer software, conception, design, creation or other form of expression of an idea) regardless of whether the intellectual property is subject to protection under patent, trademark, or copyright laws, or common law.

Copyright

1. Definitions

a. Copyright is the ownership and control of the intellectual property in original works of authorship. Copyright ownership and the rights thereof are defined by federal law. It is the policy of Stephen F. Austin State University that all rights in copyright shall remain with the creator of the work unless otherwise subject to contractual legal obligations, or the work is a "work made for hire" as that term is defined by federal law. The University will not require faculty to produce "works made for hire" as part of their workload or as terms for continued employment unless the production of works made for hire were a part of the faculty member’s original conditions of employment.

b. A "work made for hire" is:
Appendix 5

(1) If expressly agreed to by the parties in a written instrument, a work specially ordered or commissioned by the University for use as a contribution to a collective work, as a part of a motion picture or other audiovisual work, as a translation, as a supplementary work, as a compilation, as an instructional text, as a test, as answer material for a test, or an atlas, shall be considered a “work made for hire.” An instructional text” is a literary, pictorial, or graphic work prepared for publication and with the purpose of use in systematic instructional activities. Multimedia courseware specially commissioned by the University shall be included as a work made for hire. “Multimedia courseware” is defined as interactive teaching aids created and deployed with electronic tools. They may incorporate text, graphic video, and audio elements and may be mounted for remote access on a file server or pressed onto a CD-ROM for stand-alone distribution. Examples include but are not limited to, distance education courses, electronic textbooks, hypertext modules, simulation software, and databases containing numbers, images, or text. Financial support for course development or course reductions offered by the University to aid with course development of on campus or distance education courses will not by itself constitute a work made for hire unless agreement is reached prior to such arrangements that the resulting course will be a work made for hire. (See Policy D-20A)

2. Ownership

a. General

In keeping with academic tradition, the University does not claim ownership of copyrightable intellectual property created by faculty during the normal course of their employment unless otherwise agreed in writing. Such property includes but is not limited to: course content, syllabi, course materials, course computer enhancements (courses in which 50% or more of content is delivered by electronic means to off campus students are governed by policy D-20A), authored/created textbooks, books, articles, software, multimedia courseware, data sets in any format and similar works, the intended purpose of which is to disseminate the results of academic research or scholarly study created on the faculty’s own initiative. Further, the University claims no ownership of faculty authored/created popular nonfiction, novels, poems, musical compositions, software or other works of artistic imagination which do not result from projects commissioned or assigned by the University. Unless evidence of excessive use or abuse of University funds or facilities exists, the University will convey, upon request and to the extent consistent with its legal obligations, the copyright in such works to the individual faculty creator(s) or author(s). Faculty members will make such decisions and take such steps to protect works they own, with their discretion.

b. Sponsored Research Agreements

Copyright ownership of all material (including software) that is developed in the course of, or pursuant to, a sponsored research agreement (whether funded by a public or private agency or organization) shall be determined in accordance with the terms of the sponsored research agreement, or, in the absence of such terms, the copyright shall be negotiated with the author: generally following the principles set forth in this policy.
c. Use of University Resources

(1) Copyright in all material (including software) that is developed with the significant use of funds, space, hardware, or facilities administered by the University, including but not limited to classroom and laboratory facilities, but without any obligation to others in connection with such support, shall reside in the University. The University recognizes and affirms the traditional academic freedom of its faculty to publish freely without restriction. In keeping with this philosophy, the University will not construe the provision of office, computer or library facilities as constituting significant use of University funds, except for those situations where the funds were paid specifically to support the development of such. Faculty development leaves, faculty development grants, minigrants and research course reductions will not be construed as a significant use of University funds.

(2) Copyright in works resulting from projects that are performed in whole or in part by any person with grants from funds administered by the University shall be determined in accordance with the terms of the support agreement or, in the absence of such terms, shall be negotiated by the parties involved. The University will determine whether to register and enforce the copyright on works it owns.

d. Joint Works

Works may be created through the joint efforts of faculty, employees working within the scope of employment, and/or others under contract to provide services. Such joint works would be jointly owned by the faculty member and University. Ownership agreements should be executed to memorialize the parties intentions and avoid later confusion over ownership rights. Any of the joint owners may register and enforce the copyright in the names of all owners with accounting. In the absence of an agreement on the division of revenues, they will be shared pro rata after recouping costs.

3. Revenue Sharing

a. Works Not Owned by Stephen F. Austin State University

If the University does not claim ownership of an intellectual property, authors and creators of intellectual works not owned by the University may copyright the related work, publish it, register the copyright and receive any revenues which may result therefrom.

b. Works in Which Stephen F. Austin State University Has a Property Interest (Generally, Commissioned Works or Works prepared in the course and scope of employment)

(1) Royalty income received by the University through the sale, licensing, leasing or use of copyrightable material in which the University has a property interest will normally be shared with the author. Authorship for this purpose shall be determined by the President or his designee. Compensation and division of royalties, if any, will be negotiated by
written agreement prior to commencement of work on the project, or as soon thereafter as practical.

(2) In the event that an author contributes a personal work to the University, a written agreement accepting such contribution shall be executed. The terms of the agreement shall include a statement governing the division of royalties between the University and the author.

(3) In cases of extramural funding, the terms of the funding agreement shall govern the division of any royalties that may result from commercialization of materials resulting therefrom. In the event that the funding agreement vests royalty rights in the University, and does not provide any royalty share for the author, the terms of Copyright, Section 3.b.(1) shall apply. No such royalty payment to the author, however, may violate the terms of the funding agreement.

4. Use of University or Agency Sponsored Materials

a. Prior to the use of a work in which the University has an interest, the author will consult with the University through appropriate administrators, or provide a reasonable opportunity for such consultation, with respect to its use. The University reserves the right to use for instructional and research purposes, without obligation to make payment therefore, any works created by employees or students during their periods of employment or attendance and revisions or derivations of such works.

b. When unresolved questions on use occur, they shall be referred to the President or his designee for resolution.

5. Revision of Materials

Materials owned by the University under the terms of this policy shall not be altered or revised without providing the author a reasonable opportunity to assume the responsibility for the revision. If the author declines the opportunity to revise such material, the assignment of responsibility for the revision will be made by the President or his designee in consultation with the appropriate department or office.

6. Withdrawal of Materials

a. Materials owned by the University under the terms of this policy shall be withdrawn from use when the University, in consultation with the author, deems such use to be obsolete or inappropriate. No withdrawal or other discontinuance that would violate the terms of any licensing or other agreement relating to the materials shall take place.

b. The University may release to the author(s) the right to any work copyrighted in the name of the University.

7. Warranty
Appendix 5

Authors/creators must obtain appropriate permissions and releases necessary to avoid infringing or invading the personal rights of others. An author or creator of any work owned by the University under the terms of this policy shall warrant that, to the best of his/her knowledge, the work does not infringe on any existing copyright or other legal rights; that work not identified as quotations is the expression and creation of the author; that necessary permission for quotations and the like has been obtained; and that the work contains no libelous material or any material that invades the privacy of others.

8. Notice of Copyright

Although the law does not require copyright notice for legal protection, the University encourages that such notice be applied to all works.

All material owned by the University under the terms of this policy shall be protected by notice of copyright in the name of the University. The proper form of such notice is as follows:

@©1920 , Stephen F. Austin State University. All rights reserved.

The date should be the year in which the work was completed or in which it was published, whichever is earlier. The name of the University should be spelled out in its entirety.

Works in the electronic environment are protected under Copyright Law just as print works are protected, from the moment of fixation in a tangible medium of expression. This is generally understood to include fixation in a central processing unit.

Patents

1. Obligations

a. Employees and others who are subject to this policy by virtue of their employment or use of University services or facilities shall disclose to the President or his designee (Dean with copy to the General Counsel), any invention or discovery (including those made under cooperative arrangements); provide complete information thereon; and cooperate with the University in protecting potential patent and know-how rights in accordance with Administration of Intellectual Property below.

b. When an invention arises from a project specially commissioned by the University, created in the course of employment, or with use of University facilities or funds beyond the provision of office or library facilities, the inventor shall assign all rights, title and interest in and to any such invention to the University or its designee and assist the University or its designee in securing patent protection on the invention. In this instance, the inventor shall, upon request, execute an invention agreement prior to commencement of the project, or as soon thereafter as practical.
c. All parties privy to inventions, know-how, trade secrets, or other discoveries which may be patentable shall maintain such information in strict confidence, so as to protect the intellectual property (subject to internal disclosure as outlined above). Researchers, consultants, and other individuals hired on project which may involve the development of patentable property, shall execute a non-disclosure agreement. Notwithstanding this provision, all employees shall be subject to non-disclosure and confidentiality obligations on patentable or other trade secret information as a term and condition of employment.

2. Sponsored Research

a. In cooperative undertakings sponsored by, or involving, third parties, provisions for the control of patents normally should be consistent with the general policy stated above. The provision of sponsored research funds shall trigger patents section 1.b. above. However, it is recognized that in some cases the interests of other organizations (federal, industrial, etc.) will justify modifications of the general policy. In those cases, the provisions with respect to patents shall appear in the applicable memorandum of understanding or agreement for the review and approval of the President. It is intended and provided that disclosed inventions will be identified and managed in accordance with patent policy and procedures.

b. Nothing in this policy shall be interpreted as precluding the acceptance of a contract, grant, or agreement that provides for ownership of inventions and patent rights by the cooperating agency or organization.

3. Royalties

a. After a deduction of fifteen percent (15%) for administrative costs, and a deduction for the cost of patenting, licensing, and protecting of invention and patent rights, the net royalties or other income arising from an invention or discovery shall be divided as follows:

(1) Fifty percent (50%) to the inventor(s);

(2) Fifty percent (50%) to the University.

b. Special facts concerning an invention may warrant a different distribution of royalties. Agreements with respect to royalties shall be in writing and signed by the President or his designee. Any agreement which grants the inventor more than fifty percent (50%) of the net royalties shall require approval of the Board of Regents.

c. In the event that a person contributes an invention to the University, a written agreement accepting the contribution shall be executed. The terms of the agreement shall include a statement governing the division of royalties between the University and the donor.

4. Use of Inventions and Discoveries
a. Prior to the use of an invention or discovery in which the University has an interest, the employee responsible for the invention or discovery will consult with the University through appropriate administrators, or provide a reasonable opportunity for such consultation, with respect to its use. The University reserves the right to use for instructional and research purposes, without obligation to make payment therefore, any inventions or discoveries made by employees during their periods of employment and revisions or derivations of such inventions or discoveries.

b. When unresolved questions on use occur, they shall be referred to the President or his designee for resolution.

**Trademarks, Service Marks and Trade Names**

1. Trademarks and service marks may be any work, name, symbol, or device, or any combination thereof adopted and used by the University in the sale or advertising of goods or services to identify and distinguish such goods and services from those sold by others.

2. Trade names include any names used to identify Stephen F. Austin State University and its services.

3. The President or his designee shall be responsible for protection and licensure of trademarks, service marks, and trade names used by or related to Stephen F. Austin State University.

4. No licenses shall be granted to commercial entities for use of trademarks or service marks in connection with commercial services or stationery, alcoholic beverages, inherently dangerous products, products of obscene or disparaging characteristics, health related products, products classified as staple foods, meats, and natural agricultural products, and any other uses which in the opinion of the President or his designee would degrade the reputation or goodwill of the University.

5. **Trademark licensing inquiries should be directed to the Director of Athletics for processing in accordance with our licensing program. If the licensing inquiry does not fall within our traditional licensing program, the request should be forwarded to the General Counsel.**

**Trade Secrets**

Trade secrets may be comprised, generally, of any formula, pattern, device or of information which gives one an opportunity to obtain an advantage over competitors who do not know or use it in commercial applications. Trade secrets in which Stephen F. Austin State University maintains an interest shall be protected in accordance with the terms of sponsored research agreements or, if none exist, by any lawful means available to the University as determined by the President or his designee.
Disclosure of Intellectual Property

1. Each individual subject to this policy has a duty to disclose promptly, in writing, and prior to any disclosure either to the public or for commercial purposes, any intellectual property created or discovered by such individual. Disclosure shall be made to the President or his designee (Dean with copy to the General Counsel).

2. The President shall adopt policies and determine procedures for appropriate institutional review of such disclosures. The duty to disclose arises as soon as the individual has reason to believe, based upon his/her own knowledge or upon information supplied by others, that the intellectual property may be protectable under patent, trademark, or copyright law, or common law. Certainty about the protections to be afforded such intellectual property is not required before a disclosure should be made. Each individual subject to this policy shall execute such declarations, assignments, or other documents as may be necessary to protect the University's interest in such intellectual property.

3. Disclosure of equity ownership or management participation in a business entity that has an agreement with the University relating to research, development, licensing, or exploitation of intellectual property created or discovered by an employee shall be made in accordance with Equity Ownership and Management Participation below.

Equity Ownership and Management Participation

1. Ownership of any equity interest in a business entity that has an agreement with the University relating to research, development, licensing, or exploitation of intellectual property created or discovered by an employee shall be disclosed to the President or his designee. The President shall take any necessary steps to avoid injury to the University as a result of potential conflicts of interest arising out of such equity ownership.

2. No employee may serve as a director, officer, or employee of a business entity that has an agreement with the University relating to research, development, licensing, or exploitation of intellectual property in which the University has an ownership interest except upon request of, or prior approval by, the Board of Regents. Authorization to serve as a director, officer, or employee of such a business entity may be subject to one or more conditions established to avoid injury to the University as a result of potential conflicts of interest.

3. In accordance with Section 51.912 of the Texas Education Code, the names of all business entities that have an agreement with the University relating to the research, development, licensing, or application of intellectual property in which employees own an equity interest, or for which such persons serve as director, officer, or employee, shall be reported to the governor and legislature on an annual basis. The University may accept equity interests as partial or total compensation for rights conveyed in agreements with business entities relating to intellectual property owned by the University. The University may negotiate, but shall not be obligated to negotiate, an equity interest on behalf of any
employee as a part of an agreement between the University and a business entity relating to intellectual property created, discovered, or developed by the employee and owned by the University.

Disposition of Income

1. In the disposition of any net income accruing to the University or a component from patents, trade secrets, or copyrights, first consideration shall be given to the promotion of research.

2. In the disposition of any net income accruing to the University or a component from licensure of trademarks or service marks, first consideration shall be given to creation or enhancement of scholarship programs.

License Agreements

1. Agreements which grant a third party the right to make, use, or sell a patented invention, invention know-how, or trade secret that has been disclosed and assigned to, or is otherwise owned by, the University shall require approval by the Board of Regents.

2. Agreements which grant a third party the right to reproduce, sell or use a copyrighted work, trademark, service mark, or trade name in which the University owns an interest shall require approval by the President.

Administration of Intellectual Property

1. The President or his designee shall be responsible for administering this policy. Duties encompassed by this responsibility shall include filing appropriate registration forms and supporting documents with the Copyright Office, Library of Congress, or the Patent and Trademark Office, negotiating and drafting licenses and other royalty agreements, drafting necessary agreements for specially commissioned works, determining the applicability of this policy and appropriate law to intellectual property, and adoption of policies and procedures consistent with this policy statement and necessary for determination of ownership or protection of the University's interests in intellectual property. All referrals to the President or his designee, under this policy, shall follow established procedures and administrative channels of communication.

2. In determining the University's ownership interest in any intellectual property and measures necessary for appropriate protection or exploitation of such interests, the President or his designee may utilize assistance from designated University committees, the General Counsel, Texas Attorney General, an appropriate private law firm or attorney, or corporations established for the purpose of managing intellectual property.

3. The responsibility for commercial marketing and licensure of intellectual property, and for maintenance of appropriate fiscal records, is assigned to the President or his designee.
4. All expenses of copyright registration, patenting and other forms of protection sought by the University shall be borne by the University, unless otherwise paid by a licensee through a negotiated licensing agreement. If the University fails or refuses to pursue within a reasonable period any registration of copyright or patent, or other protection, for intellectual property in which an employee has an ownership or royalty interest, the employee may independently pursue registration or other protection of such interest. All patents must be filed in the University's name, unless the University relinquishes all rights and interest to the intellectual property in writing. The individual shall be reimbursed for expenses related to such protective action, pursuant to a negotiated written agreement, if the University subsequently decides to assert and exploit the University's interests in the property.

Source Of Authority: Board of Regents, President

Cross Reference: Policy D-20A, Intellectual Property Rights for Distance Education

Responsible for Implementation: General Counsel

Contact For Revision: President, General Counsel

Forms: None
Appendix 5

Interlibrary Loan Services (ILL) (A-23)

Original Implementation: March, 1985
Last Revision: January 28, 2003 January 30, 2007

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

Eligibility for Borrowing. ILL interlibrary Loan borrowing service is extended to SFA faculty, staff, and students, generally on a non-fee basis with the following provision: Patrons must exhaust the limits of the local collection before requesting ILL interlibrary loan services.

Faculty members, including university associates, may request materials related to their own professional scholarly research or to course-related subject matter.

Graduate and undergraduate students may request materials pertinent to graduate their research or coursework.

Occasionally, service is available to library users not affiliated with SFASU, on a contractual basis. The contract will be based on cost recovery with additional charges for university overhead. Therefore, patrons not affiliated with SFASU should normally contact their local public library for interlibrary loan requests.

Any type of library materials may be borrowed through ILL interlibrary loan, but the following types are usually not available: basic reference books, rare books, most dissertations completed at U.S. universities, books owned by this library which are temporarily in use, audiovisual materials.

Procedural Rules. Requests should be submitted on forms specified by the library either through the Access Services Department or through the Interlibrary Loan Services through the Library's library web site web pages (http://sfasu.edu/libweb/calms/ill.asp). Full bibliographic information, including published source of reference, is necessary for each item requested. Forms submitted without adequate information will be returned to the person requesting the item.

All conditions of use imposed by the lending library on items borrowed are to be strictly observed.

Borrowed materials are circulated from and returned to Access Services Department. Photocopies received for faculty will be delivered to their University offices.

Ordinarily, renewals on items borrowed should not be requested. In cases when a renewal is requested, the request must be made not less than four days before the loan is due to be returned.
Requests are acted on in the chronological order of receipt. However, rush requests will be honored to the extent resources permit.

Abuse of ILL regulations by a patron 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 any patron whose Steen Library borrowing privileges are blocked.

The Library reserves the right to refuse to accept or process any ILL interlibrary loan request if it appears fulfillment of the request would involve violation of the copyright law. Steen Library abides by the AMIGOS and national ILL interlibrary loan codes, and maintains such records of interlibrary loan ILL transactions as required by law.

Source of Authority: Vice President for Academic Affairs

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Library Dean

Forms: None: https://illiad.sfasu.edu/Illiad/logon.html
Investments (C-41)

Original Implementation: April 30, 1996
Last Revision: July 13, 2006 January 30, 2007

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. Secondarily, 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), related portions of the Texas Education Code, and the applicable portions of H. B. 2459, 74th Texas Legislature.

Scope

This policy establishes rules for the investment of all University and agency funds except endowment funds. Endowment funds are invested in accordance with separate policy approved by the Board of Regents and are the responsibility of fund managers selected by the Board of Regents.

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 operating funds and funds held in trust for others may be invested only in the following securities:
Appendix 5

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 of and interest on, 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;

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 that A or its equivalent;

F) certificates of deposit issued *and share certificates* by a state or national bank or savings and loan association domiciled 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) fully collateralized 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 depository institution that has its main office or a branch office in this state and that is selected by the investing entity.

b) 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 depository institution selected by the investing entity under Subsection (a) acts as custodian for the investing entity with respect to the certificates of deposit issued for the account of the investing entity; and

e) at the same time that the funds are deposited and certificates of deposit are issued for the account of the investing entity, the depository institution selected by the investing entity under Subsection (a) receives an amount of deposits from customers of other federally insured depository institutions, wherever located, that is equal to or greater than the amount of the funds invested by the investing entity through the depository institution selected under Subsection (a).

G) fully collateralized repurchase agreements with a definite termination date, secured by obligations described by Authorized Investments section A-E-F, requiring the securities being purchased 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 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 Section 2256.016 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;

NO) 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.

QP) 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 Article 2529d Texas Government Code Sec. 2257, the Public Funds Collateral Act. Evidence of the pledged collateral associated with bank demand accounts shall be maintained by the University Controller. Evidence of the pledged collateral associated with 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. Associate Vice President for Budget and Finance 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) FDIC and FSLIC insurance coverage;

B) United States Treasury, Agency, or Instrumentality securities;

C) 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;

D) 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.

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 the Texpool investment vehicle managed by the State Treasurer 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, Associate Vice President for Budget and Finance.

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 Associate Vice President for Budget and Finance shall be designated as the University’s investment officer and are responsible for the duties outlined herein.
The name and title of the investment officer shall be filed with the Board of Regents. Changes of name and/or title must be filed with the Board of Regents as they occur.

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 Associate Vice President for Budget and Finance 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:

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.

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 enterprises (excluding mortgage backed securities)</td>
<td>50%</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>25%</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>25%</td>
</tr>
</tbody>
</table>

The VPFA or Associate Vice President for Budget and Finance and his or her designee may diversify investment maturity. 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.

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, 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 Associate Vice President for Budget and Finance 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 prepared in compliance with generally accepted accounting principles of each pooled fund group that states the: (1) beginning market value for the reporting period; (2) additions and changes to the market value during the period; (3) ending market value for the period; and (4) fully accrued interest for the reporting period; (E) state the book value and market value of each separately invested asset at the beginning and 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 VPFA and Director of Financial Services, Associate Vice President for Budget and Finance are required by Section 2256.007(a) of the Government Code to attend at least one session of investment training not later than March 1, 1996, and, as appropriate, periodically thereafter.

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.

Source of Authority: Board of Regents, Stephen F. Austin State University, Texas Government Code
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, Associate Vice President for Budget and Finance is required for release of pledged securities from safekeeping unless the securities being released are replaced by securities with the same market value. Only changes in the level of collateralization require approval by the above. 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 Texpool require the signature of the VPFA, and either the Director of Financial Services, Associate Vice President for Budget and Finance or the 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 be prepared by the Director of Financial Services and will require an appropriate second signature. "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 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, Associate Vice President for Budget and Finance 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.
Appendix 5

Investments – Endowment Funds (C-41.A)

Original Implementation: Unpublished
Last Revision: October 19, 2006-January 30, 2007

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.

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 persons of ordinary prudence, discretion, and intelligence exercise in the management of their affairs in regard to the investments of their funds, considering probable income as well as probable safety of their capital.

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 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 Associate Vice President for Budget and Finance are designated as the investment officers for the University. As such, the Vice President or Associate Vice President for Budget and Finance designee(s), is 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 or designee(s), is—Associate Vice President for Budget and Finance are 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 or Associate Vice President for Budget and Finance is— are also responsible for determining the appropriate distribution of income in accordance with the distribution policy in the distribution policy section. The Vice President, or—his designee—Associate Vice President for Budget and Finance, or designee will submit an annual investment perspective to the Board of Regents.

**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
Appendix 5

higher current income than do equities. Thus assets should be allocated between fixed-income investments and equities 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 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 obligation 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
Appendix 5

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 be in compliance 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) 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. 119. Collateralized mortgage obligations that do not pass the Federal Financial Institution’s Examination Council test may not be purchased.

k) 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.

l) Except for up to three cases, no more than five percent (5-6%) 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.

m) 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.

n) 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 approved—recommended by the Investment Committee 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. The Investment Committee has not authorized investment in any alternative investment vehicles offered directly by any hedge fund. 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 5%-10% of the total investment portfolio. If the allocation to alternative investments exceeds the limit at any point in time, the Investment Committee shall rebalance the allocation to the fund at the next opportunity when the fund permits liquidation of fund holdings.

o) 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% - 150%</td>
<td>10%</td>
</tr>
</tbody>
</table>

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.

**USE OF INVESTMENT FIRMS**

The Vice President or designee, is responsible for selecting of brokers and dealers for the execution of security transactions and for the safe keeping 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.

Investment managers employed by the University to invest in equities may be evaluated using the following guidelines:

a) The average portfolio Beta should be between 1.10 and 0.90. That is to say that the volatility of the fund should not differ from the volatility of the S&P 500 by more than ten percent. The Beta calculation should include any cash position in the portfolio.

b) The R-Squared may be as high as 100% over a time frame of one year or longer if all investment objectives are met. R-Squared is a statistical evaluation to measure similarity
in behavior of the portfolio to the market.

c) The annualized Alpha should be greater than the managers fee essentially showing that value is being added for the risk taken. Alpha measures the excess return for the amount of risk taken.

d) 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 Committee will review the total return on the endowment accounts and declare—recommend an annual distribution. The target distribution will be between 4% and 5%. The Committee will recommend an amount up to 5.00 percent 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 Committee will add—recommend that this amount be added to a contingency reserve that may be distributed during years of poor investment performance as determined by the Committee. When the contingency reserve has reached a balance in excess of two years of normal distributions, the Committee may make—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, 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.

Source of Authority: Board of Regents

Cross Reference: Texas Education Code, Section 51.0031

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None
Appendix 5

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.

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 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. 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 both Physical Plant and to the University Police Department.

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 — 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 rekey 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 for the specific area. Requests may be mailed,"walked through," or submitted via the Physical Plant webpage work order. The Lockshop is open from 7:00 a.m. to 4:00 p.m., Monday through Friday. If a locksmith is not in the shop, plant will page a locksmith to return to the shop for immediate service.

**Source of Authority:** Vice President for Business Affairs

**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)
Library Lending—Borrowing (A-26)

Original Implementation: February 11, 1981

Persons who hold University identification cards or Nacogdoches Public Library cards are eligible to borrow books from Steen Library, either directly or through a courier service which is run once a day during the week when both libraries are open. Other individuals who do not hold either a University ID or a Nacogdoches Public Library cards may be issued a University library cards. Social security numbers or a unique identification number must be used and an official picture identification must be furnished, e.g., driver's license, before a library card may be issued. Loan periods vary by borrower category and status of material borrowed and are set separately by each library. Borrowers are responsible for all materials borrowed from either library, including the payment of overdue fines, 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.

Steen Library recognizes and accepts TexShare reciprocal borrowing cards from participating institutions. All materials borrowed from Steen Library are subject to immediate recall when requested by faculty for placement in the Reserve Collection or after three weeks from checkout when requested by any patron for other reasons.

Individuals are limited to ninety-nine items on their borrowing record at any one time.

For a fee a Library Delivery Service is offered to students with a disability and students living outside of Nacogdoches County.

Source Of Authority: Vice President for Academic Affairs

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact For Revision: Library Dean/Reactor

Forms: https://illiad.sfasu.edu/secure_forms/circ/libraryregistration.htm
         https://illiad.sfasu.edu/secure_forms/circ/texsharecard.htm
Markers and Monuments (D-47)

Original Implementation: July 17, 2001
Last Revision: None January 30, 2007

I. 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.

II. 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.

III. Definitions

AA. 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.

BB. 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.

IV. Location, Contact and Limitations

AA. 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 facility 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.

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

CC. Installation will be by the Physical Plant Department.

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

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

FF. 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.

V. 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.

**SOURCE OF AUTHORITY:** Vice President for Business Affairs

**CROSS REFERENCE:** None

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

**CONTACT FOR REVISION:** Vice President for Business Affairs, Finance and Administration

**FORMS:** None
Meeting and Conducting Classes (A-31)

Original Implementation: June 16, 1982
Last Revision: January 28, 2003January 30, 2007

Faculty members shall meet their assigned classes at the times and places as officially scheduled. Courses shall be conducted in accordance with the descriptions contained in the University’s General Bulleting and Graduate Bulletin. Exceptions may be made with appropriate department-chair/director approval.

Source of Authority: Provost and Vice President for Academic Affairs

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
Monthly Calendar (F-19)

Original Implementation: 1982
Last Revision: January 19, 1999
January 30, 2007

Each University department of the University is requested to designate a contact for the Office of Public Affairs concerning items for inclusion in the monthly Calendar of Events (distributed to all departments at the first of each month).

Calendar of Events forms are distributed to each department available from the Office of Public Affairs, and department contacts are requested to respond with a list of scheduled activities at least ten days prior to the month's end with activities for the following month.

Source of Authority: Vice President for University Advancement

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: Director of Public Affairs, Executive Director of Marketing

Forms: Calendar of Events form available from the Office of Public Affairs
News Releases (F-20)

Original Implementation: 1950
Last Revision: January 19, 1999/January 30, 2007

Departments and individuals wishing publicity or news releases—media coverage concerning University activities should request coverage through assistance from the Office of Public Affairs, which will work collaboratively with the requesting party to evaluate the newsworthiness of the activity. A determination of newsworthiness, along with requests for photographic coverage, will be made by the Office of Public Affairs, and news releases, if deemed appropriate, will be prepared and distributed by this office. When an activity is determined to be newsworthy, the Office of Public Affairs will prepare and market a release of information to the news media.

Requests for media coverage of events should also be channeled through the Office of Public Affairs, which will determine newsworthiness of the event and arrange for appropriate coverage.

While state law prohibits the use of appropriated funds for publicizing a particular individual, information concerning the University’s programs, including individuals involved therewith, are regularly provided to the news media by the Office of Public Affairs.

Departments and individuals should not contact the news media without the assistance of the Office of Public Affairs. News media receive numerous requests for coverage from a wide range of organizations and individuals. Uncoordinated coverage requests for activities that may have little or no news value for the media have the potential to diminish the effectiveness of the Office of Public Affairs when it makes requests for coverage of newsworthy activities. The Office of Public Affairs may grant exceptions to select University divisions regarding this aspect of this policy.

Upon occasion, news media may directly contact University faculty or staff to interview for comments that may be published or broadcast. Faculty and staff members are encouraged, as time permits, to share their insights on topics within their areas of scholarly study or professional expertise. Such participation has the potential to highlight the quality of University personnel, bring positive visibility to the University and provide a valuable community service. The faculty or staff member contacted by the media promptly should notify the Office of Public Affairs of the interview request.

Source of Authority: Appropriations bill, President, Vice President for University Advancement

Cross Reference: None

Responsible for Implementation: President
Contact for Revision: Director of Public Affairs Executive Director of Marketing

Forms: None
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. That policy provides that the University may establish additional procedures for the reservation and use of specific facilities; therefore, the following provisions apply to the Norton HPE complex.

The Lucille Norton HPE Complex is intended primarily for the use of SFASU students. The first priority use is for academic instruction, the second priority is for organized intramural recreational programs, and the third for recreation of other university sponsored events (varsity athletics, cheerleaders, student organizations, etc...), faculty, and staff, and fourth for summer camps with a building maintenance fee attached.

University-sponsored groups may apply for use of the complex in accordance with the policy on Use of University Facilities. Application for the use of the HPE Complex and tennis courts between 8am-3pm shall be made to the Chair of the Kinesiology and Health Science Department, and for all other outside recreational areas times, to the Director of Intramurals Campus Recreation. These requests are normally honored provided the before mentioned guidelines are met.

Outside groups may apply for use of the Complex in accordance with University regulations. Area public schools are usually granted permission to use the tennis courts and, on rare occasion, Shelton Gym, for district and/or regional playoffs. Requests other than these require administrative approval by the respective vice president(s) and/or the President of the University. All outside groups using these facilities require a signed rental contract, proof of insurance with the university listed as an additional insured, and a rental fee.

The following are specific guidelines for the recreational use of the Norton HPE Complex by students, faculty, and staff.

1. Faculty and staff SFA I.D. card required to use facilities and/or check out equipment

2. No charge for use of facilities or pool the HPE Complex and tennis courts by students, faculty, or staff members; faculty/staff families have access to pools at a cost of $20 and the tennis courts at no cost. There is no access to the complex for student/faculty/staff families.

3. Family swim passes ($20) may be purchased at the Ticket Office and faculty/ student/faculty/staff locker fee ($4 per semester) may be paid at the University Business Office.
4. Full time faculty and staff participation permitted in organized intramurals.

5. Racquetball courts available by reservation at the equipment room; individuals must reserve a court in person (with I.D.); only one hour per week.

6. Indoor recreation areas are open:

Monday - Thursday — 3:00 p.m. to 10:00 p.m.

Friday — 1:00 p.m. to 7:00 p.m.

Saturday — 10:00 a.m. to 6:00 p.m.

Sunday — 1:00 p.m. to 9:00 p.m.

Cross Reference: Intramural Handbook, B-1 Use of University Facilities

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 Intramurals Campus Recreation

Forms: None
Appendix 5

Off-air Recording of Broadcasts for Educational Use

(A-33)

Original Implementation: December 21, 1982
Last Revision: July 17, 2001 January 30, 2007

This policy statement applies to any transmission medium used to convey to the general public programs delivered by broadcast stations, cable systems, satellite, or any other transmission medium, and applies to any form of transmitted information from any source except when a different, explicit agreement exists between the parties originating and receiving the program or information.

The following guidelines must be observed in the off-air recording of broadcast programming for educational use:

1. A broadcast program (broadcast transmission) may be recorded off-air simultaneously with the broadcast transmission (including simultaneous cable retransmission) and retained by Stephen F. Austin State University for a period not to exceed the first forty-five (45) consecutive calendar days after the date of the recording. Upon conclusion of such retention period, all off-air recordings must be erased or destroyed immediately. Broadcast programs are television programs transmitted by television stations for reception by the general public without charge. Programs may not be recorded from a television satellite unless these programs are authorized for free reception or the institution obtains a license to copy the programs.

2. Off-air recordings may be used once by individual teachers in the course of relevant teaching activities, and repeated once only when instructional reinforcement is necessary, in classrooms and similar places devoted to instruction within a single building, cluster, or campus, as well as in the homes of students receiving formalized home instruction, during the first ten (10) consecutive school days in the 45-calendar-day retention period. School days are school session days—not counting weekends, holidays, vacations, examination periods, or other scheduled interruptions—within the 45-calendar-day retention period.

3. Off-air recordings may be made only at the request of and used by individual teachers and may not be regularly recorded in anticipation of requests. No broadcast program may be recorded off-air more than once at the request of the same teacher, regardless of the number of times the program may be broadcast.

4. A limited number of copies may be reproduced from each off-air recording to meet the legitimate needs of teachers under these guidelines. Each such additional copy shall be subject to all provisions governing the original recording.

5. After the first ten (10) consecutive school days, off-air recordings may be used to the end of the 45-calendar-day retention period only for teacher evaluation purposes; i.e., to
determine whether or not to include the broadcast program in the teaching curriculum, and may not be used in the recording institution for student exhibition or any other non-evaluation purpose without authorization.

6. Off-air recordings need not be used in their entirety, but the recorded programs may not be altered from their original content. Off-air recordings may not be physically or electronically combined or merged to constitute teaching anthologies or compilations.

7. All copies of off-air recordings must include the copyright notice on the broadcast program as recorded.

8. This policy statement applies to any transmission medium used to convey the program; broadcast, cable, satellite, or any other transmission medium, whether open or closed in nature, and applies to any form of transmitted information from any source except when a different, explicit agreement exists between the parties originating and receiving the program or information.

Source Of Authority: Provost and Vice President for Academic Affairs

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
Appendix 5

Out-of-State Travel/Study (A-36)

Original Implementation: September, 1981
Last Revision: January 28, 2003 January 30, 2007

Out-of-state travel courses are those courses whose fundamental content is based on the use of natural or cultural resources found outside the state and in which a majority of instruction is delivered out-of-state. They do not include courses delivered on campus in which incidental travel to another state for enrichment activities occur.

Requests for courses involving out-of-state travel within the United States must be routed, using an "Out-of-State Travel/Study Course Request Form", for approval via the instructor's department Chair, college Dean, the Director of Continuing Education, the Dean of Applied Arts and Sciences (who is out-of-state travel/study coordinator) and responsible for submitting course requests to the THECB, the Associate Provost, and the Provost and Vice President for Academic Affairs.

Requests for courses involving international travel must be routed, using an "International Travel/Study Course Request Form", for approval via the instructor's department Chair, college Dean, the Director of International Studies and Programs, the Dean of Liberal Arts (who is responsible for submitting course requests to the THECB), the Associate Provost, and the Provost and Vice President for Academic Affairs.

1. The approval process consists of two stages.

   - a. Tentative approval prior to formal arrangements and an agreement with a licensed carrier or travel agency if required. Criteria for approval shall be those set by the Texas Higher Education Coordinating Board and stated as follows:

      (1) No courses which offer credit primarily for travel, recreation, or pleasure may be authorized.

      (2) No out-of-state classes may be offered to serve non-Texas residents unless they are degree candidates at Stephen F. Austin State University, and they must be charged the non-resident or foreign student tuition as established by law.

      (3) No student may be eligible to enroll in an out-of-state class unless the student has satisfied all University and degree program admission requirements and has paid all appropriate fees.

      (4) All courses must be in the approved course inventory and be applicable to a program approved by the Coordinating Board.

      (5) In accordance with THEB- Coordinating Board Rules: (Chapter 54, Subchapter HE, Section 4.107 (c) (6), and Memorandum of Reporting
Appendix 5

Out-of-State and Out-of-Country Courses dated April 10, 2001) each public institution wishing such approval shall submit its request on an "Out of State Resident Credit Course Request" form the course request, including itinerary and syllabus, to the Coordinating Board.

For each course or group of related courses, the institution must attach a statement describing in detail how the course or group of courses will utilize academic, cultural, or physical resources not reasonably available in Texas.

(6) The instruction in all authorized out-of-state classes must conform to all relevant academic policies at SFASU. All courses must conform to the University's workload and enrollment requirements, its contact hour/credit ratio, and similar matters.

(7) If a course is to be taught by adjunct faculty (anyone other than regular University faculty), a statement must be attached describing the unique qualifications of personnel to be employed at the out-of-state site.

(8) Motivation for the offering of courses must be educational, not entrepreneurial, and may not result in improper advantage or financial gain for participating faculty and staff. Out-of-state classes must emphasize their instructional nature. Any course advertised or marketed to create the impression that it is primarily a credit-for-travel experience will be disallowed.

(9) Any free tickets for travel, accommodations, or other expenses provided by travel agents, carriers, or hotels must take the form of payments to SFASU and not be made as gifts to faculty members or their families. Except for funds specifically appropriated for international activities (e.g., state incentive programs, scholarships, etc.), state funds will not be used for faculty and student travel, meals and lodging, or other incidental expenses.

(10) Financial aid must be available to students registering for out-of-state classes on the same basis as it would be for such students seeking financial aid for on-campus instruction. Additional student financial aid may be furnished by the University as appropriate.

(11) Minimum class enrollments will conform to the same standards applicable were the class to be offered on-campus.

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Final approval based upon the submission of a total itinerary, plan of study and copies of promotional brochures to be used. The rationale used for final approval will consist of a written explanation of how the course...
will involve cultural, intellectual, academic or natural resources not accessible in Texas or produced via standard laboratory exercises.

2. Deadlines for approval are as follows:

   - a. Tentative approval
      - (1) Fall semester: Prior to February 1
      - (2) Spring semester: Prior to June 1
      - (3) Summer semester: Prior to November 1

   - b. Final approval and submission to the Coordinating Board
      - (1) Fall semester: May 1
      - (2) Spring semester: September 1
      - (3) Summer semester: February 1

3. The agreement with the travel agency carrier, or vendor shall contain the following clause specifying that transportation, lodging, and food services are the responsibility of the carrier and not the University:

   Stephen F. Austin State University and its representatives shall assist the tour members in making arrangements for hotels, transportation, sightseeing, restaurants, or any other services in connection with the itinerary, and the University and its representatives shall exercise reasonable care in making such arrangements. The University and its representatives shall not, however, assume any liability whatsoever, for any injury, damages, loss, delay or accident to person or property due to any act or default of any hotel, carrier, restaurant, company, or person rendering any of the services included in the tour. The tickets, coupons, rules, tariffs, or contracts currently in use by any carrier, hotel, restaurant, or other contractor, rendering service, shall constitute the sole contract between such contractor and the tour member. Further, (Tour Agent) and Stephen F. Austin State University accept no responsibility for any damage or delay due to sickness, pilferage, labor dispute, machinery breakdown, quarantine, government restrictions, weather, or any cause beyond their personal control. The right is reserved to cancel or change itineraries, or substitute services without notice and to decline to accept or retain any tour member at any time. Additional expenses, if any, shall be borne by the participants. The airlines concerned and their agents or affiliates, are not to be held responsible for any act, omission, or event during the time passengers are not on board the aircraft. The passenger ticket in use by said airline shall constitute, when issued, the sole contract between the airline and the purchaser of these tickets and/or for the passenger. Air fares are subject to change without notice. The services of any IATA carrier may be used for these tours, and transportation within the USA may be provided by any member carrier of the Air Traffic Conference of America. In view of the statutory
or contractual limitations which may apply to personal injury or losses or damages to property, the purchase of accident and baggage insurance is strongly recommended.

4. The brochure that is distributed to prospective students must contain a clause which specifies that where there is a contract for transportation, lodging and food, the student's contract is with the travel agency or carrier. The University is responsible for instruction and credit only.

5. All student deposits for reservations for a course involving contract travel will be deposited with the Division of Continuing Education University or the Office of International Studies and programs, as appropriate. After the deadline for reservations has passed, a check will be drawn payable to the agency or carrier, or if the course does not make, refunds will be made to students. For those courses not using contract travel, deposits must be made immediately on receipt to the appropriate University account.

6. All purchases are subject to the state bid procedures. Trip directors must submit requests for bids or justifications for contracts with specific vendors or agents.

7. The salary of the instructor will be paid in one of the following ways:

   a. The instructor's regular salary will be paid from the department's budget, or

   b. The instructor's salary will be paid through the College of Applied Arts and Sciences appropriate college (out-of-state domestic travel) or the Office of International Studies and Programs (international travel) prorated on the basis of enrollment, not to exceed his/her regular salary.

8. There will be no travel allowance for the instructor unless specific exception is made by the Provost and Vice President for Academic Affairs.

Source of Authority: Texas Higher Education Coordinating Board, President, Vice President for Academic Affairs

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: Out-of-State Travel/Study Course Request Form (available in Division of Continuing Education the Associate Provost's office); International Travel/Study Course Request Form (available in Office of International Studies and Programs)
Photographic Reprints (F-22)

Original Implementation: Fall 1969
Last Revision: January 19, 1999 January 30, 2007

Additional prints of University activities photographed by the Office of Public Affairs are available for a fee. Requests for reprints are handled through the office of the Office of Public Affairs. Fees must be paid prior to delivery of the photographs. Contact the Office of Public Affairs for a current fee schedule.

Source of Authority: Vice President for University Advancement

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: Director of Public Affairs Executive Director of Marketing

Forms: None
Printing Services (F-23)

Original Implementation: Unpublished

University Printing Services provides photocopying, off-set printing, typesetting, layout and design, collating and binding finishing services to all University departments, offices and organizations. These services may be charged by IDT or paid in cash by SFASU faculty, staff, students and organizations. University faculty, staff, students and organizations may use Printing Services as long as the all work submitted relates to or is required for a University event, function or assignment. University Printing Services may accept work from outside non-profit organizations associated with the University on a cash basis as production time allows, but primary consideration is to serve the needs of the University. University Printing Services may does not accept work for political campaigns, churches, businesses or for individuals, or organizations or businesses not associated with Stephen F. Austin State the University.

Photocopying or off-set printing from camera-ready copy can generally be picked up on the following working day. Additional time may be required for printing on odd size stock or in colored ink, folding, collating, binding, cutting, or numbering.

Payment for services may be charged to an inter-departmental transfer (IDT) account by an authorized individual or may be rendered in cash. All IDT charges will be tax exempt, but proof of tax exempt status must be provided on cash purchases, or state tax will be charged.

The Assistant Director of Printing Services is available by appointment for consultation on typesetting and composition. Copy, photographs, layout design, etc., should be submitted no later than ten work days before the printed material is needed. All copy submitted for typesetting should be typed.

A completed "Printing Services Work Order" form must accompany any requests for printing services job submitted to Printing Services.

Printing Services abides by all policies governing university publications as published by the Office of Public Affairs.

SOURCE OF AUTHORITY: President; Vice President for Business Affairs

CROSS REFERENCE: Cross Reference: None

Responsible for Implementation: President
CONTACT FOR REVISION: Director of University Printing Services

Executive Director of Marketing

FORMS: Work Order Form (available in University Printing Services)
Procurement Card (C-44)

Original Implementation: July 26, 1999
Last Revision: January 19, 2006 January 30, 2007

University employees other than the Director of Purchasing, the Procurement Card Coordinator and Purchasing Department Buyers may order supplies and small items in amounts not exceeding $2000 using a University Procurement Card (P-Card). The Director of Purchasing, the Procurement Card Coordinator and Purchasing Department Buyers may purchase on behalf of the University any item of any amount using a Procurement Card if they have determined by-payment by P-Card represents the best value to the University and so long as 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 Building and Procurement Commission for the State of Texas. In addition to internal policies and procedures, Stephen F. Austin 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 State of Texas emblem and the wording 'Official Use Only' clearly indicated on the card. The P-Card is to be used for official University business purposes only and may not be used for ANY personal transactions. The employee is responsible and accountable for the security and documentation associated with the use of the SFA Procurement Card. Documentation shall include providing Transaction Detail information for each transaction through the Oracle System and keeping documentation of all transactions including returns, credits and disputed charges as required in the P-Card Procurement Guide.

The Account Manager or his/her designee is responsible for: 1) designating departmental cardholders; 2) determining spending limits; 3) establishing yearly encumbrance amounts for each 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's policies and procedures and departmental budgets. Account Managers should be sure that all employees issued a card understand the departmental budget constraints under which they are to use the card.

The Purchasing Department is responsible for maintaining complete and accurate information regarding P-Card users and associated credit limits, for establishing and updating restricted Merchant Category Codes, and for determining compliance with University policies and procedures through periodic audits.
Card Use By Another Employee

The only person authorized to use the Pre-Card is the cardholder whose name appears on the card. The cardholder may not allow someone else to use their card unless the cardholder and account manager have completed a Pre-Card Use form and it is on file with the Program Coordinator in the Purchasing Office.

Training and Issuing Cards

All account managers 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.

Making A Purchase with the Pre-Card

Refer to the Procurement Card Program Guide for detailed information related to making a purchase with the Pre-Card. The Director of Purchasing, the Procurement Card Coordinator and Purchasing Department Buyers are not subject to the Procurement Card Program Guide, but rather to University policies and procedures relating to procurement.

Transaction Detail, Monthly Statement, Reconciliation and Approval

The Transaction Detail entries are required and provide an audit trail for expenditures made with the Pre-Card. Each individual purchase must be detailed in the Oracle Pre-Card System. See the Procurement Card Program Guide for detailed instructions on completing the Transaction Detail entries. Transaction Detail entries are completed online through the Oracle system 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 Account Manager or his/her designee for review and signature. The Account Manager is responsible to verify that all purchases are appropriate expenditures and should take necessary disciplinary action with employees making inappropriate expenditures.

The documentation identified in the Pre-Card Program Guide must be kept for three (3) years plus the current fiscal year to comply with the University's Records Retention
Appendix 5

Schedule. These are the official University records. The records for procurement card purchases will be required for periodic audits by the Purchasing Office or when SFASU is audited by the Texas Building and Procurement Commission, the State Auditor or Internal Audit Services.

Card Termination

Be sure arrangements are made for detail entry information and monthly reconciliation when people will be out of the office: i.e. vacation, sick leave, jury duty, etc.

1. NON-USE - If it is found that a cardholder has not used the procurement card for four six consecutive months, this card may be terminated at the discretion of the Program Coordinator. Any cards so deactivated may be reactivated within 8 months upon submission of an Application/Approval Form and a Cardholder Agreement form. Beyond 8 months, the individual will be required to attend training again before the card will be reactivated.

2. TERMINATION OF UNIVERSITY EMPLOYMENT - When a cardholder terminates employment with the University, the department has specific obligation to reclaim the Pre-Card and return it to the Program Coordinator prior to the employee termination date. A request may be made to the Program 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 do so 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. Fraudulent charges will be reported to the University Police Department and the terminated employee will be expected to reimburse the University.

3. 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 Pre-Card and return it to the Program Coordinator prior to the effective date of change. A request may be made to the Program 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.

4. INSUFFICIENT BUDGET - Payments will not be delayed due to insufficient department budgets. In making adjustments to the encumbrance amounts during the year, if an over-ride has to be made (in order to make payment) resulting in an account having a negative balance which is not approved by the Budget Office, all cards utilizing the account in question will be deactivated immediately. The cards will be reactivated after budget problems are resolved. Repeated budget problems may result in all cards for the
Appendix 5

account in question being deactivated at the Program Coordinator's discretion for a 4-month waiting period.

5. FAILURE TO PASS AUDIT - The Program Coordinator will audit transactions on a periodic basis. Cards will be deactivated immediately for any cardholder who fails to produce the required documentation. The cardholder will be subject to a minimum 4-month waiting period and will be required to attend training again at a cost to the department of $25 before the card will be reactivated. Repeated failures to produce the required documentation may result in the card being permanently terminated at the Program Coordinator's discretion. If the documentation is incomplete according to the Program Guide, the Program Coordinator will provide one on one instruction to the cardholder. Repeated errors will result in the card being deactivated at the Program Coordinator's discretion. The cardholder will be required to attend training again at a cost to the department of $25 before the card will be reactivated.

6. CARD USE BY ANOTHER EMPLOYEE - Allowing someone else to use your card without having completed a Pre-Card Use form may result in the card being deactivated at the Program Coordinator's discretion. The cardholder may be required to attend training again at a cost to the department of $25 before the card will be reactivated.

7. VIOLATION OF PURCHASING PROCEDURES - If the cardholder, other than the Director of Purchasing, the Procurement Card Coordinator or Purchasing Department Buyers, violates any Pre-Card Purchasing Procedures outlined in this Program Guide, the Program Coordinator may provide one on one instruction or the card will be deactivated immediately at the Program Coordinator's discretion. If the card is deactivated, the cardholder will be subject to a minimum 4-month waiting period and will be required to attend training again at a cost to the department of $25 before the card will be reactivated. Repeated violations may result in the card being permanently terminated at the Program Coordinator's discretion. If the violation appears fraudulent or abusive, the cardholder may be subject to personal liability and/or disciplinary action, which may include termination of employment or possible criminal penalties.

8. 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, including a $50 deductible for fraudulent charges up to $15,000. The University's FRS account will pay the charges and the employee will be required to reimburse the University. The cardholder will be subject to a minimum 4-month waiting period and will be required to attend training again at a cost to the department of $25 before a new card will be issued. Upon the loss of a second card, no additional cards will be issued to the cardholder.

9. ACCOUNT MANAGER AUTHORITY - The Account Manager or supervising Dean, Vice President, or President has the authority to request that the Program Administrator terminate an employee's card at any time for any reason. Any cards so deactivated may be re-issued with appropriate approvals within 12 months upon submission of an
Application/Approval Form and a Cardholder Agreement form. Beyond 12 months, the employee will be required to attend training again before a card will be re-issued.

10. FAILURE TO ENTER TRANSACTION DETAILS BY THE DUE DATE – Monthly transaction detail entries must be made in a timely manner to insure posting of transactions to the accounting system so that budgets reflect accurate information. If a cardholder fails to make transaction detail entries in the Oracle System by the due date established in the Procurement Card Guide, many other processes are delayed. Such failure to post transaction detail, or to post the detail entries accurately; i.e. a genuine effort to have correct object codes and descriptive details, etc. for each transaction, by the established deadline date may result in all assigned cards may being deactivated at the Program Coordinator's discretion for a period not to exceed 4 months. It is the Cardholder's responsibility to make sure arrangements are made for detail entry information and monthly reconciliation by the deadline date regardless of absence from when people will be out of the office; i.e. vacation, sick leave, jury duty, etc.

Source of Authority: Texas Government Code, Title 10, Subtitle D, Chapters 2151 through 2176; President; Vice President for Finance and Administration

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Purchasing and Inventory/HUB Coordinator

Forms: Cardholder Application/Approval Form, Cardholder Procurement Card Agreement, Pre-Card Use Form, Tax Exempt Letter, Statement of Disputed Item Form, Pro-Card Documentation/Problem Resolution Form (all available from the Purchasing Department)
Public/Student Health (D-26)

Original Implementation: February 29, 1988

Stephen F. Austin State University recognizes an obligation to promote public health on campus by protecting students, faculty, and staff from the spread of contagious and infectious diseases. An effective and responsible approach to safeguarding public health on campus requires that legitimate concerns about the potential for transmission of diseases in University settings neither be sensationalized nor minimized, but that University officials work closely with other interested parties to establish policies and procedures that inhibit the likelihood of contagion while promoting an educational environment characterized by safety, continuity, and calm.

A Public/Student Health Committee, consisting of appropriate faculty and staff members appointed by the Vice President for University Affairs, will coordinate University efforts to fulfill the responsibility concerning public health. In carrying out its tasks, the Committee shall follow the guidelines of recognized authorities including: The National Center for Disease Control, the United States Public Health Service, the Texas Department of Health, and the American College Health Association. Further, the Committee shall conform its actions to the Texas Communicable Disease Prevention and Control Act and other law.

When circumstances arise that require review, the Vice President for University Affairs will seek the advice of the Public Health Committee, the Director of University Health Services, and/or other relevant parties. In the event of public inquiry concerning University policy on public health or health-related matters at SFASU, the Director of Public Information, Executive Director of Marketing, or their designee, will serve as the official spokesperson for the University. Medical records of individuals shall remain confidential, but public information shall be disclosed upon request in accordance with the Texas Open Records Act and the Family Educational Rights and Privacy Act. Requests for such information should be referred to the University’s General Counsel.

If a public health issue arises that could involve the continuity of business and academic functions of the University, other ad hoc committees may be impaneled to address those particular issues.

Source of Authority: Vice President for University Affairs

Cross Reference: None

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Vice President for University Affairs

Forms: None
Purchase Voucher (C-31)

Original Implementation: September, 1990  
Last Revision: February 3, 2005 January 30, 2007

Normally, purchases for goods or services are processed in accordance with Policy C-10 Delegated Purchasing Authority, ordered, delivered and then invoiced by the vendor. These purchases are acquired by submitting a purchase requisition to the Purchasing Department. (See Delegated Purchasing Authority, Policy C-10.) Some purchases, however, do not involve ordering goods or waiting for a vendor's invoice. These transactions are initiated on a purchase voucher. Purchase vouchers should be used for the following:

1. Overnight mail services (See Express Mail Services, Policy F-11: no voucher required if using the Purchasing Department Preferred Vendor Contract)
2. Licensing fees (except software licensing fees)
3. Notary bonds
4. Refunds of fees
5. Postage
6. Prepayment of registration fees for business conferences, workshops and seminars (these may also be paid with the P-reCard)
7. Settlement agreements
8. All purchases from agency accounts

The Purchase Voucher Form may be accessed online at purchase voucher form https://apache.sfasu.edu/sfa_forms/purchasevoucher.shtml. It may be completed online, or printed out and completed manually. Once completed, the hard copy must be signed by the account manager, and forwarded with supporting documentation to the Controller’s Office, Box 13035, for processing.

Payments which have been inappropriately initiated on a purchase voucher will be returned to the originating department for proper processing through the Purchasing Department.

Questions regarding the preparation of forms mentioned in this policy should be directed to the Purchasing Department or the Controller’s Office.
Source of Authority: Vice President for Business Affairs

Cross Reference: Delegated Purchasing Authority, Policy C-10; Express Mail Services, Policy F-11

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller; Director of Purchasing and Inventory/HUB Coordinator

Forms: Purchase Requisition; Purchase Voucher
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Return to Work (E-62)

Original Implementation: January 28, 1997
Last Revision: January 30, 2007

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

The return to work program may provide opportunities for any employee of Stephen F. Austin State University who sustains a compensable injury during the course and scope of employment, a disability as defined by the Americans with Disabilities Act, and/or a serious health condition as defined by the Family Medical Leave Act, to return to work at full duty. If the employee is not physically capable of returning to full duty, the return to work program 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 provided on the University's Attending Doctor's Return to Work Recommendations form including a thorough assessment of the employee's specifications considering their official job description. A copy of the job description must be provided to the physician and can be obtained from the Director of Human Resources. 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 is limited to a specific time frame and may not exceed 12 weeks before being upgraded to medium work, then on to regular work. The University will request a release from the employee for direct communication with the physician regarding those matters that directly relate to return to work assessments. The University reserves the right to properly assess and verify the employee's physical capabilities as they relate to the job.

This return to work program shall not be construed as recognition by Stephen F. Austin State University, its management, or its employees that any employee who participates in the program has a disability as defined by the Americans with Disabilities Act of 1990. If an employee sustains an illness or injury that results in a disability under the ADA, it is the employee's responsibility to inform the supervisor or a person in a responsible management position that a disability under the ADA 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 University's needs.

As each situation arises the case will be evaluated independently by the supervisor, head of department, Assistant 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.

Source of Authority: Office of the Attorney General
State Office of Risk Management

Cross Reference: None

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; Offer of Employment (available in: Environmental Health, Safety, and Risk Management Department)
Satisfactory Academic Progress for Financial Aid Recipients (A-40)

Federal regulations mandate minimum standards of "satisfactory progress" for students receiving financial assistance. These requirements apply to the student's entire academic history, whether financial aid was received or not and to all types of aid: Grants, Loans, and Work-Study. The standards for determining progress at the university are composed of three separate measurements: Grade point average, Credit hour requirements, and Maximum hours allowed. For a student to be eligible to receive federal and state student financial assistance at SFASU, the student must maintain satisfactory progress in their course of study. All students must be enrolled in a degree or teaching certificate program. Newly enrolled undergraduate students must be admitted "in good standing".

NOTE: Students who are admitted to SFASU as a Non-Degree, Provisional (except graduate students who will be given one semester to remove provisional status), Transient, Summer Prep, Career Interest or Self-Improvement, Audit Courses, AARC (090) tutoring, or if on academic suspension, will NOT be eligible to receive financial aid. When the student is admitted to a degree program, Special Student status is changed, or suspension status is removed, an eligible student may then be considered for financial assistance.

GRADE POINT AVERAGE (GPA)

This is the qualitative measurement used for academic work at this University. For financial aid purposes, a student must maintain a cumulative GPA of 1.6 or better as a Freshman, 2.0 or better as a Sophomore through Senior and 3.0 or better as a graduate. Grade point averages will be checked on an annual basis.

CREDIT HOUR REQUIREMENTS

This is the quantitative measurement of a minimum number of hours completed each year at SFASU. A year is defined as Summer I, Summer II, Fall, and Spring sessions. In order to receive financial assistance, freshmen must complete 60% of the hours attempted. All other students must complete at least 75% of the hours attempted.

Credit hours will be considered to be satisfactorily completed if one of the following grades is earned: A, B, C, D, or P. Grades of F, W, WH, WF, WP, or QF are not satisfactory. If a graduate student receives a WH for Thesis Research or Thesis Writing, the hours will not be counted as hours attempted due to the length of time needed to complete this degree requirement. However, there is a two-year limit on Thesis Research and Thesis Writing.
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If you withdraw from the university prior to the end of the semester, receive all F’s, or receive a combination of all W’s, F’s, or QF’s, you will be denied for future financial assistance. W’s and F’s, F’s, and QF’s will be checked after each semester. You may reapply after Satisfactory Progress has been met.

Financial Aid is given to students enrolled for remedial courses (098 & 099). These courses are considered attempted hours and also count as earned hours for financial aid satisfactory progress. A student must make a grade of A, B, C, D, or P to remain in compliance.

Repeated classes are treated the same as any other class.

**MAXIMUM HOURS ALLOWED**

The stated maximum allowable hours at each level of study are for all students regardless of the number of changes in major or concentration. The student’s entire academic record at SFASU (including prerequisite courses) is used to calculate the maximums. Course work transferred to SFASU will count toward the maximum number of allowable credit hours. Maximum hours allowed will be checked after each semester.

<table>
<thead>
<tr>
<th>Enrollment Status at University Census Date</th>
<th>Maximum Number of Credit Hours by Degree Objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undergraduate</td>
<td>195 attempted semester hours</td>
</tr>
<tr>
<td>Post-Baccalaureate</td>
<td>36 attempted semester hours</td>
</tr>
<tr>
<td>Graduate: Masters</td>
<td>54 attempted semester hours</td>
</tr>
<tr>
<td>MFA &amp; MBA-MFA, MBA, &amp; MSW/Coun.</td>
<td>90 attempted semester hours</td>
</tr>
<tr>
<td>Ph.D.</td>
<td>96 attempted semester hours</td>
</tr>
</tbody>
</table>

Students who are not in compliance are not eligible for assistance until they have made up the credit hour deficiency from the last evaluation period and/or brought their GPA up to the qualitative standard indicated. Once the deficiency is made up, the student should notify the Financial Aid Office.

Students who are not making satisfactory academic progress may file a written appeal to the Financial Aid office. Appeals will then go before a committee for review and all students will be notified of the committee’s decision in writing. Appeals should include all documentation, which supports any mitigating circumstances concerning the failure to maintain the expected level of satisfactory progress. All decisions made by the committee are final. Students have thirty (30) days after notification of denial of financial aid to file an appeal with the Financial Aid office.
Source of Authority: Vice President for Business Affairs

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

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

Forms: None
Scholarship Disbursement (F-24)

Original Implementation: March 9, 1988

Title 20, Subchapter IV regulations of the Higher Education Act of 1965 (as amended) which govern the federal student financial aid programs require that a participating institution has a central source to coordinate all financial awards to its students. To assure university-wide coordination of all scholarships and other student financial assistance, all disbursements of assistance other than student employment or graduate assistantships should be coordinated by the Student Financial Aid office.

All scholarships and financial aid should be recorded on the financial aid management system and disbursed using the university disbursement system normally used for student financial assistance. Prior to disbursement to the student, any debt owed by the student will be deducted from the award.

1. To facilitate payment of the award, the award committee or department selecting a scholarship recipient must send to the Financial Aid Office Scholarship Coordinator a notification that contains the information listed below:

a. Name of scholarship
b. Account number
c. Recipient's name
d. Social security number or campus ID or Social Security number
e. Specific award period, (i.e., fall and/or spring, summer session I and/or summer session II)
f. Dollar amount for each award period.
g. Account manager, department, phone number, and date

2. The department should provide any special criteria associated with the scholarship, such as:

a. Must student be enrolled in a specific course, minimum number of hours, or major?

3. Once disbursement is received, enter into the computer and credit bill:
a. If needed, a financial aid adjustment will be made to reflect the additional scholarship offer, and notification sent to the student.
b. After the bill is credited, any remaining funds will be issued to student.

4. In order to credit scholarship funds to pre-registered bills, requests for disbursement must be received by the Financial Aid Office ten business days before the first class day of each semester.

5. The donor or account manager of the scholarship program decides whether funds should be repaid should the student drop a specific course or withdraws from school or no longer meets the eligibility criteria for the scholarship. The donor or account manager then contacts Financial Aid whether or not to charge back the funds and issue a bill to the student.

Source Of Authority: President, Vice President for Business Affairs

Cross Reference: None

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact For Revision: Director of Financial Aid

Method of Notification/Forms: Disbursement Request Form, email or memo
Student Fiscal Appeals (New)

Original Implementation: January 30, 2007

The Fiscal Appeals Panel will consider appeals involving issues related to university fiscal policy as it applies to student charges incurred on the student bill. Appeals will be considered when the student believes that extenuating circumstances in his or her life justify an exemption from the prevailing policy. Appeals must be submitted in written form and must be based on extenuating circumstances, such as (but not limited to) catastrophic illness, injury, death in the family, or call up for military service. Appeals must be filed within 60 days from the date of the charge on the student's accounts for which the student is requesting an appeal. Appeals will be considered only for the specific charge and specific term for which the appeal is requested, and will not be considered for previous or subsequent semesters.

The following may be appealed to the Panel: penalty for excessive time to graduation (the 30 and 45 hour rule), extenuating circumstances culminating in withdrawal, late add fee, reinstatement fee, $1,000 tuition rebate, and penalty for repetition of a course more than twice (3-peat). Appeals for traffic tickets and parking fines will not be considered by the Fiscal Appeals Panel.

In order to expedite the appeals process, each college shall have its own Fiscal Appeals Panel. The Fiscal Appeals Panel will include:

1. the dean of the student's college, or his/her designee;
2. the academic department chair of the student's major, or the student's academic advisor;
3. a faculty member of the student's college, designated by the dean;
4. a representative from the Business Office;
5. a representative from the Registrar's Office;
6. a representative from the Admission's Office.

If applicable and when necessary, additional panel members may include a representative from the Educator Certification Office, the Office of Financial Aid, and/or Student Disability Services.

A student wishing to appeal must first discuss the relevant fiscal policy in question with a representative from the Registrar's office or the Bursar's office. If the matter is not resolved, the student may file a written appeal to the Registrar or the Bursar for consideration by the Fiscal Appeals Panel. All pertinent information to be considered by the panel must be submitted with the appeal. The decision of the Fiscal Appeals Panel is final. All decisions will be made within 30 days from the date of receipt of the appeal, when feasible, but no later than 60 days from the date of receipt of the appeal.
Cross Reference: Texas Higher Education Coordinating Board Rules and Regulations Sect 13.108; Tuition Rebate Policy (C-50)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None
Temporary Employment (E-49)

Original Implementation: September, 1988
Last Revision: April 20, 2004/January 30, 2007

When it becomes necessary for a department to seek temporary classified or non-classified personnel, and temporary assistance is not available from within the department, division or college, the following procedures must be followed.

Temporary Classified Casual Employment

A department may employ a temporary classified personnel casual employee either on a part-time or full-time basis for a period not to exceed ninety (90) consecutive working days. Departments may hire a casual employee without posting the position. Casual employees must be paid at least minimum wage and must complete the appropriate paperwork with the Human Resources office within the first three (3) days of employment and attend the mandatory EEO Training within the first thirty (30) days of employment. Departments should complete a PAR to hire the casual employee, fax a copy to Human Resources, and then route the PAR for signatures. A temporary classified position will be posted by Human Resources upon receipt of a completed "Request for Temporary Services" which has been routed through proper administrative channels. Human Resources will recruit, screen and refer applicants to the department for an interview. Applicants will be sent to the departments with a Referral Form. Upon selection of a suitable candidate, Human Resources must be contacted in order to close the vacancy. At that time, Human Resources will send the department an Applicant Summary Form. The referral and summary forms with a "Personnel Action Request" form must be completed and routed through proper administrative channels to Human Resources prior to or on the first day of employment. Temporary employees may work no longer than ninety (90) consecutive days.

Temporary Services

Temporary employees may also be secured through the temporary agency which has contracted with SFA to provide temporary labor services. The SFA department needing assistance should contact the temporary agency to make the order and negotiate the wage to be paid to the temporary services employee. Upon agreement between the department and the temporary agency, the temporary agency will contact the SFA Human Resources and Purchasing departments to notify them of the agreement. More detailed information regarding the temporary agency and how to secure a temporary employee can be found on the SFA Human Resources and Purchasing department's websites. Complete the order for "Temporary Employment Form" and send it to Human Resources for processing. The Purchasing Department will encumber the funds for this expense. Wages paid to these temporary workers is at a premium.

Temporary Non-Classified Employment
A department may employ temporary non-classified personnel for summer camps, special events, TASP, special assignments, etc. A temporary non-classified position will be posted by Human Resources upon receipt of a completed "Request for Temporary Services" which has been routed through proper administrative channels. For individuals already employed by the University at 100% FTE, a "Request for Additional Compensation" form (See "Compensation in Excess of Base Salary" policy) must be processed. A "Personnel Action Request" must be submitted for any non-classified individual being hired on a temporary basis who is not currently on the University payroll or who is currently working less than 100% FTE. If the individual has not been employed by the University within the past year, it is required that they must come to the Human Resources Office and complete the required paperwork within the first three days of employment. For non-classified employees to work for more than 90 days, the President must approve it in advance because after 90 days the employees may be subject to benefit eligibility and are counted towards the University's total FTEs.

**Source of Authority:** President, Vice President for Business Affairs

**Cross Reference:** Overtime & Additional Compensation; see Index E-9; Personnel Action Request, see Index E-39

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

**Contact for Revision:** President

**Forms:** Request for Temporary Service; Request for Overtime & Additional Compensation, see Index E-9; Personnel Action Request, see Index E-39 (all available in University Printing Services)
UNIVERSITY LETTERHEAD

University Letterhead (D-37)

Original Implementation: May 9, 1985
Last Revision: January 30, 2007

University departments are required to use a uniform letterhead as designated by the President. Ordinarily, sub-units of departments use the letterhead of the parent department, especially if the unit's correspondence is primarily with students. However, if the sub-unit is of a permanent or semi-permanent nature and has a majority of its correspondence with off-campus agencies or individuals, it can be identified under the name of the parent unit on the letterhead. If a unit is independent of any department and is of a permanent or semi-permanent nature, it may have its own letterhead, consistent with the standard University design. Any deviation from the standard University letterhead design must be approved by the Editor of University Publications or President.

Information in the stationery heading includes: the University name; post office box and telephone number of the department/unit; and city, state, and zip code. Below the University seal/logo (left side of paper) is the department name, for example: Department of Accounting (for academic departments) or Purchasing Department (for support departments/units). See sample letterhead following this policy.

In exceptional cases, requests to deviate from the standard letterhead design may be granted. Such requests should be directed, in writing, to the Editor of University Publications or Executive Director of Marketing for approval.

SOURCE OF AUTHORITY: President
CROSS REFERENCE Cross Reference: None

Responsible for Implementation: President

CONTACT FOR REVISION Contact for Revision: Editor of University Publications or Executive Director of Marketing

FORMS Forms: None
Appendix 5

University Publications (D-39)

Original Implementation: March 15, 1977
Last Revision: January 15, 2002

To assure that communication to the general public contains accurate and current information and presents, through both content and appearance, a professional image which properly reflects the character, integrity, and accreditation status of the institution, official University publications and non-broadcast video presentations intended for off-campus distribution, or on-campus distribution to non-University individuals or groups (those not employed by or enrolled in the University), must be approved by the Office of Public Affairs prior to printing or electronic distribution. Communication intended solely for students and/or University employees is not subject to his approval policy.

("Non-University groups" are those not employed by or enrolled in the University.) Communication intended solely for students and/or University employees is not subject to his approval policy.

Examples of communication that must be submitted for approval are: academic bulletins, brochures, flyers, pamphlets, handbooks, newsletters, program announcements, advertising (newspaper, magazine, radio, and television, spots, online, newspaper ads, billboards, posters, etc.) and publications for intercollegiate athletics (media guides, programs, newsletters, etc.).

This approval policy applies to publications printed by University Printing Services, off-campus printers, and departments using desktop publishing or video equipment. Review may include any or all of the following: writing, editing, assisting with layout and graphic design, videotaping, video editing, assessing visual and audio content, scheduling the purchase of advertising placements, preparing specifications required for competitive bidding, and coordinating production schedules and delivery with outside vendors.

Materials should be submitted for review to the Office of Public Affairs at least ten working days prior to the date due to the printer. It should first be reviewed by the appropriate department head or chair and his/her director or dean. The department head/chair and the director/dean must indicate approval for printing by their signature on an "Approval For Printing" label affixed to the copy.

Without written approval of the materials from the Office of Public Affairs, University Purchasing will not authorize payment for advertising or off-campus printing services (Special Purchase, C-36).

Prior to submission to the Office of Public Affairs for approval, a publication or advertisement should be reviewed and approved in writing (use "Approval for Printing" form available from University Printing Services) by the appropriate authorities within the department and division.
Appendix 5

Allow at least ten working days for the Office of Public Affairs to review materials, but submissions are strongly encouraged to be made well in advance of publication or printing deadlines, as revisions may be required.

Upon approval by the Office of Public Affairs, the head of the originating department or his designee will work directly with University Printing Services or the Purchasing Department to initiate the printing process. If an off-campus printer is used and competitive bidding is required, the Purchasing Department will develop specifications and secure bids as required by the State Purchasing and General Services Commission Best-Value Procurement Policy (C-7). The Office of Public Affairs may be of assistance in the negotiation for and placement of advertising.

Copy-Materials submitted to University Printing Services or Purchasing without proper approval will be returned to the originating department. If departmentally owned equipment is used for printing or assembly of radio and television ads or video presentations, the approval of the Office of Public Affairs authorizes printing or distribution. If a department uses its own equipment to print a publication or produce radio and television advertisements or video presentations, the Office of Public Affairs must authorize printing or distribution.

The President or Vice President for Advancement, Executive Director of Marketing may authorize individual exemptions to the University publications policy. Such a request must be made in writing to the Executive Director of Marketing.

As required by Texas law, all University publications must clearly reflect the date the publication is produced or initially distributed. The date must be in a conspicuous location at or near the beginning of the publication. For purposes of complying with this law, a publication means printed material produced in multiple copies by the University or at the total or partial expenses of the University. This includes publications sponsored by or purchased for distribution by the University or released by research firms, consulting firms or other private institutions under contract with the University. This does not include correspondence, memos or other routine forms.

Source of Authority: President, Vice President for University Advancement, Section 441.103 (e), Government code

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: Director of Public Affairs, Executive Director of Marketing

Forms: Approval For Printing (available from University Printing Services)
Use of University Facilities (B-1)

Original Implementation: April 11, 1980
Last Revision: October 23, 2003 January 30, 2007

All Stephen F. Austin State University buildings, facilities, equipment, and grounds shall 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 mean all real property over which the University has possession and control by law.

3. "University group" shall 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 mean any organization or group that is not included within the term "University group."

5. "Sponsoring organization" shall 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 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 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 shall have priority in the use of the University’s facilities.

2. Individuals

Individuals engaged in the educational mission of the University shall 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 shall 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 University Center, subject to all other appropriate guidelines contained in this policy.

Reservations

1. Application

a. Application for use of University facilities by University agencies shall 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,</td>
<td>Dean of School having jurisdiction over that space</td>
</tr>
<tr>
<td>office space and off-campus facilities</td>
<td></td>
</tr>
<tr>
<td>University Student Center</td>
<td>Director, Auxiliary Services</td>
</tr>
<tr>
<td>Residence Halls</td>
<td>Director, Housing</td>
</tr>
<tr>
<td>Library Carrels and Seminar Rooms</td>
<td>Director, Dean, University Libraries</td>
</tr>
<tr>
<td>University Johnson Coliseum and</td>
<td>Associate Athletic Director for Internal Affairs</td>
</tr>
<tr>
<td>Homer Bryce Stadium</td>
<td>Coordinator of Athletic Operations</td>
</tr>
<tr>
<td>Health and Physical Education</td>
<td>Chairman, Department of Kinesiology (events)</td>
</tr>
</tbody>
</table>
Appendix 5

Complex and Tennis Courts  | Between 8am-3pm Mon-Fri
Student Recreation Center and Tennis Courts  | Director, Campus Recreation
Other Outside Recreational Areas  | Director, Intramurals
Other Outside Areas of the Campus  | Dean, Student Development Affairs

b. Application for use of University facilities by outside groups shall be made to the Vice President for Business Affairs, Finance and Administration, except for the coliseum, stadium, Student Recreation Center, and University Student Center, which shall be made to the individual indicated above.

2. Additional Procedure

In addition to this policy, the University may establish procedures for reservation and use of each University facility. The University official responsible for each facility may be contacted regarding the policies for that facility.

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

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.

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 who use a University facility may be required to provide a contract performance bond. They may be required to provide 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
Appendix 5

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 athletic coaches 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 be submitted to the Vice President for Business Finance and Administration Affairs 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, 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.
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.
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 shall be held before a discipline committee reviewing the suspension in question.

Source of Authority: Board of Regents, President

Cross Reference: None
Appendix 5

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

**Contact for Revision:** President

**Forms:** None
Appendix 5

Voluntary Modification of Employment (E-54.1)

Original Implementation: January 28, 1992

Last Revision: April 30, 2002 Policy Deleted 1/30/2007

The purpose of this policy is to give certain full-time tenured faculty members, including professional librarians, the opportunity to retire, but to continue guaranteed employment with the university on a modified basis. The term "modified employment" or "modification" means an employment status instituted under authority of, and governed by, this policy. Within this document the term "retired faculty member" means a faculty member whose employment status has been modified under this policy.

1. Faculty Eligible. Any full-time tenured faculty member who is eligible for retirement of any kind under the Teacher Retirement System of Texas or under a plan within the Optional Retirement Program may apply for modification of the terms of the faculty member's employment, subject to the provisions of this policy.

2. Length of Modified Status. Modified employment status will be for no more than three years at the discretion of the university.

3. Application. A faculty member desiring to take advantage of this policy must apply for modification no later than nine months prior to the beginning of the fiscal year in which the modified status is to become effective. For example, a faculty member who wishes to apply for modification effective September 1 must submit the application no later than December 1 of the previous year. During the first year after the plan becomes effective, the request may come as late as March 1. September 1 is the beginning of the fiscal year.

4. Discretionary with University. The University will grant an application for modification only when the academic and financial needs of the University can support the modified position, and after determination that the academic and financial needs of the University can support the modified status. Once approved, however, the modification is binding, and subject to the termination provisions below. Neither the University nor the faculty member may vary the terms of the new employment without the agreement of the other. If application for modified employment is denied or less than 3 years are granted, a faculty member may withdraw the request for retirement within 30 days of notification.

5. Maximum Percentage. A maximum of 10 percent of the full-time faculty may be on modified employment status during any academic year. The 10 percent University cap will apply to each College also.
6. Faculty Member's Change in Status:

a. A faculty member whose application is approved will formally retire and agree to relinquish his or her full-time status. By accepting Voluntary Modification of Employment, a faculty member automatically relinquishes tenure and his/her employment with the University at the end of the VME term. (Effective for retirees after January 1, 2001.)

b. The retired faculty member will not be eligible for merit raises, but will receive legislatively mandated raises. The retired faculty member's salary may not exceed at an annualized rate, the lesser of: (1) the rate of compensation the retiree received from the state during the last 12 months of service before retirement; or (2) $60,000. This limitation applies to the entire period of reemployment.

c. The retired faculty member will not be eligible for faculty development grants, but will be eligible for research enhancement grants.

d. The retired faculty will retain the rank held at the time of retirement, including graduate faculty rank.

7. University's Obligation:

a. If, for not more than three academic years following the modification of employment, the University requires the services of a retired faculty member within the academic expertise of the retired faculty member, the University will make available modified employment to the faculty member.

b. The modified employment will be on a no more than 50 percent FTE basis (based on a standard of full time being twelve semester credit hours, or 40 hours a week for librarians) or at the maximum level so as to not result in the loss of retirement benefits to the retired faculty member, whichever is less, for a nine-month academic year. Thus, depending upon the desires of the faculty member and the needs of the university, the modified employment might be full-time for one semester, or half-time for both semesters of the regular academic year. The modified employment salary will be no more than 46.75 percent for 50 percent appointment (prorated for lesser percent...
appointments) of that which the retired faculty member earned for the nine-month academic year prior to modification, subject to Section 6b above. A lesser amount may be set at the faculty member's option.

e. The university will not guarantee summer teaching, and if summer teaching is offered, it will not exceed the maximum level which would result in the loss of retirement benefits to the retired faculty member. Payment for summer teaching will be at the same proportion or rate as that for full-time faculty.

8. Employment After Period of Modification. After three years of modified employment, the university may at its discretion continue to employ the retired faculty member on any basis convenient to the university, whether for a full academic year, a semester, or summer session.

9. Termination. During the specified period of modified employment, the university may terminate the retired faculty member's employment only in accordance with Part III. A, C, or D of the University policy on tenure, Policy and Procedure Manual, Index E 50A.

10. Office Space, Access to Facilities, etc. The university will accommodate as much as possible the office requirements of a retired faculty member whose employment has been modified under this policy. However, the university makes no guarantee that the retired faculty member will retain the same office, and the university will have the right to reassign the retired faculty member to a different or shared office. The retired faculty member will have access to secretarial assistance, parking, library services, on-campus mail, athletic and cultural events, professional travel, and other facilities and activities on the same basis and at the same costs, if any, as the faculty generally.

11. Loss of Sick Leave, Eligibility for Sick Leave. Because the faculty member seeking modification under this policy must retire, the faculty member's balance of pre-retirement sick leave will be lost. However, upon the commencement of modified employment, the retired faculty member will be eligible for the same sick leave accrual and use in accordance with state law as any other university employee who is on a comparable part-time status.

12. Retired Faculty Member's Obligations:

a. The retired faculty member will continue to observe all obligations applicable to full-time faculty, reduced,
b. The retired faculty member will comply with all university rules and regulations applicable to University personnel generally.

c. The retired faculty member may terminate any modified employment granted under this policy by giving prior written notice to the Vice President for Academic Affairs at least two months prior to the beginning of a given semester.

Source of Authority: Board of Regents, President, Vice President for Academic Affairs, Texas Government Code Sec. 659.0115

Cross Reference: Faculty Handbook

Contact For Revision: Vice President for Academic Affairs

Forms: Application for Voluntary Modified Employment available in the Deans' Offices
Work Requests (B-32)

Original Implementation: December 7, 1987
Last Revision: February 4, 2004

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 Service
3. Disposal Service
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 on the Physical Plant website. 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
Appendix 5

records which must be destroyed will be picked up by Special Services upon request.

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

Emergency requests should be reported immediately to the Physical Plant Department at 468-3206, or to the University Police Department at 468-2608 after normal working hours.

Source of Authority: Vice President for Business Affairs

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Physical Plant

Forms: None
Workers Compensation Coverage (E-55)

Original Implementation: September 1, 1975

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 Assistant Safety Officer, located at 1514 Baker Street 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), to the Assistant Safety Officer, extension 4514. The Assistant Safety Officer will file the TWCC-1s and all required reports with the State Office of Risk Management, Workers' Compensation Division.

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 immediately. No claim is valid if reported more than 30 days after the incident. Employees who are recovering from a worker's compensation injury, are concurrently on FMLA leave, and who have exhausted all accrued paid leave are in leave without pay status (LWOP). Those employees must make a written request for a leave of absence (LOA) from the University President not to exceed a 12-month period from the beginning of their FMLA leave. Further information may be obtained from the Assistant Safety Officer in the University Safety, Environmental Health, Safety, and Risk Management Department.

Source of Authority: V.T.C.S., art. 8309g; President, Vice President for Business Affairs

Cross Reference: Non-Academic Employee Handbook

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), available in Environmental Health, Safety, and Risk Management Department